

CLIMATE CHANGE

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Evaluation of the International Climate Initiative (ICI) of the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU)

Evaluation of the International Climate Initiative (ICI) of the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU)

Final Report

On behalf of the German Federal Environment Agency

UMWELTBUNDESAMT

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ABBREVIATIONS

| | |
|----------|--|
| ADP | Ad Hoc Working Group on the Durban Platform for Enhanced Action |
| BioDiv | Biodiversity |
| BMU | Bundesministerium für Umwelt, Naturschutz und Reaktorsicherheit (Federal Ministry for the Environment, Nature Conservation and Nuclear Safety) |
| BMZ | Bundesministerium für Wirtschaftliche Zusammenarbeit (Federal Ministry for Economic Cooperation and Development) |
| CA | Commitment Appropriation |
| CBD | Convention on Biological Diversity |
| DENA | Deutsche Energie Agentur (German Energy Agency) |
| EBRD | European Bank for Reconstruction and Development |
| EKF | Energie- und Klimafonds (Energy and Climate Fund) |
| GFA | GFA Consulting Group GmbH & GFA Envest GmbH (implementing consortium) |
| GHG | Greenhouse Gas |
| GIZ | Gesellschaft für Internationale Zusammenarbeit (German Agency for International Cooperation) |
| ICI | International Climate Initiative |
| KfW | KfW Bankengruppe or KfW Entwicklungsbank (German Reconstruction Credit Institute) |
| M&E | Monitoring & Evaluation |
| MRV | measurable, reportable and verifiable |
| NAMA | Nationally Appropriate Mitigation Action |
| NGO | Non-Governmental Organisation |
| ODA | Official Development Assistance |
| OECD-DAC | Organisation for Economic Cooperation and Development – Development Assistance Committee |
| PAG | Project-supporting task force (consisting of BMU/UBA, ICI Programme Office, and reviewers) |
| PB | Programmbüro Internationale Klimaschutzinitiative (Programme Office for the International Climate Initiative) |
| PIK | Potsdam-Institut für Klimafolgenforschung (Potsdam Institute for Climate Impact Research) |
| REDD | Reducing Emissions from Deforestation and Degradation |
| UBA | Umweltbundesamt (Environment Agency Germany) |
| UN | United Nations |

| | |
|--------|--|
| UNDP | United Nations Development Program |
| UNESCO | United Nations Educational, Scientific & Cultural Organization |
| UNFCCC | United Nations Framework Convention on Climate Change |
| WHO | World Health Organization |

PRELIMINARY REMARKS

The present report is a summarising final report on the first external evaluation of the International Climate Initiative (ICI) of the BMU. It contains the results and conclusions from 115 individual project evaluations and six thematic cluster evaluations (on the basis of the commissions¹ and approvals in the years 2008 and 2009), as well as the analysis of the overall programme (state of implementation end of 2012).

The consortium GFA Consulting Group GmbH & GFA Envest GmbH (hereinafter: GFA) implemented this evaluation between October 2010 and April 2013.

The evaluation team would like to thank especially the involved departments of the BMU, the UBA, and the ICI Programme Office for the trusting and open cooperation. Further, it thanks the implementing agencies of the ICI projects and additional interviewees and reviewers for their critical and constructive contributions.

Moreover, GFA thanks all members of staff and external evaluators involved in this evaluation.

¹ Commissions refer to the federal implementing agencies (GIZ/KfW). Approvals refer to projects of the beneficiaries.

SUMMARY

In October 2010, the Environment Agency Germany (UBA) on behalf of the BMU commissioned an external performance review of the 115 individual projects approved and commissioned as part of the International Climate Initiative (ICI) in the years 2008 and 2009, as well as an analysis of the state of implementation of the overall programme in 2012. The objective of this external evaluation was an assessment of the relevance, results, and impacts of the ICI and - on this basis - the development of recommendations for the future orientation of the programme.

Methodology

The evaluation was implemented at **three levels: individual project, cluster**, and finally at the level of the **overall programme**. The methodology was developed specifically for the ICI evaluation, accompanying the projects. The individual project and cluster evaluation was implemented on the basis of the OECD/DAC evaluation criteria accepted as universal standard (relevance, effectiveness, efficiency, sustainability, impact), supplemented by two criteria usually applied in development cooperation, i.e. "coherence & coordination" and "planning & steering", as well as technical standards for the evaluation of climate impacts.

Results individual evaluations

On average, the results of the individual evaluations show good to satisfactory scores for all criteria, partly with relatively great variances. Taking into account the great challenges at the start of the ICI, i.e. launching a target-oriented programme within a very short time as well as identifying and commissioning suitable projects, the largely positive results have to be considered remarkable. At the same time, the challenges explain some of the identified weaknesses.

On average, the criterion relevance achieved the best scores in all evaluated projects. In the projects from 2008/2009, the integration into national climate policies/strategies is not yet sufficiently obvious. Apart from few specific projects, the direct relation to the international climate regime is only discernible in exceptional cases.

The average effectiveness (degree of goal achievement) of the evaluated projects was evaluated as satisfactory. The evaluation results show that partly - particularly at the level of individual projects - significant contributions to climate protection, increased adaptation capacities, or the conservation of biological diversity have been achieved. The project-specific evaluation was strongly interrelated with the quality and "depth" of planning, which contained too ambitious goals in many projects of the years 2008/2009 and had not sufficiently analysed interrelations, or where the stated objectives were not realistically achievable with the used funds.

The efficiency was rated slightly better, with an average score of good to satisfactory. In cases where a low degree of use at the target group or mediator level and/or increased expenditure due to modifications were observed, this can also be frequently traced back to inadequate planning and prior coordination.

Due to the fact that indicators were often missing or did not render relevant information in the first years of the ICI and due to the limited basis of quantitative monitoring data, the projects' impact in terms of project effects beyond the direct project objectives could only be evaluated to a limited extent, on the whole. In order to achieve positive trends with regard to indirect impacts, it is important to ensure the firm integration of potentials for replication as early as in the project planning as well as a good network with project partners. A positive political and institutional environment and high motivation of the partners have an additional beneficial effect.

On the whole, the sustainability of project results is evaluated as satisfactory. Again, important success factors are a solid planning basis, the acceptance of the project by the partners, as well as the project's integration into national policies and strategies. Ultimately, stable institutional framework conditions as well as the motivation and capacities of the partners to continue the project results with own resources are of major importance for high sustainability.

All in all, coherence & coordination in terms of a good coordination on the ground with other bilateral and multilateral donors and - especially in the case of the ICI - with other federal departments are evaluated as good.

On average, the planning and steering of all evaluated projects is assessed as satisfactory. It must be emphasised that the projects' steering was evaluated clearly better than their planning. Possibilities for improvement with regard to the planning are mainly seen in the analysis of general conditions as well as the planning of objectives and the definition of indicators.

The **success factors** of the projects of the first two years, in which special challenges had to be met, and the corresponding **lessons learned** can be summarised as follows:

The quality of the analysis of baseline conditions is decisive for the derivation of a target-oriented project concept and the quality of project planning. A focused definition of objectives and the combination of methodological approaches such as capacity development and policy consultancy with implementation components usually have very positive effects. Prior experience of the implementing agency and the local partners are further significant success factors.

In order for the project results to have a sustainable impact, their integration into national strategies and policies is stringently required. Accordingly, partner institutions should be directly involved in both the project preparations and the project implementation.

For a high-quality project planning involving the partners, longer planning periods would be desirable and, in case of complex projects, explicit feasibility studies would be recommendable. In the project planning, more importance should be attached to activity-based cost assessments to be able to more easily analyse the cost efficiency. Ultimately, the path towards a more standardised M+E system pursued in the last couple of years should be further developed, so that it goes beyond the results of the individual project and rather focuses on the impact at the thematic and/or regional level.

Cluster analysis

The **cluster analysis** targeted the analysis of results of the individual evaluations subdivided into wider thematic areas. In this context, a distinction between the following clusters was made: capacity development & policy consultancy (Cluster 1), climate-friendly economy & sustainable energy supply (Cluster 2), biodiversity & carbon sinks (Cluster 3), adaptation to climate change (Cluster 4), regional cluster (Cluster 5), and technology cooperation (Cluster 6).

No significant differences between the thematic clusters are recognisable on the basis of the results of the individual evaluations. Amongst others, the small differences are due to the calculation of average values in the evaluation procedure. Moreover, it is observed that most success factors are similar to those of international cooperation projects and neither cluster- nor ICI-specific.

For all clusters, it was observed that they make a significant contribution within the context of the ICI. This is beyond any doubt. However, a specific, visible contribution to the international climate regime is only given in the minority of projects, above all in case of global projects or projects directly focusing on climate negotiations.

In summary, the critical success factors and lessons learned are identical with those of the total sample since all projects are contained in the summary. Therefore, please see the paragraphs above referring to this topic.

Programme level

The objective of the analysis at the programme level was the provision of indications for the strategic-programmatic orientation of the ICI and the processes characterising the latter with regard to planning and steering in addition to the results of the individual and cluster evaluations, the explanation of success factors, strengths, and weaknesses of the ICI, their evaluation for learning purposes, and - on this basis - the provision of recommendations for the further development of the ICI. To that end, standardised written surveys as well as personal and phone interviews of representatives of implementing agencies, the Programme Office, as well as the BMU, UBA, BMZ, and Foreign Office were conducted. These are the most relevant results of the analysis:

The ICI was created as a subject-oriented financing instrument for supporting climate-relevant projects and, thus, stands out against the mostly existing country-specific orientation in the area of development cooperation. It is perceived as a highly innovative and target-oriented tool.

The thematic fields of action described in the funding information offer a broad spectrum. Besides support in the reduction of greenhouse gases, the development of adaptation capacities as well as the protection and sustainable use of forests and other ecosystems, the ICI also covers the topic of biodiversity without a priority focus on climate issues.

The eligibility conditions have been continuously further developed and specified over the years, but maintained their variety of topics. A significant modification was the shift from flagship projects which were funded as a priority to projects with a clear relation to national climate policies and strategies as well as the international climate dialogue.

The projects to be funded are supposed to be identified via the submission of project outlines, which can be submitted by national and international institutions as well as NGOs and private enterprises within the context of an ideas competition. The results of the analysis show that the practice of a longer-term preparation of projects between implementing agency and BMU is increasingly gaining in importance, so that a mere ideas competition has only been taking place to a limited degree in the last couple of years.

Accompanying this clearer "political" orientation of the ICI was a reduction of the number of funded projects and countries. The ICI increasingly focused on some wider thematic areas and was able to provide significant stimuli for the international climate dialogue with regard to these areas in the last couple of years (e.g. NAMAs, MRV, ecosystem-based adaptation, REDD+). The evaluation of the impact resulting from these stimuli and the specific climate protection effects will have to be implemented in further analyses.

Recommendations Against the backdrop of the available financial resources and the variety of topics and countries in need of support, it is recommended to further specify the ICI's profile, adapt the selection procedure, and establish a comprehensive knowledge management system in order to achieve the greatest possible impact of the ICI.

Specifying the ICI's profile

It is recommended to define a cross-departmental objective of the ICI, including indicators, for a medium-term period (5 - 8 years) with the involvement of the management level of the BMU. In due consideration of the intervention logic, the goals should have a stronger and clear focus on climate policies than has been the case to date, while the fact that the funds of the EKF are partly appropriated would have to be taken into account separately. On the basis of this concretisation of goals, the topics, and the target countries, the BMU should initiate a deeper direct dialogue on climate policies with the countries in order to agree a strategy for funding projects via the ICI.

Selection procedure

Accompanying this setting of priorities and selection of topics and countries should be an adaptation of the selection procedure to realise the climate-policy-related and, thus, strategic expectations of the BMU. To that end, it is recommended to combine the positive elements of the ideas competition with the direct commissioning of suitable institutions for the strategic projects defined between the BMU and partner countries. In detail, three different components are recommended:

1. Direct commissioning of federal implementing agencies or international organisations or third parties

These projects should be defined directly between BMU and partner country against the backdrop of the political/strategic goals of the ICI and be subsequently implemented by suitable implementing agencies in direct commissioning on the basis of a methodological and economical concept.

The project support should be ensured directly by the BMU, for which the respective resources would have to be created.

2. Ideas competition for accompanying activities

In order to support the implementation and goal achievement of the strategic projects - which largely target political change - through accompanying specific projects, specific ideas competitions should be implemented analogous to the previous procedure, but project-specifically.

For these projects, the project support should be ensured by the Programme Office, using the tool of borrowing if required, to avoid existing inefficiencies.

3. Reserve for ad-hoc activities

To live up to the flexible character of the ICI, the establishment of a third component is recommended, which should be under the direct "auspices" of the BMU. The objective of this component is to be able to react flexibly to new topics or countries, as soon as the BMU has defined them as priority, in addition to the medium-term plan.

Knowledge management

For a comprehensive and systematic knowledge management system for the ICI, it is recommended to initiate a systematic subject-specific dialogue beyond the project level, involving the implementing agencies and the partner countries, in addition to the continuous monitoring of results and impacts at the level of individual projects under the direction of the BMU. Its results can influence and support policy making. On the one hand, the comprehensive knowledge management system should allow for the exchange of know-how between technically similar projects and, on the other hand, it should also enable a flow of information for the strategic goals in a partner country or on a certain topic. In this way, the BMU is directly involved in the strategic moments of a project initiated by the BMU in coordination with the partner country and is enabled to monitor how the stated goals are achieved and use its experience for the design of new projects or for the dialogue on climate policy.

1 OBJECTIVES AND PRINCIPLES OF THE ICI EVALUATION

Objectives of the evaluation

In October 2010, the Environment Agency Germany (UBA, on behalf of the BMU) commissioned an external performance review of the individual projects approved and commissioned as part of the International Climate Initiative (ICI) in the years 2008 and 2009, as well as the state of implementation of the overall programme in 2012. The objective of this external evaluation was a comprehensive **performance review for measuring and evaluating relevance, results, and impacts**. Moreover, it constituted an **accountability document** and served **learning** purposes for improving the future orientation of the programme.

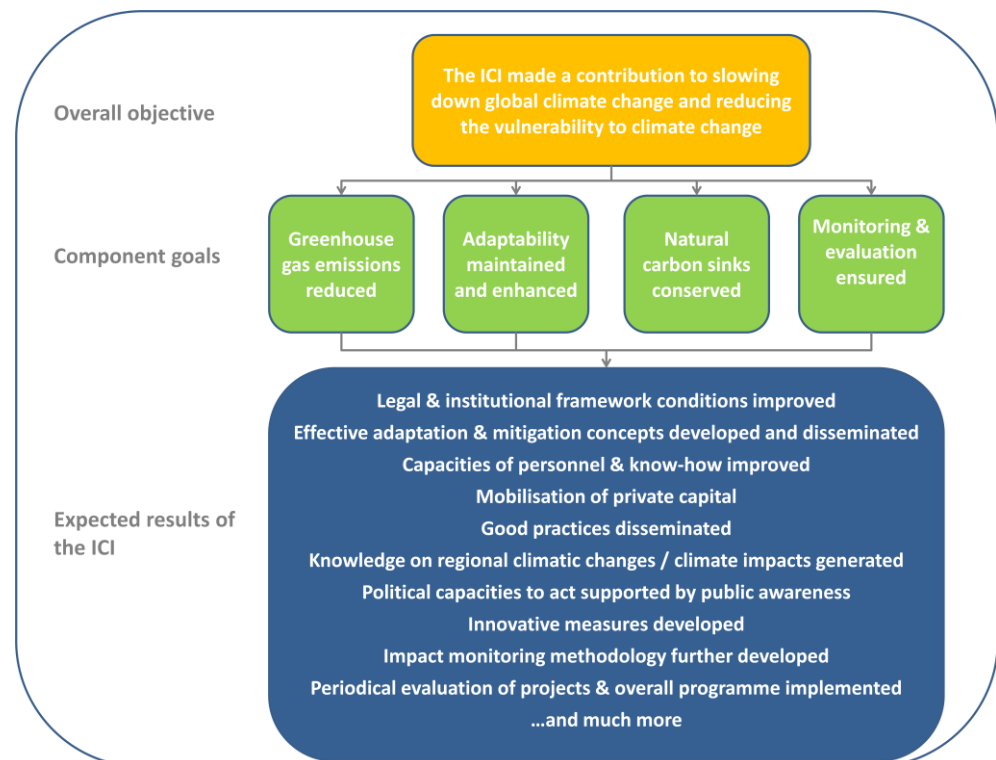
1.1 Evaluation Framework and Scope

For the evaluation of the relevance, results, and impacts, the objectives of the ICI were used as basis of assessment. Since a congruent target system had not yet been formulated in 2008, the illustration of a target system was derived from the funding information available at the start of the individual project evaluation. It served as guiding framework for the evaluation. Here, it was taken into account that the ICI has significantly developed and focused its objectives and criteria in the programme years since 2008.

Target system of the ICI

The ICI as overall programme can be visualised as shown in Figure 1 for the period of project evaluation (2008 - 2009). The illustration is based upon the GFA's understanding of the objectives and results of the ICI as planned by the BMU.

Figure 1: ICI Programme: Target System and Results



Source: Own representation by GFA (2012)

Scope and period of commissioning

The task was implemented by the consortium GFA Consulting Group GmbH / GFA Envest GmbH (hereinafter: GFA) between October 2010 and April 2013.

A total of 115 of the ICI projects commissioned and approved in the years 2008 and 2009 were evaluated. With few exceptions, the projects had been finalised at the time of evaluation. An assessment of the evaluation results was performed both on the basis of all evaluated projects and on the basis of 6 thematic clusters. The subsequent analysis at the programme level refers to the state of implementation of the ICI Programme at the end of 2012, as explained in more detail below.

1.2 Levels of Evaluation

The evaluation was implemented at three levels in consecutive steps: individual project, cluster, and programme.

Individual project

The evaluation of the 115 individual projects approved in the years 2008 & 2009 was implemented on the basis of the OECD/DAC evaluation criteria (relevance, effectiveness, efficiency, sustainability, impact), supplemented by the criteria "coherence & coordination" and "planning & steering" (refer to Methodological Manual and Chapter 2). Since reliable indicators for performance review were only formulated for very few projects in the initial phase of the ICI, concretely formulated guiding questions and a comprehensive, generally applicable matrix of indicators were developed for the criteria, which serve as basis for the evaluation in the form of an evaluation scheme, but were used project-specifically and were adapted, where required². This was implemented in order to allow for a comparison of the evaluation results despite the great thematic, methodological, and regional variety of projects.

Clusters

The cluster evaluation served the representation of the results of projects with similar or the same content or methodology as well as their comparative assessment and the evaluation of success factors and/or critical factors. For the evaluation, the BMU had originally defined 5 clusters, with one cluster added in the course of the evaluation:

- Cluster 1: Capacity development & policy consultancy
- Cluster 2: Climate-friendly economy & sustainable energy supply
- Cluster 3: Biodiversity & carbon sinks
- Cluster 4: Adaptation to climate change
- Cluster 5: Regional cluster
- Cluster 6: Technology cooperation³

² A detailed description of the methodology is available in the Methodological Manual (Annex 1).

³ The cluster "technology cooperation" was additionally included in 2011 due to the topicality of the subject matter in the international climate policy dialogue.

The cluster evaluation also uses guiding questions which were derived from the seven evaluation criteria and were formulated both universally and cluster specifically (refer to Methodological Manual and Chapter 3).

Programme

According to the evaluation mandate, the analysis at the programme level pursues the following goals:

- providing indications for the strategic-programmatic orientation of the ICI and the processes characterising the latter with regard to planning and steering in addition to the results of the individual and cluster evaluations;
- explaining success factors / strengths, and weaknesses of the ICI, evaluating them for learning purposes; and
- providing recommendations on this basis for the further development of the ICI.

Accordingly, the wider programme analysis is based upon results of the individual and cluster evaluations, but the analysis takes into account the development of the ICI until the end of 2012. It scrutinises the strategic-programmatic orientation of the programme, the programme development process, the related review and selection procedure, as well as project and programme steering by the institutions involved. Interviews addressing these project-spanning issues were carried out with the implementing agencies (online questionnaires and interviews), the staff of the Programme Office (statistical questionnaire and interviews), and the involved departments of the BMU, the BMZ, and the Foreign Office (interviews). As part of the on-site evaluations, in some cases respective discussions were held with project partners and contact persons in the countries; however, this was no part of the wider programme evaluation.

As evident from the methodology described above, the programme analysis did not include a systematic and comprehensive assessment of the ICI from the target countries' point of view as well as the view of the institutions and organisations involved in the international climate dialogue⁴. Moreover, on the basis of the agreed methodology, it was not possible to assess to what extent the ICI was able to contribute to the firm integration of important climate issues into the international climate dialogue. In this respect, the statements made in this report refer to the programme profile and, in particular, to the procedures and do not provide information on the overall impact of the ICI, for which further analyses would be necessary.

1.3 Methodological Manual

Project-accompanying manual

The methodology was developed as part of the projects, gradually agreed with the project-accompanying task force (PAG, consisting of BMU/UBA, ICI Programme Office, and reviewers⁵), and finally summarised in a manual. The methodological basis was the OECD-DAC standard, supplemented by further evaluation criteria usually applied in development cooperation, as well as technical standards for the evaluation of climate impacts. Guiding questions with several indicators were defined for each criterion and weighted, where applicable (refer to Methodological Manual, Chap.

⁴ Climate dialogue refers to the process of international climate negotiations within the context of the UNFCCC.

⁵ As peer reviewer of the methodology, the FU Berlin was involved in the evaluation.

4.1). Due to this specific method, it is not possible to compare the quantitative assessments of this evaluation with other evaluations since a comparison requires the utilisation of the same methodological bases.

The Manual includes all levels of evaluation, as well as the respective procedural instructions and templates for their implementation. It serves both the documentation of the procedures and as basis for the contracting authority to implement further evaluations.

In the subsequent paragraphs of this report, which serve as synthesis of results, a short overview of the respective methodology precedes each paragraph. The developed project-accompanying manual is available in Annex 1 of the final version.

2 SYNTHESIS OF INDIVIDUAL PROJECT EVALUATION

| | |
|---|---|
| Synthesis of results | This chapter contains the synthesis of results of the 115 individual project evaluations which were commissioned or approved in the programme years 2008 and 2009. All projects were evaluated as desk study. A sample of 21 projects, predefined by the BMU, was additionally evaluated on the ground. The evaluations took place in the period 2011-2012. |
| Overview | After a short overview of the methodology of the individual project evaluation (Chapter 2.1), Chapter 2.2 describes the basic population of evaluated projects according to fields of action and implementing agencies. Chapter 2.3 summarises the results according to evaluation criteria and other selected aspects as well as the deduced conclusions and recommendations. |
| 2.1 Methodology of Individual Evaluation | |
| Methodological challenge | <p>A particular challenge in the development of the methodology for the evaluation of 115 very different individual projects was:</p> <ul style="list-style-type: none"> • meeting universal standards of evaluation practice for international projects; • enabling a comparative qualitative and quantitative evaluation of very different project approaches, particularly with regard to their climate impacts; and • establishing a basis for a comprehensive evaluation of learning experiences for the ICI as a whole. |
| Evaluation standards | As mentioned above, the internationally recognised OECD-DAC evaluation criteria served as framework of reference for the evaluation methodology, supplemented by two other criteria usually applied in development cooperation. |
| Evaluation questions | For easier orientation, a wider evaluation question was formulated for each evaluation criterion, which was to be answered for evaluation purposes. The figure below shows an overview of general criteria and questions. |

Figure 2: Seven Evaluation Criteria and Evaluation Questions

| | |
|---|---|
| <p>1. Relevance</p> | <ul style="list-style-type: none"> • EQ1: Do the project objectives take into account the target criteria of the ICI? • Hence, the criterion relevance examines the intervention logic of the project within the context of the overall programme. |
| <p>2. Effectiveness</p> | <ul style="list-style-type: none"> • EQ2: To what extent are the defined project objectives achieved? • The criterion effectiveness examines the degree of goal achievement, or the extent to which the defined project objectives are achieved (or before project end: how likely it is to achieve them) |
| <p>3. Efficiency</p> | <ul style="list-style-type: none"> • EQ3: How is the relation between the project results and the employed (financial) means to be judged? • This criterion analyses the project's economic efficiency. Are the activities of the project required for achieving the objective? Is the selected approach efficient compared to alternatives? |
| <p>4. Impact</p> | <ul style="list-style-type: none"> • EQ4: Does the project contribute to achieving wider climate impacts? • Wider objectives are climate-relevant impacts (contribution to climate protection and the adaptation to climate change) going beyond the achievement of the direct project goals |
| <p>5. Sustainability</p> | <ul style="list-style-type: none"> • EQ5: Are the positive impacts sustainable? • This criterion assesses the sustainability of the project impacts and the further use of the contributions by the sponsors/partners after the end of the project period |
| <p>6. Coherence and coordination</p> | <ul style="list-style-type: none"> • EQ6: Is the project complementary to the activities of other donors? • This criterion refers to the coordination with other bilateral and multilateral donors as well as other federal departments |
| <p>7. Planning and steering</p> | <ul style="list-style-type: none"> • EQ7: Are the employed planning and steering processes appropriate for achieving the project's goals? • This criterion refers to the quality of planning and steering of the project management |

Guiding questions and indicators

The evaluation questions were answered on the basis of more specific guiding questions and indicators. In case of the criterion effectiveness, (where available) the indicators were taken from or deduced from the respective project documents for the individual project evaluation. Since measurable indicators were in many cases not available, guiding questions were formulated which could be used for evaluating the results. On this basis, an additional, comprehensive, but generally formulated matrix of indicators was developed, which serves as basis for the evaluation in the form of an evaluation scheme (refer to Methodological Manual in Annex 1).

Standardised evaluation scheme

The standardised methodology for the evaluation of all projects was essential to ensure that the results would be comparable. The standard evaluation scheme (refer to Methodological Manual in Annex 1) provided the pos-

sibility to assess all projects according to the same pattern with regard to the 7 evaluation criteria.

Approach

The individual project evaluations were implemented in the following methodological steps:

- The evaluation was performed on the basis of project documents made available by the ICI Programme Office (applications, letter of approval and commissioning, progress and final reports, monitoring data, as well as further documents in individual cases).
- Within the context of desk evaluations, additional inquiries (if necessary) were made over the phone or via email to the implementer or, where applicable, partner institutions as well as other institutions/organisations involved in the project. In case of on-site evaluations, this happened in the form of additional interviews.
- Each individual project was evaluated on the basis of all 7 evaluation criteria. Thus, all 7 wider evaluation questions were answered.
- For evaluating the individual projects with regard to an evaluation criterion, the guiding questions listed in the evaluation scheme were used. For answering the guiding questions, the (qualitative and quantitative) indicators applicable to the project were used.
- Both the quantitative and qualitative indicators were rated on a six-stage rating scale. Basically, they were rated from 1-6, but it must be observed that grade 1 was only awarded in case of "very good results, exceeding expectations". A "result fully meeting expectations" received grade 2.
- The overall evaluation was visualised in the form of a spider diagram (see Chapter 2.3) to enable a quick visual comparison of a project with the overall result or the best and worst project.
- Finally, the evaluation results were subject to a review by the GFA evaluation committee set up for quality control purposes to ensure, amongst others, an equal methodological treatment in the evaluation.

Possibility of self-evaluation

In addition and prior to the assessment by the evaluator, the implementing agency was asked to complete a "self-evaluation table". This provided the project with the opportunity of self-assessment and was also the starting point for a dialogue between the implementing agency and the evaluator. The self-evaluation table is structured analogous to the evaluation scheme.

Evaluation reports

The evaluation reports were drawn up according to a standardised pattern (refer to Methodological Manual in Annex 1) in order to ensure easy readability and quick comparability. They are available in English and German and can be consulted via the contracting authority.

2.2 Statistical Population

115 projects for evaluation

Part of the evaluation were the projects of the first two programme years, i.e. the projects approved and commissioned in 2008 and 2009 which (with the exception of only few extended projects) ended in 2012 at the latest or had almost been finalised at that time. Thus, the overall scope amounted to 115 projects which were all evaluated as desk studies on the basis of the applications and project reports. Additionally, a sample of 21 projects was evaluated on the ground⁶.

Annex 2 lists all evaluated projects by field of action; projects evaluated on the ground are highlighted.

Thematic focus and distribution of funds

The 115 evaluable projects and project funds are distributed to the fields of action as follows:

Table 1: Overview of Fields of Action

| FIELD OF ACTION | Number of projects | % of total sample | Sum in € |
|--|--------------------|-------------------|----------------------|
| FIELD OF ACTION I: Climate-friendly economy | 68 | 59% | 95,973,446 € |
| FIELDS OF ACTION II & III: Adaptation to the consequences of climate change & conservation and sustainable use of natural carbon sinks / REDD | 47 | 41% | 90,194,394 € |
| TOTAL SAMPLE | 115 | 100% | 186,167,840 € |

Source: Total list of evaluated projects (see Annex 2)

Geographical distribution by fields of action

On the one hand, the geographical focus was on Asia (29%), and on the other hand it was on Europe, Caucasus, and Central Asia (23%). Africa and Central and South America were represented with 15% respectively.

Implementing agencies

Many different organisations were commissioned with the implementation of ICI projects. The 68 evaluable projects in field I were implemented by 30 organisations, with the (now) GIZ implementing a share of 37% of all projects. In field II & III, 11 organisations were commissioned with the implementation of the 47 evaluable projects. Here, the federal implementing agencies (GIZ/KfW) had the greatest share, with approximately 55%⁷.

⁶ In case of one of the originally planned on-site evaluations, it was decided in consultation with the contracting authority that the on-site evaluation would not be implemented due to the information on the project status obtained in the previous desk study.

⁷ The evident relatively high share of projects of federal implementing agencies also results from the provisions of the Bundestag's Budget Committee, where it is mentioned, amongst others, that the available implementing agencies of the Federal Government are to be used for project planning and implementation.

Table 2: Overview by Implementing Agency

| Implementing agency | Number of projects | % of projects of total sample | Funds | % of funds of total sample |
|-----------------------------|--------------------|-------------------------------|----------------------|----------------------------|
| GIZ / KfW | 56 | 49% | 112,871,130 € | 61% |
| International organisations | 23 | 20% | 35,147,568 € | 19% |
| Others | 36 | 31% | 38,149,142 € | 20% |
| Total | 115 | 100% | 186,167,840 € | 100% |

Source: Total list of evaluated projects (Annex 2)

Project period and volume

The mean project period of the individual projects was two years (in individual cases, plus possible project extensions). In the field "climate-friendly economy", it was significantly shorter with 1.7 years than in the field of adaptation and biodiversity, where the mean was 2.1 years. 68 (59%) of the evaluable projects had a financial volume of more than EUR 1 million at the time of evaluation.

2.3 Summary of Results

The evaluation of the 115 individual projects shows the following results:

Average results at the level of criteria

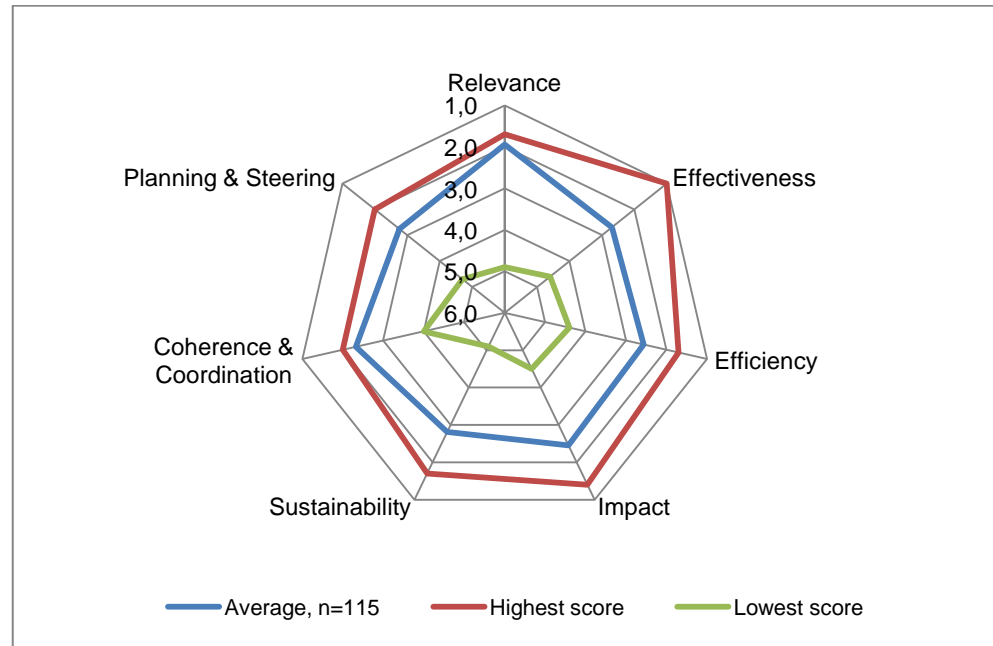
On average, all criteria were evaluated as good to satisfactory in all evaluated projects, but show rather great variances, as evident from the following table/diagram.

Table 3: Results at the Level of Criteria

| CRITERIA | AVERAGE, N=115 | HIGHEST SCORE | LOWEST SCORE |
|--------------------------|----------------|---------------|--------------|
| Relevance | 1.9 | 1.7 | 4.9 |
| Effectiveness | 2.7 | 1.0 | 4.6 |
| Efficiency | 2.6 | 1.7 | 4.4 |
| Impact | 2.5 | 1.4 | 4.5 |
| Sustainability | 2.8 | 1.7 | 5.1 |
| Coherence & Coordination | 2.3 | 2.0 | 4.0 |
| Planning & Steering | 2.8 | 2.0 | 4.7 |

Source: Statistical Assessment of Individual Project Evaluations (Annex 3)

Figure 3: Results at the Level of Criteria in the Spider Diagram



Source: Statistical Assessment of Individual Project Evaluations (Annex 3)

In purely quantitative terms, the average rating of the criteria ranges between 1.9 and 2.8 (in a possible rating scale from 1 to 6). Thus, in terms of criteria, the project evaluations range between "fully meeting expectations" (rating level 2) and "satisfactory" (rating level 3).⁸

Overall evaluation

The overall evaluation of a project (total of all appraisals) also shows a good to satisfactory result, with an average rating of 17.4 points. For understanding the overall image, it is useful to take a look at the following analysis of evaluation ranges as a total of the six criteria:

| | |
|-----------------------------------|-------------|
| Best possible rating: | 10.0 |
| Best actual rating ⁹ : | 12.2 |
| Average: | 17.4 |
| Worst actual rating: | 27.2 |

However, for methodological reasons, this figure alone does not render relevant information, since it is aggregated across several criteria. The overall evaluation is only an indication of the general quality of the project compared to the average of all projects.

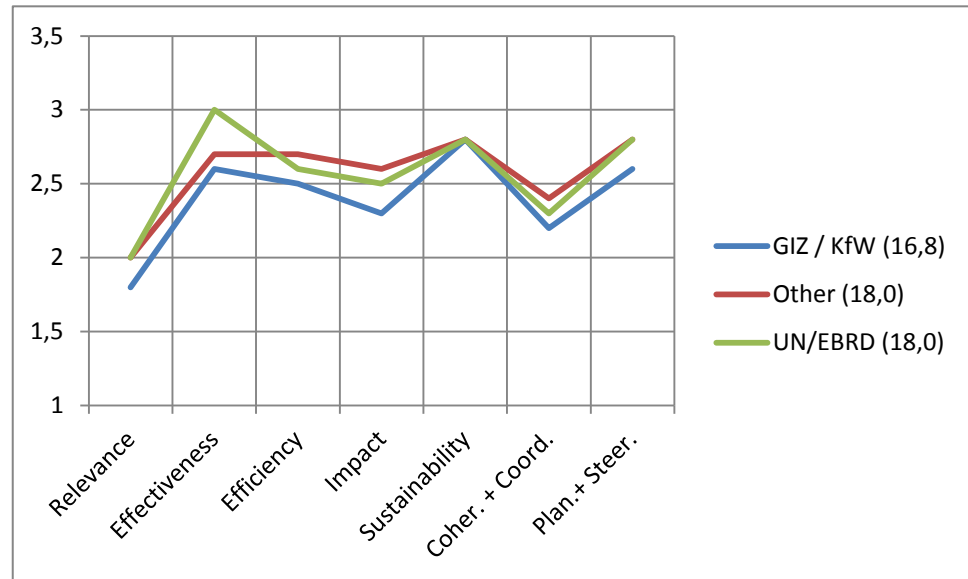
⁸ With regard to the assessment of this result, it must be considered that the assessment of guiding questions and criteria is based upon the average of several indicators, which means that, for methodological reasons (aggregation), the variances are smaller than is the case in the evaluation of individual indicators. Moreover, the calculation of an average grade tends to lead to more positive results. Further, it must be mentioned that, partly, it was only possible to a limited degree to make statements on individual evaluation questions and indicators due to the available data. Therefore, the non-evaluation of some indicators led to the situation that only the evaluable indicators were used for calculating the appraisal of a criterion, which also leads to a slight positive bias in the result.

⁹ For the best actual rating, only those projects were considered where it was possible to evaluate all criteria.

Differences between implementing agencies

There are small differences between the groups of implementing agencies. On average, the federal implementing agencies (abbreviated as GIZ / KfW, but the group also includes InWENT, DED, and UBA) tend to show the best results with an overall result of 16.8, while the international organisations (UN / EBRD) and the group of "other" implementing agencies (e.g. NGOs, private enterprises) show a slightly lower rating with an average result of 18.0. In spite of this clear trend, no clear statistical conclusions can be drawn from this result.

Figure 4: Overall Result by Implementing Agency



Source: Statistical Assessment of Individual Project Evaluations (Annex 3)

Analysis according to evaluation criteria

The analysis of ratings above renders more relevant information with regard to the seven evaluation criteria, since conclusions on success factors and critical factors can also be drawn from the evaluation and the additional qualitative analysis.¹⁰ Below, the results are explained in detail according to the different criteria.

Relevance: 1.9

The evaluation of the relevance was based on the planning documents and was measured by the project planning's compliance with the ICI target criteria. Here, the core criteria derived from the eligibility criteria were the planned direct or indirect emission reductions, the contribution to the conservation of biodiversity and/or adaptation capacities, the impact on the state of carbon sinks, the conformity with national climate policies, and the recognition by the partner government. Moreover, four criteria were evaluated as secondary so that a positive contribution of the project can lead to a better rating due to "topping-up" indicators. These criteria include exemplary character and potential for replication, contributions to the international climate regime, innovation, and the monitoring or the projection of climate change.

¹⁰ A detailed statistical assessment of all individual project evaluations is available in Annex 3.

With an average rating of 1.9, relevance is the criterion with the best evaluation results. The ratings range between 1.7 and 4.9. On the whole, it can be stated that, due to the wide range of target criteria at the time, almost every approach could be evaluated as relevant. However, it was observed that an integration into national climate policies / strategies of the 2008/2009 projects is only discernible in a minority of cases. Also, these projects only show a direct relation to the international climate regime in exceptional cases. In this context, special mention must be made of the global projects which provide direct support in climate negotiations.

Finally, it should not be left unmentioned that the selection criteria with regard to the ICI relevance have significantly changed and have been specified in the last couple of years so that a positive change is to be expected.

Effectiveness: 2.7

The effectiveness reflects the degree of goal achievement as measured by the defined project objectives. On average, a good to satisfactory effectiveness was achieved with 2.7 points, with a variance from 1.0 to 4.6. Thus, the majority of projects did not fully achieve the project objectives, or it is likely that the objectives will not be fully achieved. The overall good evaluation of the effectiveness also resulted from the fact that many projects only achieved the objectives thanks to an extension of the implementation period or modifications at the goal achievement level. This shows that, for many complex projects, the average implementation period of two years is too short and the stated goals were often too ambitious for such a short project period.

The outcome in the criterion effectiveness was strongly interrelated with the quality and "depth" of planning. In many cases, the latter showed too ambitious goals, interrelations were not sufficiently analysed, or the objectives were not realistically achievable with the used funds (see results of planning and steering). Further, the adaptation of instruments and activities to the project region and the specific context played an important role. On the basis of the experience from the first years, the requirements on the project planning were increased in the following years.

Further important success factors were the selection of an interested and motivated partner and a project concept that is well coordinated with the local partners and target groups. Due to the ICI's application procedure with very short planning periods, this can often only be achieved if the implementing agency has already established structures on the ground or has specific prior experience. This is to be regarded as systematic weakness of the procedure and will be examined again in Chapters 4 and 5.

Efficiency: 2.6

Under the criterion efficiency, it was examined how the project result is to be judged with regard to the funds used. On average, a good to satisfactory efficiency was achieved with 2.6 points, with a variance from 1.7 to 4.4. Mostly, the expenditure in relation to the activities is evaluated as appropriate, while it remains difficult to assess this aspect in the individual case. Conspicuous are the high overhead costs¹¹ of the GIZ, which are however offset by the GIZ's better results with regard to the use of the project outputs compared to other implementing agencies.

¹¹ Here, it must be considered that there are general agreements between GIZ and the Federal Government concerning the calculation of some cost items, which are also applied in the ICI projects.

Often, projects showed poor results in the criterion efficiency when the general conditions were not adequately analysed, resulting in an inadequate planning and considerable readjustments in the course of the project (also refer to the section on planning and steering). A low degree of use at the target group or mediator level, observed in some projects, can also be traced back to inadequate planning and prior coordination.

With regard to the evaluation of the cost efficiency it must be taken into account that, in case of many projects, no quantitative data on emission reductions or adaptation effects were available so that this data was deduced from qualitative information for the evaluation.

An important success factor is the good utilisation of local resources in the planning and steering of the project, which is the basis for a high degree of use among mediators and target groups.

Impact: 2.5

The criterion impact examines the climate-relevant effects to which the direct project impact contributes and which, however, go beyond the achievement of direct project goals. With an average rating of 2.5, the results are good to satisfactory, with a variance from 1.4 to 4.5.

However, it remains to be mentioned that, due to the often inadequately formulated indicators in the first years of the ICI and the limited availability of quantitative monitoring data, the impact could frequently only be evaluated to a very limited degree. Often, the evaluation was based upon qualitative conclusions from the reports.

The precondition for a good impact is, first and foremost, the achievement of the direct project objectives, which can in turn only be achieved with a well-coordinated project planning and steering. In order to achieve impacts beyond the direct project objectives, the firm integration of potentials for replication as early as in the project planning as well as a good network with project partners must be ensured to lay the foundation for multiplier effects. A positive political and institutional environment and high motivation of the partners have an additional beneficial effect.

Sustainability: 2.8

This criterion examines the sustainability of project impacts and the further use of the contributions by the sponsors/partners beyond the project period. On the whole, the result is satisfactory with an average rating of 2.8, but it is the criterion with the lowest scores together with planning and steering. The variance lies between 1.7 and 5.1 and is, thus, greater than in all other criteria. Therefore, it can be assumed that, in many projects, the positive impacts will not be sustainable. Shortcomings are frequently seen in a missing follow-up financing or missing capacities for a continuation with own resources. Again, important success factors were a solid planning basis, political consensus with regard to the planning and expected results, stable institutional framework conditions, as well as the motivation and capacities of the target group to make an independent contribution in order to continue the achievements. Moreover, the involvement of local educational institutions for the embedding of know-how had a positive effect on the sustainability.

Coherence & coordination: 2.3

The criterion coherence & coordination - as is also common practice in the evaluation of development cooperation projects - refers to the coordination on the ground with other bilateral and multilateral donors and - in the case of the ICI - especially with other federal departments.

With 2.3 points, the overall evaluation is good. However, the variance between 2.0 and 4.0 shows that not all projects are well coordinated with other donors and federal departments and that an ongoing coordination on the ground is not always ensured. In some cases, a remarkable negative aspect is the fact that the coordination with the partners and other donors on the ground is not documented or that coordination attempts came to nothing. Successful cooperation was mainly observed within the context of several subject-specific platforms, joint steering committees, the participation in workshops and conferences, as well as cooperation on the ground on the basis of working groups.

Planning & steering: 2.8

Together with sustainability, planning and steering is the criterion with the lowest scores, with an average of 2.8 points. The variance lies between 2.0 and 4.7. It must be remarked that, in the individual evaluation, the planning aspect often achieves lower scores than the steering in the course of the project. In many cases, the planning already showed shortcomings, which also had a negative effect on all other criteria. In particular, the projects of the years 2008 / 2009 lacked a detailed analysis of framework conditions and a solid formulation of objectives and indicators.

Again, important success factors are a thorough analysis of framework conditions, a clear formulation of goals and an intervention logic deduced from the latter, as well as the formulation of good indicators.

Overall picture: important success factors

On the basis of the overall picture of individual project evaluations, the most important factors with a positive or negative influence in terms of the project objectives and the ICI target criteria can be summarised as follows:

A thorough analysis of **baseline conditions** is indispensable for a target-oriented project concept and a good project planning. A focused definition of objectives and the combination of methodological approaches such as capacity development and policy consultancy with implementation components usually have very positive effects. **Prior experience** of the implementing agency and the local partners are significant success factors. A critical aspect is the very **short planning phase** of the selected procedure, which is not instrumental to a thorough planning with the involvement of the local partners. Very complex projects should be **planned and reviewed on the ground** and define appropriate **project periods** right from the start. In case of projects where the ICI supports only one partial area, the evaluation must focus more strongly on the concept of the overall project than has been the case to date.

In the first years of the ICI, the requirements on the **planning documents** were not sufficient to ensure a high-quality planning. Considerable improvements have already been made in this area. The requirements on the congruent formulation of objectives, a stringent intervention logic, and the formulation of measurable indicators have been significantly improved and, thus, constitute an important prerequisite for an improved planning basis. The establishment and stringent use of **M&E systems** must be ensured to

further improve the steering in the course of the project. Particularly **climate impacts** are difficult to verify in the early projects of the ICI.

A successful project stands and falls with its **firm integration among partners and target groups** on the ground, which was not always ensured in the projects from 2008 and 2009. In this context, a good coordination and congruence with **national strategies and policies is required**. This is the only way a high level of efficiency at the level of mediators and target groups, and thus the acceptance and continuation of the project results can be achieved.

The **involvement of educational institutions** seems to be of importance to guarantee the transfer of know-how in the long term.

In case studies or **projects addressing the development of concepts and strategies** are funded, they require an implementation concept with secured financing for the subsequent implementation in order for them to have a sustainable impact.

Recommendations

On the basis of the described success factors, the following recommendations can be deduced with regard to the planning, implementation, and steering of individual projects:

- In the planning and application phase, more importance should be attached to a thorough analysis of baseline conditions, a congruent formulation of objectives with clear, measurable indicators, a stringent intervention logic, and the project concept derived from it, and the initiated corresponding activities should continue to be given a high priority.
- Enough time should be planned for planning and reviewing projects, enabling a joint planning with the partners with the involvement of target groups within the framework of national climate policies and strategies.
- Where required, longer project periods are to be planned.
- The financial security of concept and strategy developments should be included in funding considerations.
- In the interest of impact assessments both of the individual project and with regard to the overall programme, the establishment of an impact-oriented M&E system should be required.

3 SYNTHESIS OF CLUSTER EVALUATION

| | |
|--|---|
| Synthesis of results | In this chapter, the 6 clusters are presented in 5 sections (i.e. Cluster 2 & 6 together), which are based upon the analysis of the 115 individual project evaluations described in Chapter 2. The detailed cluster reports are available in Annex 4 ¹² . |
| Overview | After a short overview of the methodology of the cluster evaluation (Chapter 3.1), Chapter 3.2 presents the results by cluster. At this point, conclusions and recommendations are only briefly described at the level of clusters. These general conclusions will in turn influence the final programme evaluation. |
| Objective of cluster evaluation | <p>The cluster evaluation served:</p> <ul style="list-style-type: none"> • the representation and comparison of projects of the same type / similar projects by fields of action which were defined as important; • the content synthesis of the individual evaluations by topics; • the deduction of impacts and contributions of the ICI; • the deduction of lessons learned. |
| Cluster definition | For the evaluation, the BMU/UBA defined 6 clusters: |

Figure 5: Cluster Definitions

| <u>CLUSTER NUMBER:</u> title Definition for project assignment |
|--|
| CLUSTER 1: Capacity development & policy consultancy Projects that place the main emphasis on capacity development & policy consultancy. |
| CLUSTER 2: Climate-friendly economy & sustainable energy supply Projects that have the goal to support partner countries in the development of an economy which avoids to the greatest possible degree the emission of hostile greenhouse gases. Improvement of energy efficiency, increase of renewable energy and reduction of greenhouse gases are supported both through investment measures as well as know-how transfer and policy consultancy in the partner country. |
| CLUSTER 3: Biodiversity & carbon sinks Projects that aim at the preservation of carbon sinks, especially forests and other ecosystems like wetlands. Activities in these areas are meant to improve synergies between climate protection and biodiversity protection. |
| CLUSTER 4: Adaptation to climate change Projects in selected partner countries which are particularly vulnerable to climate change for the implementation of parts of suitable national programmes for the adaptation to climate change (on the basis of the national or regional strategies, NAPAs). Ideally, an integrated approach is to be chosen in order to target more than one aspect of adaptation. |
| CLUSTER 5: Regional cluster All projects are included in this cluster. |
| CLUSTER 6: Technology cooperation Projects that bear sufficient reference to technology, within the meaning of technical facilities, and/or strengthen national technology innovation systems and technology clusters. |

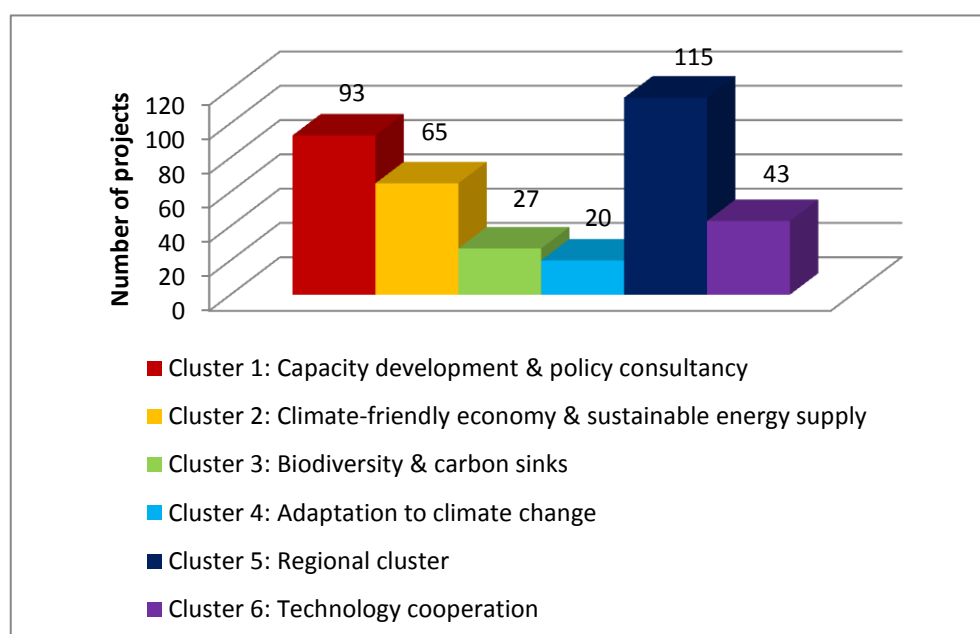
¹² It was decided in consultation with the UBA (email 2012-08-20) that no separate detailed report on Cluster 5 "Regional cluster" would be drawn up. A guiding question addressing potential regional specifics is applied in all clusters, and the results according to the analysis do not render relevant information (refer to summary in Chap. 3.2.5).

Assignment to clusters

After inspecting all projects to be evaluated, each project was assigned to the clusters:

- **Clusters 2, 3 and 4** are thematic clusters. Each project was only assigned to one of these clusters. If a project addressed several thematic aspects, the most important thematic aspect was identified and the project assigned to the corresponding cluster.
- **Cluster 1 and 6** are methodological clusters including methods or approaches within the three fields of action of the ICI. In this case, projects can be assigned to several clusters.
- **Cluster 5** (regional cluster) includes all projects, but it was retroactively decided that no separate detailed report on Cluster 5 would be drawn up. The following figure shows the distribution of the projects to the clusters.¹³

Figure 6: Distribution of Projects to Clusters



Source: Own representation on the basis of BMU project lists and expert opinion

3.1 Methodology of Cluster Evaluation

This chapter gives a short overview of the methodological approach in the cluster evaluation. A detailed description is available in the Methodological Manual (Annex 1).

Guiding questions for cluster evaluation

Like the individual project evaluation, the cluster evaluation was guided by guiding questions. The guiding questions for the cluster evaluation were derived from the guiding questions for the evaluation of the 7 evaluation criteria of the individual evaluation. The following guiding questions were regarded as universal for all clusters:

¹³ The projects contained in Cluster 2 and Cluster 6 are congruent except for 5 individual projects. Upon consultation with the UBA (email 2012-08-20), the analysis of the two clusters was aggregated.

- In what way do the projects summarised under the cluster contribute to the programme objectives of the ICI?
- What are the common features and differences between the projects of the cluster?
- Can differences in the appraisals between cluster and total sample be explained and, if so, how?
- Which success factors / failure factors are the cluster's projects based on?
- Are there regional specifics which contribute to the success/failure of a project and should be considered in the planning?
- What statements can be made with regard to the influence on international climate negotiations?
- Which recommendations for the further development of the cluster can be deduced?
- Which recommendations for the further development of the ICI can be made for the cluster?

Gradual approach

The cluster evaluation was performed in 3 steps:

- Step 1: Qualitative description of the projects/project approaches assigned to the thematic cluster in order to describe the classification of the cluster projects in the overall framework of the ICI.
- Step 2: Quantitative analysis of the cluster, both by project categories and evaluation criteria. Comparative analysis of the individual projects on the basis of the results of the individual project evaluation (for all evaluation criteria).
- Step 3: Analysis of the quantitative evaluation on the basis of the guiding questions mentioned above; development of recommendations for the further development of the cluster and the ICI.

3.2 Cluster Analysis

In the subsequent summary of the individual cluster analyses, the respective cluster is described at the beginning of each section. Subsequently, the evaluation results are described and analysed with the help of the guiding questions mentioned above. Qualitative aspects and lessons learned were a special focus of the description.

An independent, complete cluster report was drawn up for Clusters 1, 2, 3, 4 and 6, respectively (see Annex 4). In this process, Clusters 2 & 6 were retroactively analysed as one cluster due to the many overlaps and the similarity of results. It was decided not to draw up a separate cluster report on Cluster 5. Regional differences were analysed within the context of all other clusters. The sources of the figures used in the analysis are the corresponding tables in the respective cluster reports (see Annex 4).

3.2.1 Cluster 1: Capacity development & policy consultancy

Cross-thematic cluster

Cluster 1 (capacity development & policy consultancy) is a cross-thematic cluster and includes projects of all three fields of action of the ICI. It contains a total of 93 out of the 115 evaluated projects, with only few topics underrepresented compared to the total sample (i.e. waste, climate-relevant GHG and biodiversity). It tries to include the specifics of all projects focused on the development and dissemination of know-how for the institutional and political levels of the partner countries or international partners. Capacity development and policy consultancy are constitutive characteristics of programmes and projects of international technical and economic cooperation. They are methodological-conceptual categories and largely independent of the thematic objects of cooperation. Usually, they aim at the establishment and/or development of institutional structures through the improvement of processes and management, as well as capacity building among people affected by these topics for avoiding and dealing with climate change, be it in the institutions and/or the target groups.

Distribution by implementing agency

The distribution of the projects among the groups of implementing agencies in Cluster 1 largely corresponds with the total sample. This particularly applies to the institutions specialised in the fields of capacity development and policy consultancy (GIZ, UN, NGO). Merely the share of international NGOs is higher in the sample.

Common features and differences

The common denominator is the methodological approach for consultancy services and capacity development among decision makers and administrations, communities, and target groups. The objectives, scope, and complexity of the projects classified as policy consultancy are usually more limited. Capacity development projects frequently also include policy consultancy, but the focus is on capacity development, i.e. strengthening capacities of institutions or personnel. The funding volume of capacity development projects is usually greater. It is not seldom the case that they are implemented as partial components within the framework of co-financing.

The evaluation results for "capacity development" and "implementation" (investment projects) are largely identical. On the other hand, projects of policy consultancy show slightly worse average results. The analysis of the interrelations between planning & steering and the project results (effectiveness and sustainability) suggests that shortcomings in the planning or review process probably contributed to poorer results. Due to more complex project concepts and institutional framework conditions, capacity development and policy consultancy projects seem to have stricter requirements for planning & steering and to face higher risks in the implementation of consultancy services.

Contribution to the ICI and climate negotiations

The projects of Cluster 1 contribute to the goals of the ICI in the fields of capacity development and policy consultancy on a large scale. More than 75% of funds are used for climate protection, the smaller share for the capacities to adapt to climate change. The relevance of the planned contributions of the projects is regarded as very high in the evaluation, but the average results in terms of the degree of goal achievement (effectiveness), impact, and sustainability fall short of expectations. It is not possible to

make a summarily quantitative statement on the climate impact or the economic effects of the cluster since the corresponding data is not available.

Global projects or individual projects are partly directly related to the international climate dialogue¹⁴. Global projects achieved the highest scores in all criteria but planning and steering. For all other projects, a direct contribution to climate negotiations cannot be recognised. Even though they contribute to collecting data and experience for the dialogue, they are primarily focused on achieving the project-specific objectives.

Critical factors and lessons learned

The following factors, which mostly resurface in the other clusters, can be regarded as responsible for a positive or rather poor outcome:

- Conceptual project approach
- Analysis of general conditions
- Institutional integration into partner structures
- Commitment and financial basis of the partner institutions
- Competence and experience of the implementing agencies in the implementation
- Sector-specific, institutional, and country-specific knowledge of the implementing agencies
- Competencies of the personnel used on the side of the implementing agency as well as the partner

Beyond the significance of the quality of planning and the underlying analysis of baseline conditions, it became clear in the course of the evaluation that more attention must be paid to the M&E system. Further mentioned lessons learned show the same tendencies, pointing to the significance of upscaling and criticising that the development of innovative approaches without support in the implementation falls short.

In projects co-financed by the ICI, the analysis and evaluation of the overall programme is of great importance. Potential positive leverage effects of the part funded by the ICI may be offset by risks of isolation, duplication, and inconsistency of the funding approach.

Ultimately, it becomes clear that the involvement of local educational institutions is of great importance with regard to a sustainable development of capacities.

¹⁴ Examples of which include: 08_II_055_Global_A_Life Web , 08_II_046_Global_G_GSA Climate Impacts: Global and Regional Adaptation Support Platform – ci:grasp , and 08_II_052_LDCs_A, PREVENT – Synthesis of policy-relevant climate science and analytical support for delegations of the Least Developed Countries group (LDC) and Small Island States (SIDS) in “post-2012” negotiations.

3.2.2 Cluster 2 & 6: Climate-friendly economy, sustainable energy supply & technology cooperation

Joint analysis of Clusters 2&6

Cluster 2 includes 65 projects and, thus, more than half of all projects in the total sample. Cluster 6 contains 43 projects. Except for 5 individual projects, the projects contained in Cluster 6 are also part of Cluster 2, resulting in clear overlaps. A special characteristic of both clusters is the fact that the majority of projects have the potential to achieve attributable, specific, measurable, and verifiable greenhouse gas (GHG) reductions. Therefore, the two clusters are analysed together.

Description of Clusters 2 and 6

Cluster 2 "Climate-friendly economy & sustainable energy supply" contains projects whose focus is on the subject area "avoidance of hostile GHG". More specifically, the projects have the objective to support the partner countries in the establishment of an economic and energy supply structure which reduces the emission of hostile greenhouse gases. To that end, the increase of energy efficiency, development of renewable energies, and the reduction of hostile greenhouse gases are supported through specific implementation measures as well as know-how transfer and policy consultancy in the partner country.

Cluster 6, "technology cooperation", includes projects with a sufficient reference to technology application and transfer. This includes:

- Physical installation of facilities and pilot projects
- Technological standard setting and improvement of technical systems
- Technical knowledge transfer, capacity development for the direct use of technology
- Research in the area of technology
- Financing of technology applications

Further, projects which strengthen national technology innovation systems and technology clusters or combine different forms of technology cooperation (networking, institutionalisation, institution building, broad research platforms) fall into Cluster 6.

Distribution by implementing agency

It is remarkable that all projects implemented by private enterprises fall into Cluster 2. The same also applies to the EBRD. KfW and UN organisations, on the other hand, are underrepresented in Cluster 2 compared to their commitment in the overall programme. The GIZ is by far the implementing agency with the most projects in Cluster 2. The same applies to the GIZ in Cluster 6, which is also why it receives the most funds. Private enterprises are the second largest group of implementing agencies. It is remarkable that the commitment of private enterprises compared to the total sample is greatest in Cluster 6.

Contribution to the ICI and climate negotiations

The relevance of the projects with regard to the target criteria of the ICI is to be considered high – average appraisal 2.0. With regard to their relevance, more than 60% of the projects show a good result that fully meets expectations or exceed expectations.

As opposed to relevance, the other criteria achieved lower average ratings. This particularly applies to the criteria effectiveness, impact, and sustainability. Therefore, it can be concluded that, in a considerable part of the projects, the results were not fully achieved and the project outputs are only used to a limited degree or not at all.

The majority of projects show a great potential for the medium- and long-term avoidance of GHG emissions. However, if at all, these potentials are difficult to quantify and are mostly estimated by the implementing agencies on the basis of assumptions. A real reduction of GHG emissions during the implementation of the projects is achieved in very few cases and only to a limited extent.

Lessons learned

The lessons learned are largely identical with those previously mentioned for Cluster 1. They can be summarised as follows:

- In general, the projects of the clusters have a great potential for replication in the partner country and beyond. However, the available potential for replication or upscaling is only rarely used.
- The design and intervention logic of a great number of projects is weak. The goals and measures often seem overly ambitious, particularly in comparison with the planned financial volume and the project period.
- The selection of the partner organisation is of vital importance, particularly with regard to the long-term use and impact of the project results (sustainability). The lack of use of the project results and outputs is a shortcoming of the projects that is very often mentioned in the individual evaluation reports.
- National partner organisation(s) should have the responsibility (implementation mandate) and the resources to realise the project results and independently continue the measures after project end.
- Studies and concept and strategy developments do not have a sustainable impact if subsequent implementation concepts or the corresponding funding is missing.
- Similarly as with the missing implementation concepts, an unavailable or not clarified follow-up financing often hampers the realisation of effects.
- Projects combining the different methodological approaches - e.g. capacity development in conjunction with implementation and investment projects - seem to achieve a better and more sustainable impact.
- Projects with a clear focus with regard to objectives and activities achieve better results than projects addressing a great number of topics at the same time.

3.2.3 Cluster 3: Biodiversity & carbon sinks

| | |
|---|--|
| Description of Cluster 3 | Cluster 3, "Biodiversity and carbon sinks", includes projects aiming at the preservation of carbon sinks, especially forests and other ecosystems such as wetlands. The cluster contains 27 projects. Activities in these areas are meant to improve synergies between climate protection and biodiversity protection. |
| Distinction from Cluster 4 | <p>There is an unclear distinction between this cluster and the cluster "adaptation to climate change". The close relationship of the two clusters is mainly due to the fact that biodiversity projects can basically also be understood as adaptation to climate change: the conservation of biological diversity strengthens ecosystems and, thus, their resilience to the consequences of climate change. A couple of projects assigned to the cluster "adaptation" could easily have been assigned to the cluster "biodiversity and carbon sinks", or vice versa. However, when assigning the projects to clusters, only one of these two clusters was chosen to avoid double evaluations.</p> <p>In Cluster 3, the thematic areas "climate-relevant biodiversity with REDD relevance", "climate-relevant biodiversity without REDD relevance", and "carbon sinks with REDD relevance" are represented. However, the purpose of this categorisation should be critically questioned. The separation of "climate-relevant biodiversity" and "carbon sinks" is artificial. Ultimately, most carbon sinks constitute climate-relevant biodiversity. Therefore, the assignment to one of these project categories is not reasonable.</p> |
| Distribution by implementing agency | With regard to the groups of implementing agencies, KfW ranks first with 44% of the projects, followed by GIZ with 30%. International organisations represent one quarter (26%) of the beneficiaries. Other groups are not represented. |
| Common features and differences | <p>Out of the 27 projects analysed, 24 focus on a clearly limited geographical area: they have the objective to avoid degradation in certain forests, wetlands, or other ecosystems and ensure their permanent conservation. Frequently, these projects combine capacity development and the involvement of the local population with the implementation of specific protective measures (investments).</p> <p>Three projects go beyond this framework and pursue conceptual, wider goals, such as strengthening the cooperation between science, administration, and the population with regard to the management of protected areas, establishing a worldwide broker mechanism for financing protected areas, or the further development of the REDD instruments.</p> |
| Contribution to the ICI and climate negotiations | <p>Even though the assignment of individual projects to certain thematic areas poses some problems, all projects have in common that they target the protection of biodiversity and, thus, of natural carbon sinks, and therefore make a contribution to combating and adapting to climate change. All projects fit in very well with this comprehensive topic and, thus, their relevance to the ICI is basically given in all cases.</p> <p>For the evaluation of projects with regard to their REDD relevance, no corresponding selective criteria are available. Approximately half of the ICI projects are implemented in countries where REDD (Reducing Emissions from Deforestation and Degradation) is no priority.</p> |

The majority of projects were national measures with no immediate impact on the international negotiation process. An exception is the project for the rewetting of peat bogs in Belarus, which developed provisions for voluntary carbon trading, which Belarus also introduced into the international negotiation process. As a global project, the LifeWeb Initiative should also be mentioned.

Critical factors and lessons learned

In line with the results of the other clusters mentioned above, planning and steering were identified as important factor with regard to the success or failure of a project. Well-designed project proposals with a clear underlying project concept also led to clearly better results in the implementation and vice versa.

It should be mentioned that the otherwise well-established project cycle management procedures including monitoring activities of bilateral or international implementing agencies, which are the only groups represented in this cluster, were frequently not used in the projects of the ICI.

Several projects in the cluster were able to achieve good results in spite of a very narrow time horizon because they were linked to ongoing projects or could draw on established project structures. Even though the visibility of the ICI contribution sometimes suffers in case of these projects, it still is a good model for achieving good results in case of pressure with regard to the outflow of funds.

On average, the projects in Cluster 3 show clear shortcomings with regard to the involvement of the project partners. Frequently, the partners were not sufficiently involved in the content-related and administrative aspects of the project implementation, so that, sometimes, they were not able to develop sufficient ownership.

3.2.4 Cluster 4: Adaptation to climate change

Description of Cluster 4

In the area of adaptation, parts of suitable national programmes for the adaptation to climate change were to be implemented in selected partner countries. Ideally, an integrated approach was to be chosen in order to target more than one aspect of adaptation, such as water resource management, optimised land use planning, sustainable biomass production, health, but also disaster risk management and migration.

All projects from the thematic project categories "adaptation strategies", "ecosystem-based land use systems", and "insurance solutions" are contained in Cluster 4. Out of the 20 projects assigned to Cluster 4, the category "adaptation strategies" is far ahead with 16 projects, the two other categories are accordingly poorly represented.

Distinction from Cluster 3

There is a particularly unclear distinction between this cluster and Cluster 3 "biodiversity and carbon sinks". No clear distinction can be deduced from the definition and project contents. Generally, Cluster 3 also targets aspects of adaptation. Moreover, the term "adaptation strategies" was interpreted rather broadly in Cluster 4. Not all projects mainly focus on adaptation strategies; some projects rather focus on the implementation of adaptation measures.

Distribution by implementing agency

With regard to the groups of implementing agencies, GIZ ranks first with 8 projects and is, thus, overrepresented in the area of adaptation with 40% of the projects, compared to the total sample (35%). A total of 7 projects are implemented by the WHO on the basis of one single project approach for the adaptation of health to climate change in different countries. The funds are distributed as follows: 50% for GIZ, 24% for WHO, and 26% for other implementing agencies.

Common features and differences

The common features of the projects in the adaptation area are the high complexity of adaptation problems, the difficulty to define a target-oriented intervention logic, and the respective, consistently required multi-sector and integrated approaches of project intervention. The different selected approaches could not be much more diverse, while particularly the successful approaches could be termed "integrated" in the broadest sense. Integrated approaches are indeed necessary to take into account the initially mentioned complexity of problems.

A special case are the projects addressing health-related adaptation. All 7 projects are principally based on the same approach and proceed very similarly in the countries and were also successful in terms of the integrated approach.

A common aspect is the necessity of longer project periods. 55% of the projects have a project period of more than 3 years and, thus, clearly distinguish themselves from other clusters.

Significant differences to other clusters in the evaluation of results are not recognisable.

Contribution to the ICI and climate negotiations

With a total of approximately € 29.5 million, the contribution of the ICI in the adaptation area accounts for about 16% of the funds of the total sample. This is roughly also the proportional share of the number of projects (17%).

A very prominent area is the adaptation of health to climate change in Eastern Europe / Caucasus. Moreover, one project in the area of insurance solutions stands out as pilot project addressing a special aspect. With two projects on integrated adaptation strategy and policy consultancy (Philippines and Mali), the projects in this area also provided experience on consultancy work in the adaptation area at the national level. A further special area is covered by 3 projects in Asia addressing coastal protection and marine protected areas. Further, special mention must be made of two important initiatives for improved knowledge management, access to information, and scientific analyses at the global level.

Besides the exemplary implementation of complex, integrated consultancy approaches in the adaptation area, it were particularly the global projects "CI-GRASP" (GIZ) with an Internet-based information platform and the "Analytical support for climate negotiations" implemented by PIK, which made a special contribution within the context of the international policy dialogue.

However, taking a look at the overall picture, it is not possible to assess the overall contribution of the ICI in terms of measurable adaptation effects achieved by the projects. This reflects the difficulty to formulate specific and

realistic expectations with regard to objectives and impacts, especially in the adaptation area. However, particularly at the start of the programme in 2008, the ICI was not the only one dealing with this problem. Since that time, the dialogue in the adaptation area at the international level has been further developed.

**Critical factors
and lessons
learned**

As in all other areas, critical factors are the thorough analysis of general conditions, a stringent project planning in terms of a coherent intervention logic, as well as the selection and involvement of the partners on the ground. However, some success factors apply particularly to the adaptation area:

- Only those implementing agencies with relevant previous experience with the topic and the country are able to ensure a good analysis of the complex framework conditions for an ecological, socio-economic, and institutional adaptation.
- The ownership of the partners and the target groups on the ground is greatest where climate change is already visible and the target group is obviously affected.
- Special flexibility is required in planning and steering. Thus, the need for steering is usually great and the application of suitable planning and steering instruments is an absolute necessity.

The following points, which are common features of the promising approaches, emerge as important lessons learned and recommendations for the further development of the ICI in the adaptation area:

- The ICI's expectations with regard to objectives and impacts must be specified for the adaptation area in order to guarantee a measurable impact at the programme level.
- Particularly successful were approaches which are based on a secure information base and follow a sequential approach: analysis/prognosis - recommendation/consultancy - implementation. A particularly good combination seems to be a scientific analysis with applied processing of information and, on this basis, consultancy and implementation.
- Complex consultancy and implementation projects should necessarily be integrated into the framework of the respective national adaptation strategy and planning since, all too often, singular approaches in the adaptation area fail to take effect. Multi-sector approaches can only be successful in case of their integration into policies at a correspondingly high level.
- The skilful combination of policy consultancy and capacity development with components with an exemplary/pilot character is very promising with regard to local embedding. In case of exemplary/pilot projects, coherence with the overall project concept and a stringent project selection strategy must absolutely be ensured in order to achieve the desired demonstration effect and increase the potential for upscaling.
- The complexity of adaptation projects can only be taken into account with longer project periods, plannable right from the outset.

3.2.5 Cluster 5: Regional cluster

Cluster 5 is in line with the basic population of evaluated projects.

Regional differences

Only minor differences between the regional clusters are recognisable on the basis of the individual results. Projects in Africa, for instance, show rather poor results and projects in Asia rather good results. The table below only shows the main regions (i.e. without Middle East with only 2 projects and the global projects).

Table 4: Results by Regions

| CRITERIA | Ø Africa | Ø Asia | Ø Europe / Caucasus / Central Asia | Ø Central & South America | Ø Total sample |
|---------------------------|-------------|-------------|--|------------------------------|----------------|
| Relevance | 2.0 | 1.8 | 2.0 | 2.0 | 1.9 |
| Effectiveness | 3.1 | 2.7 | 2.7 | 2.8 | 2.7 |
| Efficiency | 2.9 | 2.5 | 2.5 | 2.6 | 2.6 |
| Impact | 2.7 | 2.4 | 2.5 | 2.6 | 2.5 |
| Sustainability | 3.2 | 2.8 | 2.8 | 2.8 | 2.8 |
| Coherence & Coordination | 2.6 | 2.2 | 2.2 | 2.5 | 2.3 |
| Planning & Steering | 3.1 | 2.8 | 2.7 | 2.7 | 2.8 |
| TOTAL¹⁵ | 19.5 | 17.1 | 17.5 | 17.7 | 17.4 |

Source: Statistical Assessment of Individual Project Evaluations (Annex 3)

However, the differences are not so strong that one could draw any definite conclusions on their basis. Usually, the differences in the evaluation are rather attributable to the following reasons:

- The positive results for the region Asia are strongly influenced by the very good average rating of project results in China, which account for a large share (14 out of 32 projects); without China, Asia would show an average result. Decisive characteristics of the clearly above-average results of projects in China seem to be the strong involvement of the project partners in the country as well as the good political support of the partner country. The two aspects are important for both the achievement of results and the impact and sustainability.
- The number of projects in Africa is relatively small (n=17), which is why some projects with results clearly below average lead to a less positive overall picture. The political integration of projects in Africa and the political support seem to be more limited than e.g. in China, which tends to result in a lower rating.
- Partly, projects in Africa show serious shortcomings in the project planning, which also leads to rather poor results with regard to the effectiveness of these projects.

¹⁵ The total of the appraisals may deviate from the presented total since only those projects are included in the total where it was possible to evaluate all criteria. Moreover, rounding differences may occur.

- Particularly in difficult political contexts, it is significant to have very broad prior experience and a well-established network of the implementing agency, which was not always given in the analysed projects in Africa.
- Ultimately, the below-average evaluation of the criterion sustainability in Africa was mainly caused by a lack of or limited financial resources.

3.3 Summary of Results

Differences between clusters

No significant differences between the thematic clusters are recognisable on the basis of the individual results, as shown in the following table:

Table 5: Comparison of Cluster Results

| CRITERIA | Ø Cluster 1 | Ø Cluster 2 | Ø Cluster 3 | Ø Cluster 4 | Ø Cluster 6 | Ø Total sample |
|---------------------------|-------------|-------------|-------------|-------------|-------------|----------------|
| Relevance | 1.9 | 2.0 | 1.8 | 1.8 | 2.0 | 1.9 |
| Effectiveness | 2.7 | 2.7 | 2.7 | 2.6 | 2.6 | 2.7 |
| Efficiency | 2.6 | 2.6 | 2.4 | 2.5 | 2.6 | 2.6 |
| Impact | 2.5 | 2.5 | 2.4 | 2.3 | 2.4 | 2.5 |
| Sustainability | 2.8 | 2.8 | 2.7 | 2.8 | 2.8 | 2.8 |
| Coherence & Coordination | 2.3 | 2.3 | 2.4 | 2.3 | 2.3 | 2.3 |
| Planning & Steering | 2.8 | 2.7 | 2.9 | 2.9 | 2.7 | 2.8 |
| TOTAL¹⁶ | 17.4 | 17.5 | 17.4 | 17.3 | 17.1 | 17.4 |

Source: Statistical Assessment of Individual Project Evaluations (Annex 3)

The small differences in the evaluation results are due to the calculation of average values in the evaluation procedure. Moreover, it is observed that most success factors of international projects are generally applicable and neither cluster- nor ICI-specific. Accordingly, the common features, differences, and the potential to obtain successful approaches to specific difficulties are rather to be found in the generally applicable requirements of an effective and efficient project cycle management.

Contribution to the ICI and climate negotiations

For all clusters, it was observed that they make a significant contribution within the context of the ICI. This is beyond any doubt. However, a specific, visible contribution to the international climate regime is only given in individual cases, above all in case of global projects or projects directly focusing on climate negotiations.

Success factors and lessons learned

In summary, the critical success factors and lessons learned are identical with those of the total sample since all projects are contained in the summary. Therefore, please see Chapter 2.3.

¹⁶ The total of the appraisals may deviate from the presented total since only those projects are included in the total where it was possible to evaluate all criteria. Moreover, rounding differences may occur.

4 PROGRAMME EVALUATION

Objectives

The comprehensive analysis at the programme level aims at:

- providing indications for the **strategic-programmatic orientation of the ICI and the processes characterising the latter** with regard to planning and steering in addition to the results of the individual and cluster evaluations;
- explaining **success factors, strengths, and weaknesses** of the ICI, evaluating them for learning purposes, and
- providing **recommendations** on this basis for the further development of the ICI.

Evaluation basis

This final evaluation step within the context of the ICI took place in the second half of 2012. As already described in Chapter 1.2, the analysis is based upon results of the individual and cluster evaluations, but takes into account the development of the ICI until the end of 2012 and, thus, goes beyond the individual and cluster evaluations in its considerations. It scrutinises the strategic-programmatic orientation of the programme, the programme development process, the related review and selection procedure, as well as project and programme steering by the institutions involved.

To that end, surveys and interviews were conducted with implementing agencies and staff of the Programme Office and the BMU, the BMZ, and the Foreign Office¹⁷. The analysis did not include a systematic and comprehensive assessment of the ICI from the target countries' point of view as well as the view of the institutions and organisations involved in the international climate dialogue. Therefore, the statements made herein are basically limited to the programme profile and, in particular, the processes as perceived by the implementing agencies and the BMU.

Thus, statements on the impacts of the ICI at the international level can only be made to a limited extent and would require further inspections.

Below, the methodology is explained and the evaluation results are empirically described. In conclusion, the results are summarised.

4.1 Methodology

This chapter gives a short overview of the methodological approach in the analysis at the programme level. A detailed description is available in the Methodological Manual (Annex 1).

Guiding questions

Like the individual and cluster evaluations, the surveys for the wider analysis were based on guiding questions which were developed in cooperation with the contracting authority:

- (1) Are the **objectives and tasks** of the ICI defined in such a way that a relevant contribution to international climate protection can be achieved?

¹⁷ Refer to Chapter 1.2 as well as further explanations in Chapter 4.1.

- (2) Are the **ICI eligibility and selection criteria** appropriate to achieve the programme objectives? Which criteria have priority, which are of only minor importance?
- (3) To what extent was the programme systematically derived from the wider **climate goals**?
- (4) Which **thematic clusters** turned out to be particularly successful or unsuccessful with regard to achieving the ICI objectives?
- (5) How does the ICI position itself in the portfolio of the international **donor landscape**?
- (6) What value added does the ICI have in the framework of the international **climate regime**?
- (7) Does the ICI have **unique features** and what are these?
- (8) Is the **steering** of the programme appropriate for achieving the programme objectives?
- (9) Is the course of the **procedures / selection processes** transparent and are they communicated to the outside in an appropriate manner?
- (10) To what extent is **quality assurance** guaranteed in the implementation?
- (11) Does the application procedure ensure an adequate **programme design** adapted to the respective topics, countries, and regions? Apart from the target criteria, is an independent concept with regard to thematic, regional priorities available?

Instruments

Like the conceptual framework of the individual and cluster evaluations, the methodology of the analysis is based upon general as well as technical international and national standards and good practices for evaluations (see Methodological Manual, p. 15 et seq.).

The following instruments were used:

1. Written surveys using a standardised list of questions (Internet platform) or questionnaires;
2. Personal and phone interviews (individual or - if requested by the partner - group interviews) using structured, open questions;
3. Literature research.

In this way, it was possible to obtain a broad picture of opinions (standardised online questionnaires) as well as detailed feedback (statistical questionnaire, open list of questions & interviews). In consultation with the BMU, all interviews (individual interviews) were conducted on a confidential basis, which is why no indication of the source of quotations will be given below.

Main groups of parties involved

The following groups of people involved were surveyed:

- Implementing agencies
- ICI Programme Office (PB)
- Ministry for the Environment (BMU) and Environment Agency Germany (UBA)
- Ministry for Development (BMZ) and Foreign Office

The selection of the interviewees was agreed with the contracting authority; in case of the implementing agencies, the selection was agreed on the basis of groups (federal implementing agencies, international organisations, others) in order to guarantee the anonymity of the interviewees, but all implementing agencies had the opportunity to take part in the online survey. For the projects from the years 2008 - 2009, the respective persons in charge of the projects and processes were interviewed.

The sample size for the surveys was the following:

Table 6: Number of Interviewees by Group

| Group | Possible number | participated |
|--|-----------------|------------------|
| Implementing agencies (anonymous Internet survey) | 115 | 67 ¹⁸ |
| Implementing agencies (individual interviews – all groups mentioned above) | n.a. | 10 |
| Programme Office (individual interviews) | n.a. | 8 |
| BMZ & Foreign Office | n.a. | 3 |
| BMU & UBA (number of departments in individual or group interviews) | n.a. | 14 |

Source: Own representation of interview statistics (2012)

Target group specific questions

All lists of questions were tailored to the respective target groups. Subject of the survey were the programme situation in 2008/2009 and beyond to be able to take into account new developments and make statements on the further development of the ICI.

Analysis and validation steps

For the analysis and validation, the following steps were implemented:

1. Evaluation of the results with an analysis of the goal achievement of the individual projects, their summary at the aggregate level per field of action.
2. Discussion of the success factors / strengths and weaknesses of the ICI on the basis of guiding questions.

¹⁸ The individual questions were answered by a varying number of implementing agencies. For the analysis, only those questions were considered which had a minimum number of 25 answers.

4.2 ICI in the Context of International Cooperation

4.2.1 ICI in the context of the international climate regime

Objectives and range of topics

According to the current funding information¹⁹, the ICI is supposed to provide "support in climate protection, particularly for the reduction of greenhouse gases, an improvement of the capacities to adapt to the consequences of climate change, as well as the protection and the sustainable use of forests and other ecosystems (carbon sinks), particularly REDD+, tailored to the needs of the partner countries". According to the defined objectives, the target-oriented support of projects is supposed to result in "improved consensus-building for an ambitious, comprehensive, and binding climate protection agreement" and "greatest possible synergies between climate and biodiversity protection". Thus, it supports the ongoing negotiation process for a comprehensive global climate protection agreement under the umbrella of the Framework Convention on Climate Change (UNFCCC) and is part of the international climate regime.

Thus, the spectrum of the ICI covers all relevant climate issues. In light of the variety of topics and the countries in need of funding, it is a challenge to possibly efficiently use the resources available to the ICI so that they have the greatest possible impact for international climate protection. Even more so because as of 2012 [*published in autumn 2011 in the funding information for the 2012 selection procedures*] it has not only been possible to fund synergies between climate and biodiversity protection, but also explicitly biodiversity projects "for the implementation of the Strategic Plan 2011 - 2020 of the Convention on Biological Diversity (CBD) as well as the Work Program on Protected Areas of the CBD"^{20,21}

Subject of the analysis

Therefore, it was also subject of the analysis at the programme level to question to what extent the quite comprehensive funding options are in line with the objective of the ICI to achieve the greatest possible impact in terms of international climate protection and for supporting the ongoing negotiation process for a comprehensive global climate protection agreement under the umbrella of the Framework Convention on Climate Change (UNFCCC).

Results

The results of the individual evaluations show that, with very few exceptions, all projects funded in the years 2008/2009 have a close link to climate issues (also refer to Chapter 2.3). Even though the direct link to national climate policies and the international climate regime of the projects funded in those two years was not yet very clear, it was increasingly requested in

¹⁹ Funding information of the ICI, effective 2012-10-31.

²⁰ Funding information of the ICI, effective 2012-10-31.

²¹ With the integration of all biodiversity projects into a fourth field of action, which is equipped with additional EKF funds, the ICI was supposed to be used as umbrella brand of the Ministry for (higher volume) international funding activities, according to statements of the BMU. Therefore, it was decided not to change the name. Moreover, the integration of the biodiversity area also had administrative reasons (only one Programme Office, one website, forms, funding information). Biodiversity is regarded as an independent area, which is however linked to climate protection through synergies (regular co-benefits in both directions).

the following years (also refer to Chapter 4.2). Today, the ICI is therefore already well-known worldwide and, according to the results of all groups surveyed, helps to represent German activities and transport the positive experience at the international level, at conferences and fora. Accordingly, it can be assumed that the ICI provides important stimuli for the firm integration of climate policy issues into the international negotiation process.

Unique feature

Moreover, according to current information, the ICI is the only instrument worldwide which is at least partly financed through direct climate protection activities (emissions trading). This is a visible unique feature within the framework of the international climate regime.

Before the launch of the ICI, climate protection projects and programmes were largely implemented by the BMZ as components of bilateral and multi-lateral cooperation. The tasks of the BMU were mainly limited to national activities, international negotiation processes, and the political dialogue with partner countries, without being able to underpin the latter with specific project examples. With the launch of the ICI, it was possible to close this gap between negotiation process and practical support. Now, financial resources for the specific implementation of activities are available to the BMU and it is possible to establish an independent climate policy dialogue with partner countries.

Limitations

According to the group surveyed, these positive effects are merely limited by the fact that

- the absolute funds of the ICI are very limited in the international context²²,
- these funds have to be distributed among a great number of countries and fields of action, and that
- this results in the risk that the possible impact remains rather limited, not only at the national, but the international level and particularly with regard to the conclusion of an international climate agreement.

To achieve the greatest possible impact with the available funds, a consolidation of the ICI funding policy has already been targeted since 2009, both concerning the thematic priorities and the selection of countries. The funding information was adjusted accordingly so that the projects would be more closely integrated into national and international climate policies and strategies.

As mentioned above, all groups surveyed regard the ICI as an important provider of stimuli in significant fields of action of the international climate process (e.g. low-emission strategies / NAMAs / MRV, ecosystem-based adaptation, REDD+). Thanks to the transparent description of the ICI projects and services on the website and their utilisation by the BMU within the framework of the partner dialogue, the ICI is clearly visible in international

²² According to a report of the World Bank (World Development Report 2010, Washington, DC), every year approx. US\$ 9 billion are made available to the developing and emerging countries for projects in the area of climate protection and adaptation. According to other sources (CPI, 2011, quoted in ODI letter Nov. 2011), it even amounts to US\$ 42 billion per year.

discussions. Individual projects also contribute to this visibility²³. For evaluating the impact of the stimuli and the specific climate protection effects, further analyses would have to be carried out.

Summary

In summary, it can be stated that the ICI is perceived as a highly flexible, innovative, and target-oriented tool both at the international level and by the BMU. Thus, the flexibility and the potential for innovation are special features which should be maintained and strengthened. In light of the current variety of topics, the focus on several international negotiation processes, and the limited financial resources compared to international standards, it nevertheless seems possible to increase the impact of the ICI beyond the direct project level through a stronger focusing, while the fact that the funds of the EKF are partly appropriated would have to be taken into account separately.

4.2.2 Unique features of the ICI

Special climate relevance

The ICI was created as a clearly subject-oriented financing instrument for supporting climate-relevant projects and this alone is a reason why it stands out against the mostly existing country-specific orientation in the area of development cooperation.

The results of the survey of the implementing agencies also show that the ICI is perceived as such a "special" tool, as shown in the following table:

Due to its selection criteria and procedures, the ICI has some unique features compared to other financing instruments

| | Totally agree | Predominantly agree | Predominantly disagree | Disagree |
|--------------|----------------------|----------------------------|-------------------------------|-----------------|
| TOTAL | 39.0% | 29.3% | 26.8% | 4.9% |
| | 68.3% | | 31.7% | |

Source: Internet survey of implementing agencies (48 answers)

Specific unique features

The mentioned specific unique features include both technical and formal aspects, as is evident from the following excerpt:

Unique technical features:

- *Focus on climate change is a unique characteristic*
- *Linkage between climate change and biodiversity is innovative*
- *Linkage to international climate negotiation process*
- *Focus on tangible results for emission reduction and adaptation*

Unique formal features:

- *Openness to diversity of implementing agencies is unique*
- *ICI provides freedom for project orientation and opportunity to implement innovative small-scale projects*

²³ One example is project "08_II_052_LDCs_A_analyt Unterstützung für LDCs" which supported LDC and SIDS within the context of the post-2012 climate process.

- *Flexibility to address new topics or countries without lengthy political processes*
- *Flexibility in terms of target country, partner setup, and sector is unique*
- *Competitive character of selection process ensures that best approaches and variety of partners and topics can be selected*
- *Rather lean reporting and monitoring system is regarded as unique and positive*

Source: Internet survey of implementing agencies and individual interviews implementing agencies

Particularly the mentioned unique technical features of the ICI are confirmed in the interviews with BMU and BMZ; this applies especially to the flexibility of the ICI to quickly address new topics / countries.

| | |
|------------------------------|---|
| Ideas competition | Another clearly unique feature is seen in the concept of an open ideas competition, permitting big national and international institutions as well as smaller NGOs, private enterprises, etc. to submit their ideas in the form of project outlines. For UN organisations, the ICI also offers the opportunity to receive specific project funding which would otherwise not be available, or only in the medium term. There is a broad consensus (BMU, PB, implementing agencies) that this tool offers many advantages to generate innovative ideas, and develop and swiftly implement know-how. However, it has been observed that the practice of a longer-term preparation of projects between implementing agency and BMU is increasingly gaining in importance, so that a mere ideas competition has only been taking place to a limited degree in the last couple of years (see 4.3). |
| Relevance for the BMU | Beyond the previously mentioned features, the ICI has gained unique significance for the BMU because this instrument provides the departments with the opportunity to establish activities accompanying climate protection negotiations (e.g. programmatic workshops with partner countries), swiftly implement specific measures, and foster relations with partner countries. |
| Financing | Another unique feature is the financing of the ICI through issue proceeds, i.e. the proceeds from the auction of pollution rights. According to the findings of the evaluators, the ICI is currently the only instrument worldwide which uses the proceeds from international climate policy agreements (here, specifically certificate trading) in the same application area. |
| Summary | In summary, it can be stated that the ICI has many unique features, as shown in the following table. However, there is a risk that some will not achieve their full effect, which is also detailed below. |

Figure 7: Unique Features and Limiting Factors

| Unique features | Limiting factors |
|--|--|
| Focus on climate change/protection | <ul style="list-style-type: none"> • Wide thematic and regional funding opportunities may possibly limit the potential impact. • Due to a variety of funding options, the subject-specific approach of the ICI becomes less important. |
| Linkage to international negotiation process | <ul style="list-style-type: none"> • Not yet very clear in the projects of the years 2008/09, but has strongly increased in the following years. |
| Flexibility to swiftly address new topics/countries | <ul style="list-style-type: none"> • Target definition of the ICI very diversified and broad, so that impact might possibly be reduced. |
| BMU is able to establish independent dialogue with the partner countries. | <ul style="list-style-type: none"> • Possibility that the department-specific tasks (and interests) influence the focus of the policy dialogue. |
| Visibility of the federal government's policies increased, both within the framework of development cooperation and now the BMU. | <ul style="list-style-type: none"> • Coherence in terms of a common / coordinated position in the country is of immense significance. |
| Unique feature for the BMU itself. Prior to ICI, hardly any funds for policy accompanying activities, now considerable opportunities to specifically implement policies. | <ul style="list-style-type: none"> • Every department has specific tasks, which may influence the approval or rejection of project proposals. |
| Only instrument which earmarks proceeds from international climate policy agreements (emissions trading) for the same specific area | <ul style="list-style-type: none"> • In absolute figures, funds are rather limited in the international context²⁴ |
| Free competition of ideas providing much room for definition of the project orientation and opportunity for innovative projects | <ul style="list-style-type: none"> • Today, the ideas competition only takes place to a limited extent; a large part of the projects is already discussed by implementing agency and BMU prior to the publication of the funding information. |

Source: Own representation (2012)

²⁴ See footnote 18

4.3 Review and Selection Procedures

Competitive procedure

Even though details of the eligibility conditions have slightly changed over the years, the procedure for the selection of projects has basically remained the same. Its approach is designed as ideas competition, includes two stages and is explained below:

- In a first process stage, every year (so far with one exception) the submission of project outlines is invited; in administrative terms, they do not yet constitute project applications.
- The submitted project outlines are evaluated; the outlines submitted by the federal implementing agencies (GIZ and KfW) are evaluated by the BMU, all others by the commissioned Programme Office. The Programme Office has no decision-making power, but prepares the selection for the BMU, which decides which outlines will be drawn into the application phase, in due consideration of the available budget funds.
- Applicant institutions of the selected project outlines are invited to submit a formal funding application (second process stage), which will be decided on after the final examination by the BMU.

With the publication of the ideas competition, the BMU publishes eligibility criteria according to which the submitted project outlines are assessed and selected. Amongst others, these criteria include: relevance to one or several priority areas of the ICI, level of innovation and ambition, replicability, contribution to international climate protection cooperation, contribution to the creation of suitable political framework conditions in the partner country, coherence with and integration into national and/or regional/transnational strategies, contribution to the economic and social development in the partner country, competencies and experience of the applicant, as well as consistency of the concept.

Criteria

There are some stringent criteria, whose non-compliance leads to an immediate exclusion of the submitted outline; amongst others, they include required experience of the implementing agency in the sector and the target region, sufficient financial resources, and the possible eligibility of the project as ODA.

According to the latest funding information, the implementing agency for instance has to prove in the application procedure that it has been continuously implementing projects in the area of international cooperation with partners on the ground for at least three years or that it has been successfully implementing project-relevant activities for at least three years. Moreover, the applicant institution must be able to plan projects in a qualified manner, as well as economically implement, monitor and settle them. Quantitative indicators for the economic capacity of the implementing agency are not used.

Target regions and countries which are either excluded from funding or have priority are not mentioned by name. They are described in qualitative terms (greenhouse gas reduction potential, vulnerable countries or carbon- and biodiversity-relevant countries and regions, or countries and regions with particularly great/significant biodiversity or an important role in the international CBD processes).

The degree of fulfilment of the individual criteria is evaluated using three weightings from A (good) to C (poor). For outsiders or applicants, it is not discernible whether criteria equally influence the outline review or with different priorities. Further, it is not obvious according to which standards the individual criteria are evaluated (such as experience or financial standing of an applicant) or how the outlines are compared with each other. Finally, in case of a rejection of the outline, no technical justification is given, either.

Group of applicants

All applicants, who meet the previously mentioned preconditions, may participate in application process. Thus, projects of a great number of stakeholders from Germany and abroad can be supported, including the federal implementing agencies (GIZ and KfW), public organisations, non-governmental organisations, enterprises, universities and research institutes, as well as international and multilateral organisations and institutions, such as development banks, UN organisations and programmes. No further information on the assessment of requirements (e.g. number of employees, sales) is given. The only limitation with regard to private enterprises is the indication that the implementing agency will not be given any economic privileges.

Thus, the ICI is open to a great circle of potential applicants, a great number of topics, and almost all countries in the world, which has also led to a growing number of project proposals (outlines) (more than 500 in 2012) according to the evaluators.

Transparency

With the extension of the programme and the growing dissemination, there is a growing need of potential applicant institutions for information on which of their projects are most promising with regard to an approval, and under which conditions. The point of view of the implementing agencies concerning the transparency of procedures and selection decisions is detailed in the following tables:

The selection criteria for project outlines are clearly detailed and explained

| | Agree | Predominantly agree | Predominantly disagree | Disagree |
|----------------|-------|---------------------|------------------------|----------|
| Total | 24.6% | 49.2% | 13.1% | 13.1% |
| | 73.8% | | 26.2% | |
| GIZ/KfW | 30.8% | 53.8% | 10.3% | 5.1% |
| | 84.6% | | 15.4 | |
| Others | 13.6% | 40.9% | 18.2% | 27.3% |
| | 54.5% | | 45.5% | |

Source: Internet survey of implementing agencies (61 answers)

The selection of projects is transparent and based on verifiable criteria

| | Agree | Predominantly agree | Predominantly disagree | Disagree |
|---------|-------|---------------------|------------------------|----------|
| Total | 13.0% | 33.3% | 33.3% | 20.4% |
| | 46.3% | | 53.7% | |
| GIZ/KfW | 18.2% | 45.5% | 27.3% | 9.1% |
| | 63.6% | | 36.4% | |
| Others | 4.8% | 14.3% | 42.9% | 38.1% |
| | 19% | | 81% | |

Source: Internet survey of implementing agencies (54 answers)

The result shows that 3/4 of all implementing agencies regard the selection criteria and procedures as (mostly) transparently described. However, only approximately half of them think so with regard to the selection decision for the projects. A clear difference in the evaluation is visible between the federal implementing agencies and the other implementers.

As indicated, the results shown above refer to the implementing agencies of projects selected in the years 2008 and 2009. However, in the interviews conducted, all parties involved (implementing agencies, PB, and BMU) confirmed that, today, the transparency of the application of criteria described in the funding information should still be improved so that the reasons for the selection of outlines and projects become comprehensible.

Points of criticism

The following quotations (excerpt) are examples confirming these aspects:

| |
|---|
| <p>Relevant points of criticism of the procedure:</p> <ul style="list-style-type: none"> • <i>Political interests and personal preferences of Ministry officials appear to play an important role.</i> • <i>Even though selection criteria are given in the ICI documents, it remains unclear how they are used in the screening of projects.</i> • <i>Projects never receive a feedback on which criteria have not been met. Selection is not transparent.</i> • <i>Obviously, there are preferred countries for ICI projects, but this is nowhere stated officially.</i> • <i>Decisive for the acceptance of a project is not its actual quality, but the political will of the BMU to realise it.</i> • <i>Outside the GIZ / KfW, only "politically accepted" institutions are brought on board. Others only have a chance in exceptional cases.</i> • <i>Neither the selection criteria nor the thematic areas are transparently described and explained.</i> • <i>In principle, the ideas competition is a good idea, but it is levered out by the BMU's internal selection procedure.</i> |
|---|

- *The selection procedure is based on a consensus procedure. In this process, not only reasonable criteria come into play.*

Source: Internet survey of implementing agencies and individual interviews implementing agencies

This rather critical assessment concerning the objectivity and transparency of the application of criteria in the selection procedure is underpinned by the following points:

The variety of funding options allows for a great number of thematic priorities. The described criteria are taken into account in the final project selection, but there is no standardised evaluation scale enabling a standardised evaluation of the projects.

Country preferences

According to the BMU and Programme Office, there are country preferences, which are however not explained to the outside. This is based on the grounds that the BMU does not want to provoke a conflict with countries which are not on the list. Even though this is an understandable reasoning, the selection criteria and their application should be described as transparently as possible in the selected procedure of an open ideas competition in order to motivate a possibly large number of potential applicants to submit an application and avoid criticism about the instrument.

Selection of institutions

On the basis of the statistics of submitted and approved project outlines, a preference for individual institutions becomes discernible, not only in the absolute number of approved projects, but particularly in relation to the number of submitted outlines. According to the Programme Office, 145 projects of the federal implementing agencies (GIZ/KfW) were approved between 2009 and 2012 (with 338 outlines submitted, this corresponds to a success rate of 42.9%), while for instance only 82 out of the total of 1 261 projects submitted by the group of NGOs, organisations, private enterprises, etc. were approved (success rate of 6.5%).

On the one hand, the great share of approved outlines from federal implementing agencies is - as explained at the beginning - due to the political provisions of the parliament (Budget Committee). On the other hand, the implemented individual evaluations also found that the average quality of the outlines from these implementing agencies stands out against that of third parties. Frequently, the federal implementing agencies do not only have very good sector-specific, but also a longstanding experience in the target countries and have a close network on the ground, which contributes to the good quality of project outlines. Further, in the years after 2009, there has been a growing trend that implementing agencies prepare their projects over the long term and are thus able to submit well-founded proposals as early as in the outline phase. During these preparations, a close contact to the BMU increases the chances of the outline being approved at a later stage, as shown below.

Prior coordination

The surveys conducted confirm that the "successful" implementing agencies had largely prepared their project ideas together with the BMU over a longer period before submitting the outline. The following results of the surveys refer to the projects from the years 2008 and 2009. They do not show any significant differences between the federal implementing agencies and third parties.

Before its submission, the project outline was already discussed with the PB/BMU with regard to its chances of being selected

| | Yes | No |
|------------------|-------|-------|
| Total | 86.7% | 13.3% |
| GIZ / KfW | 92.9% | 7.1% |
| Others | 76.5% | 23.5% |

Source: Internet survey of implementing agencies (45 answers)

According to the BMU, the close prior coordination of contents between BMU and implementing agency results, amongst others, from the efforts to more strongly politically steer the selection despite the great number of criteria, in light of the international climate architecture and the resulting need for support. However, this procedure does not correspond to the published concept of an open and transparent ideas competition because not every potential applicant has the necessary contacts to the BMU and is thus not informed about the political preferences of the BMU.

Project preparation

In light of the desired stronger political steering (see above), the BMU also increasingly directly influences the design of project proposals in the 2nd stage of the selection procedure, as confirmed in the surveys of the implementing agencies. The quantitative results in the following table only refer to the projects from 2008 and 2009, though this trend has been increasing in the last couple of years, according to qualitative statements.

BMU provided references on how to design the project proposal (technical content, project partners, etc.)

| | Yes | No |
|-----------------|-------|-------|
| Total | 40.5% | 59.5% |
| GIZ/ KfW | 47.6% | 52.4% |
| Others | 31.3% | 68.8% |

Source: Internet survey of implementing agencies (45 answers)

In principle, the longer-term preparation of projects between implementing agencies and BMU is viewed positively to ensure that the detailed project design is possibly in line with the ICI objectives and a programme-oriented long-term integration into national policy agendas and structures can be achieved. However, it is questioned to what extent this is in conformity with

an open ideas competition and whether the stronger programme orientation should not be made transparent in the first place.

Further, the concept of an open ideas competition is limited by the fact that, according to the BMU and implementing agencies, the BMU increasingly independently initiates projects which are then submitted as project outline by implementing agencies. Again, this active role of the BMU is not to be viewed negatively, but also contradicts the concept of an open ideas competition.

Project selection

The final selection of proposed projects is made by the BMU Steering Committee. This Steering Committee consists of all BMU departments involved in ICI projects. The selection procedure consists of a consensus procedure. The selection decision is reached through a coordinated selection process with the goal of a compromise, which is coordinated in a complex participatory process between the BMU departments. With the creation of the EKF special assets, the integration of biodiversity in a separate field²⁵, and the ICI biodiversity projects financed through the EKF, the coordination situation has even become more complex since 2012.

Summary

In summary, it can be concluded that the procedure and the selection criteria are transparently described in the funding information, but the selection process is not disclosed to third parties. Institutions which have already established direct contacts with the BMU due to previous cooperation or have already implemented projects are better informed about procedures, mostly discuss their project ideas with the BMU in advance, and thus have the opportunity to be more successful with their project outlines. According to statements of the Programme Office and the BMU, the outlines submitted by this group are rather in line with the specific expectations of the BMU and they are thus more frequently invited to submit an application.

On the other hand, both the BMU and the Programme Office observed that other groups also generate innovative ideas which might be lost in case the respective organisations become frustrated and abandon their plans because their outlines are less in line with the preferences of the BMU due to less prior information and are thus rather unsuccessful in the selection procedure. Therefore, procedures and instruments should be created: on the one hand, in order to ensure ICI funding and support for BMU strategies and policies in light of the limited financial resources and, on the other hand, to be able to implement new innovative ideas as further support. A specific proposal with regard to this procedure is presented in Chapter 5.2.

Due to the increasing long-term preparation of projects and the fact that the majority of funded projects came from the federal implementing agencies, it is questioned whether - in addition to the political steering of the BMU - the specific priorities, experience, and presence of implementing agencies in the countries could have a tangible influence on the selection of topics and projects of the ICI.

Even though this hypothesis cannot be underpinned by data in the context of this evaluation, the evaluators think that it is of great significance that the BMU (as has partly already happened in the concretisation of the funding

²⁵ For reasoning, see 4.2.1 or footnote 21.

information) increasingly sets priorities which are derived from the international climate dialogue, are integrated into a goal hierarchy, and subsequently used as basis for the development of specific projects. First suggestions in this regard are presented in Chapter 5.

Cost-benefit analysis

A last critical aspect in the selection of project outlines and applications results from the analysis of the cost efficiency (cost-benefit ratio) which was only implemented to a limited extent, on the whole. All project applications are reviewed for their compliance with budget law, depending on the respective organisation and procedure.²⁶ Staff costs are compared on the basis of the labour cost rates of the BMF or the UN. With regard to technical aspects, i.e. in terms of cost-benefit considerations, the reviews are limited and usually only analyse plausibilities. In case of the reviewed projects from 2008 and 2009, it was found that, partly, the unit costs show clear differences (e.g. for costs of personnel with comparable qualification).

More detailed analyses and comparisons with regard to the cost-benefit ratio can only be realised through a breakdown of cost items to the individual measures of a project, which is currently not necessarily requested. Moreover, corresponding technical know-how is required for such a thorough technical analysis, which is not yet available in the technical departments of the BMU according to their own statements and statements of the Programme Office.

4.4 Project and Programme Steering

4.4.1 Project steering

The implementing agency of a specific project is responsible for the project management²⁷, i.e. the implementation of the agreed project concept. The BMU or the Programme Office has the task to accompany the project implementation, to check whether the goals have been achieved, and, if required, actively steer²⁸ the project implementation. Moreover, it is the task of the BMU to evaluate the project impacts on the international climate dialogue and integrate experience (programme steering) gained in the project steering. To that end, the following points are advisable:

- a situation-adequate direct dialogue with the implementing agency,
- the exchange of experience within the context of events, fora, seminars, and
- monitoring of and feedback on the submitted interim and final reports.

²⁶ In case of the GIZ, the examination of prices does not lie within the competence of the Federal Government according to the public-sector pricing law. This competence lies with the German federal states. In case of the GIZ, the Darmstadt Regional Administrative Council (Regierungspräsidium) is in charge. Therefore, merely a plausibility check of activities is performed in case of GIZ applications.

²⁷ Project management is understood as responsibility for the direct day-to-day organisation and implementation of measures on the basis of an agreed operational plan. The responsibility for the project management lies with the implementing agency.

²⁸ Project steering or support is understood as impact monitoring at the project level. Both the implementing agencies and the BMU or PB and, where applicable, partner institutions are involved in the project steering.

Dialogue with the implementing agencies

A proactive dialogue with the implementing agencies has been established by some BMU departments in particular, but some implementing agencies also seek direct contact with the responsible departments to provide information on the project progress. The surveys show that both the scope and depth of the possibilities of a direct project-accompanying dialogue significantly vary depending on the respective department and implementing agency.

Moreover, situation-adequate, project-accompanying events take place, partly organised by the implementing agency and sometimes by the BMU. These events offer good opportunities to compare project-specific experiences with the wider framework of the ICI (be it with regard to regions or topics) as well as with projects of other donors.

The report review is mainly performed by the Programme Office. As shown in the surveys on the projects approved for the years 2008/09, this review and the corresponding opportunities to establish a dialogue with the implementing agency were only partly taken advantage of.

The PB or the BMU responded to the interim and final reports in a timely manner

| | Agree | Predominantly agree | Predominantly disagree | Disagree |
|-----------------|-------|---------------------|------------------------|----------|
| Interim reports | 9.3% | 46.5% | 18.6% | 25.6% |
| | 55.8% | | 44.2% | |
| Final reports | 5.9% | 26.5% | 35.3% | 32.4% |
| | 32.4% | | 67.6% | |

Source: Internet survey of implementing agencies (43 answers concerning interim reports; 34 concerning final reports)

In summary, the previous table clearly shows that a timely reaction to the interim results only occurred in approximately half of the projects reviewed and only in one third in case of the final reports. Additionally, some implementing agencies stated that even in case of requests for changes feedback was frequently only given with a delay of several months. Even though budgetary requirements were complied with, there is still much room for improvement with regard to a target-oriented project steering and evaluation.

Active project support

This shortcoming and the necessity of a more active project support as well as comprehensive knowledge management system were recognised by the BMU and counteracted through a staff increase in the Programme Office in the following years. Nevertheless, the results of the surveys show that, from the point of view of the implementing agencies, even more intensive, systematic content-related project support by the Programme Office or the BMU is required. For instance, the group of implementing agencies criticises that the comments on the interim or final reports mainly refer to the commercial/legal area, while technical/content-related reactions are rather an exception. Almost 95% of people surveyed were of the opinion that the reports mainly served as accountability document for the BMU and only to a small degree for technical/conceptual project steering. In the interviews conducted, it became clear that all groups of implementing agencies favour

a more active content-related dialogue both with the PB/BMU and between implementing agencies.

On the whole, the results of the analysis show that there are major differences in the project support of the BMU. On the one hand, this results from the circumstance that not every project has the same importance for the responsible department and, on the other hand, it is due to the lack of cross-departmental definitions of project support standards. Moreover, different staffing can also be responsible for the situation that some departments actively and directly influence the project steering and establish a direct dialogue with the implementer or the partner institution, while other departments remain rather passive and leave the project support and monitoring to the Programme Office.

Role of the Programme Office

According to the implementing agencies and the BMU, the majority of projects are accompanied by the Programme Office, which thus assumes a significant role in the project steering. According to the contract²⁹ concluded between BMU and GIZ, the Programme Office's tasks of project support include:

- Project supervision after approval or commissioning
- Providing administrative/legal advice for project implementers
- Timely review of interim evidence, i.e. reports and settlements
- Review of requests for changes and amendments
- Timely review of statements of application of funds, final reports and final accounts; documentation of project results
- Ongoing monitoring of implementation measures

Thus, important functions were entrusted to the Programme Office, even though, ultimately, the responsibility for all decisions lies with the BMU. Hence, the Programme Office - in communication with the implementing agency - prepares decision papers for the BMU, which subsequently re-examines the procedure. According to the implementing agencies, differences in the statements of Programme Office and the final decision of the BMU repeatedly occurred.

In this respect, a stricter distribution of roles and tasks between BMU, Programme Office, and implementing agencies seems useful to overcome current discrepancies and inefficiencies in the project support. First steps into this direction have already been taken in late 2012 within the context of organisational development advice in the Programme Office, but the corresponding results were not yet available at the time of this evaluation.

Within the context of the clarification of roles and tasks between BMU and Programme Office, it must generally be taken into account that, largely, the BMU departments - according to their own statements - today still do not have sufficient capacities and experience to actively support and monitor the projects in the context of the respective countries. Thus, the BMU would have to create the respective capacities on the ground to intensify project steering.

²⁹ Contract BMU/GIZ (09/2012) on the support for the BMU in the implementation of the ICI

4.4.2 Programme steering

Programme objectives

The central idea of programme steering is to generate knowledge on the basis of the project experience which can be used to continuously monitor whether the goals of the ICI will be achieved or have to be adjusted.

Within this context, the following paragraphs briefly describe the ICI programme objectives and their development. While no previously agreed funding information was available for the selection procedure in 2008, the following was formulated for the ideas competition of 2009:

The International Climate Initiative supports projects addressing climate protection in developing, emerging, and transition countries ("partner countries") in coherence with the existing international, multi- and bilateral cooperation of the Federal Government. The projects are supposed to provide support in climate protection, particularly for the reduction of greenhouse gases, an improvement of the capacities to adapt to the consequences of climate change, as well as the conservation and use of regions, which are highly relevant to the climate and worthy of protection, tailored to the needs of the partner countries. The focus is on flagship projects contributing to the implementation of the so-called Bali Roadmap as well as consensus-building with regard to an ambitious post-2012 climate protection agreement.

In 2010, this guiding principle was supplemented by a reference to the Copenhagen Accord and the sentence:

Through specific projects of the International Climate Initiative, the partner countries are for instance supported in the development and/or implementation of independent measurable, reportable, and verifiable (MRV) mitigation contributions as well as the implementation of particularly innovative projects in the three priority areas.

Funding priorities

With this shift of the funding priority from individual flagship projects to rather strategic political projects, the ICI also satisfied the requirements of the Bali Roadmap which already defined the guidelines for larger-scale political projects. The trend towards more "strategic" projects with a stronger focus on political integration continued in the following years and finally resulted in the recently published funding information for the selection procedure 2013, which states:

The projects are supposed to provide support in climate protection, particularly for the reduction of greenhouse gases, an improvement of the capacities to adapt to the consequences of climate change, as well as the protection and the sustainable use of forests and other ecosystems (carbon sinks), particularly REDD+, tailored to the needs of the partner countries. Thus, the International Climate Initiative also supports the implementation of the decisions taken in Cancún and Durban. Hence, the consensus-building process for an ambitious, comprehensive, and binding climate protection agreement is supported.

Through specific projects of the International Climate Initiative, the partner countries are for instance supported in the development and/or implementation of national climate protection measures (NAMAs) as well as the implementation of particularly innovative projects in the three priority areas.

Further, projects for the implementation of the Strategic Plan 2011-2020 of the Convention on Biological Diversity (CBD) as well as the Work Program on Protected Areas of the CBD are identified in a fourth priority area. ...Moreover, the ICI is supposed to generate the greatest possible synergies between climate and biodiversity protection.

Modification process

Thus, it is observed that an extensive modification process of the ICI has been taking place since its creation, which is reflected, amongst others, in the above mentioned focus on strategic and politically significant projects and, thus, in modified objectives of the ICI. This very positive thematic development was accompanied by a clear reduction of the number of funded individual projects and intervention countries³⁰. Moreover, this thematic change led to a gradually increased significance of regional projects in the last couple of years, which also serves the objective of the ICI to gain influence in the international climate dialogue.

As already explained in previous chapters, the profile and objectives of the ICI are very diverse. Therefore, a focused goal hierarchy for the programme steering derived from the priorities and core problems of global climate protection seems reasonable in order to a) achieve greater clarity with regard to the contributions and effectiveness of the ICI and b) develop a clearer and more transparent selection procedure. The stronger focus is regarded as necessary due to the results of the surveys.

Steering instruments:

Subsequently, the steering instruments of the ICI will have to be tailored to the strategically focused definition of goals of the ICI in order to ensure corresponding project support and be able to integrate experiences into the international climate process. Currently, the following steering instruments are available:

- Project content

As described above, there is a growing trend towards a longer-term preparation of projects between BMU and the implementing agencies. This stronger involvement of the BMU in the phase in which project outlines and later applications are formulated serves the desired stronger political/strategic orientation of the ICI.

Further, it should be mentioned that the joint strategic planning and orientation of the ICI between BMU and partner country could be further improved. Many implementing agencies (incl. the federal ones) do not want to arouse great expectations beforehand, when the project financing is not secured, yet. This leads to the risk that partners in the target country are not suffi-

³⁰ Here, it must be taken into account that, due to the challenges at the start of the ICI in 2008 when funds for the Climate Initiative were provided in the short term without long lead times, the distribution of the projects to topics, implementing agencies, regions/countries etc. was strongly influenced by the necessity to identify suitable projects eligible for funding in the shortest time. Moreover, the political wishes or conditions of the parliamentary sphere, amongst others with regard to limited project periods of one year without commitment appropriations (CA), had to be taken into account.

ciently involved in the preparation and application phase and are presented a fait accompli after the conclusion of the selection procedure.

The BMU is already trying to counteract this circumstance by having established a periodic climate dialogue with selected priority countries. On a case-by-case basis, this can for instance also be counteracted through longer application periods or preparation phases. However, it is questioned whether modifications of the procedure can lead to general improvements of the planning and, thus, technical quality of the applications, resulting in an easier project implementation and, thus, a higher total impact. A stronger involvement of the partners would also fully satisfy the internationally agreed principles for international cooperation (Paris, Accra Declaration), according to which the responsibility for a project (ownership) for instance lies with the partner countries and the support of donors is guided by the plans of the countries and is coordinated with all international supporting stakeholders.

- Selection procedure

As mentioned above, an active steering for achieving the programme objectives is inherently linked with the selection of projects. Since the beginning of the ICI, the focus was on an ideas competition, which is however - as described in Chapter 4.3 - only applied to a limited extent nowadays. Over the years, the BMU has been assuming an increasingly active role in the initiation and design of projects, which ultimately also influences the final project selection.

As explained in Chapter 4.3, the result of the selection of outlines is also the result of a compromise, which also takes into account factors such as department-related tasks and proportional representation in addition to the criteria described in the funding guidelines. This makes it more difficult to describe a consistent BMU-ICI programme policy.

- Project steering and support

In addition to the standardised criteria for the design and selection of projects listed above, consistent project steering and support³¹ were also integral parts of the programme steering. It has the objective to generate knowledge from the individual projects, which can be used on a cross-project basis for the ICI as a whole as well as for the international climate dialogue in order to achieve the greatest possible impact. In Chapter 4.4.1, this was already mentioned and it was stated that, in the evaluators' opinion, this necessarily requires more standardised and improved project support by the BMU since, otherwise, this steering instrument in the interest of knowledge management will remain far behind its potentials.

- Knowledge management

The previous descriptions clearly show that the ICI set political objectives and supports specific projects to achieve these goals. To be able to measure on a regular basis whether the ICI makes an effective contribution to climate protection or whether corrective and supplementary measures are required, it needs a complex system which records and evaluates the ex-

³¹ For a better understanding, the distinction between project management and project steering is explained again below:

Project management is understood as responsibility for the direct day-to-day organisation and implementation of measures on the basis of an agreed operational plan. The responsibility for the project management lies with the implementing agency.

Project steering or support is understood as impact monitoring at the project level. Both the implementing agencies and the BMU or ICI and, where applicable, partner institutions are involved in the project steering.

perience gained in individual projects and ensures that this experience is taken into consideration in the future funding information or individual projects, where applicable.

Currently, it can be stated that a comprehensive system required for systematic knowledge management has not been created, yet. The following reasons contribute to this assessment:

- Even though the general objectives of the ICI are clearly formulated, the results which are supposed to be achieved with the help of the project funding should be more specifically formulated and defined at the programme level. Supplemented by standardised quantitative and qualitative indicators, the success or failure of the ICI would become measurable.
- Final talks are only held to a limited degree for evaluating and utilising the experience gained in the individual projects.
- A technical exchange between ICI projects of the same sector, region or country has so far only taken place to a limited extent. Even though both the BMU and the Programme Office have increasingly implemented networking activities in the last couple of years (partly with specific networking projects), this important tool in the area of knowledge management remains far behind its potentials, according to the statements of many people involved from all groups surveyed.

Finally, it should be mentioned that, according to the BMU, the departments involved in the ICI still do not have the required opportunities and experience - due to their limited human and financial resources - to meet the requirements of a comprehensive knowledge management system. This limiting availability of resources in the BMU should be offset by the Programme Office or the underlying GIZ structures. Within this context, it was planned that the BMU can *"use the technical and regional expertise of the GIZ in the steering of international policy processes and the implementation of policy consultancy approaches"*. To that end, the GIZ (via the Programme Office) was supposed to assume the following tasks, amongst others:³²

1. Support in the design and steering of the overall programme through
 - Provision of regional expertise
 - Provision of technical expertise in climate change issues
 - Coordination and feedback of the contributions of the GIZ's technical and regional structure in Germany and abroad and creation of synergies
 - Alignment with activities of other donors
2. Advice and support in the portfolio development in priority countries and priority topics
3. Quality assurance and evaluation, including advice on, application, and further development of criteria for the project selection, as well as evaluation of the overall programme

³² Contract BMU - GIZ, July 2008 and September 2012, on the support for the BMU in the implementation of the ICI

4. Coordination with the KfW
5. Knowledge management, particularly establishment of adapted processes of knowledge exchange between the protagonists of the ICI

According to the stakeholders surveyed at the BMU as well as the Programme Office, the tasks of the Programme Office have so far been mainly focused on:

- the preparation of the ideas competition and the review of submitted project outlines (with the exception of outlines submitted by GIZ and KfW),
- the review and assessment of project reports, and
- the review and assessment of requests for changes.

Further, the Programme Office collects country information and the BMU is supported in the preparation of different activities (such as the implementation of the international advisory board of the ICI, subject-specific events, etc.).

However, according to the statements of the parties involved, a systematic content-related / technical dialogue, for instance between certain project groups and the Programme Office, and the resulting provision of systematic advice for the BMU has so far not occurred. Rather, the Programme Office responds to specific requests of individual departments. Even though a comprehensive database for the collection of project results and experiences is currently being set up, it will not automatically ensure the transfer of knowledge between stakeholders. Equally, it will not automatically provide conclusions on the further development of the ICI or on the international climate dialogue.

4.5 Summary of Results

Climate relevance

As evident from the results of the individual evaluations presented in Chapter 2, all funded projects - with few exceptions - are relevant to climate protection compared to the eligibility criteria of the ICI. Further, the evaluation results show that partly - particularly at the level of individual projects - significant contributions to climate protection, increased adaptation capacities, or the conservation of biological diversity have been achieved. Even though no reliable statements can be made on specific results at the overall programme level due to the missing data basis, according to the evaluators it can be assumed that good quantitative successes have been achieved.

Integration into national strategies

In the last couple of years, increasing attention has been paid to the firm integration of selected projects into national climate strategies and the integration of climate financing agreements at the international level (Fast Start, balanced allocation of adaptation and mitigation etc.) into the selection process. However, the objectives of the ICI are very diverse due to the great number of different fields of action so that no programmatic path is discernible. With the EKF-related modified, politically focused orientation of the ICI towards the UNFCCC and CBD process (without necessary link to climate issues) in 2012 under the title of the ICI, the situation became even more complex.

**Variety
of topics**

Due to the very wide profile presented to the outside, the ICI runs the risk of losing its numerous unique features described in Chapter 4.4.2 and being perceived by the outside world as just another financing instrument without a clear thematic link to climate protection and the climate dialogue.

Selection procedure

As described in the previous chapters, the current selection procedure only partly corresponds to an open ideas competition. Therefore, it seems to be necessary to adapt the selection procedure to reality, deduce eligibility criteria from the medium-term goals of the ICI, and, as a result, define cross-departmental priorities. Otherwise, the ICI would run the risk of losing its focus in the medium term and, thus, reducing its potential impact.

Knowledge management

In conclusion, it becomes clear that - despite some approaches - so far no comprehensive and, above all, systematic knowledge management system has been established within the ICI. Thus, to date hardly any systematic technical / content-related project evaluations have taken place with regard to lessons learned or for the further development of the ICI. Further, activities addressing the systematic exchange of knowledge on certain topics between the implementing agencies, the Programme Office, and the BMU remain behind their potential. Therefore, project results or experiences have so far not been comprehensively integrated into political decision-making processes. This means that a great potential to bring the ICI objectives to bear is not sufficiently used.

Conclusion

In summary, it therefore seems to be indispensable that the ICI should specify its profile, increasingly set medium-term, quantified priority goals, and define topics and establish selection procedures on this basis, which systematically ensures a large-scale impact of the ICI at the programme level. On the basis of the results of the analysis and in due consideration of the many positive elements of the ICI, the following chapter presents specific proposals on these aspects.

5 RECOMMENDATIONS FOR THE FURTHER DEVELOPMENT OF THE ICI

Possibilities for improvement

As described in the previous chapters and according to the evaluation results, the ICI still has room for improvement in the following areas in spite of its remarkable quantitative and qualitative successes at the individual project level:

- Definition of quantified medium-term goals serving as guidelines for the selection of topics, regions, and countries, as well as the individual projects, at the end of the day.
- Project selection procedure which was originally designed as mere ideas competition, but now has to meet the requirements of the increasing political/strategic orientation of the ICI.
- Establishment of a comprehensive knowledge management system which defines the roles and tasks of all parties involved on the basis of the strategic focus of the ICI and the selected procedure in order to ensure high efficiency in the implementation as well as the feedback of project results and experiences into the political climate dialogue.

Unique features

In due consideration of the evaluation results described in the previous chapters³³ and particularly the positively viewed unique features of the ICI, this chapter presents proposals relating to the following points to further strengthen the respective aspects:

1. Definition of ICI objectives
2. Selection procedure
3. Project and programme steering (knowledge management)

Even though the following recommendations basically present a concept which includes all points mentioned above, possible alternatives to individual aspects and potential consequences are also outlined and described.

5.1 Definition of ICI Objectives

As described in Chapter 4, the ICI includes a wide range of topics and, thus, funding options. However, a goal hierarchy and prioritisation of the individual topics as well as a resulting prioritisation for the project selection and the partial appropriation of funds is only partly evident from the funding information.

Medium-term objectives

For this reason, it is recommended to define a cross-departmental objective of the ICI, including indicators, for a medium-term period (5 - 8 years) with the involvement of the management level of the BMU, while separate goals would have to be defined for the appropriated EKF funds.

³³ For this, also refer to the recommendations in 2.3.

Focus on climate policy

In due consideration of the intervention logic, the objectives are supposed to have a stronger, clear focus on climate policies than has been the case to date and reflect the political goals of the Federal Government in the international context. Areas already covered by other instruments or organisations should not be classified as priority. The following questions should have priority:

- What cross-departmental interests does the BMU pursue in terms of climate protection?
- What other political provisions of the Federal Government have to be implemented (e.g. within the context of the Convention on Biological Diversity)?
- Which priority areas (topics) result from this climate policy?
- Which of these interests are to be supported by the ICI in the target countries?
- Which target countries or groups have priority within this context?

Climate policy dialogue

On the basis of this definition of ICI goals, topics, and finally the target countries, the BMU should initiate a deeper direct dialogue on climate policies with the countries in order to agree a strategy for funding projects via the ICI in line with the agreements on international cooperation (Paris, Accra, Busan) and in coordination with the other federal ministries (BMZ, Foreign Office). In this process, the following aspects should be defined:

- Sectors
- Expected funding volume
- Political goals (legislation, regulations, etc.)
- Identification of sectors, in which innovative approaches that are new to the target country can be demonstrated (flagship projects)
- Specific climate goals including indicators (e.g. t CO₂, areas protected, etc.)
- Where applicable, cooperation with other donors

The evaluators are aware of the fact that this proposal means a departure from the previous selection procedure. In the evaluators' opinion, only a clearer positioning and the corresponding limitation and focusing of topics and, possibly, countries will help achieve the greatest possible effect of the ICI with regard to the international climate dialogue.

**Alternatively:
Budgeting**

As alternative to the above mentioned recommendation, it would also be an option to use a percentage distribution of available funds to different BMU departments (budgeting). In this process, sector-specific focal points would be defined and prioritised on the basis of the BMU's climate goals, which would then receive a certain part of the funds according to their priority and be distributed to the respective BMU departments.

However, such a procedure also has clear disadvantages, such as:

- The absolute funds of the ICI (also taking into account additional EKF funds) are very limited compared to the BMZ. To achieve the greatest possible impact, it would be reasonable to focus the funds. This would only be possible to a limited degree in the case of budgeting.
- In case of a fixed distribution to certain departments, the ICI would lose its flexibility for a short-term reaction to new aspects resulting from the international climate dialogue. Particularly this aspect is regarded as an important unique feature.
- Moreover, with a fixed distribution, there would be a risk that the department-specific tasks would become increasingly important in the project selection process, resulting in a reduced weight of the ICI's significance with regard to climate policies (risk of dispersion).
- Due to the great number of departments, enormous human resources would have to be built to meet the requirements of proactive project support and programme steering.
- Finally, such a procedure with a less focused goal orientation could lose acceptance in the critical expert public as well as the partner countries.

Due to the clear disadvantages of this procedure, it is only regarded as a less attractive option by the evaluators.

5.2 Selection Procedure

As described, the ICI entered unknown territory at the international level - at least for the German funding landscape - with its start in 2008, when it established an ideas competition which is open to a broad potential group of tenderers. This broad approach and the ideas generated in this way were perceived as a very positive feature by all sides, be it the implementing agencies or the BMU itself, but also by partner institutions.

On the other hand, this open competition is increasingly limited by many factors and the applied criteria for the final selection of projects become increasingly less transparent for outsiders.

Alternative options for an adapted selection procedure:

To implement the recommended concretisation of the ICI goals described in Chapter 5.1 and counteract the perceived non-transparency described in Chapter 4.3, the selection procedure should be adjusted. Amongst others, the following options would be available:

1. Implementation of a pure ideas competition in conjunction with the development of a stringent evaluation scheme for all selection criteria (point system)
2. Departure from the ideas competition and pure implementation via the federal implementing agencies or, where applicable, other implementing agencies in direct commissioning
3. Combination of direct commissioning and ideas competition

1. Pure ideas competition

Alternative 1 (implementation of a pure ideas competition) would certainly have the advantage that the selection of project ideas would be based on fully standardised and transparent criteria. However, with this procedure it is questionable whether - in light of the limited funds - it is possible to achieve a significant impact of the ICI on climate protection and the international climate dialogue. Another decisive disadvantage is seen in the fact that, with this procedure (even in case of a reduced number of countries) the BMU would only be able to achieve a limited integration of its expectations on climate policies into the design of the projects. For these reasons, this alternative is not recommended.

2. Direct commissioning

Alternative 2 (departure from ideas competition and implementation only via certain institutions) would be very close to the current BMZ procedure. Here, the majority of funds would be implemented via the federal implementing agencies and, additionally, co-financing arrangements would be agreed with certain organisations upon application. Basically, this procedure is feasible, but it is questioned whether the positive unique features of the ICI would be maintained in the long run (refer to Chapter 4.2.2). A preceding policy dialogue between BMU and partner country and a stringent review process could help ensure that the projects are not derived from the interests of the implementing agencies, but with such a procedure, the window for innovative ideas of third parties would be lost, amongst other things. For that reason, this alternative is not endorsed either.

3. Combination with ...

Alternative 3 (combination of direct commissioning by the BMU and ideas competition) would have the advantage that this model would a) help to most easily realise the climate policy and, thus, strategic expectations of the BMU and b) help to generate further supportive measures via target-oriented ideas competitions. Experience has shown that the combination or dovetailing of projects for improved framework conditions in the area of climate protection and specific implementation projects is most successful and is, therefore, recommended for the ICI.

Even though it might not be possible to implement this option in the short term, it is most perfectly in line with the recommendations described in Chapter 5.1 with regard to the objectives of the ICI and is therefore described in more detail below.

... three components:

On the basis of the defined target regions and thematic priorities, a selection procedure of individual projects should take place which is divided into the following three components to which a fixed portion of the annually available funds is allocated. The central idea with regard to the division into three funding components is to meet the political objectives of the BMU without losing the advantages of an ideas competition:

1. Direct commissioning of / approval for federal implementing agencies, international organisations, or third parties
2. Ideas competition for accompanying activities
3. Reserve for ad-hoc activities

The specifically recommended procedures for the individual components are explained below.

Direct commissioning

Relating to 1): Direct commissioning of or approval for certain implementing agencies

For the preparation of individual projects, it is indispensable to define strategies and priority objectives in a joint dialogue between BMU and partner country. To that end, it is regarded as reasonable and necessary to implement this dialogue in coordination with and, where applicable, supplementary to development cooperation and involve the federal implementing agencies in the coordination process in an advisory function because, in many countries, they have a longstanding experience. It is decisive that the dialogue is designed and implemented by the BMU and that qualified institutions are involved in the partner countries.

On the basis of the strategy, individual strategic projects should be defined in cooperation with the partners, which are all supposed to have an impact at the political level beyond the specific project level or include major investment projects which can serve as flagship projects.

Subsequently, the most suitable implementing agencies should be selected in coordination with the partners for the implementation of the projects. These may be the federal implementing agencies as well as other major institutions/organisations with experience and networks in the target country. In case the BMU and partner country do not know a suitable implementing agency, the services would have to be advertised via the partner country subject to the approval by the BMU. Decisive for the final award (be it via commissioning, approval, or tender) is always the submission of a specific bid. The bid should include a detailed description of the implementation concept, with a quantification of the required personnel and other resources for the individual project activities and including information on possibly involved third parties. When reviewing the bid, the BMU has to taken into account both technical and economic aspects. In case the BMU does not have the necessary resources for a review, it is recommended to commission independent evaluators for the review. An additional mandatory precondition for this concept is the commitment of partners or commitment appropriations to comply with the budgetary requirements and, at the same time, ensure the required flexibility.

Consequently, in this component, the ideas competition would be replaced by a targeted programme-oriented project development between BMU and partner country against the backdrop of the political/strategic goals of the ICI.

In the evaluators' view, this part of the ICI programme should receive approx. 50-60% of the annually available funds, which are distributed among the individual partner countries on the basis of the predefined strategy and priorities.

Ideas competition

Relating to 2): Ideas competition for accompanying activities

In order to support the implementation and goal achievement of the strategic projects - which largely target political change - through accompanying specific projects, an ideas competition should be implemented analogous to the previous procedure.

However, this ideas competition should not take place within fixed periods, but rather according to the respective needs and the progress of the strategic projects. To that end, specific country- or subject-related calls for proposals should be implemented so that all other potential implementing agencies (e.g. NGOs, universities, research institutes, private enterprises, etc.) can submit an application. A problem of this concept is the financial management. Therefore, it should be examined whether financial resources could be provided to a downstream institution for this procedure, for instance using the tool of borrowing.

For the selection of project ideas, clear selection criteria should be agreed and published specifically according to the respective call, which should for instance still include the following points in addition to the experience of the implementing agency:

- Innovative character of the project and potential for replication
- Integration into the national strategies
- Transfer of knowhow
- Continuation of the project after project end incl. financial concept

However, it is recommended to define and publish a clear and transparent evaluation scheme (point system) for the criteria mentioned in the specific funding information, according to which the individual proposals are stringently evaluated and selected.

Further, it is recommended to define specific maximum funding rates according to the respective calls. In this way, it is to be ensured that particularly smaller innovative (but potentially also riskier) projects are preferred which could tend to have a great significance. In this process, the project proposals should only compete with other proposals of the same call for proposals.

It is recommended to allocate approx. 20-30% of annual funds to this component.

Ad-hoc activities

Relating to 3): Reserve for ad-hoc activities

To live up to the flexible character of the ICI, the establishment of a third component is recommended.

The objective of this component is to be able to react flexibly to new topics or countries, as soon as the BMU has defined them as priority, in addition to the medium-term plan.

Here, the funds can be directly allocated to certain implementing agencies for certain projects or, alternatively, by means of a separate ideas competition. However, a prerequisite is a prior coordination process within the BMU Steering Committee.

Approximately 10-15% of annual funds should be allocated to this component.

5.3 Project Steering and Support

Project management

As described above, the responsibility for the project management, i.e. the implementation of the measures agreed, should rest exclusively with the implementing agencies³⁴. To that end, the implementing agencies should assume greater responsibility for the achievement of goals than has been the case to date. Therefore, it is recommended to pay even more attention to the following aspects of the technical and financial project or implementation proposal to be submitted by the implementing agency:

- Binding request of quantitative and qualitative indicators for the individual activities
- Breakdown of expenses to individual (packages of) measures
- Binding description of the integration into national policies
- Binding description of the strategy for the continuation of results after project end, incl. a financing plan

Phases or pre-studies

In case of risky projects, the possibility of a phase-based implementation incl. the implementation of feasibility studies should additionally be provided, but only if a more thorough technical / content-related inspection of results is carried out than has been the case to date (e.g. by Programme Office or external evaluators). To that end, it is recommended to explicitly allocate funds in the budget for progress monitoring and evaluations. Finally, feasibility studies should only be carried out if the follow-up financing is secured in case of a positive evaluation (be it by the ICI or through external funds). Within this context, more commitment appropriations should be granted to the ICI.

It is recommended to have the technical / content-related project support implemented

- by the BMU in case of strategic projects, and
- by the Programme Office (or, where reasonable, by the implementing agency of the strategic project) in case of projects financed via components 2 and 3.

Project support

It is a mandatory precondition for this model that corresponding funds are allocated for project support and staff is increased in the BMU departments, which could be achieved through appropriated ICI funds (at least in the short term). Even though, in the administration, this would tie up funds for specific projects - at least in the short term - the evaluators think that this will be offset by the advantages and efficiency gains.

The objective is to ensure that the BMU is able to more effectively fulfil its tasks through its direct integration into the strategic moments of a project initiated by the BMU in coordination with the partner country, its monitoring of the achievement of stated goals, and the use of gained experience for the design of new projects or for the dialogue on climate policy.

Project supervision

Analogous to the tasks of the BMU, the Programme Office assumes responsibility for the supervision of projects funded via the other two components. Here, the tasks should focus more strongly on the technical / con-

³⁴ See definition of the term "project management" in Chapter 4.1

tent-related supervision; again, in order to systematically evaluate the results and experiences. To implement this objective, the Programme Office would also have to be provided with an adequate budget for travels / evaluations, etc. Further, it should be considered whether the tool of (partial) borrowing should be used for the project supervision ensured by the Programme Office in order to avoid existing inefficiencies in the project supervision. In this way, certain decision-making powers would be entrusted to the Programme Office without necessary additional approval by the BMU. This procedure is already being used very successfully in several ministries (e.g. BMELV, BMWi) and is also suitable for the ICI, in the evaluators' opinion.

Monitoring

Hence, the main task of the BMU and Programme Office would be to ensure a continuous project monitoring, to monitor to what extent the results are achieved and, in particular, measure the impacts of the projects (if required, involving third parties) in order to draw conclusions for further projects and for the ICI as a programme. To that end, the BMU should continue to proactively initiate and steer an expert dialogue beyond the project level involving the implementing agencies and partner countries, whose results are in turn used for policy making.

Knowledge management

To that end, it is necessary to develop a comprehensive knowledge management system, enabling both the exchange of know-how between technically similar projects and a flow of information for the strategic goals in a partner country or on a certain topic. This must be taken into account in the budget planning, i.e. respective funds have to be allocated. Ultimately, this also allows for continuous monitoring and evaluations at all levels to be able to monitor the goals at the different levels (topic, country, region, as well as ICI programme as a whole).

In the evaluators' opinion, this knowledge management system should be implemented under the direction of the BMU to ensure continuous input for the further strategic orientation. However, the management of this monitoring and evaluation system could also be outsourced to the Programme Office or maybe even to third parties within the context of an independent ICI project.



Evaluation of the International Climate Initiative (ICI) of the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU)

Annex 1

Methodological Manual of the Evaluation of the International Climate Initiative (ICI)

(Version 2013-03-14)

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ABBREVIATIONS

| | |
|----------|--|
| AA | Auswärtiges Amt (Foreign Office) |
| BMU | Bundesministerium für Umwelt, Naturschutz und Reaktorsicherheit (Federal Ministry for the Environment, Nature Conservation and Nuclear Safety) |
| BMZ | Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (Federal Ministry for Economic Cooperation and Development) |
| DAS | Deutsche Anpassungsstrategie (German Adaptation Strategy) |
| DeGeEval | Deutsche Gesellschaft für Evaluation (German Evaluation Society) |
| DO | Durchführungsorganisation (implementing agency) |
| EE | Energy Efficiency |
| EIA | Environmental Impact Assessment |
| EQ | Evaluation Question |
| EU | European Union |
| FAO | Food and Agriculture Organization |
| GHG | Greenhouse Gas |
| GIZ | Gesellschaft für Internationale Zusammenarbeit (German Agency for International Cooperation) |
| GQ | Guiding question |
| ICI | International Climate Initiative |
| KfW | Kreditanstalt für Wiederaufbau (German Reconstruction Credit Institute) |
| M&E | Monitoring & Evaluation |
| OECD-DAC | Organisation for Economic Co-operation and Development – Development Assistance Committee |
| PAG | Projektbegleitende Arbeitsgruppe (project-supporting task force) |
| PB | Projektbüro (Project Office) |
| RE | Renewable Energies |
| REDD | Reducing Emissions from Deforestation and Degradation |
| UBA | Umweltbundesamt (Environment Agency Germany) |
| UNDP | United Nations Development Programme |
| UNFCCC | United Nations Framework Convention on Climate Change |

1 OBJECTIVES & DEVELOPMENT OF THE METHODOLOGICAL MANUAL

External evaluation of the ICI

In October 2010, the Environment Agency Germany (UBA) on behalf of the BMU commissioned an external performance review of the funded individual projects of the International Climate Initiative (ICI) of the Federal Ministry for the Environment (BMU) and the overall programme. The objective of this external evaluation was a comprehensive performance review for measuring and evaluating results and impacts. The performance review took place in several stages – individual project, cluster, and overall programme. Moreover, it serves as accountability document. Since the evaluation was performed while the programme was ongoing, it was designed in such a way that the aspect of learning for improving the future orientation of the programme was a special priority.

Objective of the methodological manual

The present methodological manual is the result of the development of the methodology by the contractor in close cooperation with the contracting authority, the project-supporting task force (PAG), and the independent peer reviewer. It has been continuously further developed and adjusted since the initial phase of the ICI evaluation. The objective of the method paper is the description of the evaluation methodology and the implementation steps for all steps of the evaluation.

Development process

In the course of the evaluation, the method paper was continuously further developed into the present **final methodological manual**. The development process of the methodological manual can be summarised as follows:

- First, the methodological approach was developed within the framework of a methods workshop of the contractor and a **first draft** of a methodology overview was presented.
- In several rounds, the draft was commented on by the contracting authority, the PAG, and the independent peer reviewer and revised accordingly by the contractor. Simultaneously, this phase served particularly the specification of the methodology for the individual project evaluation.
- After approval of the overall methodology and the instruments for the individual project evaluation, a **test evaluation** was carried out on the basis of selected projects. The results were discussed with the peer reviewer; experience gained was included and presented in a further PAG meeting. Subsequently, the contractor drew up comprehensive training material and templates for the individual project evaluators.
- In the course of the individual project evaluations, individual further adaptations of the instruments and particularly the report format were made, which were coordinated with the contracting authority and included in the methodological manual.

- For the **cluster evaluation**, it was particularly the guiding questions and report formats which were again specified prior to this evaluation step on the basis of experience gained and the results of the individual project evaluations, and were coordinated and adjusted in cooperation with the PAG and the peer reviewer.
- The methodology for the **programme evaluation** was also extended and harmonised again before the start of the final evaluation step. The group of interviewees was defined and specific instruments for each group were developed.

2 COOPERATION WITH THE CONTRACTING AUTHORITY

Coordination with the contracting authority

Especially this project attributed a lot of importance to the continuous coordination and the transparent, proactive communication with the contracting authority. In our understanding, this was necessary since the evaluation was performed while the programme was ongoing and was supposed to result in recommendations for the programme's strategic further development.

Coordination loops were mainly important for the following aspects:

Table 1: Coordination with Contracting Authority during Preparations

| ASPECT | Degree of coordination |
|--|--|
| Planning of PAG meetings and workshops | Involvement of contracting authority desirable |
| Selection of evaluators for projects with participation of GFA | Approval of contracting authority required |
| Providing implementing agencies and project partners with information on on-site evaluations | Involvement of contracting authority required |
| Selection of evaluators for the overall evaluation | Involvement of contracting authority desirable |
| Selection of interviewees for the programme evaluation | Involvement of contracting authority required |
| Adaptation of overall planning | Approval of contracting authority required |
| Consideration of new developments in the programme | Involvement of contracting authority desirable |

Provision of information by the contracting authority

In the course of the coordination and planning processes, it was of utmost importance that the contracting authority provided the contractor with all available, evaluation-relevant information. This included the following:

- Contact details and contact persons of the respective implementing agencies on the ground, the partners and the immediately involved political authorities, as well as contact persons for the programme evaluation;
- Project application and reports on the project or drawn up by the project, as well as further documents which the Programme Office received in the course of the project implementation and which were relevant to the evaluation.

The contracting authority assumed responsibility for ensuring contributions of the implementing agencies, the employees of the PB and the BMU.

3 OVERVIEW: ICI PROGRAMME AND PROJECTS

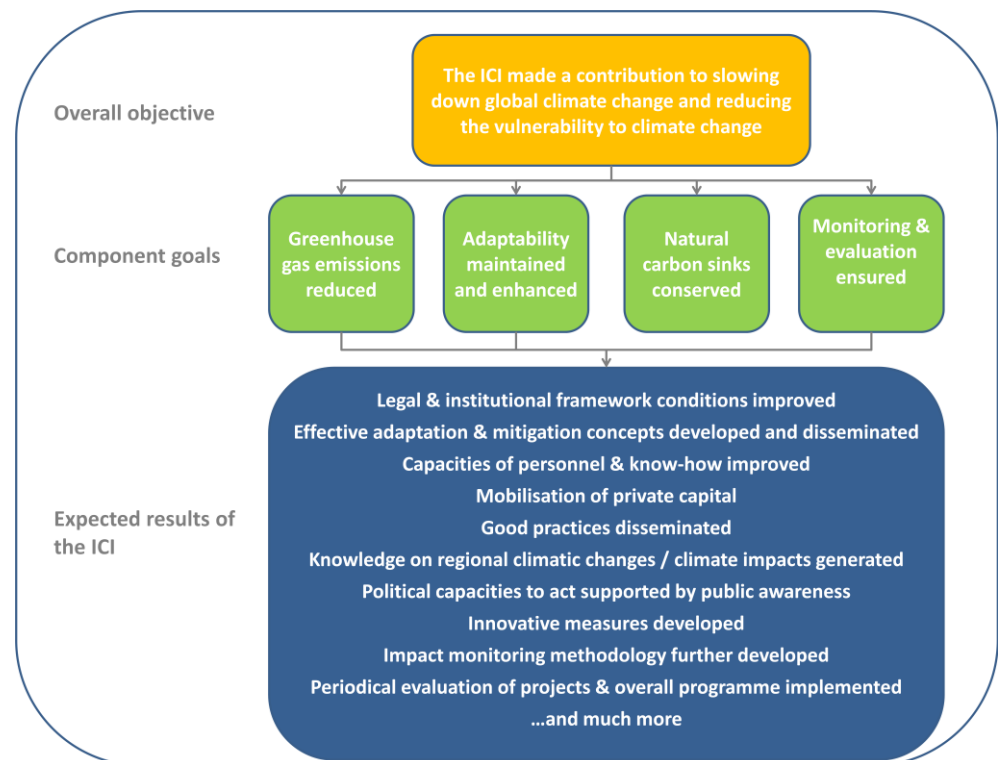
3.1 Intervention Logic of the Programme

For the evaluation of the relevance, results, and impacts, the objectives of the ICI were used as basis of assessment. Since a congruent target system had not yet been formulated in 2008, the illustration of a target system was derived from the funding information available at the start of the individual project evaluation. It served as guiding framework for the evaluation. Here, it was taken into account that the ICI has significantly developed and focused its objectives and criteria in the programme years since 2008.

Target system of the ICI

The ICI as overall programme can be visualised as shown in Figure 1. The illustration is based upon the GFA's understanding of the objectives and results of the ICI as planned by the BMU.

Figure 1: ICI Programme: Target System and Results



Source: Own representation by GFA, 2012

3.2 Evaluable Projects

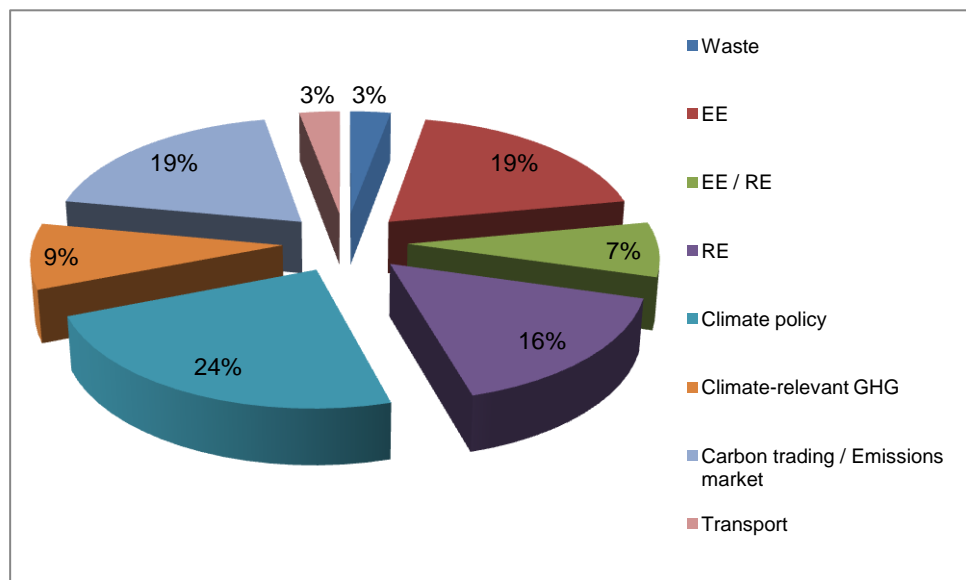
Overview of project portfolio

Evaluable were all projects approved as of 2008 and ending in 2011 at the latest. This included 115 projects for which a final evaluation (± 6 months before project end) or an ex post evaluation was possible. In the evaluation period and currently, the ICI includes projects with different thematic and geographical priorities, different types, volumes, and different project periods. The analysis of the portfolio – based on the overview of evaluable projects in the evaluation period – results in the following picture:

Thematic focus

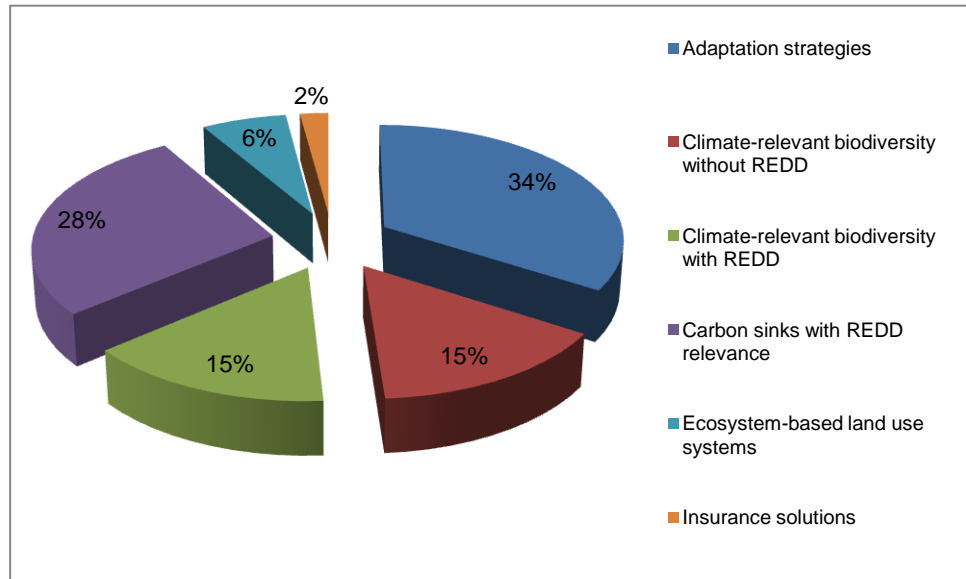
Thematic focus of the projects: Out of the 115 evaluable projects, 68 (59%) were assigned to field of action I (climate-friendly economy), and thus to the avoidance of climate change (mitigation). 47 projects (41%) were thus part of field of action II (adaptation to the consequences of climate change) and III (conservation and sustainable use of natural carbon sinks / REDD). Due to the unclear distinction between fields II and III, they are considered together below. The more detailed thematic focus is shown in Figure 2 and Figure 3.

Figure 2: Thematic Focus – Field I



Source: Own representation on the basis of BMU project lists (percentages refer to the number of projects, not the funding volume)

Figure 3: Thematic Focus – Fields II & III

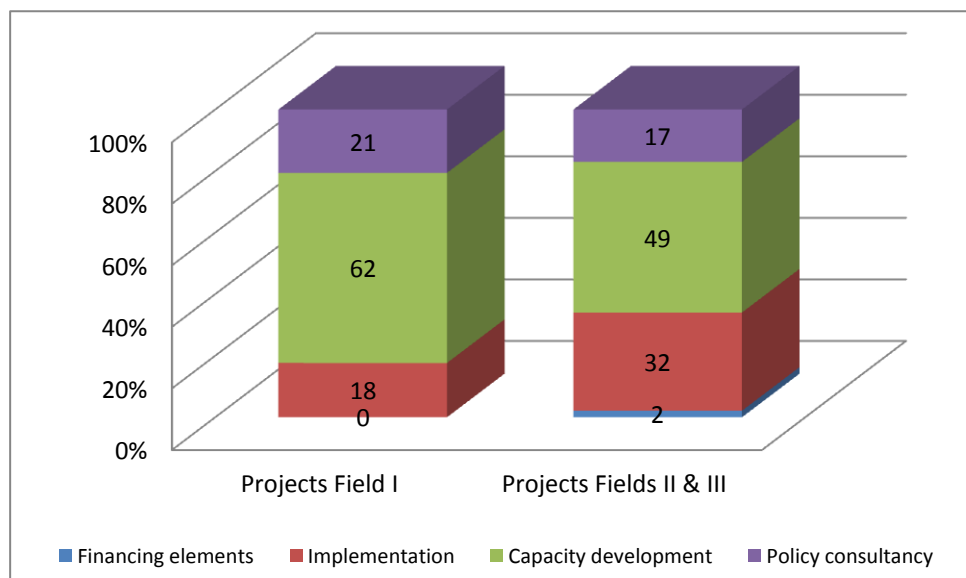


Source: Own representation on the basis of BMU project lists (percentages refer to the number of projects, not the funding volume)

Methodological focus

With regard to the methodology, four project types were distinguished: capacity development, implementation, policy consultancy, and financing instruments. On the whole, clearly more than half of the projects focused on capacity development activities for climate protection & adaptation (57%). Investment projects (implementation, 23%) and policy consultancy projects (19%) ranked second and third. Only 1% of the projects addressed financing instruments. Figure 4 shows the distribution by fields of action.

Figure 4: Methodological Focus – Fields I, II & III

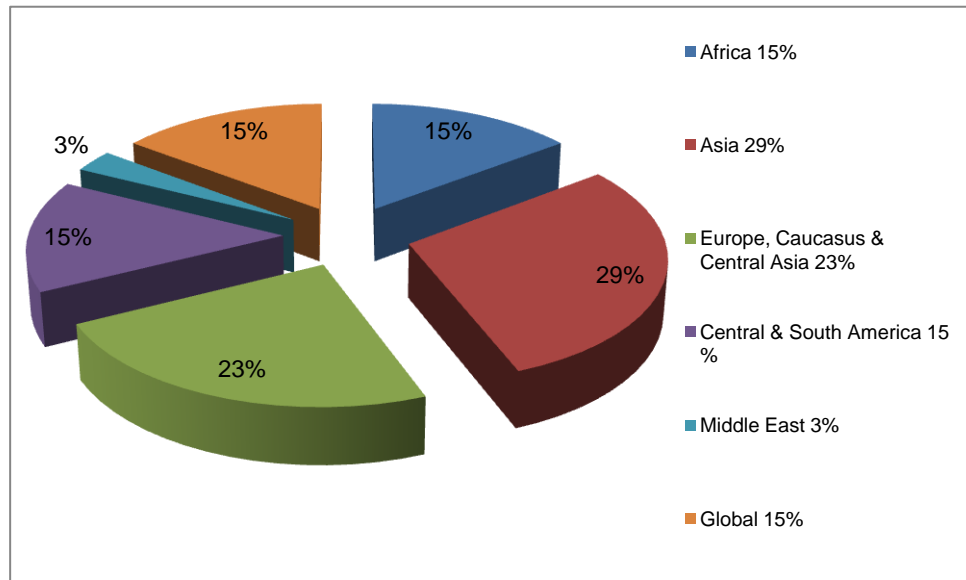


Source: Own representation on the basis of BMU project lists (percentages refer to the number of projects, not the funding volume)

Geographical distribution

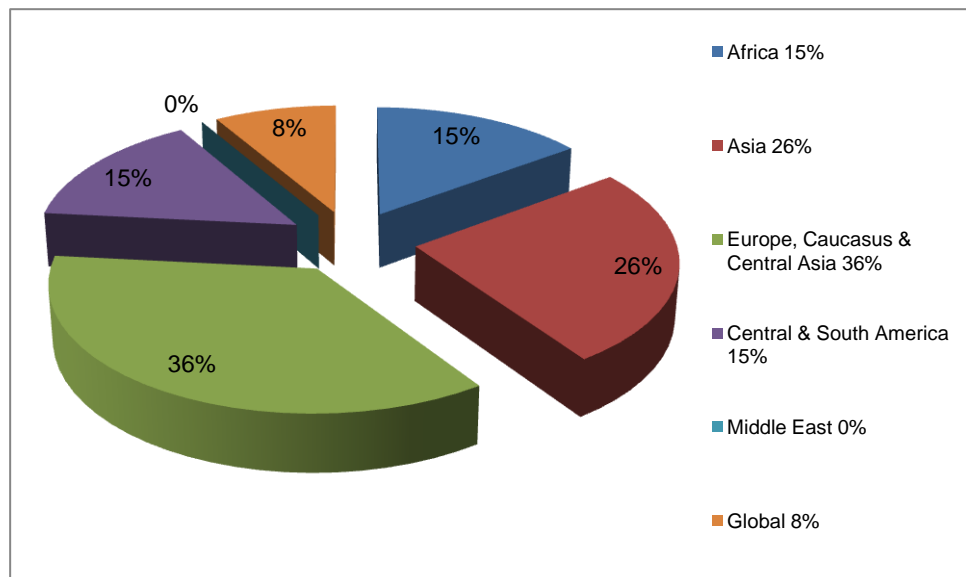
Geographical distribution of the projects: At that time, the geographical focus was on the region Europe, Caucasus, and Central Asia as well as Asia. Africa and Central and South America were represented with 14-15% respectively in the portfolio. Figures 5 and 6 show the geographical distribution of the ICI projects by fields of action.

Figure 5: Geographical Distribution – Field I



Source: Own representation on the basis of BMU project lists (percentages refer to the number of projects, not the funding volume)

Figure 6: Geographical Distribution – Fields II & III



Source: Own representation on the basis of BMU project lists (percentages refer to the number of projects, not the funding volume)

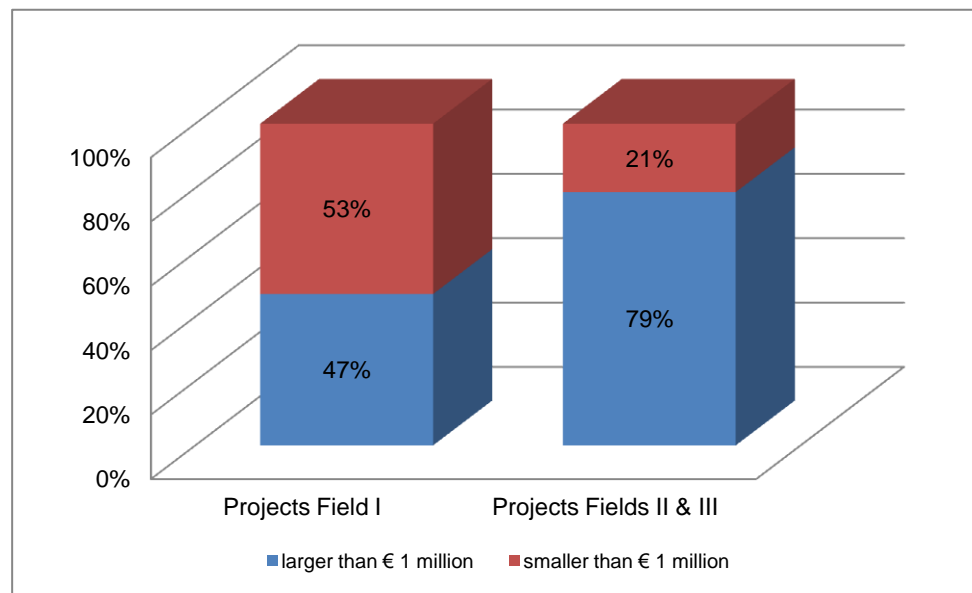
Project period

Project periods: The mean project period of the individual projects was two years. In the field "climate-friendly economy", it was significantly shorter (1.7 years) than in the field of adaptation and biodiversity, where the mean was 2.1 years. 34% of the projects had a period of less than two years.

Financial volume

Financial volume of the projects: 70 (61%) of the evaluable projects had a financial volume of more than EUR 1 million. Divided into the different fields of action, the distribution is as follows:

Figure 7: Financial Volume of the ICI Projects

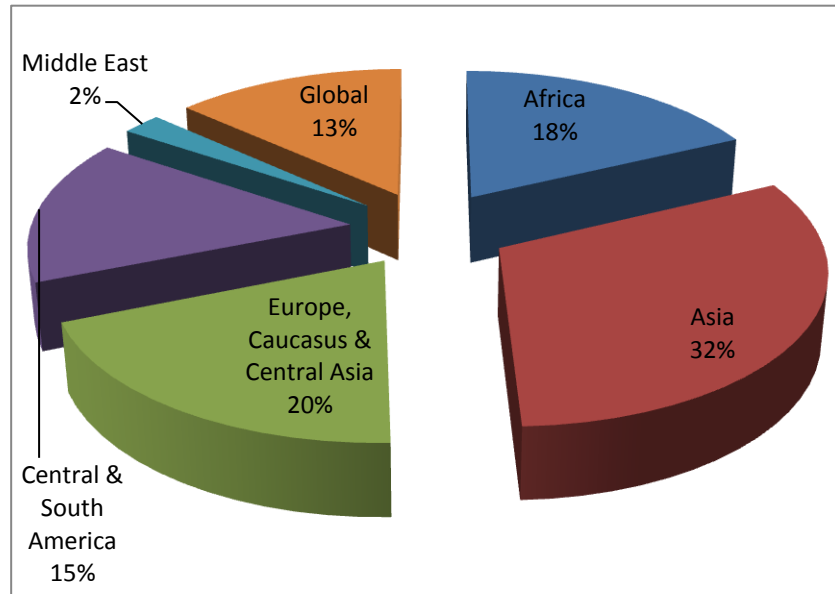


Source: Own representation on the basis of BMU project lists

As can be seen, projects with larger financial volumes prevail in fields II and III. In a certain way, the financing volume correlates with the longer project periods required for adaptation, carbon sink, and biodiversity projects.

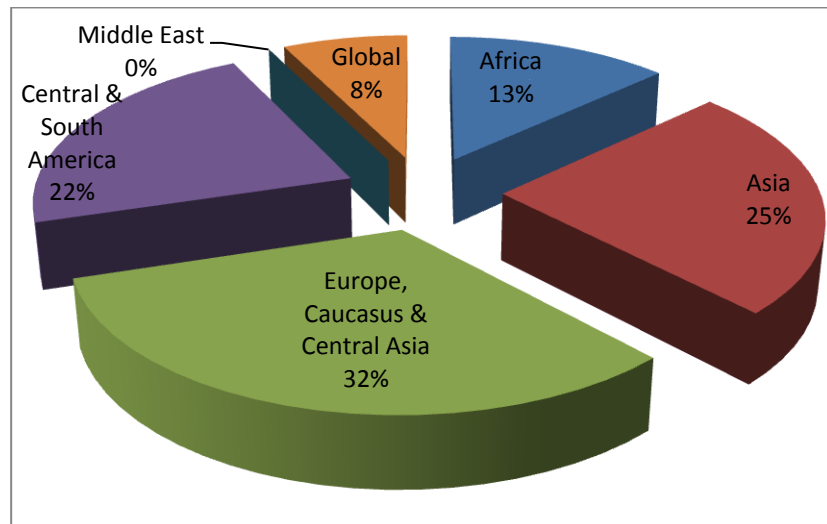
Geographical distribution of funds: Figures 8 and 9 show the geographical distribution of the ICI funds by field of action. The funds from field of action I (total funds of the 68 projects: € 96,273,446) were mainly used in the project region Asia (32%), followed by Europe, Caucasus, and Central Asia (20%). This trend was similarly strong in fields of action II & III (€ 89,894,394), where Europe, Caucasus, and Central Asia (32%) and Asia (25%) rank first and second, followed by Central and South America (22%).

Figure 8: Geographical Distribution of Funds – Field I



Source: Own representation on the basis of BMU project lists

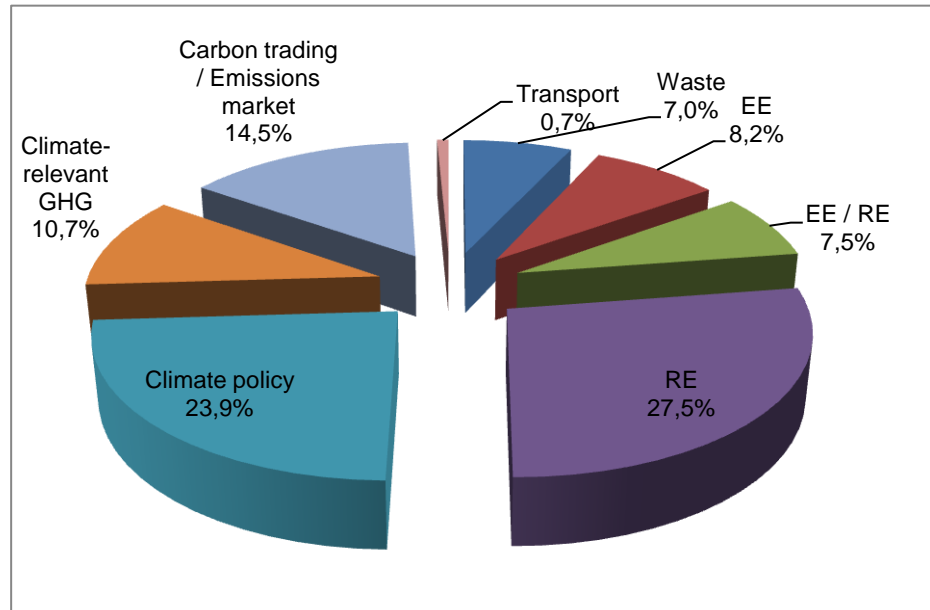
Figure 9: Geographical Distribution of Funds – Fields II&III



Source: Own representation on the basis of BMU project lists

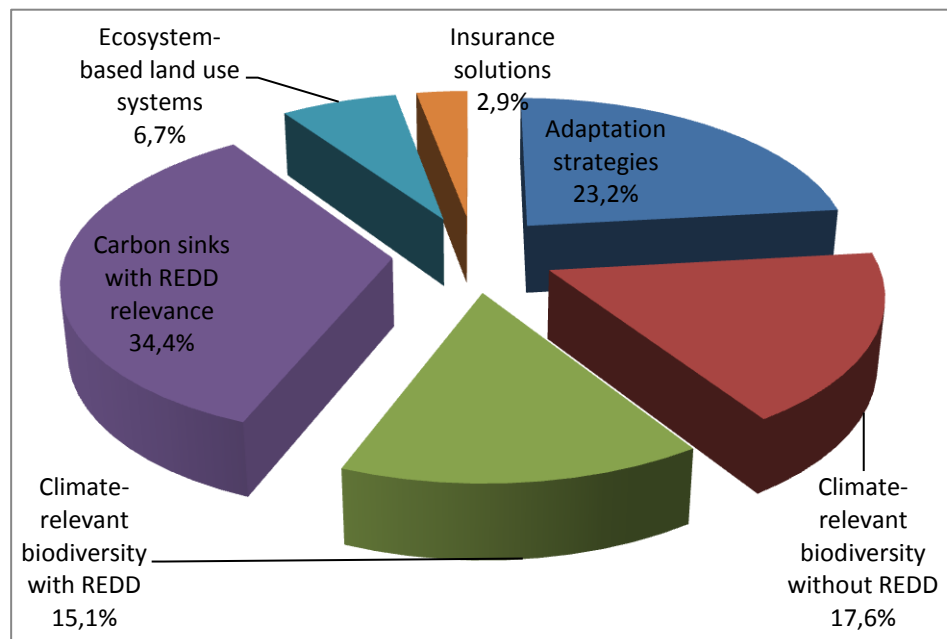
Thematic distribution of funds: Figures 10 and 11 show the thematic distribution of the ICI funds. The "renewable energies" area prevails in field I. More than 27% of the funds invested in field I were used for this area. In fields of action II & III, the areas "carbon sinks with REDD relevance" (34.4%) and "adaptation strategies" (23%) were those with the greatest share in the total financial volume.

Figure 10: Thematic Distribution of Funds – Field I



Source: Own representation on the basis of BMU project lists

Figure 11: Thematic Distribution of Funds – Fields II&III

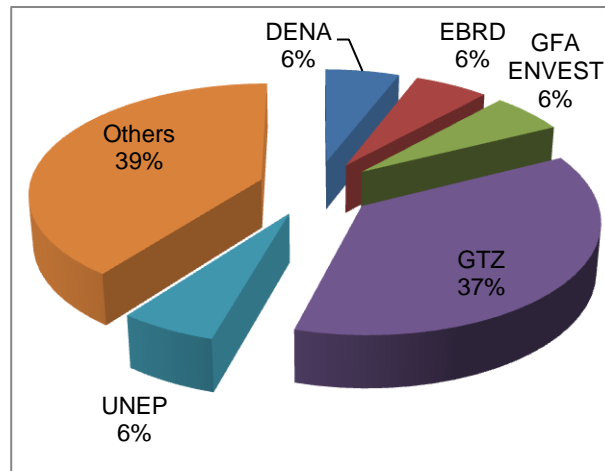


Source: Own representation on the basis of UBA/BMU project lists

Implementing agencies

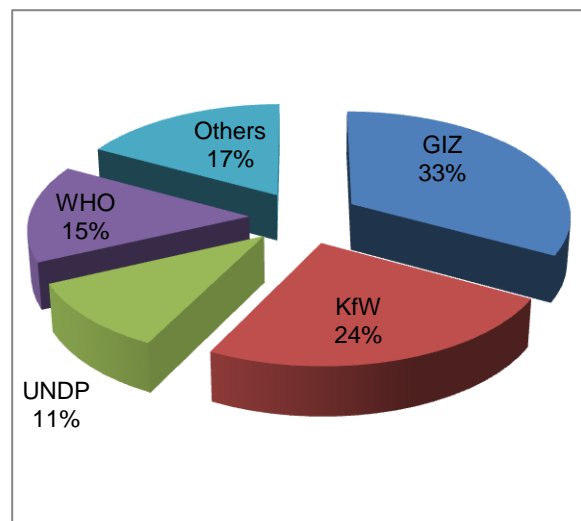
Many different organisations were commissioned with the implementation of ICI projects. The 68 evaluable projects in field I were implemented by 30 organisations, with the (now) GIZ implementing a share of 37% of all projects. In field II & III, 11 organisations were commissioned with the implementation of the 47 evaluable projects. Here, the GIZ (32%) and KfW (23%) had the greatest share. Figures 12 and 13 show the percentage distribution.

Figure 12: Implementing Agencies – Field I



Source: Own representation on the basis of BMU project lists (The category "Others" includes 25 organisations¹ which implement a total of 27 projects.)

Figure 13: Implementing Agencies – Fields II & III



Source: Own representation on the basis of BMU project lists (The category "Others" includes 8 organisations² which implement a total of 9 projects.)

¹ Adelphi Consult GmbH, atmosfair, AWN, Camp, DED, Delegation of the German Industry, DIW econ, DW Television, Forum Environment & Development, Fraunhofer Institute, FSFM, IfAS, IÖV, InWent, KfW, Korolev, LIFE, UNWTO, The Gold Standard Foundation, Wuppertal Institute, Solar Institute Jülich, Women in Europe for a Common Future, SOLARLITE, E3G, RENAC AG

² CBD Secretariat, Deaconry EKD, GFA Envest, PIK, Nature Conservance, UBA, UNESCO

4 METHODOLOGY DEVELOPMENT

4.1 Technical Foundations

The examination and completion of the methodology development was part of the evaluation work to be carried out by the contractor. The following documents were the basis for the methodology development tasks:

- Terms of Reference of the contracting authority of 2010-06-15
- Draft Paper on the Development of an Evaluation Concept for the ICI (UBA, 2010-02-16)
- Quotation of the contractor of 2010-08-02
- Summary minutes of the kick-off discussion (2010-11-09)
- Summary minutes of the discussions of the project-supporting task force (PAG, 2011-02-10 and 2011-05-13)

In this process, two main aspects of methodology development had to be distinguished:

- the methodology of the evaluation in general, and
- the methodology for measuring and assessing climate-relevant impacts on the basis of corresponding indicators in particular.

Conceptual framework for evaluations

The development of the conceptual framework for the evaluation methodology was guided by general as well as technical international and national standards and good practices for evaluations. Within the context of the evaluation of the ICI projects, the following framework seemed particularly suitable for projects of international cooperation since it fully guarantees the application of state-of-the-art approaches.

General standards

The foundation for the general standards were:

- OECD/DAC criteria (1991): The five OECD/DAC criteria³ for the evaluation of projects and programmes are indicative for evaluations. They have long been field-proven and are subject to continuous revision. Supplements are continuously being added. Organisations of German development cooperation (GIZ, KfW, Welthungerhilfe, etc.) as well as international organisations comply with them. The criteria are applied beyond the context of development cooperation.
- OECD/DAC Evaluation Quality Standards (2006/2010): The OECD/DAC Evaluation Quality Standards mainly refer to the process and the product of an evaluation. They are very helpful when logically thinking through an evaluation and were/are thus also relevant to the ICI. The quality standards were officially approved by the DAC Network on Development Evaluation after an extensive 3-year test phase.

³ Relevance, Effectiveness, Efficiency, Impact, Sustainability

- BMZ (2006): The "Evaluation Criteria for German Bilateral Development Cooperation" adopted by the Federal Ministry for Economic Cooperation (BMZ) are regarded as guidelines for evaluations and performance reviews of the BMZ and the German implementing agencies. We considered the applicable evaluation scheme to be transparent and easily applicable. In particular, this ensures the comparability of the methodological framework of the ICI evaluation with other projects of the most important implementing agencies (GIZ and KfW).
- DeGEval (2008): The paper of the German Evaluation Society on sector-independent, national "Standards for Evaluation" (usefulness, feasibility, fairness, preciseness) was used as additional guideline for developing the methodology. Moreover, the evaluation principles as stipulated in "Transparency, Information Flow and Follow-Up of Evaluation Processes in Development Cooperation" (DeGEval) are an integral part of the evaluation concept.

Technical standards

The considered technical standards for measuring and assessing climate-relevant impacts take into account the results of the following essential publications:

- UBA/BMU studies: The results of relevant studies commissioned by the UBA/BMU were taken into account (as far as possible). This includes, amongst others, the UFOPLAN study (2004) "Compilation and Evaluation of Suitable Criteria, Indicators, EIA, and the Like for the Necessary Consideration of Aspects of Biodiversity in Climate Protection Measures, Particularly in Case of Land Use Changes", the study on the "Development of an Indicator Concept for the German Adaptation Strategy (DAS)" (2010), and the study "Further Development of the Project-Based Mechanisms in a Post-2012 Regime" implemented by the Wuppertal Institute (2009, BMU-funded).
- Studies in the area of adaptation: The publication of the GEF "Background and Elements for a GEF Monitoring and Evaluation Framework on Adaptation" (2008) includes both state-of-the-art approaches for M&E systems in the area of adaptation and a description of problems in the development of such systems. In addition, the UNDP's "M&E Framework for Adaptation to Climate Change" (2007) includes a list of indicators in the area of adaptation. Both papers were used as background information for the present methodology.⁴

However, it must be taken into account that, currently, there are no universally accepted evaluation standards for the area of adaptation. Even though approaches exist, the complexity and multisectorality of climate change adaptation activities makes it almost impossible to define methods and standards which are equally applicable to all project types and sectors. Therefore, this ICI evaluation also

⁴ Often, documents such as „Guiding principles for adaptation to climate change in Europe" (Eionet, 2008) or existing publications of the European Environment Agency are at a macro level and often little helpful for project or programme evaluations. Often, the target is to monitor adaptation measures at the national level and establish a corresponding monitoring system.

makes a contribution to reviewing and testing methodological approaches going beyond the narrow framework of the actual evaluation.

- Studies in the area of mitigation: Amongst others, the relevant publications of the Institute for Global Environmental Strategies (2010) were considered, particularly the study "CDM Emission Reductions Calculation"⁵, the UNFCCC tools for calculating grid emission factors (2009)⁶, as well as the FAO's publication "State of the World's Forests" (2009)⁷ and average carbon stocks of the country (FAO, 2010). The "Guideline for the Examination and Consideration of Environmental and Climate Aspects in Bilateral Official Development Cooperation" (GIZ, 2010) was also helpful in this regard.

Measuring climate-relevant impacts

In the mitigation context, it had to be considered that the measurements of climate-relevant impacts vary in the different sectors (e.g. renewable energies, energy efficiency, REDD+). Each of these sectors requires a specific approach for quantifying climate impacts. Where no measured data was available in the project documents, the above-mentioned standards or comparative data were used to at least check the plausibility of expected impacts. On the basis of this approach, comparable climate-relevant mitigation impacts could be quantified. On the other hand, it was also obvious that, due to the relatively short project periods, only very few projects would result in actual climate-relevant impacts. In most cases, the projects focus on planned impacts which will only be realised after the end of the project period.

Consideration of ICI specifics

Apart from these general and technical sources, the contractor also included own considerations on the basis of long-standing evaluation experience in order to meet the special requirements of the ICI evaluation. They will be explained in particular within the context of the methodology of the individual project evaluations.⁸

On the whole, it must be considered that the individual project evaluation exclusively addressed projects which were either already finished (*ex post* evaluation) or whose eligibility period was almost over. One basic challenge of *ex post* evaluations is the fact that they are based on the standards and objectives valid at the time of project design and commissioning, instead of on new insights and further developments. However, since this is not possible or reasonable in all cases, *ex post* evaluations require a particular instinct in this regard as well as a sensitive grasp of how projects responded to changes. This was a major focus during the evaluation.

⁵ See: http://www.iges.or.jp/en/cdm/report_ers.html

⁶ See CDM EB39, Annex 7: Tool to calculate baseline, project and/or leakage emissions from electricity consumption, as well as CDM EB28, Annex 24. http://cdm.unfccc.int/methodologies/PAmethodologies/tools/am-tool-07-v2.pdf/history_view

⁷ See FAO, 2010, State of the World Forests, 2009, Annex 3, page 116f, <http://www.fao.org/docrep/011/i0350e/i0350e00.htm>

⁸ For the further development of the OECD-DAC criteria, see Chapter 4.2.1; for the self-evaluation table, see Chapter 4.2.3; and for the illustration of the evaluation results in the spider diagram, see Chapter 4.2.4.

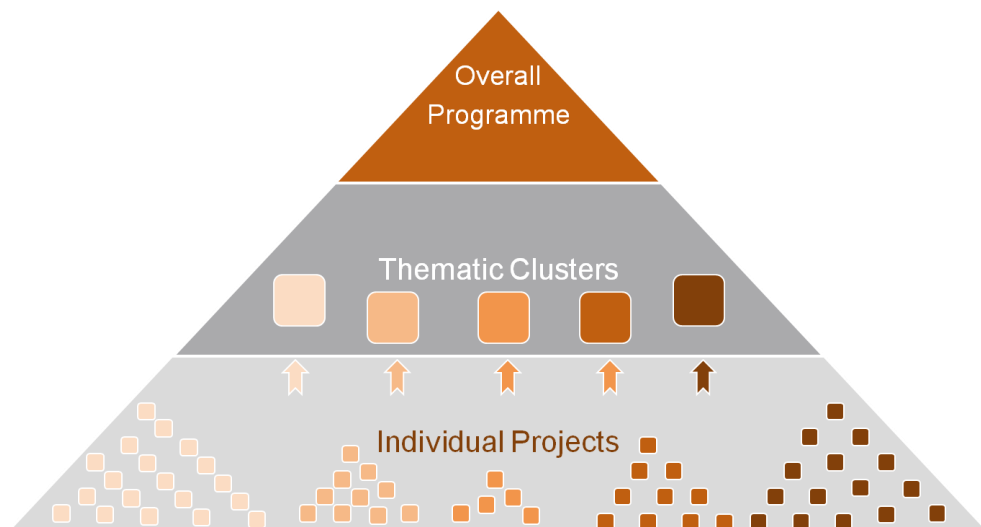
4.2 Evaluation Concept

Levels of evaluation

The evaluation of the ICI included the individual projects funded within the context of the ICI as well as (thematic) clusters and the overall programme level. Thus, the evaluation was performed sequentially on three levels (see Figure 14). The evaluation concept included the following:

1. Evaluation of all 115 individual projects
2. Synthesis of the results of the individual project evaluations according to thematic clusters (a sixth cluster was added in the course of the evaluation due to the topicality of the subject matter).
3. Analysis of the programme on the basis of the results of the individual project evaluations and cluster evaluation as well as numerous other elements (see Chapter "Programme Analysis").

Figure 14: Levels of the ICI Evaluation (schematic representation)



5 METHODOLOGY OF INDIVIDUAL PROJECT EVALUATION

Methodological challenge

The particular challenge in the development of the methodology for the evaluation of 115 very different individual projects was:

- meeting **universal standards** of evaluation practice for international projects;
- enabling a **comparative qualitative and quantitative evaluation** of very different project approaches, particularly with regard to their climate impacts; and
- establishing a basis for a comprehensive **evaluation of learning experiences** for the ICI as a whole.

This challenge was addressed as described below.

5.1 Approach

6 phases of the individual evaluation

6 phases were planned for the implementation of the evaluation of 115 individual projects:

1. Inspection of the 115 projects on the basis of the project lists provided by the contracting authority
2. Development of evaluation instruments in coordination with the contracting authority: evaluation criteria, guiding questions and indicators, standardised evaluation scheme, self-evaluation table, report template
3. Distribution of projects to be evaluated to the evaluators
4. Development of training material and implementation of trainings for the evaluators
5. Implementation of individual project evaluation (desk and on-site evaluations) with subsequent quality control
6. Dispatch of individual evaluation reports to the contracting authority and, if required, inclusion of annotations

5.2 Selection & Training of Evaluators

Reasonable – many evaluations with few evaluators

In spite of a largely standardised evaluation scheme, it seemed reasonable to commission a possibly small number of evaluators with as many evaluations as possible. Hence, it was possible to limit the risk of undesired variances in the evaluation of the projects.

As is customary in the international consultancy business, two selection criteria to be specified were used for the selection of the evaluators – general competence and specific competence.

- General competence
 - Methodological competence in the area of evaluations
 - General work experience (years)
 - Work experience in the environment/climate protection area (years)

- Specific competence for the individual project
 - Technical competence
 - Regional experience
 - Linguistic competence

Training of evaluators central

The selected evaluators were extensively instructed and trained with regard to the evaluation methodology. Both were implemented by the members of the evaluation committee in order to guarantee a direct transfer of information from the "basis". A training of trainers was not planned. The training was almost exclusively implemented as group training in Hamburg, Germany. In individual cases, instructions were provided over the phone and relevant documents were consigned beforehand.

In addition to the ex ante introduction, the contractor also demanded an ex post feedback on the evaluation report. The contractor ensured that each expert involved received a corresponding introduction as well as the "Manual for Evaluators"⁹ and all required documents in time.

Evaluation committee ensures quality

The evaluation committee was available to support the evaluators in methodological issues. All evaluation reports were counter-checked and annotated by the evaluation committee and, if required, returned to the evaluators for improvements in order to guarantee the comparability of results and the quality of the reports.

Projects with participation of GFA

A special case in the selection of the evaluators were the projects where GFA was involved in the implementation (both ENVEST and Consulting Group - see Annex 1). In this case, the projects were evaluated with the involvement of the contracting authority via external evaluators. They were selected and commissioned by GFA in coordination with the contracting authority. Here, the evaluation report and the individual project evaluation were reviewed separately by the contracting authority. Only then were the evaluation results included in further synthesis reports.

5.3 Instruments

5.3.1 Evaluation criteria

Evaluation criteria

The individual project evaluation was implemented on the basis of the 5 OECD/DAC evaluation criteria accepted as universal standard (relevance, effectiveness, efficiency, sustainability, impact), supplemented by two criteria usually applied in development cooperation, namely "coherence & coordination" and "planning & steering". The criteria were added because the objective of the evaluation went beyond the assessment of the project and programme level and included "learning for internal strategy formulation". The objective of the OECD/DAC criteria is to identify and describe impacts of projects at the different levels. The analysis of the causes of different impacts and additional target criteria are no priority in this process.

⁹ Short version of the Methodological Manual including explanations of all evaluation instruments

**Criterion 6:
Coherence and
coordination**

- Criterion 6 "Coherence and Coordination"¹⁰ is, amongst others, applied by the EU and the BMZ and examines the question, to what extent are activities coordinated and, thus, complementary with other bilateral and multilateral donors as well as other departments? This question also seems reasonable for the ICI evaluation since the ICI projects are frequently related to other programmes (particularly in case of the implementing agencies of German development cooperation).

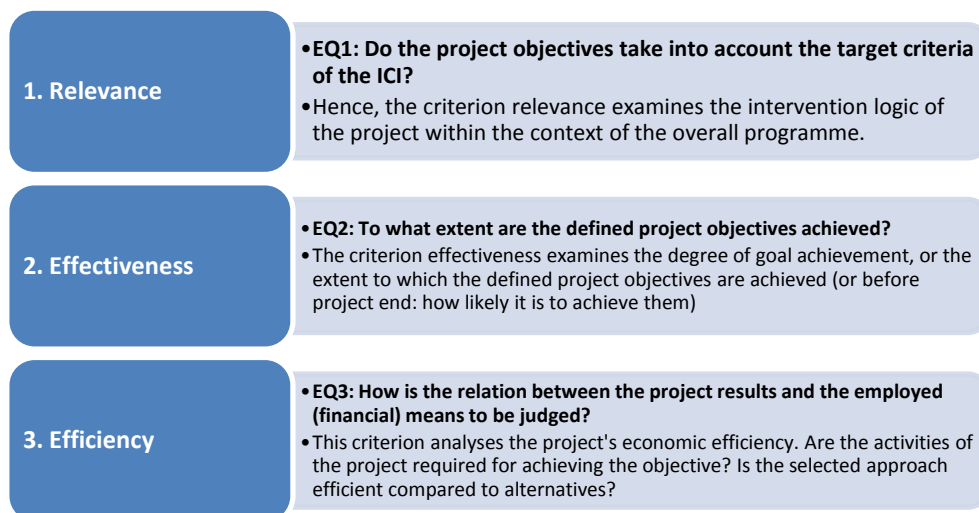
**Criterion 7:
Planning and
steering**

- Additionally, the criterion "Planning and Steering" is usually significant for analysing the project success. The planning, including the underlying concept (intervention logic), is the basis for the project implementation and, accordingly, for the project steering and ultimately determines to a large extent to what degree the objectives of the ICI projects can be achieved. It can be decisive with regard to the success or failure of a project. Therefore, it should be analysed and assessed in each individual evaluation. The planning and steering is analysed at the level of each individual project. In particular, the aspects quality of planning, adequacy of process operations, and steering of the project cycle are taken into account. The analysis of project results and impacts can then build upon this basis.

**Evaluation ques-
tions**

For easier orientation, a wider evaluation question was formulated for each evaluation criterion, which was to be answered for evaluation purposes. The figure below shows an overview of general criteria and questions.

Figure 15: Seven Evaluation Criteria and Evaluation Questions



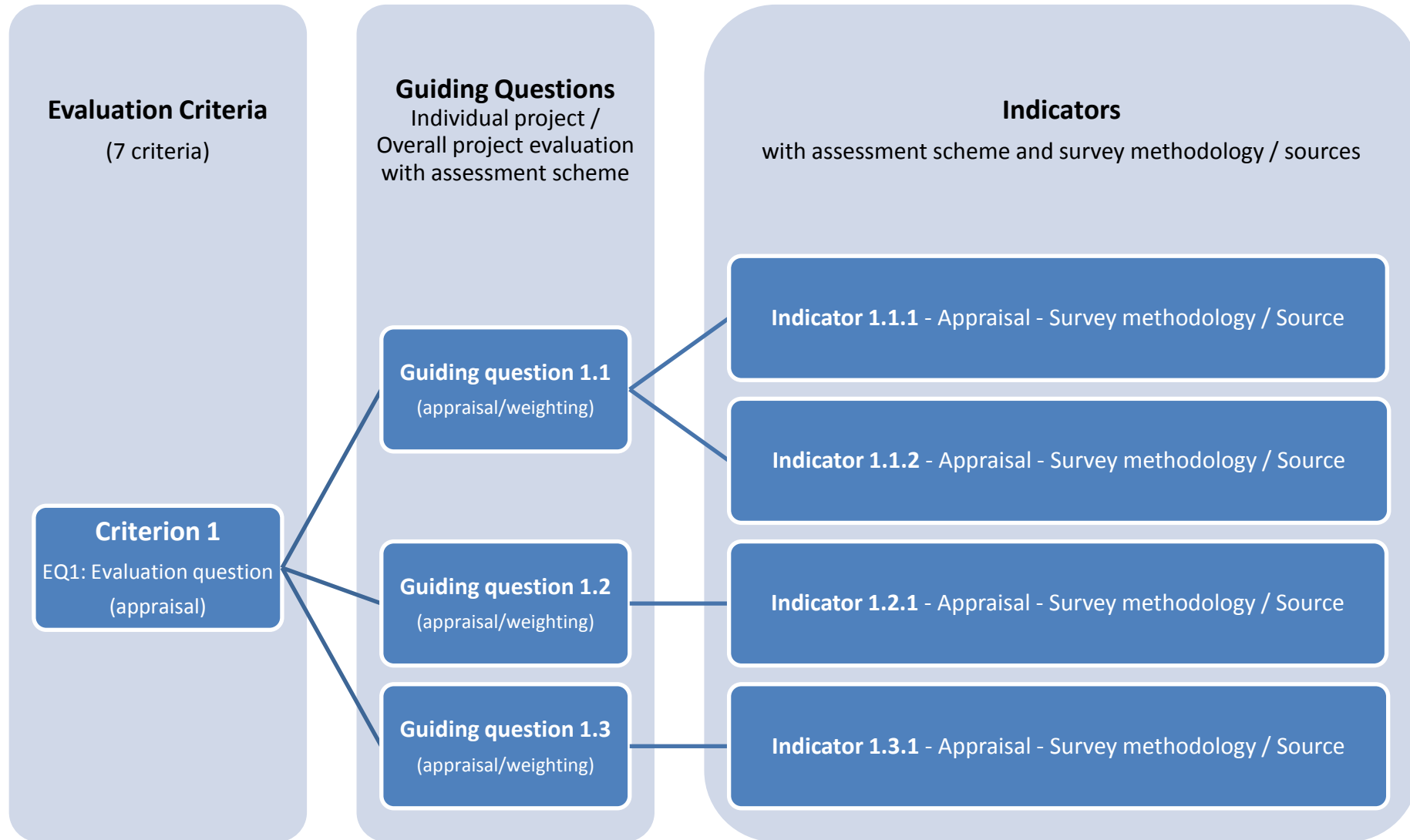
¹⁰ However, we would like to limit the criterion "Coherence, Complementarity, and Coordination" mentioned in the UBA concept paper to "Coherence and Coordination". The term "complementarity" is usually applied to intra-community complementarity within the framework of the EU and, thus, already has a connotation. To avoid confusion, the expression is not used in the designation of the criterion.

| | |
|---|---|
| <p>4. Impact</p> | <ul style="list-style-type: none"> • EQ4: Does the project contribute to achieving wider climate impacts? • Wider objectives are climate-relevant impacts (contribution to climate protection and the adaptation to climate change) going beyond the achievement of the direct project goals |
| <p>5. Sustainability</p> | <ul style="list-style-type: none"> • EQ5: Are the positive impacts sustainable? • This criterion assesses the sustainability of the project impacts and the further use of the contributions by the sponsors/partners after the end of the project period |
| <p>6. Coherence and coordination</p> | <ul style="list-style-type: none"> • EQ6: Is the project complementary to the activities of other donors? • This criterion refers to the coordination with other bilateral and multilateral donors as well as other federal departments |
| <p>7. Planning and steering</p> | <ul style="list-style-type: none"> • EQ7: Are the employed planning and steering processes appropriate for achieving the project's goals? • This criterion refers to the quality of planning and steering of the project management |

Guiding questions and indicators

The evaluation questions were answered on the basis of more specific guiding questions and indicators. In case of the criterion effectiveness, they were taken from or deduced from the respective project documents (where available) for the individual project evaluation. Since it had to be assumed that reliable indicators for performance review were only formulated for very few projects, the use of guiding questions is helpful (see schematic representation below).

Figure 16: Schematic Representation of the Evaluation Methodology



5.3.2 Indicators and evaluation scheme

Indicators

The availability (quantity and quality) of planning documents and specific indicators developed at the start of the project was not equally guaranteed for all individual projects. However, since the objective was to establish a single basis for all individual evaluations, the following approach was applied:

- Step 1: A catalogue of indicators was developed and operationalised as evaluation tool in the form of a standardised evaluation scheme (see Annex 2). The catalogue of indicators was regarded as basic template for all individual project evaluations. In this way, it was ensured that all aspects relevant to the ICI evaluation were examined and the individual project evaluations would be comparable. The individual indicators were deliberately formulated in a general manner to cover the wide range of ICI projects. As far as possible, the indicators were specifically operationalised for the project context as part of each individual project evaluation so that every project could be examined on the basis of its inherent project concept.
- Step 2: For each project, it was examined which of the defined indicators were reasonable and applicable in the project context. In some cases it was not possible to apply the complete set of indicators. The indicators applicable to the individual project were selected by the evaluator and were subject to verification by the evaluation committee¹¹.
- Step 3: In case the indicator selection process resulted in an entire guiding question not being applicable, the other guiding questions had to be weighted in such a way that the criterion was still based on 100%. Again, responsibility for the weighting of the guiding questions rested on the evaluation committee.
- Step 4: If required, additional auxiliary indicators could be defined and applied in individual cases.
- Step 5: The catalogue of indicators was compared to the project's indicators present in the planning documents and supplemented, if necessary.

Comparability of results

The standardised evaluation of all projects was essential to ensure that the results would be comparable. The developed standard evaluation scheme provided the possibility to assess all projects according to the same pattern with regard to the 7 evaluation criteria. This was a multi-stage process:

- Both the quantitative and the qualitative indicators were (in by far the most cases) evaluated on a six-stage rating scale. Basically, they were rated from 1-6, but it must be observed that **grade 1 is only awarded in case of "very good results, exceeding expectations"**. A "result fully meeting expectations" received grade 2.

¹¹ The evaluation committee consisted of the team leader, the coordinator, as well as an in-house expert of the consortium partner.

- In case several indicators were used for answering one guiding question, the average of the indicators was calculated for rating the guiding question (see example below).
- The guiding questions served to rate the evaluation criterion. The individual guiding questions were weighted and multiplied by the average of the indicator appraisal. The grades were accurate to the first decimal place.
- This evaluation was repeated for each of the 7 criteria. At the end, every criterion had received an appraisal (1.0 or 2.0 – 6.0), rounded based on the second decimal place.

Schematic example

The schematic tabular representation below illustrates the gradual procedure on the basis of criterion 1 – relevance.

Table 2: Sample Grading for Criterion 1 – Relevance

| GUIDING QUESTION | Indicator | Grading (1-6) |
|---|---|--|
| EQ1: DO THE PROJECT OBJECTIVES TAKE INTO ACCOUNT THE TARGET CRITERIA OF THE ICI? | | |
| GQ1.1: To which degree does the project contribute to the achievement of the ICI's programme goals? (70%) | I1.1.2: Exemplary approaches in the area of adaption to / mitigation of climate change with potential for replication ("topping-up indicator") | Approach described in the project concept can generally be replicated Grade: 1 |
| | I1.1.4: Planned contribution to biodiversity conservation and / or the ability to adapt to climate change | Is main objective Grade: 2 |
| GQ1.2: To which degree is the project relevant for achieving the country's climate goals? (30%) | I1.2.1: Accordance of the project's activities / outcomes with national climate policies (and / or energy policies, adaptation strategy, biodiversity strategy) | Great accordance Grade: 2 |
| | I1.2.2: Appreciation of the project by the partner government and sector ministries (agriculture, forestry, health, or the like) of the partner country | High appreciation Grade: 2 |
| EQ: Wider evaluation question / GQ: Guiding question / I: Indicator | | |

The grades of the respective guiding questions are calculated as follows:

- GQ 1.1: $(1+2) / 2 = 1.5$
- GQ 1.2: $(2+2) / 2 = 2.0$

The weighting specified for the guiding questions of EQ 1 was:

- GQ 1.1 = 70%
- GQ 1.2 = 30%

Accordingly, the appraisal for criterion 1, relevance, with the wider evaluation question "Are we doing the right thing for international climate protection?" is calculated as follows:

$$\text{Appraisal Criterion 1 Relevance} = (0.7 \cdot 1.5) + (0.3 \cdot 2.0) = 1.65$$

Rounded (based on the 2nd decimal place), the appraisal for criterion 1, relevance, was thus 1.7.

This grade was explained through a narrative description of the evaluation result as well as a justification of the grade by the evaluator in the evaluation report so that the grade is not the only result (for this, refer to evaluation reports).

5.3.3 Self-evaluation table

Self-evaluation table & additional information

The project implementer or beneficiary was asked to complete a "self-evaluation table" tailored to the project, with which they independently evaluated the respective project according to our evaluation scheme (see self-evaluation table in Annex 3). This provided the project with the opportunity of self-assessment, which was seized in most cases. Subsequently, the self-evaluation was the starting point of the external evaluation.

In case of insufficient or unclear information, a list of questions was additionally or subsequently developed, which the project implementer or relevant other partners had to answer, where applicable over the phone. The lists of questions mainly served the collection of additional information not provided by the project documentation and required for the implementation of the evaluation.

5.3.4 Spider diagram

Standardised and narrative assessment

On the one hand, the evaluation scheme described above was used for the overall assessment of the individual project. On the other hand, the evaluator explained the operationalisation of each indicator and its grading from 1-6 in the project context and narratively answered the evaluation questions as well as the respective guiding questions in the evaluation report. Here, it was again possible to put special emphasis on particular individual indicators (such as CO₂ reduction). Moreover, the project's strengths and weaknesses or special success factors could be underlined. In conclusion, the evaluator provided a narrative overall assessment. Further specifications are available in the evaluation report template (see Annex 4).

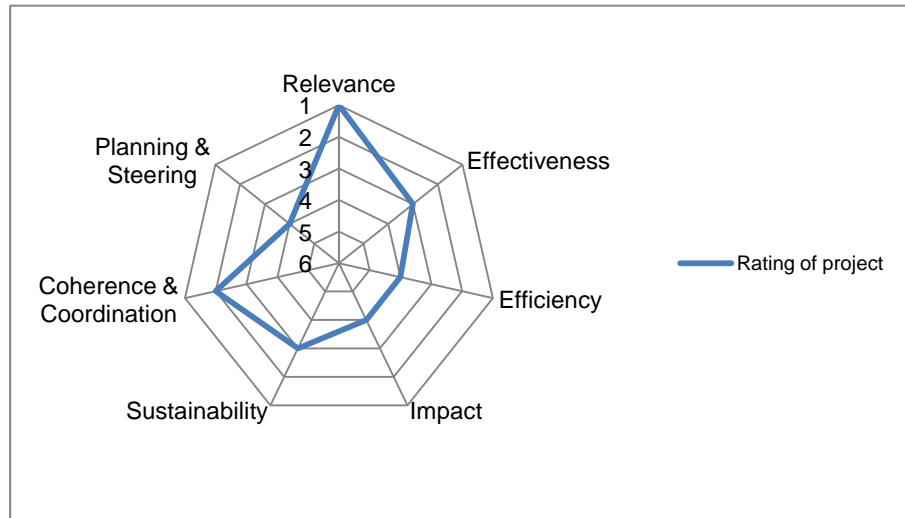
6-stage rating scale

For the overall assessment on the basis of the evaluation scheme, the criteria were represented in the form of a spider diagram. In a spider diagram, the ratings of all seven criteria are visualised on an axis. The axes are circularly arranged and evenly distributed on the 360 degrees, and the values of each criterion are connected with lines (see Figure 17).

Analysis with spider diagram

Spider diagrams are graphical representations of values of several categories in the form of a spider web. Amongst others, they can be used for the visualisation of evaluations for predefined criteria and are particularly suitable for this purpose. The criteria are regarded as equally weighted and the diagram shows their different levels of achievement.

Figure 17: Individual Project Evaluation in Spider Diagram



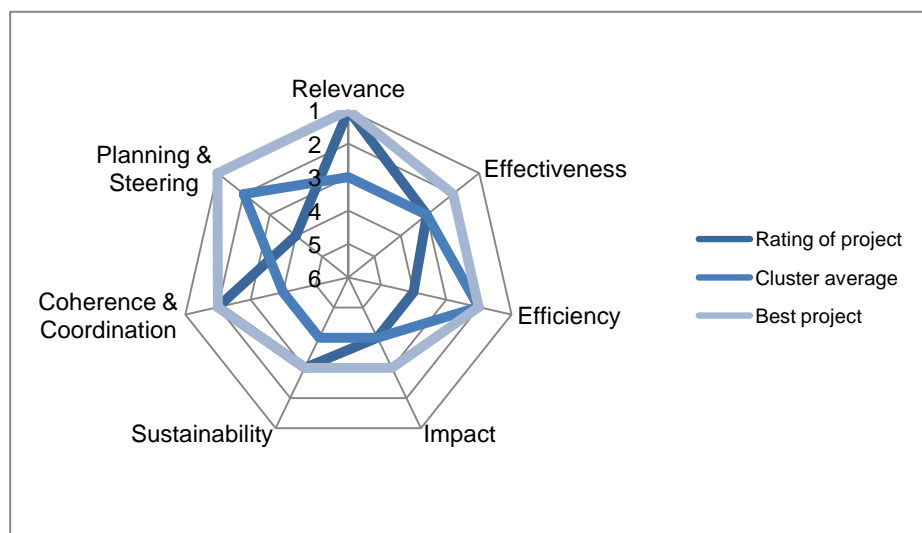
Possibilities for interpretation

For the individual project, the possibilities for interpretation are limited to a representation of the strengths and weaknesses of the project with regard to the evaluation criteria. Taking the diagram above as example, this would mean that the individual project's relevance exceeds expectations (best grade 1), coherence & coordination fully meet expectations (grade 2), its effectiveness and sustainability (grade 3) achieved moderate scores, and there is need for improvement with regard to its efficiency, impact, and planning & steering (grade 4).

After all individual project evaluations had been implemented, each project could be compared to other projects on the basis of the spider diagram. Possible were for instance:

- a comparison with the best project (in the cluster or on the whole)
- a comparison with the average of project evaluations within a cluster
- a comparison with the average of all project evaluations (not shown in Figure 18).

Figure 18: Comparison of Individual Project Evaluations



A representation as shown in Figure 18 permits the following statements (amongst others) with regard to the shown sample project:

- The individual project achieves better scores for the criteria relevance and coherence & coordination than the cluster average. It achieved scores below average in the areas efficiency and steering.
- Compared to the individual project with the best scores, the presently compared individual project did not achieve better grades in any indicator, but is just as good in the indicator relevance (best grade 1).

5.3.5 Report template

Standardised report format

The evaluation reports were written in a standardised report format agreed with the contracting authority. The format template is available in Annex 4. All individual project reports were reviewed by the evaluation committee.

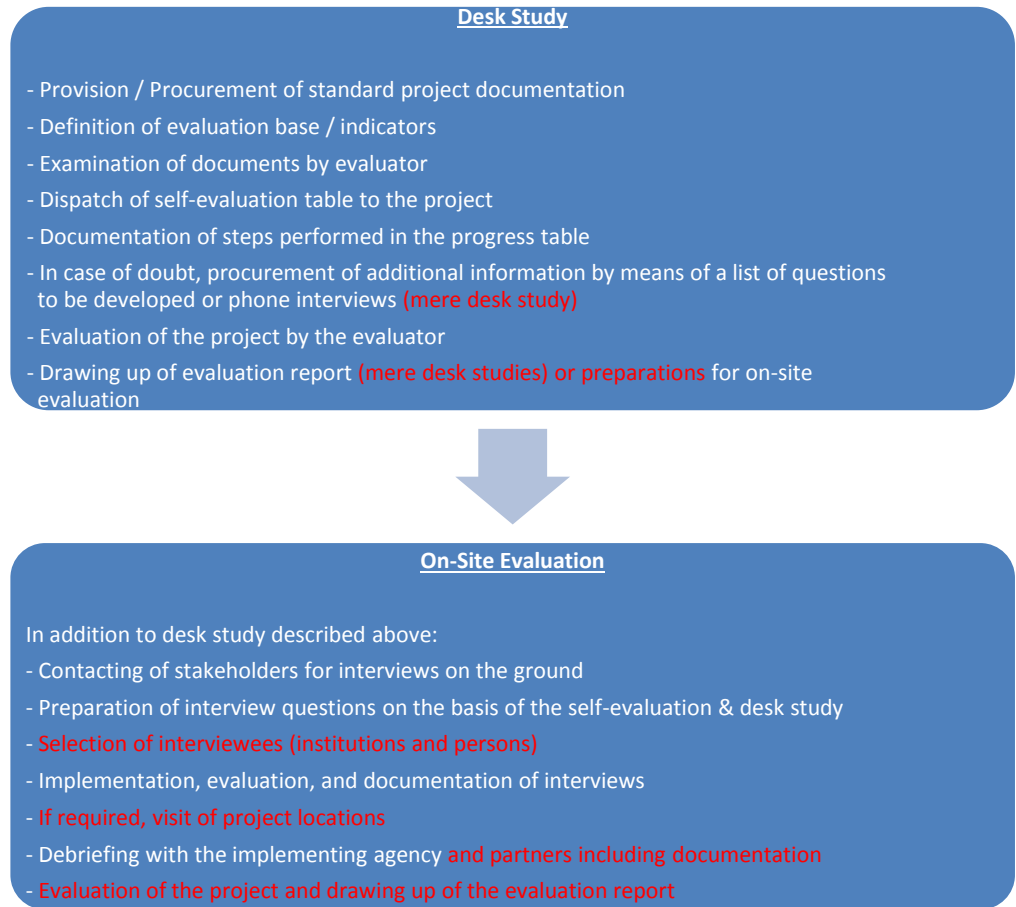
5.4 Desk Study and On-Site Evaluation

The same methodology for all evaluations

Out of the 115 projects to be evaluated, 21 were evaluated on the ground, all others as mere desk studies. Basically, all projects were evaluated with the same methodology described above, whether as desk study or on-site evaluation. The only difference might have been the depth of evaluation, but as a rule the study of documents and the self-evaluation with the deduction of preliminary results preceded all on-site evaluations.

The following steps were performed in case of a desk study and a (supplementary) on-site evaluation (Figure 19):

Figure 19: Steps of the Desk Study and On-Site Evaluation



Depth of evaluation in case of on-site evaluations

The on-site evaluation served to deepen the analysis and made it possible to discuss and scrutinise the results of the desk study and the self-evaluation with different stakeholders and parties involved in the implementation and evaluate additional sources of information available on the ground.

Sample for on-site evaluations

For the selection of samples, the contracting authority prepared a first proposal which was analysed and commented on by the contractor with regard to its representation of the overall project portfolio. The main selection criteria of the contracting authority were the project volume (> € 1 million), the representation of topics, and the exclusion of global (supra-regional) projects. Tables 3 and 4 below show the analysis of the samples.

After the annotations of the contractor, the sample was adjusted. However, in general, the selection requires a justification, which is briefly explained below.

- Representation of field of action I: On the whole, field I was under-represented in the sample (45% of the sample). According to the contracting authority, this share corresponded to the current ICI portfolio and is, thus, representative.

- Under- / Overrepresentation of topics of field of action I: In field I, the area of energy was overrepresented as a topic, while climate policy and carbon trading / emissions market are underrepresented or not represented at all. Often, projects in this area are supra-regional, global projects.
According to the contracting authority, the underrepresented topics can hardly be evaluated on the ground. According to the contracting authority's statements, these are often projects where the BMU cooperated with several countries on a bilateral basis within the context of micro projects which were then summarised under a wider framework (e.g. Indian-German Energy Partnership). Further, additional projects could not be included in the sample due to the volume criterion (if possible, projects > 1 million).
- Under- / Overrepresentation of project categories in field of action I: In field I, the methodological project category "implementation" was overrepresented, while policy consultancy is not represented at all. According to the contracting authority, the reason is that it is mostly micro projects that were/are implemented in the "policy consultancy" category (also see justification above).
- Regional distribution field of action I: In field I, the regions Asia and Central/South America were overrepresented and Europe underrepresented. According to the contracting authority, this is due to the fact that achieving an even regional distribution was no primary objective when selecting the samples. The selection focused on the representation of topics and the regional distribution was of secondary importance.

Table 3: Sample from Field of Action I

| SAMPLE BY THEMATIC PROJECT CATEGORIES | | | | | | | | |
|---|----------------|------|---------------------------------|-------------------------|----------------|----------------------|-----------------------------------|-----------|
| | Waste | EE | EE / RE | RE | Climate policy | Climate-relevant GHG | Carbon trading / Emissions market | Transport |
| # | 1 | 2 | 1 | 5 | 0 | 1 | 0 | 0 |
| % | 10% | 20% | 10% | 50% | 0% | 10% | 0% | 0% |
| SAMPLE BY METHODOLOGICAL PROJECT CATEGORIES | | | | | | | | |
| | Implementation | | Capacity development | | | Policy consultancy | | |
| # | 5 | | 5 | | | 0 | | |
| % | 50% | | 50% | | | 0% | | |
| SAMPLE BY REGIONS | | | | | | | | |
| | Africa | Asia | Europe, Caucasus & Central Asia | Central & South America | Middle East | Global | | |
| # | 1 | 4 | 1 | 3 | 1 | 0 | | |
| % | 10% | 40% | 10% | 30% | 10% | 0% | | |
| AGGREGATED DATA FIELD OF ACTION I | | | | | | | | |
| Sample: 10 projects (14.7% of all projects from field of action I; 45% of the total sample) | | | | | | | | |
| Financial volume: € 19,343,485 (20% of the total financial volume of field of action I) | | | | | | | | |

For the sample from fields of action II & III, the deviations of the sample from the total number will also be briefly explained below:

- Under- / Overrepresentation of topics of fields of action II & III: In field II & III, the topics biodiversity without REDD, carbon sinks with REDD relevance, and ecosystem-based land use systems were overrepresented, while adaptation strategies and biodiversity with REDD are underrepresented.

According to the contracting authority, this is due to the fact that, in 2008, the topics "adaptation" and "REDD" were still summarised under one topic and are, thus, to be regarded as one. Moreover, at that time, the focus was on biodiversity and REDD projects and projects in the area of adaptation strategies (by today's definition) were not yet present in the ICI. Moreover, the exclusion of smaller projects led to this result.

- Regional distribution of fields of action II & III: In field II & III, Asia was overrepresented and Europe was underrepresented. In this field of action, this is also explained by the primary focus on the representation of topics.

Table 4: Sample from Fields of Action II & III

| SAMPLE BY THEMATIC PROJECT CATEGORIES | | | | | | |
|---|-----------------------|--|----------------------------------|----------------------------------|----------------------------------|---------------------|
| | Adaptation strategies | Climate-relevant biodiversity without REDD | Carbon sinks with REDD relevance | Carbon sinks with REDD relevance | Ecosystem-based land use systems | Insurance solutions |
| # | 3 | 2 | 1 | 4 | 2 | 0 |
| % | 25% | 16.7% | 8.3% | 33.3% | 16.7% | 0% |
| SAMPLE BY METHODOLOGICAL PROJECT CATEGORIES | | | | | | |
| | Financing instruments | Implementation | Capacity development | Policy consultancy | | |
| # | 0 | 4 | 6 | 2 | | |
| % | 0 | 33.3% | 50% | 16.7% | | |
| SAMPLE BY REGIONS | | | | | | |
| | Africa | Asia | Europe, Caucasus & Central Asia | Central & South America | Middle East | Global |
| # | 2 | 6 | 1 | 3 | 0 | 0 |
| % | 16.7% | 50% | 8.3% | 25% | 0% | 0% |
| AGGREGATED DATA FIELDS OF ACTION II & III | | | | | | |
| Sample: 12 projects (25.5% of all projects from fields of action II & III; 55% of the total sample) | | | | | | |
| Financial volume: € 31,430,119 (35% of the total financial volume of fields of action II & III) | | | | | | |

5.5 Analysis Steps

Analysis steps

The following steps were performed for the analysis of the individual projects:

- The evaluation was performed on the basis of project documents made available by the ICI Programme Office (applications, letter of approval and commissioning, progress and final reports, monitoring data, as well as further documents in individual cases).
- The self-evaluation table was requested from the project implementer.
- Within the context of desk evaluations, additional inquiries (if necessary) were made over the phone or via email to the implementer or, where applicable, partner institutions as well as other institutions/organisations involved in the project. In case of on-site evaluations, this happened in the form of additional interviews.
- Each individual project was evaluated on the basis of all 7 evaluation criteria. Thus, all 7 wider evaluation questions were answered.
- For evaluating the individual projects with regard to an evaluation criterion, the guiding questions listed in the evaluation scheme were used. For answering the guiding questions, the (qualitative and quantitative) indicators applicable to the project were used.
- Both the quantitative and the qualitative indicators were rated on a six-stage rating scale. Basically, they were rated from 1-6, but it must be observed that grade 1 is only awarded in case of "very good results, exceeding expectations". A "result fully meeting expectations" received grade 2.
- The overall evaluation was visualised in the form of a spider diagram (see Chapter 2.3) to enable a quick visual comparison of a project with the overall result or the best and worst project.
- The comparison with the self-evaluation table enabled the evaluator to reflect about the evaluation results. Possible deviations were described in the report.
- Finally, the evaluation reports were subject to review by the GFA evaluation committee set up for quality control purposes to ensure, amongst others, an equal methodological treatment in the evaluation.

5.6 Role of the Contracting Authority

Clear distribution of responsibilities

The basic steps for the desk studies and on-site evaluations were described above (see in particular Figure 19). At this point, the role of the cooperation with the contracting authority, the Programme Office (PB), and the partners on the ground is additionally described.

- In case of desk studies as well as on-site evaluations, the contracting authority announced the evaluation with a circular letter to the implementing agency and the project partner.

- Contact with political authorities: Due to the great number of possible discussion partners, there was a risk that the wrong person is contacted prior to the evaluation and information is lost. For this reason, the contracting authority prepared an unaddressed letter including the mandate of the contractor for the evaluation. The contractor could send it directly to the relevant persons. In an on-site evaluation, the contracting authority sent a direct letter to the respective partner government (the department which wrote the letters of support for the ICI projects). In case of on-site evaluations, the contractor provided the contracting authority with a rough schedule for the purpose of establishing direct contacts so that meetings could be announced.
- The contracting authority asked the PB to provide the contractor with all project documents relevant to the evaluation. In case of additional questions concerning the completeness of the project documents, the contractor first contacted the PB and only afterwards the implementing agency.

Partners on the ground important contacts

The contractor and the contracting authority agreed that the involvement of partners was very important in case of on-site evaluations. The contractor held informative discussions and debriefings with the project implementers as well as the local partners and respective government or non-governmental organisations. In each case, it was the contractor who established the contacts. Finally, the implementer was presented an agreed protocol on the results of the evaluation.

6 METHODOLOGY OF CLUSTER EVALUATION

Objective of cluster evaluation

The cluster evaluation served:

- the **representation and comparison of projects of the same type / similar projects** by fields of action which had been defined as important;
- the **content synthesis** of the individual evaluations by topics;
- the deduction of **impacts and contributions of the ICI**;
- the deduction of **lessons learned**.

Cluster definition

For the evaluation, the BMU/UBA defined 6 clusters¹²:

Figure 20: Cluster Definitions

| CLUSTER NUMBER: Title Definition for project assignment |
|---|
| CLUSTER 1: Capacity development & policy consultancy Projects that place the main emphasis on capacity development & policy consultancy. |
| CLUSTER 2: Climate-friendly economy & sustainable energy supply Projects that have the goal to support partner countries in the development of an economy which avoids to the greatest possible degree the emission of hostile greenhouse gases. Improvement of energy efficiency, increase of renewable energy and reduction of greenhouse gases are supported both through investment measures as well as know-how transfer and policy consultancy. |
| CLUSTER 3: Biodiversity & carbon sinks Projects that aim at the preservation of carbon sinks, especially forests and other ecosystems like wetlands. Activities in these areas are meant to improve synergies between climate protection and biodiversity protection. |
| CLUSTER 4: Adaptation to climate change Projects in selected partner countries which are particularly vulnerable to climate change for the implementation of parts of suitable national programmes for the adaptation to climate change (on the basis of the national or regional strategies, NAPAs). Ideally, an integrated approach is to be chosen in order to target more than one aspect of adaptation. |
| CLUSTER 5: Regional cluster All projects are included in this cluster. |
| CLUSTER 6: Technology cooperation Projects that bear sufficient reference ¹³ to technology, within the meaning of technical facilities ¹⁴ , and/or strengthen national technology innovation systems and technology clusters. |

¹² The sixth cluster, technology cooperation, was additionally included in 2011 due to the topicality of the subject matter in the international climate policy dialogue.

¹³ In the qualitative inspection with regard to the potential assignment to the technology cluster, "sufficient" was in particular defined as follows: The project objective or expected results of the project (and thus also significant parts of the funding) should be directly related to technologies within the meaning of the criteria listed in the footnote below.

¹⁴ In particular, a direct relation was assumed in case of the following characteristics of the projects: physical installation of facilities, technological standard setting, improvement of technical systems, improvement of technical information management, adaptation of technology to local specifications, technology-relevant software and manuals, technical knowledge transfer, capacity development for the direct use of technology, research in the area of technology, financing of technology. Moreover, this included projects that strengthen national technology innovation systems and technology clusters. This, in turn, included systemic approaches that combine different forms of technology cooperation (networking, institutionalisation, institution building, broad research platforms).

Assignment to clusters

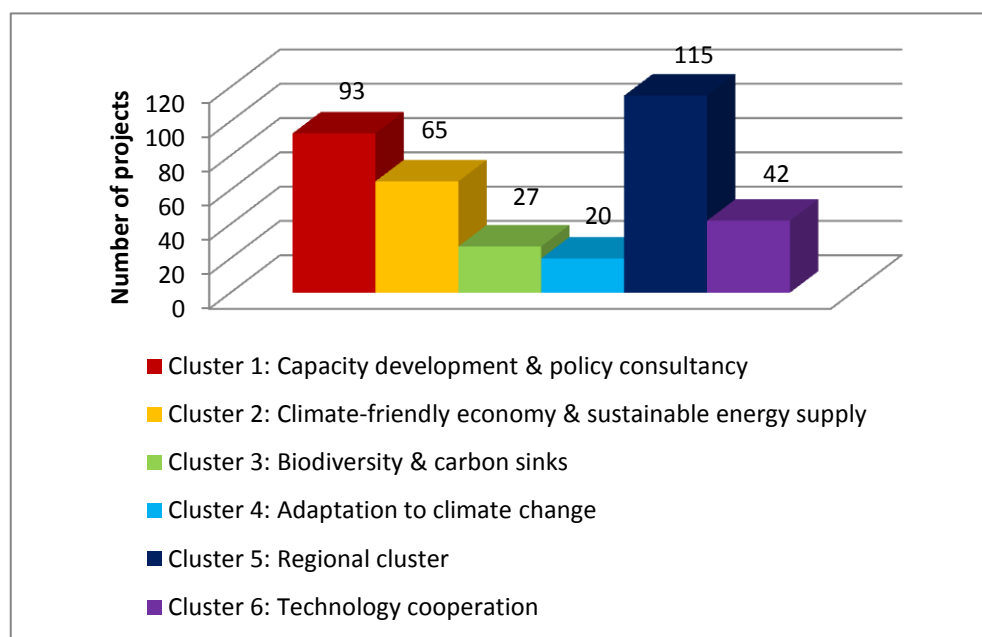
After inspecting all projects to be evaluated, each project was assigned to the clusters:

- **Clusters 2, 3, and 4** are thematic clusters. Each project was only assigned to one of these clusters. If a project addressed several thematic aspects, the most important thematic aspect was identified and the project assigned to the corresponding cluster. These three clusters are almost identical with the three fields of action of the ICI.
- **Clusters 1 and 6** are methodological clusters including methods or approaches within the three fields of action of the ICI. In this case, projects can be assigned to several clusters.
- **Cluster 5** (regional cluster) includes all projects, but was retroactively excluded.¹⁵ The following figure shows the distribution of the projects to the clusters.

The distribution of the projects to the clusters is shown in the following diagram.

Assignment of projects

Figure 21: Distribution of Projects to Clusters



Source: Own representation on the basis of BMU project lists and expert opinion

¹⁵ The projects contained in Cluster 2 and Cluster 6 are congruent except for 5 individual projects. Upon consultation with the UBA (email 2012-08-20), the analysis of the two clusters was aggregated.

6.1 Approach

Seven steps were defined for the implementation of the cluster evaluation:

1. Inspection of the distribution of the 115 individual projects to the clusters performed by the contracting authority.
2. Critical review of the project distribution and, if required, changes in the assignment in consultation with the contracting authority.
3. Development of the cluster evaluation instruments (guiding questions and report format) in coordination with the contracting authority.
4. Distribution of the cluster reports to be prepared to the evaluators.
5. Implementation of the cluster analyses and coordination meetings among evaluators to compare results of the analyses and harmonise the representation of results.
6. Presentation of the results of the cluster analyses within the context of the interim workshop with the participation of the contracting authority, the PAG, and a wider group of participants from BMU departments involved in the ICI.
7. Preparation of the evaluation reports by the evaluators with subsequent quality control by the internal evaluation committee. Annotations by the contracting authority and corresponding revision.

6.2 Instruments

6.2.1 Guiding questions

Universal guiding questions for cluster evaluation

Like the individual project evaluation, the cluster evaluation was also guided by guiding questions. The guiding questions for the cluster evaluation were derived from the guiding questions for the evaluation of the 7 evaluation criteria of the individual evaluation. The following guiding questions were regarded as universal for all clusters:

- In what way do the projects summarised under the cluster contribute to the programme objectives of the ICI?
- What are the common features and differences between the projects of the cluster?
- Can differences in the appraisals between cluster and total sample be explained and, if so, how?
- Which success factors / failure factors are the cluster's projects based on?
- Are there regional specifics which contribute to the success/failure of a project and should be considered in the planning?

- What statements can be made with regard to the influence on international climate negotiations?
- Which recommendations for the further development of the cluster can be deduced?
- Which recommendations for the further development of the ICI can be made for the cluster?

6.2.2 Report template

Standardised report template

The cluster reports were written in a report format agreed with the contracting authority. The format template is available in Annex 5.

The cluster reports include the following sections:

- Description of cluster content
- Distribution by beneficiaries
- Common features and differences in the approaches
- Description of the contribution to the ICI and climate negotiations
- Analysis of critical factors and learning experience

All cluster reports were reviewed by the evaluation committee and ultimately, in consultation with the contracting authority, summarised in a global report which constitutes an annex of the final report.

6.3 Analysis Steps

4 analysis steps

The cluster analysis was performed in four steps:

1. Qualitative description of the projects/project approaches assigned to the thematic cluster in order to describe the classification of the cluster projects in the overall framework of the ICI.
2. Quantitative analysis of the cluster, both by project categories and evaluation criteria. Comparative analysis of the individual projects on the basis of the results of the individual project evaluation (for all evaluation criteria).
3. Analysis of the quantitative evaluation on the basis of the guiding questions mentioned above.
4. Analysis of critical factors and learning experience for the development of recommendations for the further development of the cluster and the ICI.

7 METHODOLOGY OF PROGRAMME EVALUATION

Objectives

The comprehensive analysis at the programme level aims at:

- providing indications for the **strategic-programmatic orientation of the ICI and the processes characterising the latter** with regard to planning and steering in addition to the results of the individual and cluster evaluations;
- explaining **success factors, strengths, and weaknesses** of the ICI, evaluating them for learning purposes, and
- providing **recommendations** on this basis for the further development of the ICI.

Evaluation basis

Accordingly, the analysis is based upon results of the individual and cluster evaluations, but takes into account the development of the ICI until the end of 2012 and, thus, goes beyond the individual and cluster evaluations in its considerations. It scrutinises the strategic, programmatic orientation of the programme, the programme development process, the related review and selection procedure, as well as project and programme steering by the institutions involved.

As evident from the methodology described below, the analysis did not include a systematic and comprehensive analysis for assessing the ICI from the target countries' point of view as well as the view of the institutions and organisations involved in the international climate dialogue. Therefore, the possible statements are basically limited to the programme profile and, in particular, the processes as perceived by the implementing agencies and the BMU. Thus, statements on the impacts of the ICI at the international level can only be made to a limited extent and would require further inspections.

7.1 Approach

Programme evaluation in six steps

The programme evaluation was implemented in six steps:

1. Synthesis of project evaluation results on the basis of the individual and cluster reports
2. Selection of evaluators after consultation with the contracting authority
3. Identification of stakeholders who are to be interviewed during the evaluation
Development and harmonisation of the list of questions for the interviews
4. Implementation of interviews and analysis at the programme level on the basis of the developed guiding questions

5. Presentation of results both at the BMU/UBA and the PAG with subsequent discussion
6. Inclusion of comments and preparation of a final report.

7.2 Instruments

7.2.1 Guiding questions

Guiding questions

Like the individual and cluster evaluations, the implementation of the programme evaluation was based on guiding questions which were developed in cooperation with the contracting authority:

1. Are the objectives and tasks of the ICI defined in such a way that a relevant contribution to international climate protection can be achieved?
2. Are the ICI eligibility and selection criteria appropriate to achieve the programme objectives? Which criteria have priority, which are of only minor importance?
3. To what extent was the programme systematically derived from the wider climate goals?
4. Which thematic clusters turned out to be particularly successful or unsuccessful with regard to the achievement of ICI objectives?
5. How does the ICI position itself in the portfolio of the international donor landscape?
6. What value added does the ICI have in the framework of the international climate regime?
7. Does the ICI have unique features and what are these?
8. Is the steering of the programme appropriate for achieving the programme objectives?
9. Is the course of the procedures / selection processes transparent and are they communicated to the outside in an appropriate manner?
10. To what extent is quality assurance guaranteed in the implementation?
11. Does the application procedure ensure an adequate programme design tailored to the respective topics, countries, and regions? Apart from the target criteria, is an independent concept with regard to thematic, regional priorities available?

7.2.2 Survey methodology

Within the context of the programme analysis, the following survey methods were used:

1. Written surveys using a standardised list of questions (Internet platform) or questionnaires;
2. Personal and phone interviews (individual or - if requested by the partner - group interviews) using structured, open questions.

Triangulation of approaches and confidentiality

The triangulation of the mentioned instruments enabled the evaluators to obtain a broad picture of opinions (standardised online questionnaires) as well as detailed feedback (statistical questionnaire, open list of questions & interviews) on the subject of evaluation. In consultation with the BMU, all interviews (individual interviews) were conducted on a confidential basis.

Interviewees

The following groups were interviewed for the analysis at the programme level:

- Implementing agency
- Programme Office (PB)
- Ministry for the Environment (BMU) and UBA
- Ministry for Development (BMZ) and Foreign Office

The selection of the interviewees was agreed with the contracting authority. In case of the implementing agencies, the selection was agreed on the basis of groups in order to guarantee the anonymity of the interviewees, but all implementing agencies had the opportunity to take part in the online survey.

Category of persons implementing agency

The selection of the implementing agencies to be contacted was carried out as follows:

- All implementing agencies involved in the implementation of the evaluated 115 projects were contacted and asked to anonymously complete a standardised list of questions (Internet platform). The contact persons mentioned for the individual projects were used as interviewees and they, in turn, had the opportunity to devolve the completion of the list of questions unto the person most involved in the respective area.
- A sample of 10 implementing agencies was selected for individual interviews, and it was ensured that all groups of implementing agencies were represented. The selection was supposed to be as representative as possible, i.e. bilateral and multilateral donor organisations, private enterprises, non-governmental organisations, and research institutes were contacted by evaluators. In order to ensure confidentiality, the selection of implementing agencies and interviewees will remain anonymous.

Category of persons PB

The selection of the contact persons in the PB was carried out as follows:

- The survey was implemented on two levels:
 - with the management (individual interviews)
 - with the individual technical departments (individual interviews) and the administration / finance employees (individual interviews)
- In case of the technical departments, the respective division coordinators and, if required, further technical experts were to be interviewed.

Category of persons BMU/UBA

- In the BMU and the UBA, all departments and divisions involved in the ICI were interviewed. The selection was guided by the list of participants of the interim workshop and the committee for the selection of the project proposals and was agreed with the BMU departments in charge. As far as possible, the interviewees were the heads of the departments as well as the employees involved in the processes. They were selected by the departments.

Category of persons BMZ and Foreign Office

In the BMZ and Foreign Office, those departments or interviewees were contacted in consultation with the BMU with which the ministry had been working together within the context of the ICI.

On the whole, the following picture resulted with regard to the size of the group of interviewees:

Table 5: Number of Interviewees by Group

| GROUP | Possible number | participated |
|--|-----------------|------------------|
| Implementing agencies (anonymous Internet survey) | 115 | 67 ¹⁶ |
| Implementing agencies (individual interviews – all groups mentioned above) | n.a. | 10 |
| Programme Office (individual interviews) | n.a. | 8 |
| BMZ & Foreign Office | n.a. | 3 |
| BMU & UBA (number of departments in individual or group interviews) | n.a. | 14 |

Target group specific questions

All lists of questions were tailored to the respective target groups (see Annex 6). Subject of the survey were the programme situation in 2008/2009 and beyond to be able to take into account new developments and make statements on the further development of the ICI.

¹⁶ The individual questions were answered by a varying number of implementing agencies. For the analysis, only those questions were considered which had a minimum number of 25 answers.

Analysis and validation steps

For the analysis and validation, the following steps were implemented:

1. Evaluation of the results with an analysis of the goal achievement of the individual projects, their summary at the aggregate level per field of action.
2. Discussion of the success factors / strengths and weaknesses of the ICI on the basis of guiding questions.

Template final report

The template for the concluding final report was agreed with the contracting authority and is available in Annex 7. The final report includes all evaluation steps and consolidates the results.

Methodological Manual, Annex 1: ICI Projects With Participation of GFA

Projects with participation of GFA: **these evaluations were outsourced. The contracting authority approved the selection of the external evaluators.**

Field of action I

| Idf. no. | Signature | Title | Country | Implementation |
|----------|--------------------------------------|--|------------|---|
| 20 | 08_I_032_KZ_M_SEFF | Beratung zur Umsetzung der Finanzierungsfazilität "Nachhaltige Energie" | Kazakhstan | EBRD / GFA involved as TA on behalf of EBRD |
| 21 | 08_I_035_SRB_A_Biogas | „Pigs for Kilowatt“ - Nutzung von Schweinegülle zur Biogasgewinnung | Serbia | GFA Envest GmbH implements |
| 26 | 08_I_043_UA_A_Gärung aus Reststoffen | Nutzung von Reststoffen aus alkoholischer Gärung | Ukraine | GFA Envest GmbH implements |
| 27 | 08_I_044_KARIB_A_Biogas | Bioenergie in der Karibik | Caribbean | GFA Envest GmbH implements |
| 47 | 09_I_031_RUS_M_SECFE | Sustainable Energy and Carbon Finance Facility (SECFE)- Russische Föderation | Russia | EBRD / GFA involved as TA on behalf of EBRD |
| 48 | 09_I_036_VNM_A_Biogas | PoA Konzeptentwicklung für den Einsatz von Kleinbiogasanlagen in kleinen Schweineproduktionsbetrieben in eine dezentrale Energieversorgung | Vietnam | GFA Envest GmbH implements |

Fields of action II & III:

| Idf. no. | Signature | Title | Country | Implementation |
|----------|---------------------------------|--|---------|---|
| 21 | 08_II_033_RUS_K_Waldschutz | Schutz von Urwäldern in der Bikin-Region | Russia | KfW-WWF / GFA Envest GmbH implements a small part as subcontractor of WWF |
| 42 | 09_II_022_PER_A_Regenwaldschutz | Schutz des Regenwalds und Förderung der indigenen Lokalbevölkerung im Amazonastiefland | Peru | GFA Envest GmbH implements |

Annex 2: Evaluation scheme (Annex 5 of the evaluation report template)

Instructions for ICI project evaluation

A streamlined and consistent grading system is important to guarantee comparability of evaluation results. Our standardized evaluation scheme provides the possibility to assess each and every project according to the same 7 evaluation criteria, while at the same time leaving room for project-specific goals to be considered.

Grades for Indicators: The majority of quantitative and qualitative indicators are graded on a scale from 1-6 (with 1 being the best grade and 6 being the worst grade). **It is to be noted, though, that grade "1" is only given in case of a "very good result that clearly exceeds all expectations". A "good result, fully fulfilling expectations" receives the grade "2".** Please see the next spread sheet "Possible Grades" and the respective indicators for more specific explanations.

Grades for Guiding Questions: When more than one indicator is used to answer a guiding question, then the average grade of the indicators is calculated. Indicators that were not applied are not taken into the calculation.

Grade for Evaluation Criteria: The guiding questions are used to grade the evaluation criterion. Each guiding question is weighed (percentage indicated after each guiding question) and then multiplied with the average grade of the indicators. Grades are given to the first decimal point. Each of the 7 criteria will be graded in this way. In the end, each criterion will have received a grade between 1,0 and 6,0.

Example for Criterion 1 - Relevance

| GUIDING QUESTION | Indicator | Grade (1-6) |
|--|---|---|
| EF1: DO THE PROJECT GOALS TAKE INTO ACCOUNT ICI'S OVERALL GOALS? | | |
| GQ1.1: To which degree does the project contribute to the achievement of ICI's program goals? | I1.1.2: Exemplary approaches in the area of adaption to / mitigation of climate change with potential for replication. (Topping-Up Indicator) | The approach is both exemplary and generally apt for replication Grade: 1 |
| | I1.1.4: Planned contribution to biodiversity conservation and / or the ability to adapt to climate change | Contribution to biodiversity conservation is the main goal of the project Grade: 2 |
| GQ1.2: To which degree is the project relevant for achieving the country's "climate goals"? | I1.2.1: Accordance of the project's activities / outcomes with national climate policies (and / or energy policies, adaptation strategy, biodiversity strategy) | The project is in accordance with national climate policies Grade: 2 |
| | I1.2.2: Recognition of the project by the partner government and sector ministries (agriculture, forestry, health, or the like) of the partner country | The partner government has expressed their full support of the project already before it had started Grade: 2 |
| EF: Higher ranking guiding question / GQ: Guiding question / I: Indicator | | |

The calculation of the grades of the guiding questions is done as follows:

- GQ 1.1: $(1+2) / 2 = 1,5$
- GQ 1.2: $(2+2) / 2 = 2$

The percentage weight for the guiding questions is:

- GQ 1.1 = 70%
- GQ 1.2 = 30%

The grade for Criterion 1 Relevance is now calculated as follows:

$$\text{Grade Criterion 1 Relevance} = (0,7 \cdot 1,5) + (0,3 \cdot 2) = 1,65$$

Rounded to the first decimal point the grade for Criterion 1 Relevance is therefore 1,7.

This grade is explained narratively both in the evaluation scheme as well as in the evaluation report.

Possible grades to be assigned to the evaluation criteria

| Possible grades | Standard definitions |
|-----------------|---|
| Grade 1 | Very good result, exceeding clearly all expectations |
| Grade 2 | Good result, fully fulfilling expectations, no major shortcomings |
| Grade 3 | Satisfying result, below expectations but the positive result dominate |
| Grade 4 | Non-satisfying result, clearly below expectations, negative results clearly dominate despite visible positive results |
| Grade 5 | Clearly inadequate result, clearly below expectations, negative results clearly dominate |
| Grade 6 | The project is to be seen very critically, it is useless and/or changed the situation for the worse |

| | |
|--|--|
| Criterion 1: | Relevance |
| Description: | The criterion „relevance“ scrutinizes the intervention logic of the respective individual project in the context of the overall ICI program. |
| Higher-ranking guiding question | GQ1: Do the project goals take into account ICI's overall goals? |

| | |
|---|------------|
| Calculation of the grade of the criterion: | 0,0 |
|---|------------|

| Guiding question | Weight of the guiding question | Indicator catalogue | | | Grade (only full grades, i.e. 1,2,3,4,5,6) | To be completed by the evaluator Justifications, explanations, or comments as to the grade |
|---|--------------------------------|---------------------|---|---|--|---|
| | | Indicator | Grading of the indicator: 1 highest grade (exceeding all expectations), 6 lowest grade. | Method / Source | | |
| <p>GQ1.1: To which degree does the project contribute to the achievement of ICI's program goals?</p> <p>The relevant ICI program goals are: :</p> <ul style="list-style-type: none"> - Climate protection - Adaptation to climate change - Contribution to the international climate regime - Biodiversity - Monitoring of climate change - Innovation e.g. for the project region or target group (sub-ordinate criterion) <p>ATTENTION: As soon as one of the four "Topping up Indicators" has been awarded (Grade 1), the "Topping up potential" is fully utilized. That means that the 4 possible Topping up indicators only figure with <u>one</u> Grade in the overall grading of this guiding question.</p> <p>Example: I1.1.1 = 2 I1.1.2 = 1 I1.1.3 = 1 GQ1.1. = (2+1) / 2</p> | 70% | I1.1.1 | <p>Expected / planned direct and / or indirect emission reductions (in t CO2 or CO2 equivalents like methane, nitrous oxide) in case of average success of the project</p> <p>We are looking both at "thematic relevance" as well as "relevant volume". The overall impact (direct and indirect emission reductions) should be assessed according to the following reference scale:</p> <p>from 2 = reduction of > 100.000 t CO2 per year</p> <p>to: 6 = reduction of < 10.000 t CO2 per year</p> | <p>Project proposal</p> <p>The project concept will be scrutinized and graded with view to the expected / planned direct and / or indirect emission reductions.</p> <p>GHG monitoring data</p> <p>In case of pure capacity building projects the theoretical implications of the measures in the national context is to be assessed and graded.</p> | | |
| | | I1.1.2 | <p>Exemplary approaches in the area of adaption to / mitigation of climate change with potential for replication</p> <p>Approaches / models present in the project proposal that have pilot project characteristics and replication potential. The project is designed to develop exemplary approaches that can also be further applied outside the project context.</p> <p>Possible grades: Yes (1) or No (no grade).</p> <p>Thus, the indicator is a "topping up indicator" because it is only taken into consideration if the answer is "yes".</p> | <p>Project proposal</p> <p>The project concept and methodological approach are scrutinized as to their replicability.</p> | | |
| | | I1.1.3 | <p>Planned contribution to the international climate regime</p> <p>E.g. presentations at UNFCCC / SBSTA meetings, development of new (CDM) methods, capacity building of relevant institutions, influence on national policies, etc.</p> <p>Possible grades: Yes (1) or No (no grade).</p> <p>Thus, the indicator is a "topping up indicator" because it is only taken into consideration if the answer is "yes".</p> | <p>Project proposal</p> <p>Project reports</p> <p>possibly interview with implementing agency (list of inputs relevant for climate policies, e.g. UNFCCC / SBSTA meetings, other presentations, developed methods, etc.</p> | | |
| | | I1.1.4 | <p>Planned contribution to biodiversity conservation and / or the ability to adapt to climate change</p> <p>Biodiversity is not reduced and / or ability to adapt to climate change is improved.</p> <p>Grade from 2 (planned contribution is high) to 6 (no contribution visible)</p> | <p>Project proposal</p> <p>Project reports</p> <p>possibly interview with implementing agency</p> | | |
| | | I1.1.5 | <p>Planned application of innovative approaches towards emission reduction or adaptation (e.g. new approach, further development of an existing approach, new approach for the target group / implementing agency, etc.)</p> <p>The aim of the project is the development of innovative approaches.</p> <p>Possible grades: Yes (1) or No (no grade).</p> <p>Thus, the indicator is a "topping up indicator" because it is only taken into consideration if the answer is "yes".</p> | <p>Project proposal</p> <p>Project reports</p> <p>possibly interview with implementing agency</p> | | |
| | | I1.1.6 | <p>Intended impact on the state of natural carbon sinks</p> <p>Carbon sinks are preserved.</p> <p>Grade from 2 (carbon sinks are preserved or conditions for preservation are created) to 6 (no contribution visible)</p> | <p>Project proposal</p> <p>Project reports</p> <p>GHG monitoring data</p> <p>possibly interview with implementing agency</p> | | |
| | | I1.1.7 | <p>Capacity for monitoring and / or prediction of climate change</p> <p>Possible grades: Yes (1) or No (no grade).</p> <p>Thus, the indicator is a "topping up indicator" because it is only taken into consideration if the answer is "yes".</p> | <p>Project proposal</p> <p>Project reports</p> <p>possibly interview with implementing agency</p> | | |
| <p>GQ1.2: To which degree is the project relevant for achieving the country's "climate goals"?</p> | 30% | I1.2.1 | <p>Accordance of the project's activities / outcomes with national climate policies (and / or energy policies, adaptation strategy, biodiversity strategy)</p> <p>Grade from 2 (accordance clearly visible) to 6 (no accordance)</p> | <p>Project proposal</p> <p>Internet research</p> <p>possibly interview with implementing agency (inquiry as to the forwarding of relevant strategy papers)</p> | | |
| | | I1.2.2 | <p>Appreciation of the project by the partner government and sector ministries (agriculture, forestry, health, or the like) of the partner country</p> <p>Grade from 2 (the project is highly appreciated) to 6 (no or close to none appreciation)</p> | <p>Project proposal</p> <p>Project reports</p> <p>possibly interview with implementing agency</p> <p>Existence of a "support letter" and or intangible and or tangible support by the partner government.</p> | | |

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| Criterion 2: | Effectiveness |
| Description: | The criterion Effectiveness scrutinizes the degree of target achievement, i.e. the extend to which the defined project goals were reached (in case of ongoing projects: the likelihood that the project goals will be reached). |
| Higher-ranking guiding question | EF2: To which degree were the defined project goals reached? |

| | |
|---|------------|
| Calculation of the grade of the criterion: | 0,0 |
|---|------------|

| Guiding question | Weight of the guiding question | Indicator catalogue | | | To be completed by the evaluator | | |
|--|---|---------------------|---|--|---|---|--|
| | | Indicator | Grading of the indicator: 1 highest grade (exceeding all expectations), 6 lowest grade. | Method / Source | Grade (only full grades, i.e. 1,2,3,4,5,6) | Justifications, explanations, or comments as to the grade | |
| GQ2.1: Is the project goal realistic from today's point of view? | (this GQ does not figure in the overall grading of the criterion effectiveness: it is rather meant in order to better be able to judge the actual degree of target achievement from today's point of view.) | I2.1.1 | Achievability of the goals and / or the target indicators | Grade from 2 (realistic) to 6 (completely unrealistic) | Project proposal Project reports The evaluator analyses the project proposal and reports considering the framework conditions. | | |
| GQ2.2: Was the project goal achieved (in case of finished projects), or respectively to which degree is it probable that the project goal will be achieved (in case of ongoing projects)? | 100% | I2.2.1 | Degree of project goal achievement (Based on the specific goals of the project. If there are more than one indicator they will possibly have to be weighed in case the project proposal makes it clear that not each goal is equally important) Please list and grade the specific project goals in separate rows! | Grade from 2 (the goals were achieved, or accordingly it is likely that the goals will be achieved) to 6 (none of the goals were achieved) Grade 1 only in case of very good result, exceeding clearly all expectations | Project proposal Project reports possibly interview with implementing agency The evaluator clearly explains in his justifications / explanations the scrutinized individual target indicators of the project. The assessment of I2.1.1 will also be used to better explain I.2.2.1 . | | |

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| Criterion 3: | Efficiency |
| Description: | The criterion „efficiency“ scrutinizes the economic feasibility of the respective project. |
| Higher-ranking guiding question | EF3: How is the relation between the project results and the employed (financial) means to be judged? |

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|---|------------|
| Calculation of the grade of the criterion: | 0,0 |
|---|------------|

| Guiding question | Weight of the guiding question | Indicator catalogue | | | To be completed by the evaluator | | |
|--|--------------------------------|---------------------|--|--|--|---|--|
| | | Indicator | Grading of the indicator: 1 highest grade (exceeding all expectations), 6 lowest grade. | Method / Source | Grade (only full grades, i.e. 1,2,3,4,5,6) | Justifications, explanations, or comments as to the grade | |
| GQ3.1: Is the invested effort justified when compared to the respective reference value/frame (e.g. sector-specific mitigation costs)? | 40% | 13.1.1 | Cost per emission reduction (€/tCO ₂) compared to sector specific mitigation costs or conventional technologies | Grade 1: costs are significantly below comparable methods Grade from 2 (cost efficient) to 6 (not cost efficient) | Project proposal Project reports possibly interview with implementing agency GHG monitoring data If the indicator is not measurable because the implementing agency itself has not calculated it or did not use a proxy indicator, then this indicator cannot be graded under the Criterion Efficiency. Instead, it will negatively influence the Criterion "Planning & Steering". | | |
| | | 13.1.2 | Cost of adaption to climate change compared to the economic risks without adaption measures | Semi-quantitative assessment of the costs in comparison to the project results: Grade 1: Costs are lower than expected Grade from 2 (low costs) to 6 (not cost efficient) Hardly any reliable data / cost-benefit figures are available to assess this indicator. This is not least due to the fact that in one single project more than one sector could be targeted. The evaluator should roughly assess the costs e.g. of a crop failure or declining water resources and compare it with the adaptation costs of the project. | Project proposal Project reports possibly interview with implementing agency Rough assessment of the monetary worth of the project result. Comparison with the results of other ICI projects. | | |
| | | 13.1.3 | Cost efficiency of the implemented measures | Assessment of individual measures. Grade from 1 (the measures are more cost efficient than expected); 2 (all measures are cost efficient) to 6 (no measure is cost efficient) | Project proposal Project reports possibly interview with implementing agency If the budget plan is available, then analysis of the proportionality of the individual budget items to the overall budget and project goals. This draws on the experience of the evaluators. If no budget plan is available a request should be send to the ICI coordinator. If he cannot procure it then the implementing agency should be contacted. If the consultation is not satisfactory then this indicator should receive a low grade (per default). | | |
| GQ3.2: Is the invested effort necessary to achieve the project goal(s)? | 25% | 13.2.1 | Requirement of implemented measures for achieving the project goal(s) | Assessment of the individual measures. Grade from 2 (all measures were necessary) to 6 (none of the measures were necessary) | Project proposal Project reports possibly interview with implementing agency | | |
| GQ3.3: Are the outputs of the project (e.g. capacities, knowledge, equipment) really used? | 35% | 13.3.1 | Degree of use of the outputs by the target group or stakeholders with respect to the project goal(s) or results (at the time of project closure) | Grade 1= the use of the outputs is above expectations Grade 2 = the project outputs are used as expected 6 = the project outputs are not used | Project proposal Project reports Self-evaluation scheme possibly interview with implementing agency In case of "on the ground" evaluations interviews with the target group | | |

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| Criterion 4: | Impact |
| Description: | <p>The criterion „impact“ scrutinizes the climate-relevant impacts that go beyond the direct outcomes of a respective project. Sometimes the wording "indirect outcomes" is also applied in this context. The "direct outcomes" of a project can be directly attributed to said project but also contribute to possible "indirect outcomes". Due to the so-called "attribution gap" it cannot fully be discerned to which degree the project contributes to the "indirect outcomes", because other projects and measures contribute to the "indirect outcomes" as well.</p> <p>The "indirect outcomes" (=impact) are at the end of the project's impact chain. Internationally (OECD-DAC) the following terms are used when talking about impact chains: activities, outputs, outcome (direct outcome), impact (indirect outcome). In German development cooperation another "layer" is inserted between output and outcome, namely "use of output".</p> |
| Higher-ranking guiding question | EF4: Do (climate-relevant) impacts arise in a sector / country, to which the direct project outcome contributes? |

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|---|------------|
| Calculation of the grade of the criterion: | 0,0 |
|---|------------|

| Guiding question | Weight of the guiding question | Indicator catalogue | | | To be completed by the evaluator | | |
|---|--------------------------------|---------------------|---|---|--|---|--|
| | | Indicator | Grading of the indicator: 1 highest grade (exceeding all expectations), 6 lowest grade. | Method / Source | Grade (only full grades, i.e. 1,2,3,4,5,6) | Justifications, explanations, or comments as to the grade | |
| GQ4.1: Which qualitative and quantitative climate-relevant impacts were achieved? | 60% | I4.1.1 | Realized/potential indirect emission reduction that go beyond the project level (in tCO2 or CO2 equivalent gases) | Quantitatively, i.e. in absolute numbers. For further aggregation of the results the tCO2 will be transposed in an ordinal assessment scale from 1 (very good) to 6 (negative impact), and assessed in proportion to the emission reduction goals of the project. | Project proposal Project reports Experience of the evaluator GHG monitoring data possibly interview with implementing agency | | |
| | | I4.1.2 | Realized/potential decrease of ecosystem vulnerability that goes beyond the project level | Grade from 2 (high chance for a decrease in ecosystem vulnerability) to 6 (no chance to decrease ecosystem vulnerability) | Project proposal Project reports Experience of the evaluator possibly interview with implementing agency | | |
| | | I4.1.3 | (Potential) indirect impact of staff and institutional capacities for preparing for and adapting to climate change (preparedness) and implementing of mitigation projects | Grade 1: The target group proactively prepares itself for adapting to climate change and for the implementation of mitigation projects. Grade from 2 (target group is prepared and can autonomously start relevant measures) to 6 (target group has not been prepared by the project to face climate change) | Project proposal Project reports Experience of the evaluator possibly interview with implementing agency | | |
| | | I4.1.4 | Degree of awareness of climate change and necessity for climate protection among the target group (proxy indicator - beyond the project level) | Grade 1: The target group works as "multiplier" for awareness raising. Grade from 2 (high awareness) to 6 (no awareness) | Project proposal Project reports possibly interview with implementing agency | | |
| GQ4.2: To which degree were relevant other un-intended impacts achieved ("Co-benefits"/negative side impacts)? This can also be impact that are not strictly "climate-relevant" Note: In case of no un-intended positive or negative side impacts this guiding question is not to be graded. The 20% should then be added to GQ4.1 | 20% | I4.2.1 | Positive un-intended side impact | Grading from 1 (very high) to 2 (high) Note: In case of no un-intended positive side impacts this indicator shall not be graded | Project proposal Project reports possibly interview with implementing agency | | |
| | | I4.2.2 | Negative un-intended side impact | Grading from 6 (high) to 5 (middle) to 4 (small) Note: In case of no un-intended negative side impacts this indicator shall not be graded | Project proposal Project reports possibly interview with implementing agency | | |
| GQ4.3: To which degree were multiplier effects in view of dissemination of the results achieved? | 20% | I4.3.1 | Potential for replication of the project approach in the geographic project area | Grade from 1 (yes) to 6 (useless) | Project proposal Project reports possibly interview with implementing agency | | |
| | | I4.3.2 | Replication outside of the initial geographic project area | Grade from 1 (yes, results are being replicated in other areas) to 6 (no, no interest in and / or movements towards a replication) | Project proposal Project reports possibly interview with implementing agency | | |

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| Criterion 5: | Sustainability |
| Description: | The criterion „sustainability“ scrutinizes the degree to which the project's outcome are continued to be used by the local stakeholders after project termination, as well as the degree to which the project impact stays visible. |
| Higher-ranking guiding question | EF5: Can the positive outcomes / impacts of the project be sustained? |

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| Calculation of the grade of the criterion: | 0,0 |
|---|------------|

| Guiding question | Weight of the guiding question | Indicator catalogue | | | To be completed by the evaluator | | |
|--|--------------------------------|---------------------|--|---|---|---|--|
| | | Indicator | Grading of the indicator: 1 highest grade (exceeding all expectations), 6 lowest grade. | Method / Source | Grade (only full grades, i.e. 1,2,3,4,5,6) | Justifications, explanations, or comments as to the grade | |
| QQ5.1: To which degree is the project's outcome verifiable even after the end of the project (in case of finished projects) or respectively to which degree is the project's impact expected to be verifiable after the end of the project? | 25% | 15.1.1 | Verifiable outcome after the end of the project (expected impact in case of ongoing projects) | Grade from 2 (outcome after the end of the project clearly visible, or respectively very likely in case of ongoing projects) to 6 (no verifiable outcome / impact to be expected after the project end) | Project proposal Project reports Experience of the evaluator possibly interview with implementing agency | | |
| QQ5.2: To which degree do the beneficiary / project partner have the technical, economic and political capacities of sustaining and continuing the positive results of the project after the project has ended? | 30% | 15.2.1 | Capacities of the beneficiary / project partner to continue the positive project results in a sustainable manner | Grade from 2 (capacities surely or most probably there) to 6 (capacities not there) | Project proposal Project reports possibly interview with implementing agency | | |
| QQ5.3: To which degree are the project's outputs continued by the beneficiary / project partner with their own resources after the end of the project? | 20% | 15.3.1 | Degree of continuation of the project's results with own resources by the beneficiary / project partner | Grade 1: the project has implemented activities that go beyond the initial project proposal and are sustained. Grade from 2 (high degree of continuation or use of the results) to 6 (no continuation or use of the results) | Project proposal Project reports possibly interview with implementing agency | | |
| | | 15.3.2 | Initiation of investments of third parties | Grade 1: Investment of third parties go beyond the project budget. Grade from 2 (similar investment of third parties initiated or probable) to 6 (no interest of third parties) | Project proposal Project reports possibly interview with implementing agency | | |
| QQ5.4: How stable is the ecological, social, institutional and economic situation in the project area? Could changes of the current situation negatively influence the project's sustainability? Note: In case one of the risks does not make sense in the context of the project then do not grade it here. E.g. the influence of ecological risks on a capacity building project is in theory thinkable, though venturing a grade does not make a lot of sense. | 25% | 15.4.1 | Probability of occurrence of ecological risks that can negatively influence the sustainability of the project | Grade from 1 (zero probability) to 2 (very small probability) to 6 (very high probability) | Project proposal Project reports Experience of the evaluator possibly interview with implementing agency | | |
| | | 15.4.2 | Probability of occurrence of social risks that can negatively influence the sustainability of the project | Grade from 1 (zero probability) to 2 (very small probability) to 6 (very high probability) | Project proposal Project reports Experience of the evaluator possibly interview with implementing agency | | |
| | | 15.4.3 | Probability of occurrence of institutional risks that can negatively influence the sustainability of the project | Grade from 1 (zero probability) to 2 (very small probability) to 6 (very high probability) | Project proposal Project reports Experience of the evaluator possibly interview with implementing agency | | |
| | | 15.4.4 | Probability of occurrence of economic risks that can negatively influence the sustainability of the project | Grade from 1 (zero probability) to 2 (very small probability) to 6 (very high probability) | Project proposal Project reports Experience of the evaluator possibly interview with implementing agency | | |

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| Criterion 6: | Coherence & Coordination |
| Description: | The criterion „coherence & coordination“ scrutinizes the degree to which activities / projects were coordinated with other bi- and multilateral donors as well as other German ministries / departments. |
| Higher-ranking guiding question | EF6: Is the project complementary to interventions of other donors? |

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| Calculation of the grade of the criterion: | 0,0 |
|---|------------|

| Guiding question | Weight of the guiding question | Indicator catalogue | | | To be completed by the evaluator | |
|--|--------------------------------|---------------------|--|--|---|---|
| | | Indicator | Grading of the indicator: 1 highest grade (exceeding all expectations), 6 lowest grade. | Method / Source | Grade (only full grades, i.e. 1,2,3,4,5,6) | Justifications, explanations, or comments as to the grade |
| GQ6.1: To which degree is the project complementary / additive towards projects of other donors (including other German ministries / state agencies)? | 50% | I6.1.1 | Coordination / harmonization of the project concept with other donors (including other German ministries / state agencies) with view to complementarity, additivity, duplicability | Grade from 2 (joined planning framework exists) to 6 (no coordination or harmonization of the project concept) | Project proposal Project reports possibly interview with implementing agency Evaluation on the ground: Interviews with stakeholders, other Donors and implementing organizations | |
| GQ6.2: Do the chosen forms of cooperation in project implementation assure an adequate coordination with other donors (including German ministries / state agencies)? | 50% | I6.2.1 | Ongoing coordination on the ground (in situ) | Grade from 2 (the modes of coordination in situ are adequate) to 6 (coordination is insufficient) | Project proposal Project reports possibly interview with implementing agency possibly self-evaluation scheme | |

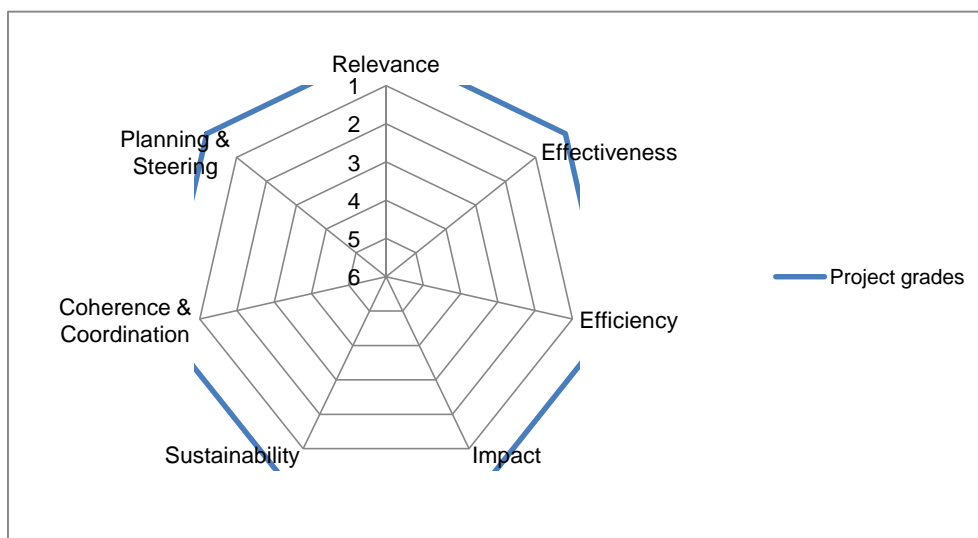
| | |
|--|--|
| Criterion 7: | Planning & Steering |
| Description: | The criterion „planning & steering“ scrutinizes the quality of the project management in terms of project planning and steering. |
| Higher-ranking guiding question | EF7: Are the employed planning and steering processes appropriate for reaching the project's goals? |

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|---|------------|
| Calculation of the grade of the criterion: | 0,0 |
|---|------------|

| Guiding question | Weight of the guiding question | Indicator catalogue | | | To be completed by the evaluator | | |
|--|--------------------------------|---------------------|---|--|---|---|--|
| | | Indicator | Grading of the indicator: 1 highest grade (exceeding all expectations), 6 lowest grade. | Method / Source | Grade (only full grades, i.e. 1,2,3,4,5,6) | Justifications, explanations, or comments as to the grade | |
| GQ7.1: To what degree is the project planning by the implementing agency, the partner organization and the project management team of good quality? | 50% | 17.1.1 | The general ecological, social, institutional and economic framework conditions were adequately analyzed. | Grade from 2 (adequately analysed) to 6 (not adequately analysed) | Project proposal Project reports possibly interview with implementing agency | | |
| | | 17.1.2 | The envisaged goals are precisely formulated and realistic. | Grade from 2 (realistic) to 6 (not realistic) What is scrutinized here is whether the goals are linked to the specific activities | Project proposal Project reports possibly interview with implementing agency | | |
| | | 17.1.3 | An informative operational plan is available. | Grade from 2 (informative) to 6 (not informative / not existing) | Project proposal Project reports possibly interview with implementing agency | | |
| | | 17.1.4 | The intervention logic (Logframe) is consistent and logical. | Grade from 2 (consistent and logical) to 6 (not consistent and logical / not existing) | Project proposal Project reports possibly interview with implementing agency | | |
| | | 17.1.5 | Indicators for performance review are formulated so as to render relevant information. | Grade from 2 (relevant) to 6 (not relevant) | Project proposal Project reports possibly interview with implementing agency | | |
| | | 17.1.6 | Indicators for performance review are measurable with acceptable effort. | Grade from 2 (necessary effort acceptable) to 6 (necessary effort not acceptable) | Project proposal Project reports possibly interview with implementing agency | | |
| GQ7.2: To what degree is the steering of the implementing agency, the partner organization and the project management team of good quality? | 50% | 17.2.1 | A monitoring & evaluation system relevant for the project's purpose / dimension is established. | Grade from 2 (established) to 6 (not existing) | Project proposal Project reports possibly interview with implementing agency | | |
| | | 17.2.2 | The monitoring & evaluation system is used. | Grade from 2 (used) to 6 (not used) | Project proposal Project reports possibly interview with implementing agency | | |
| | | 17.2.3 | The monitoring and evaluation system delivers relevant information for performance review. | Grade from 2 (relevant information) to 6 (useless information) | Project proposal Project reports possibly interview with implementing agency | | |
| | | 17.2.4 | A informative operational plan is continuously adjusted. | Grade from 2 (continuously adjusted) to 6 (not adjusted at all) | Project proposal Project reports possibly interview with implementing agency | | |
| | | 17.2.5 | Adherence to planned timeframe | Grade from 2 (full adherence) to 6 (nothing was achieved in the planned timeframe) | Project proposal Project reports possibly interview with implementing agency Comparison with the original planned timeframe as indicated in the project proposal and reports | | |

Overall assessment

| | To be finalized by the evaluator |
|--------------------------|----------------------------------|
| Criteria | Project grades |
| Relevance | 0 |
| Effectiveness | 0 |
| Efficiency | 0 |
| Impact | 0 |
| Sustainability | 0 |
| Coherence & Coordination | 0 |
| Planning & Steering | 0 |



Explanation of the spider chart

A spider chart is a graphical method of displaying multivariate data in the form of a two-dimensional chart of three or more quantitative variables represented on axes starting from the same point. It is ideally suited to show strengths and weaknesses of a given observation (in our case: project).

|

Annex 3: Self-evaluation scheme

(Annex 6 of the Evaluation report template)

Instructions for the self-assessment

This self-assessment sheet is meant to provide the opportunity for the implementing agency to critically review its own project.

Each guiding question should be carefully read, and each indicator should be rated from 1-6 (with 1 being the best grade and 6 being the worst grade). **It is to be noted, though, that grade "1" should only be given in case of a "very good result that exceeds clearly all expectations"**. Only full grades should be used, i.e. 1,2,3,4,5,6.

Justifications, explanations, or comments as to the self-assessment (grade), deviation from the planned results and lessons learnt should be provided.

Possible grades to be assigned to the evaluation criteria

| Possible grades | Standard definitions |
|-----------------|---|
| Grade 1 | Very good result, exceeding clearly all expectations |
| Grade 2 | Good result, fully fulfilling expectations, no major shortcomings |
| Grade 3 | Satisfying result, below expectations but the positive result dominate |
| Grade 4 | Non-satisfying result, clearly below expectations, negative results clearly dominate despite visible positive results |
| Grade 5 | Clearly inadequate result, clearly below expectations, negative results clearly dominate |
| Grade 6 | The project is to be seen very critically, it is useless and/or changed the situation for the worse |

Self-Assessment of target achievement by the implementing agency

Indicator rating: 1 = best grade possible, 6 = worst grade possible

Grade "1" should only be given in case of a "very good result, exceeds clearly all expectations"

Possible grades: 1,2,3,4,5,6

To be indicated by the implementing agency

| Evaluation criteria | Planned: Guiding question and planned results | Indicator | Achieved: Degree of target achievement (1,2,3,4,5,6) | Justifications, explanations, or comments as to the self-assessment (grade), deviation from the planned results and lessons learnt |
|---|---|--|--|--|
| Effectiveness | <p>GQ2.2: Was the project goal achieved (in case of finished projects), or respectively to which degree is it probable that the project goal will be achieved (in case of on-going projects)?</p> <p>Planned-GQ2.2: The project goal was fully achieved.</p> | <p>I2.2.1: Degree of project goal achievement</p> <p>(Based on the specific indicators of the project. If there are more than one indicator they will have to be ranked and added up. Only one grade shall be given here)</p> | | |
| Efficiency | <p>GQ3.1: Is the invested effort justified when compared to the respective reference value/frame (e.g. sector-specific mitigation costs)?</p> <p>Planned-GQ3.1: The invested effort is low compared to the respective reference value/frame (e.g. sector-specific mitigation costs)</p> | <p>I3.1.1: Cost per emission reduction (€/tCO2) compared to sector specific mitigation costs or conventional technologies</p> | | |
| | | <p>I3.1.2: Cost of adaption to climate change compared to the economic risks without adaption measures</p> | | |
| | | <p>I3.1.3: Cost efficiency of the implemented measures</p> | | |
| | <p>GQ3.2: Is the invested effort necessary to achieve the project goal(s)?</p> <p>Planned-GQ3.2: The invested effort is fully necessary to achieve the project goal(s).</p> | <p>I3.2.1: Requirement (costs) of implemented measures for achieving the project goal(s)</p> | | |
| <p>GQ3.3: Are the outputs of the project (e.g. capacities, knowledge, equipment) really used?</p> <p>Planned-GQ3.3: The outputs of the project (e.g. capacities, knowledge, equipment) are really used.</p> | <p>I3.3.1: Degree of utilization of the outputs through the target group</p> | | | |

| | | | | |
|--------|--|---|--|--|
| Impact | <p>GQ4.1: Which qualitative and quantitative climate-relevant impacts were achieved?</p> <p>Planned-GQ4.1: The envisaged qualitative and quantitative climate-relevant impacts were fully achieved.</p> | <p>I4.1.1: Realized/potential indirect emission reduction that go beyond the project level (in tCO2 or CO2 equivalent gases)</p> | | |
| | | <p>I4.1.2: Realized/potential decrease of ecosystem vulnerability that goes beyond the project level</p> | | |
| | | <p>I4.1.3: (Potential) indirect impact of staff and institutional capacities for preparing for and adapting to climate change (preparedness) and implementing of mitigation projects</p> | | |
| | | <p>I4.1.4: Degree of awareness of climate change and necessity for climate protection among the target group (proxy indicator - beyond the project level)</p> | | |
| | <p>GQ4.2: To which degree were relevant other un-intended impacts achieved ("Co-benefits"/negative side impacts)? This can also be impact that are not strictly "climate-relevant"</p> <p>Planned-GQ4.2: The intended positive impact was achieved, and no negative un-intended impacts were caused.</p> <p>Note: In case of no un-intended positive or negative side impacts this question is not to be graded</p> | <p>I4.2.1: Positive un-intended side impact</p> <p>Grading from 1 (very high) to 2 (high)</p> <p>Note: In case of no un-intended positive side impacts this indicator shall not be graded</p> | | |
| | | <p>I4.2.2: Negative un-intended side impact</p> <p>Grading from 6 (high) to 5 (middle) to 4 (small)</p> <p>Note: In case of no un-intended negative side impacts this indicator shall not be graded</p> | | |

| | | | | |
|----------------|---|--|--|--|
| | <p>GQ4.3: To which degree were multiplier effects in view of dissemination of the results achieved?</p> <p>Planned-GQ4.3: The envisaged multiplier effects in view of the dissemination of the results was achieved.</p> | <p>I4.3.1: Potential for replication of the project approach in the geographic project area</p> | | |
| | | <p>I4.3.2: Replication outside of the initial geographic project area</p> | | |
| Sustainability | <p>GQ5.1: To which degree is the project's impact verifiable even after the end of the project (in case of finished projects) or respectively to which degree is the project's impact expected to be verifiable after the end of the project?</p> <p>Planned-GQ5.1: Even after the end of the project the project's impact is verifiable without a doubt (or respectively for on-going projects: the project's impact is expected to be verifiable without a doubt even after the end of the project)</p> | <p>I5.1.1: Verifiable impact after the end of the project</p> | | |
| | <p>GQ5.2: To which degree do the beneficiary / project partner have the technical, economic and political capacities of sustaining and continuing the positive results of the project after the project has ended?</p> <p>Planned-GQ5.2: The beneficiary / project partner have the technical, economic and political capacities to sustain and continue the positive project results after the project has ended.</p> | <p>I5.2.1: Capacities of the beneficiary / project partner to continue the positive project results in a sustainable manner</p> | | |
| | <p>GQ5.3: To which degree are the project's outputs used or continued by the beneficiary / project partner?</p> <p>Soil-LF5.3: The project' outputs are used or continued by the beneficiary / project partner.</p> | <p>I5.3.1: Degree of continuation of the project's results with own resources by the beneficiary / project partner</p> | | |
| | | <p>I5.3.2: Initiation of investments of third parties</p> | | |

| | | | | |
|-----------------------------------|--|--|--|--|
| | <p>GQ5.4: How stable is the ecological, social, institutional and economic situation in the project area? Could changes of the current situation negatively influence the project's sustainability?</p> <p>Planned-GQ5.4: The ecological, social, institutional and economic situation in the project area is stable, changes cannot negatively influence the project's sustainability in a significant way.</p> | <p>I5.4.1: Probability of occurrence of ecological risks that can negatively influence the sustainability of the project</p> | | |
| | | <p>I5.4.2: Probability of occurrence of social risks that can negatively influence the sustainability of the project</p> | | |
| | | <p>I5.4.3: Probability of occurrence of institutional risks that can negatively influence the sustainability of the project</p> | | |
| | | <p>I5.4.4: Probability of occurrence of economic risks that can negatively influence the sustainability of the project</p> | | |
| Coherence and coordination | <p>GQ6.1: To which degree are is the project complementary / additive towards projects of other donors (including other German ministries / state agencies)?</p> <p>Planned-GQ6.1: The project concept is well coordinated / harmonized with other bi- and multilateral projects (including other German ministries / state agencies).</p> | <p>I6.1.1: Coordination / harmonization of the project concept with other donors (including other German ministries / state agencies) with view to complementarity, additivity, duplicability</p> | | |
| | <p>GQ6.2: Do the chosen forms of cooperation in project implementation assure an adequate coordination with other donors (including German ministries / state agencies)?</p> <p>Planned-GQ6.2: The chosen forms of cooperation ensure an adequate</p> | <p>I6.2.1: Ongoing coordination on the ground (<i>in situ</i>)</p> | | |
| Planning and steering | <p>GQ7.1: To what degree is the project planning by the implementing agency, the partner organization and the project management team of good quality?</p> <p>Planned-GQ7.1: Project planning of the implementing agency, the partner organization and the project management team is fully adequate.</p> | <p>I7.1.1: The general ecological, social, institutional and economic framework was adequately analysed</p> | | |
| | | <p>I7.1.2: The envisaged goals are precisely formulated and realistic</p> | | |
| | | <p>I7.1.3: A meaningful operational plan is available</p> | | |
| | | <p>I7.1.4: The intervention logic (vertically and horizontally) is consistent and logical</p> | | |
| | | <p>I7.1.5: Indicators for performance review are formulated so as to lead to meaningful information</p> | | |
| | | <p>I7.1.6: Indicators for performance review are measurable with acceptable effort</p> | | |

| | | | |
|---|--|--|--|
| <p>GQ7.2: To what degree is the steering of the implementing agency, the partner organization and the project management team of good quality?</p> <p>Planned-GQ7.2: The steering of the implementing agency, the partner organization and the project management team is fully adequate.</p> | <p>I7.2.1: A monitoring and evaluation system is established</p> | | |
| | <p>I7.2.2: The monitoring is used</p> | | |
| | <p>I7.2.3: The monitoring and evaluation system delivers relevant information for performance review</p> | | |
| | <p>I7.2.4: A meaningful operational plan is continuously adjusted</p> | | |
| | <p>I7.2.5: Adherence to planned timeframe</p> | | |
| <p>GQ7.3: To which degree is quality control undertaken by the contracting agency / the Program Office?</p> <p>Planned-GQ7.3: Quality control by the contracting agency / the Program Office is fully sufficient</p> | <p>I7.3.1: The contracting agency (Ministry of Environment / Program Office) reacts to progress reports in a timely manner</p> | | |
| | <p>I7.3.2: The contract agency (Ministry of Environment / Program Office) questions the content of the progress reports and/or provides feedback for project implementation</p> | | |

Self-Assessment of target achievement by the implementing agency

Indicator rating: 1 = best grade possible, 6 = worst grade possible
(Possible grades: 1,2,3,4,5,6)

EXAMPLE

| Evaluation criteria | Planned: Guiding question and planned results | Indicator | To be indicated by the implementing agency | |
|---------------------|--|---|--|--|
| | | | Achieved: Degree of target achievement (1,2,3,4,5,6) | Justification, explanation, or comments for the deviation from the planned results |
| Efficiency | GQ3.2: Is the invested effort necessary to achieve the project goal(s)? Planned-GQ3.2: The invested effort is fully necessary to achieve the project goal(s). | I3.2.1: Necessity (cost) of the implemented measures for achieving the project goal(s) | 2 | Every measure was necessary to achieve the project goal. At times the efficiency of the implemented activity could have been increased, though was impeded through local peculiarities (difficult access to government officials) |
| | GQ3.3: Are the outputs of the project (e.g. capacities, knowledge, equipment) really used? Planned-GQ3.3: The outputs of the project (e.g. capacities, knowledge, equipment) are really used. | I3.3.1: Degree of utilization of the outputs through the target group | 3 | The project is still going on, though it is likely that only a part of the target group will use the project's outputs. This is mostly due to the fact that behavioural change is needed, which comes only slowly and not to everyone. |



Evaluation of the International Climate Initiative (ICI) of the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU)

Evaluation report for

| | |
|----------------------------------|--|
| Project Number | |
| Project Name | |
| Country of Implementation | |
| Implementer | |
| Project Start | |
| Project End | |
| Project Budget | |

Client



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ANNEXES

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ABBREVIATIONS

| | |
|------|--|
| BMU | Bundesministerium für Umwelt, Naturschutz und Reaktorsicherheit (Federal Ministry for the Environment, Nature Conservation and Nuclear Safety) |
| BMZ | Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (Federal Ministry for Economic Cooperation and Development) |
| PB | Programmbüro Internationale Klimaschutzinitiative (Program Office for the International Climate Initiative) |
| UBA | Umweltbundesamt (Environment Agency Germany) |
| BMWI | Bundesministerium für Wirtschaft und Technologie (Federal Ministry of Economics and Technology) |

PRELIMINARY REMARKS

Performance review to measure impacts and learn

In October 2010, the consortium GFA Consulting Group GmbH and GFA ENVEST GmbH was commissioned by the German Federal Environment Agency (UBA) on behalf of BMU to evaluate a selection of ICI-financed projects as well as the overall programme. The evaluation is to be understood as a comprehensive performance review of the BMU initiative. It shall measure and assess results and impacts of the individual projects and the programme as a whole, as well as at the same time function as accountability / reporting document for the German Government and public at large. Further, given that ICI is still ongoing, special attention is to be paid to discerning areas of *improvement* for future steering and implementation.

Standardized criteria and indicators

The evaluation criteria are based on the five OECD-DAC criteria for project evaluation (relevance, effectiveness, efficiency, sustainability, impact). In addition, they have been extended by the two criteria “Coherence and Coordination” and “Planning and Steering” so as to capture additional insights into ICI (projects and programme). Every guiding question will be answered based on a set of indicators. The range of the developed guiding questions and indicators is quite extensive. This is due to the diversity of the projects, not only in terms of differences between adaptation and mitigation projects, but also due to the thematic diversity within the individual areas. The challenge was to provide a methodology that is as standardized as possible while at the same time leaving enough room to accommodate comparisons of very different projects and take project specifics into account. This has been achieved by creating the standardized assessment scheme that is used as the basis for this evaluation (see Annex 5).

Scale from 1-6

The majority of the quantitative and qualitative indicators that correspond to the guiding questions are rated from 1-6 (with 1 being the best grade and 6 being the worst grade). It is to be noted, though, that grade "1" is only given in case of a "very good result that clearly exceeds all expectations". For “good result, fully fulfilling expectations” grade 2 is assigned, in line with international standards. In the end, each evaluation criterion will be visualized in a spider diagram (see Annex 5).

Self-evaluation

The implementing agency also has the possibility to fill out a self-evaluation scheme (see Annex 6)¹. This provides the implementing agency with the possibility to critically assess their project and is also used as a basis for discussion between the evaluator and the implementing agency. The self-evaluation scheme contains basically the same criteria and indicators as the scheme used by the evaluator.

Present evaluation

Some projects were evaluated by means of a „desk study“, and some were evaluated „in situ“. The present evaluation was a (desk study / in situ evaluation). The evaluation is based on the analysis of the approved project proposal, project reports and documents provided by the Programme Office / implementing agency, as well as additional sources (see Annex 3). (Furthermore, interviews with target groups / stakeholders were conducted).

During the in situ project visit interviews with the project manager and all relevant and involved institutions (on national, regional and local level) were

¹ The self-evaluation is an „original document“, and in accordance with UBA, was therefore not translated or edited.

conducted, as well as with representatives of the target group (see Annex 4).

The mission was (excellently / appropriately) supported by the locally present implementing agency / the implementing agency was no longer present in the project area. The evaluator would like to thank everyone involved for their support!

The content of the present evaluation report shows the opinion of GFA and not necessarily that of the implementer or BMU / UBA.

S U M M A R Y

Summary of the report approx.. 1 page:

- Framework conditions at the outset of the project and project goals
- Short summary of all 7 evaluation criteria (and reference to Chapter 3 of the report as well as to the evaluation scheme in Annex 5)
- Success factors / deficits, Lessons learned and suggestions für the ICI project and program (if possible in bullet points)

1 SHORT PROJECT SUMMARY

1.1 Project Context

Text

1.2 Project Objectives

1.3 Project Concept

2 EVALUATION RESULTS

2.1 Relevance

The following indicators were applied for this particular project (mentioned here in abbreviated form, please see Annex 5):

| | |
|--------|---|
| I1.1.1 | Expected / planned direct and / or indirect emission reductions |
| I1.1.2 | Exemplary approaches with potential for replication |
| I1.1.3 | Planned contribution to the international climate regime |
| I1.1.4 | Planned contribution to biodiversity conservation and / or the ability to adapt to climate change |
| I1.1.5 | Planned application of innovative approaches towards emission reduction or adaptation |
| I1.1.6 | Intended impact on the state of natural carbon sinks |
| I1.1.7 | Capacity for monitoring and / or prediction of climate change |
| I1.2.1 | Accordance of the project's activities / outcomes with national climate policies |
| I1.2.2 | Appreciation of the project by the partner government |

TEXT

Conclusion:

Appraisal grade:

2.2 Coherence and Coordination

The following indicators were applied for this particular project (mentioned here in abbreviated form, please see Annex 5):

| | |
|--------|--|
| I6.1.1 | Coordination / harmonization of the project concept with other donors and German government agencies |
| I6.2.1 | Ongoing coordination on the ground (in situ) |

TEXT

Conclusion:

Appraisal grade:

2.3 Quality of Planning and Project Steering

The following indicators were applied for this particular project (mentioned here in abbreviated form, please see Annex 5):

| | |
|--------|--|
| I7.1.1 | The general ecological, social, institutional and economic framework conditions were adequately analyzed |
| I7.1.2 | The envisaged goals are precisely formulated and realistic |

| | |
|--------|--|
| 17.1.3 | An informative operational plan is available |
| 17.1.4 | The intervention logic (Logframe) is consistent and logical |
| 17.1.5 | Indicators for performance review are formulated so as to render relevant information |
| 17.1.6 | Indicators for performance review are measurable with acceptable effort |
| 17.2.1 | A monitoring & evaluation system relevant for the project's purpose / dimension is established |
| 17.2.2 | The monitoring & evaluation system is used |
| 17.2.3 | The monitoring and evaluation system delivers relevant information for performance review |
| 17.2.4 | An informative operational plan is continuously adjusted |
| 17.2.5 | Adherence to planned timeframe |

TEXT

Conclusion:

Appraisal grade:

2.4 Effectiveness

The following indicators were applied for this particular project (mentioned here in abbreviated form, please see Annex 5):

| | |
|--------|------------------------------------|
| 12.2.1 | Degree of project goal achievement |
| | Specific project goal 1 |
| | Specific project goal 2 |
| | Etc |

TEXT

Conclusion:

Appraisal grade:

2.5 Efficiency

The following indicators were applied for this particular project (mentioned here in abbreviated form, please see Annex 5):

| | |
|--------|--|
| 13.1.1 | Cost per emission reduction (€/tCO ₂) compared to sector specific mitigation costs or conventional technologies |
| 13.1.2 | Cost of adaption to climate change compared to the economic risks without adaption measures |
| 13.1.3 | Cost efficiency of the implemented measures |
| 13.2.1 | Requirement of implemented measures for achieving the project goal(s) |
| 13.3.1 | Degree of use of the outputs by the target group or stakeholders with respect to the project goal(s) or results (at the time of project closure) |

TEXT

Conclusion:

Appraisal grade:

2.6 Impact

The following indicators were applied for this particular project (mentioned here in abbreviated form, please see Annex 5):

| | |
|--------|---|
| 14.1.1 | Realized/potential indirect emission reduction that go beyond the project level |
| 14.1.2 | Realized/potential decrease of ecosystem vulnerability that goes beyond the project level |
| 14.1.3 | (Potential) indirect impact of staff and institutional capacities for preparing for and adapting to climate change (preparedness) and implementing of mitigation projects |
| 14.1.4 | Degree of awareness of climate change and necessity for climate protection among the target group |
| 14.2.1 | Positive un-intended side impact |
| 14.2.2 | Negative un-intended side impact |
| 14.3.1 | Potential for replication of the project approach in the geographic project area |
| 14.3.2 | Replication outside of the initial geographic project area |

TEXT

Conclusion:

Appraisal grade:

2.7 Sustainability

The following indicators were applied for this particular project (mentioned here in abbreviated form, please see Annex 5):

| | |
|--------|--|
| 15.1.1 | Verifiable outcome after the end of the project (expected impact in case of ongoing projects) |
| 15.2.1 | Capacities of the beneficiary / project partner to continue the positive project results in a sustainable manner |
| 15.3.1 | Degree of continuation of the project's results with own resources by the beneficiary / project partner |
| 15.3.2 | Initiation of investments of third parties |
| 15.4.1 | Probability of occurrence of ecological risks |
| 15.4.2 | Probability of occurrence of social risks |
| 15.4.3 | Probability of occurrence of institutional risks |
| 15.4.4 | Probability of occurrence of economic risks |

TEXT

Conclusion:

Appraisal grade:

2.8 Additional Qualitative Comments

**3 SUMMARY OF PROJECT
EVALUATION**

ANNEX 1: Activity sequence

| DATE | Activity | Comments |
|------------|--|----------|
| XX.XX.2011 | Forwarding the self-evaluation scheme to the implementing organisation | |
| XX.XX.2011 | Reception of the completed self-evaluation | |
| XX.XX.2011 | Phone interview with the implementing organization to clarify open questions | |
| | etc | |
| | | |
| | | |
| XX.XX.2011 | Forwarding the report to GFA | |
| XX.XX.2011 | Quality control by GFA | |
| XX.XX.2011 | Inclusion of comments | |
| XX.XX.2011 | Final approval by GFA | |
| | | |
| | | |
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| | | |
| | | |
| | | |
| | | |
| | | |

ANNEX 2: Cluster classification

| CLUSTER | BMU/UBA | Evaluator |
|--|---------|-----------|
| <p>CLUSTER 1: Capacity development & policy consultancy</p> <p>Projects that place the main emphasis on capacity development & policy consultancy.</p> | | |
| <p>CLUSTER 2: Climate-friendly economy & sustainable energy supply</p> <p>Projects that have the goal to support partner countries in the development of an economy which avoids to the greatest possible degree the emission of hostile greenhouse gases. Improvement of energy efficiency, increase of renewable energy and reduction of greenhouse gases are supported both through investment measures as well as know-how transfer and policy consultancy.</p> | | |
| <p>CLUSTER 3: Biodiversity & carbon sinks</p> <p>In the area „carbon sinks / REDD“ projects are supported that aim at the preservation of carbon sinks, especially forests and other ecosystems like wetlands. Activities in these areas are meant to improve synergies between climate protection and biodiversity protection.</p> | | |
| <p>CLUSTER 4: Adaptation to climate change</p> <p>In the area „adaptation to climate change“ national adaptation programs are supported in partner countries that are most vulnerable to climate change. Ideally, an integrated approach is to be chosen in order to target more than one aspect of adaptation, for instance a combination of one or more of the following: water resource management, optimized land use planning, sustainable biomass production, health, disaster risk management and migration.</p> | | |
| <p>CLUSTER 5: Regional cluster</p> <p>All projects are included in this cluster</p> | | |
| <p>CLUSTER 6: Technology cooperation</p> <p>In this cluster projects are included that have the following characteristics:</p> <ul style="list-style-type: none"> • Projects that bear sufficient reference to technical facilities (physical installation of facilities, technological standard setting, improvement of technical systems, improvement of technical information management, adaptation of technology to local specifications, technology-relevant software and manuals, technical knowledge transfer, capacity development for the direct use of technology, research in the area of technology, financing of technology) • Projects that strengthen technology innovation systems and technology clusters (e.g. systemic approaches that combine different forms of technology cooperation such as networking, institutionalization, institution building, broad research platforms). | | |

Statement of grounds in case of diverging opinion:

ANNEX 3: Most important sources

- Invitation to submit a proposal
- Project proposal and approval
- Budget
- Midterm report
- Final report and budget
- Request for project extension and approval
- Request for changes within the project and approval
- Other documents (e.g. technical literature)

ANNEX 4: Interviewees

| NAME | Organization | Position |
|------|--------------|----------|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

Annex 5: Evaluation scheme

Instructions for ICI project evaluation

A streamlined and consistent grading system is important to guarantee comparability of evaluation results. Our standardized evaluation scheme provides the possibility to assess each and every project according to the same 7 evaluation criteria, while at the same time leaving room for project-specific goals to be considered.

Grades for Indicators: The majority of quantitative and qualitative indicators are graded on a scale from 1-6 (with 1 being the best grade and 6 being the worst grade). **It is to be noted, though, that grade "1" is only given in case of a "very good result that clearly exceeds all expectations". A "good result, fully fulfilling expectations" receives the grade "2".** Please see the next spread sheet "Possible Grades" and the respective indicators for more specific explanations.

Grades for Guiding Questions: When more than one indicator is used to answer a guiding question, then the average grade of the indicators is calculated. Indicators that were not applied are not taken into the calculation.

Grade for Evaluation Criteria: The guiding questions are used to grade the evaluation criterion. Each guiding question is weighed (percentage indicated after each guiding question) and then multiplied with the average grade of the indicators. Grades are given to the first decimal point. Each of the 7 criteria will be graded in this way. In the end, each criterion will have received a grade between 1,0 and 6,0.

Example for Criterion 1 - Relevance

| GUIDING QUESTION | Indicator | Grade (1-6) |
|---|---|---|
| EF1: DO THE PROJECT GOALS TAKE INTO ACCOUNT ICI'S OVERALL GOALS? | | |
| GQ1.1: To which degree does the project contribute to the achievement of ICI's program goals? | I1.1.2: Exemplary approaches in the area of adaption to / mitigation of climate change with potential for replication. (Topping-Up Indicator) | The approach is both exemplary and generally apt for replication Grade: 1 |
| | I1.1.4: Planned contribution to biodiversity conservation and / or the ability to adapt to climate change | Contribution to biodiversity conservation is the main goal of the project Grade: 2 |
| GQ1.2: To which degree is the project relevant for achieving the country's "climate goals"? | I1.2.1: Accordance of the project's activities / outcomes with national climate policies (and / or energy policies, adaptation strategy, biodiversity strategy) | The project is in accordance with national climate policies Grade: 2 |
| | I1.2.2: Recognition of the project by the partner government and sector ministries (agriculture, forestry, health, or the like) of the partner country | The partner government has expressed their full support of the project already before it had started Grade: 2 |
| EF: Higher ranking guiding question / GQ: Guiding question / I: Indicator | | |

The calculation of the grades of the guiding questions is done as follows:

- GQ 1.1: $(1+2) / 2 = 1,5$
- GQ 1.2: $(2+2) / 2 = 2$

The percentage weight for the guiding questions is:

- GQ 1.1 = 70%
- GQ 1.2 = 30%

The grade for Criterion 1 Relevance is now calculated as follows:

$$\text{Grade Criterion 1 Relevance} = (0,7 \cdot 1,5) + (0,3 \cdot 2) = 1,65$$

Rounded to the first decimal point the grade for Criterion 1 Relevance is therefore 1,7.

This grade is explained narratively both in the evaluation scheme as well as in the evaluation report.

Possible grades to be assigned to the evaluation criteria

| Possible grades | Standard definitions |
|-----------------|---|
| Grade 1 | Very good result, exceeding clearly all expectations |
| Grade 2 | Good result, fully fulfilling expectations, no major shortcomings |
| Grade 3 | Satisfying result, below expectations but the positive result dominate |
| Grade 4 | Non-satisfying result, clearly below expectations, negative results clearly dominate despite visible positive results |
| Grade 5 | Clearly inadequate result, clearly below expectations, negative results clearly dominate |
| Grade 6 | The project is to be seen very critically, it is useless and/or changed the situation for the worse |

| | |
|--|--|
| Criterion 1: | Relevance |
| Description: | The criterion „relevance“ scrutinizes the intervention logic of the respective individual project in the context of the overall ICI program. |
| Higher-ranking guiding question | GQ1: Do the project goals take into account ICI's overall goals? |

| | |
|---|-----|
| Calculation of the grade of the criterion: | 0,0 |
|---|-----|

| Guiding question | Weight of the guiding question | Indicator catalogue | | | Grade (only full grades, i.e. 1,2,3,4,5,6) | To be completed by the evaluator Justifications, explanations, or comments as to the grade | |
|--|--------------------------------|---------------------|---|---|--|---|--|
| | | Indicator | Grading of the indicator: 1 highest grade (exceeding all expectations), 6 lowest grade. | Method / Source | | | |
| <p>GQ1.1: To which degree does the project contribute to the achievement of ICI's program goals?</p> <p>The relevant ICI program goals are: : - Climate protection - Adaptation to climate change - Contribution to the international climate regime - Biodiversity - Monitoring of climate change - Innovation e.g. for the project region or target group (sub-ordinate criterion)</p> <p>ATTENTION: As soon as one of the four "Topping up Indicators" has been awarded (Grade 1), the "Topping up potential" is fully utilized. That means that the 4 possible Topping up indicators only figure with <u>one</u> Grade in the overall grading of this guiding question.</p> <p>Example: I1.1.1 = 2 I1.1.2 = 1 I1.1.3 = 1 GQ1.1. = (2+1) / 2</p> | 70% | I1.1.1 | Expected / planned direct and / or indirect emission reductions (in t CO2 or CO2 equivalents like methane, nitrous oxide) in case of average success of the project | We are looking both at "thematic relevance" as well as "relevant volume". The overall impact (direct and indirect emission reductions) should be assessed according to the following reference scale: from 2 = reduction of > 100.000 t CO2 per year to: 6 = reduction of < 10.000 t CO2 per year | Project proposal The project concept will be scrutinized and graded with view to the expected / planned direct and / or indirect emission reductions. GHG monitoring data In case of pure capacity building projects the theoretical implications of the measures in the national context is to be assessed and graded. | | |
| | | I1.1.2 | Exemplary approaches in the area of adaption to / mitigation of climate change with potential for replication | Approaches / models present in the project proposal that have pilot project characteristics and replication potential. The project is designed to develop exemplary approaches that can also be further applied outside the project context. Possible grades: Yes (1) or No (no grade). Thus, the indicator is a "topping up indicator" because it is only taken into consideration if the answer is "yes". | Project proposal The project concept and methodological approach are scrutinized as to their replicability. | | |
| | | I1.1.3 | Planned contribution to the international climate regime | E.g. presentations at UNFCCC / SBSTA meetings, development of new (CDM) methods, capacity building of relevant institutions, influence on national policies, etc. Possible grades: Yes (1) or No (no grade). Thus, the indicator is a "topping up indicator" because it is only taken into consideration if the answer is "yes". | Project proposal Project reports possibly interview with implementing agency (list of inputs relevant for climate policies, e.g. UNFCCC / SBSTA meetings, other presentations, developed methods, etc. | | |
| | | I1.1.4 | Planned contribution to biodiversity conservation and / or the ability to adapt to climate change | Biodiversity is not reduced and / or ability to adapt to climate change is improved. Grade from 2 (planned contribution is high) to 6 (no contribution visible) | Project proposal Project reports possibly interview with implementing agency | | |
| | | I1.1.5 | Planned application of innovative approaches towards emission reduction or adaptation (e.g. new approach, further development of an existing approach, new approach for the target group / implementing agency, etc.) | The aim of the project is the development of innovative approaches. Possible grades: Yes (1) or No (no grade). Thus, the indicator is a "topping up indicator" because it is only taken into consideration if the answer is "yes". | Project proposal Project reports possibly interview with implementing agency | | |
| | | I1.1.6 | Intended impact on the state of natural carbon sinks | Carbon sinks are preserved. Grade from 2 (carbon sinks are preserved or conditions for preservation are created) to 6 (no contribution visible) | Project proposal Project reports GHG monitoring data possibly interview with implementing agency | | |
| | | I1.1.7 | Capacity for monitoring and / or prediction of climate change | Possible grades: Yes (1) or No (no grade). Thus, the indicator is a "topping up indicator" because it is only taken into consideration if the answer is "yes". | Project proposal Project reports possibly interview with implementing agency | | |
| <p>GQ1.2: To which degree is the project relevant for achieving the country's "climate goals"?</p> | 30% | I1.2.1 | Accordance of the project's activities / outcomes with national climate policies (and / or energy policies, adaptation strategy, biodiversity strategy) | Grade from 2 (accordance clearly visible) to 6 (no accordance) | Project proposal Internet research possibly interview with implementing agency (inquiry as to the forwarding of relevant strategy papers) | | |
| | | I1.2.2 | Appreciation of the project by the partner government and sector ministries (agriculture, forestry, health, or the like) of the partner country | Grade from 2 (the project is highly appreciated) to 6 (no or close to none appreciation) | Project proposal Project reports possibly interview with implementing agency Existence of a "support letter" and or intangible and or tangible support by the partner government. | | |

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| Criterion 2: | Effectiveness |
| Description: | The criterion Effectiveness scrutinizes the degree of target achievement, i.e. the extend to which the defined project goals were reached (in case of ongoing projects: the likelihood that the project goals will be reached). |
| Higher-ranking guiding question | EF2: To which degree were the defined project goals reached? |

| | |
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| Calculation of the grade of the criterion: | 0,0 |
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| Guiding question | Weight of the guiding question | Indicator catalogue | | | To be completed by the evaluator | |
|--|---|---------------------|---|--|---|---|
| | | Indicator | Grading of the indicator: 1 highest grade (exceeding all expectations), 6 lowest grade. | Method / Source | Grade (only full grades, i.e. 1,2,3,4,5,6) | Justifications, explanations, or comments as to the grade |
| GQ2.1: Is the project goal realistic from today's point of view? | (this GQ does not figure in the overall grading of the criterion effectiveness: it is rather meant in order to better be able to judge the actual degree of target achievement from today's point of view.) | I2.1.1 | Achievability of the goals and / or the target indicators | Grade from 2 (realistic) to 6 (completely unrealistic) | Project proposal Project reports The evaluator analyses the project proposal and reports considering the framework conditions. | |
| GQ2.2: Was the project goal achieved (in case of finished projects), or respectively to which degree is it probable that the project goal will be achieved (in case of ongoing projects)? | 100% | I2.2.1 | Degree of project goal achievement (Based on the specific goals of the project. If there are more than one indicator they will possibly have to be weighed in case the project proposal makes it clear that not each goal is equally important) Please list and grade the specific project goals in separate rows! | Grade from 2 (the goals were achieved, or accordingly it is likely that the goals will be achieved) to 6 (none of the goals were achieved) Grade 1 only in case of very good result, exceeding clearly all expectations | Project proposal Project reports possibly interview with implementing agency The evaluator clearly explains in his justifications / explanations the scrutinized individual target indicators of the project. The assessment of I2.1.1 will also be used to better explain I.2.2.1 . | |

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| Criterion 3: | Efficiency |
| Description: | The criterion „efficiency“ scrutinizes the economic feasibility of the respective project. |
| Higher-ranking guiding question | EF3: How is the relation between the project results and the employed (financial) means to be judged? |

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| Calculation of the grade of the criterion: | 0,0 |
|---|------------|

| Guiding question | Weight of the guiding question | Indicator catalogue | | | To be completed by the evaluator | | |
|--|--------------------------------|---------------------|--|--|--|---|--|
| | | Indicator | Grading of the indicator: 1 highest grade (exceeding all expectations), 6 lowest grade. | Method / Source | Grade (only full grades, i.e. 1,2,3,4,5,6) | Justifications, explanations, or comments as to the grade | |
| GQ3.1: Is the invested effort justified when compared to the respective reference value/frame (e.g. sector-specific mitigation costs)? | 40% | 13.1.1 | Cost per emission reduction (€/tCO ₂) compared to sector specific mitigation costs or conventional technologies | Grade 1: costs are significantly below comparable methods Grade from 2 (cost efficient) to 6 (not cost efficient) | Project proposal Project reports possibly interview with implementing agency GHG monitoring data If the indicator is not measurable because the implementing agency itself has not calculated it or did not use a proxy indicator, then this indicator cannot be graded under the Criterion Efficiency. Instead, it will negatively influence the Criterion "Planning & Steering". | | |
| | | 13.1.2 | Cost of adaption to climate change compared to the economic risks without adaption measures | Semi-quantitative assessment of the costs in comparison to the project results: Grade 1: Costs are lower than expected Grade from 2 (low costs) to 6 (not cost efficient) Hardly any reliable data / cost-benefit figures are available to assess this indicator. This is not least due to the fact that in one single project more than one sector could be targeted. The evaluator should roughly assess the costs e.g. of a crop failure or declining water resources and compare it with the adaptation costs of the project. | Project proposal Project reports possibly interview with implementing agency Rough assessment of the monetary worth of the project result. Comparison with the results of other ICI projects. | | |
| | | 13.1.3 | Cost efficiency of the implemented measures | Assessment of individual measures. Grade from 1 (the measures are more cost efficient than expected); 2 (all measures are cost efficient) to 6 (no measure is cost efficient) | Project proposal Project reports possibly interview with implementing agency If the budget plan is available, then analysis of the proportionality of the individual budget items to the overall budget and project goals. This draws on the experience of the evaluators. If no budget plan is available a request should be send to the ICI coordinator. If he cannot procure it then the implementing agency should be contacted. If the consultation is not satisfactory then this indicator should receive a low grade (per default). | | |
| GQ3.2: Is the invested effort necessary to achieve the project goal(s)? | 25% | 13.2.1 | Requirement of implemented measures for achieving the project goal(s) | Assessment of the individual measures. Grade from 2 (all measures were necessary) to 6 (none of the measures were necessary) | Project proposal Project reports possibly interview with implementing agency | | |
| GQ3.3: Are the outputs of the project (e.g. capacities, knowledge, equipment) really used? | 35% | 13.3.1 | Degree of use of the outputs by the target group or stakeholders with respect to the project goal(s) or results (at the time of project closure) | Grade 1= the use of the outputs is above expectations Grade 2 = the project outputs are used as expected 6 = the project outputs are not used | Project proposal Project reports Self-evaluation scheme possibly interview with implementing agency In case of "on the ground" evaluations interviews with the target group | | |

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| Criterion 4: | Impact |
| Description: | <p>The criterion „impact“ scrutinizes the climate-relevant impacts that go beyond the direct outcomes of a respective project. Sometimes the wording "indirect outcomes" is also applied in this context. The "direct outcomes" of a project can be directly attributed to said project but also contribute to possible "indirect outcomes". Due to the so-called "attribution gap" it cannot fully be discerned to which degree the project contributes to the "indirect outcomes", because other projects and measures contribute to the "indirect outcomes" as well.</p> <p>The "indirect outcomes" (=impact) are at the end of the project's impact chain. Internationally (OECD-DAC) the following terms are used when talking about impact chains: activities, outputs, outcome (direct outcome), impact (indirect outcome). In German development cooperation another "layer" is inserted between output and outcome, namely "use of output".</p> |
| Higher-ranking guiding question | EF4: Do (climate-relevant) impacts arise in a sector / country, to which the direct project outcome contributes? |

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| Calculation of the grade of the criterion: | 0,0 |
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| Guiding question | Weight of the guiding question | Indicator catalogue | | | To be completed by the evaluator | | |
|---|--------------------------------|---------------------|---|---|--|---|--|
| | | Indicator | Grading of the indicator: 1 highest grade (exceeding all expectations), 6 lowest grade. | Method / Source | Grade (only full grades, i.e. 1,2,3,4,5,6) | Justifications, explanations, or comments as to the grade | |
| GQ4.1: Which qualitative and quantitative climate-relevant impacts were achieved? | 60% | I4.1.1 | Realized/potential indirect emission reduction that go beyond the project level (in tCO2 or CO2 equivalent gases) | Quantitatively, i.e. in absolute numbers. For further aggregation of the results the tCO2 will be transposed in an ordinal assessment scale from 1 (very good) to 6 (negative impact), and assessed in proportion to the emission reduction goals of the project. | Project proposal Project reports Experience of the evaluator GHG monitoring data possibly interview with implementing agency | | |
| | | I4.1.2 | Realized/potential decrease of ecosystem vulnerability that goes beyond the project level | Grade from 2 (high chance for a decrease in ecosystem vulnerability) to 6 (no chance to decrease ecosystem vulnerability) | Project proposal Project reports Experience of the evaluator possibly interview with implementing agency | | |
| | | I4.1.3 | (Potential) indirect impact of staff and institutional capacities for preparing for and adapting to climate change (preparedness) and implementing of mitigation projects | Grade 1: The target group proactively prepares itself for adapting to climate change and for the implementation of mitigation projects. Grade from 2 (target group is prepared and can autonomously start relevant measures) to 6 (target group has not been prepared by the project to face climate change) | Project proposal Project reports Experience of the evaluator possibly interview with implementing agency | | |
| | | I4.1.4 | Degree of awareness of climate change and necessity for climate protection among the target group (proxy indicator - beyond the project level) | Grade 1: The target group works as "multiplier" for awareness raising. Grade from 2 (high awareness) to 6 (no awareness) | Project proposal Project reports possibly interview with implementing agency | | |
| GQ4.2: To which degree were relevant other un-intended impacts achieved ("Co-benefits"/negative side impacts)? This can also be impact that are not strictly "climate-relevant" Note: In case of no un-intended positive or negative side impacts this guiding question is not to be graded. The 20% should then be added to GQ4.1 | 20% | I4.2.1 | Positive un-intended side impact | Grading from 1 (very high) to 2 (high) Note: In case of no un-intended positive side impacts this indicator shall not be graded | Project proposal Project reports possibly interview with implementing agency | | |
| | | I4.2.2 | Negative un-intended side impact | Grading from 6 (high) to 5 (middle) to 4 (small) Note: In case of no un-intended negative side impacts this indicator shall not be graded | Project proposal Project reports possibly interview with implementing agency | | |
| GQ4.3: To which degree were multiplier effects in view of dissemination of the results achieved? | 20% | I4.3.1 | Potential for replication of the project approach in the geographic project area | Grade from 1 (yes) to 6 (useless) | Project proposal Project reports possibly interview with implementing agency | | |
| | | I4.3.2 | Replication outside of the initial geographic project area | Grade from 1 (yes, results are being replicated in other areas) to 6 (no, no interest in and / or movements towards a replication) | Project proposal Project reports possibly interview with implementing agency | | |

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| Criterion 5: | Sustainability |
| Description: | The criterion „sustainability“ scrutinizes the degree to which the project's outcome are continued to be used by the local stakeholders after project termination, as well as the degree to which the project impact stays visible. |
| Higher-ranking guiding question | EF5: Can the positive outcomes / impacts of the project be sustained? |

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| Calculation of the grade of the criterion: | 0,0 |
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| Guiding question | Weight of the guiding question | Indicator catalogue | | | To be completed by the evaluator | | |
|--|--------------------------------|---------------------|--|---|---|---|--|
| | | Indicator | Grading of the indicator: 1 highest grade (exceeding all expectations), 6 lowest grade. | Method / Source | Grade (only full grades, i.e. 1,2,3,4,5,6) | Justifications, explanations, or comments as to the grade | |
| GQ5.1: To which degree is the project's outcome verifiable even after the end of the project (in case of finished projects) or respectively to which degree is the project's impact expected to be verifiable after the end of the project? | 25% | 15.1.1 | Verifiable outcome after the end of the project (expected impact in case of ongoing projects) | Grade from 2 (outcome after the end of the project clearly visible, or respectively very likely in case of ongoing projects) to 6 (no verifiable outcome / impact to be expected after the project end) | Project proposal Project reports Experience of the evaluator possibly interview with implementing agency | | |
| GQ5.2: To which degree do the beneficiary / project partner have the technical, economic and political capacities of sustaining and continuing the positive results of the project after the project has ended? | 30% | 15.2.1 | Capacities of the beneficiary / project partner to continue the positive project results in a sustainable manner | Grade from 2 (capacities surely or most probably there) to 6 (capacities not there) | Project proposal Project reports possibly interview with implementing agency | | |
| GQ5.3: To which degree are the project's outputs continued by the beneficiary / project partner with their own resources after the end of the project? | 20% | 15.3.1 | Degree of continuation of the project's results with own resources by the beneficiary / project partner | Grade 1: the project has implemented activities that go beyond the initial project proposal and are sustained. Grade from 2 (high degree of continuation or use of the results) to 6 (no continuation or use of the results) | Project proposal Project reports possibly interview with implementing agency | | |
| | | 15.3.2 | Initiation of investments of third parties | Grade 1: Investment of third parties go beyond the project budget. Grade from 2 (similar investment of third parties initiated or probable) to 6 (no interest of third parties) | Project proposal Project reports possibly interview with implementing agency | | |
| GQ5.4: How stable is the ecological, social, institutional and economic situation in the project area? Could changes of the current situation negatively influence the project's sustainability? Note: In case one of the risks does not make sense in the context of the project then do not grade it here. E.g. the influence of ecological risks on a capacity building project is in theory thinkable, though venturing a grade does not make a lot of sense. | 25% | 15.4.1 | Probability of occurrence of ecological risks that can negatively influence the sustainability of the project | Grade from 1 (zero probability) to 2 (very small probability) to 6 (very high probability) | Project proposal Project reports Experience of the evaluator possibly interview with implementing agency | | |
| | | 15.4.2 | Probability of occurrence of social risks that can negatively influence the sustainability of the project | Grade from 1 (zero probability) to 2 (very small probability) to 6 (very high probability) | Project proposal Project reports Experience of the evaluator possibly interview with implementing agency | | |
| | | 15.4.3 | Probability of occurrence of institutional risks that can negatively influence the sustainability of the project | Grade from 1 (zero probability) to 2 (very small probability) to 6 (very high probability) | Project proposal Project reports Experience of the evaluator possibly interview with implementing agency | | |
| | | 15.4.4 | Probability of occurrence of economic risks that can negatively influence the sustainability of the project | Grade from 1 (zero probability) to 2 (very small probability) to 6 (very high probability) | Project proposal Project reports Experience of the evaluator possibly interview with implementing agency | | |

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| Criterion 6: | Coherence & Coordination |
| Description: | The criterion „coherence & coordination“ scrutinizes the degree to which activities / projects were coordinated with other bi- and multilateral donors as well as other German ministries / departments. |
| Higher-ranking guiding question | EF6: Is the project complementary to interventions of other donors? |

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| Calculation of the grade of the criterion: | 0,0 |
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| Guiding question | Weight of the guiding question | Indicator catalogue | | | To be completed by the evaluator | |
|--|--------------------------------|---------------------|--|--|---|---|
| | | Indicator | Grading of the indicator: 1 highest grade (exceeding all expectations), 6 lowest grade. | Method / Source | Grade (only full grades, i.e. 1,2,3,4,5,6) | Justifications, explanations, or comments as to the grade |
| GQ6.1: To which degree is the project complementary / additive towards projects of other donors (including other German ministries / state agencies)? | 50% | I6.1.1 | Coordination / harmonization of the project concept with other donors (including other German ministries / state agencies) with view to complementarity, additivity, duplicability | Grade from 2 (joined planning framework exists) to 6 (no coordination or harmonization of the project concept) | Project proposal Project reports possibly interview with implementing agency Evaluation on the ground: Interviews with stakeholders, other Donors and implementing organizations | |
| GQ6.2: Do the chosen forms of cooperation in project implementation assure an adequate coordination with other donors (including German ministries / state agencies)? | 50% | I6.2.1 | Ongoing coordination on the ground (in situ) | Grade from 2 (the modes of coordination in situ are adequate) to 6 (coordination is insufficient) | Project proposal Project reports possibly interview with implementing agency possibly self-evaluation scheme | |

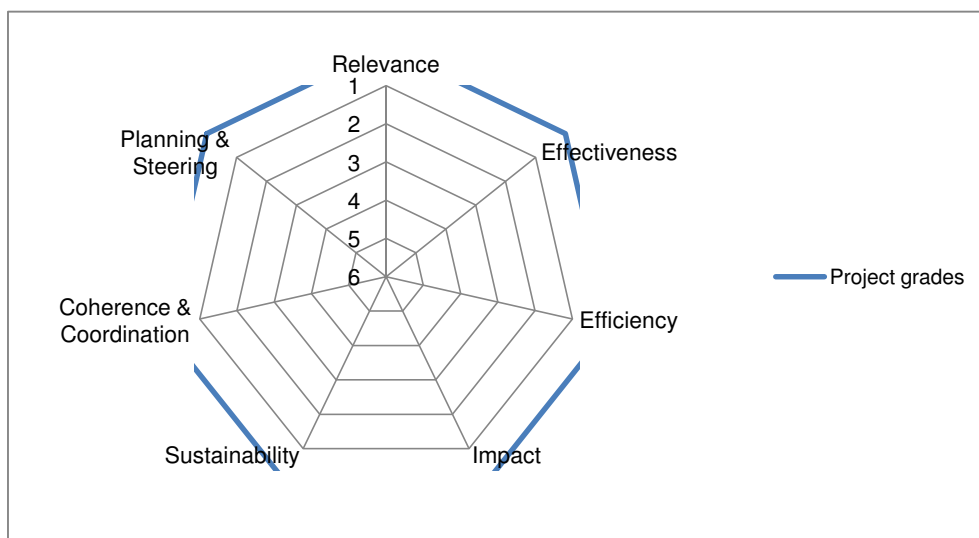
| | |
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| Criterion 7: | Planning & Steering |
| Description: | The criterion „planning & steering“ scrutinizes the quality of the project management in terms of project planning and steering. |
| Higher-ranking guiding question | EF7: Are the employed planning and steering processes appropriate for reaching the project's goals? |

| | |
|---|-----|
| Calculation of the grade of the criterion: | 0,0 |
|---|-----|

| Guiding question | Weight of the guiding question | Indicator catalogue | | | To be completed by the evaluator | |
|--|--------------------------------|---------------------|---|--|---|---|
| | | Indicator | Grading of the indicator: 1 highest grade (exceeding all expectations), 6 lowest grade. | Method / Source | Grade (only full grades, i.e. 1,2,3,4,5,6) | Justifications, explanations, or comments as to the grade |
| GQ7.1: To what degree is the project planning by the implementing agency, the partner organization and the project management team of good quality? | 50% | 17.1.1 | The general ecological, social, institutional and economic framework conditions were adequately analyzed. | Grade from 2 (adequately analysed) to 6 (not adequately analysed) | Project proposal Project reports possibly interview with implementing agency | |
| | | 17.1.2 | The envisaged goals are precisely formulated and realistic. | Grade from 2 (realistic) to 6 (not realistic) What is scrutinized here is whether the goals are linked to the specific activities | Project proposal Project reports possibly interview with implementing agency | |
| | | 17.1.3 | An informative operational plan is available. | Grade from 2 (informative) to 6 (not informative / not existing) | Project proposal Project reports possibly interview with implementing agency | |
| | | 17.1.4 | The intervention logic (Logframe) is consistent and logical. | Grade from 2 (consistent and logical) to 6 (not consistent and logical / not existing) | Project proposal Project reports possibly interview with implementing agency | |
| | | 17.1.5 | Indicators for performance review are formulated so as to render relevant information. | Grade from 2 (relevant) to 6 (not relevant) | Project proposal Project reports possibly interview with implementing agency | |
| | | 17.1.6 | Indicators for performance review are measurable with acceptable effort. | Grade from 2 (necessary effort acceptable) to 6 (necessary effort not acceptable) | Project proposal Project reports possibly interview with implementing agency | |
| GQ7.2: To what degree is the steering of the implementing agency, the partner organization and the project management team of good quality? | 50% | 17.2.1 | A monitoring & evaluation system relevant for the project's purpose / dimension is established. | Grade from 2 (established) to 6 (not existing) | Project proposal Project reports possibly interview with implementing agency | |
| | | 17.2.2 | The monitoring & evaluation system is used. | Grade from 2 (used) to 6 (not used) | Project proposal Project reports possibly interview with implementing agency | |
| | | 17.2.3 | The monitoring and evaluation system delivers relevant information for performance review. | Grade from 2 (relevant information) to 6 (useless information) | Project proposal Project reports possibly interview with implementing agency | |
| | | 17.2.4 | A informative operational plan is continuously adjusted. | Grade from 2 (continuously adjusted) to 6 (not adjusted at all) | Project proposal Project reports possibly interview with implementing agency | |
| | | 17.2.5 | Adherence to planned timeframe | Grade from 2 (full adherence) to 6 (nothing was achieved in the planned timeframe) | Project proposal Project reports possibly interview with implementing agency Comparison with the original planned timeframe as indicated in the project proposal and reports | |

Overall assessment

| | To be finalized by the evaluator |
|--------------------------|----------------------------------|
| Criteria | Project grades |
| Relevance | 0 |
| Effectiveness | 0 |
| Efficiency | 0 |
| Impact | 0 |
| Sustainability | 0 |
| Coherence & Coordination | 0 |
| Planning & Steering | 0 |



Explanation of the spider chart

A spider chart is a graphical method of displaying multivariate data in the form of a two-dimensional chart of three or more quantitative variables represented on axes starting from the same point. It is ideally suited to show strengths and weaknesses of a given observation (in our case: project).

Annex 6: Self-evaluation scheme

Instructions for the self-assessment

This self-assessment sheet is meant to provide the opportunity for the implementing agency to critically review its own project.

Each guiding question should be carefully read, and each indicator should be rated from 1-6 (with 1 being the best grade and 6 being the worst grade). **It is to be noted, though, that grade "1" should only be given in case of a "very good result that exceeds clearly all expectations"**. Only full grades should be used, i.e. 1,2,3,4,5,6.

Justifications, explanations, or comments as to the self-assessment (grade), deviation from the planned results and lessons learnt should be provided.

Possible grades to be assigned to the evaluation criteria

| Possible grades | Standard definitions |
|-----------------|---|
| Grade 1 | Very good result, exceeding clearly all expectations |
| Grade 2 | Good result, fully fulfilling expectations, no major shortcomings |
| Grade 3 | Satisfying result, below expectations but the positive result dominate |
| Grade 4 | Non-satisfying result, clearly below expectations, negative results clearly dominate despite visible positive results |
| Grade 5 | Clearly inadequate result, clearly below expectations, negative results clearly dominate |
| Grade 6 | The project is to be seen very critically, it is useless and/or changed the situation for the worse |

Self-Assessment of target achievement by the implementing agency

Indicator rating: 1 = best grade possible, 6 = worst grade possible

Grade "1" should only be given in case of a "very good result, exceeds clearly all expectations"

Possible grades: 1,2,3,4,5,6

To be indicated by the implementing agency

| Evaluation criteria | Planned: Guiding question and planned results | Indicator | Achieved: Degree of target achievement (1,2,3,4,5,6) | Justifications, explanations, or comments as to the self-assessment (grade), deviation from the planned results and lessons learnt |
|---|---|--|--|--|
| Effectiveness | <p>GQ2.2: Was the project goal achieved (in case of finished projects), or respectively to which degree is it probable that the project goal will be achieved (in case of on-going projects)?</p> <p>Planned-GQ2.2: The project goal was fully achieved.</p> | <p>I2.2.1: Degree of project goal achievement</p> <p>(Based on the specific indicators of the project. If there are more than one indicator they will have to be ranked and added up. Only one grade shall be given here)</p> | | |
| Efficiency | <p>GQ3.1: Is the invested effort justified when compared to the respective reference value/frame (e.g. sector-specific mitigation costs)?</p> <p>Planned-GQ3.1: The invested effort is low compared to the respective reference value/frame (e.g. sector-specific mitigation costs)</p> | <p>I3.1.1: Cost per emission reduction (€/tCO2) compared to sector specific mitigation costs or conventional technologies</p> | | |
| | | <p>I3.1.2: Cost of adaption to climate change compared to the economic risks without adaption measures</p> | | |
| | | <p>I3.1.3: Cost efficiency of the implemented measures</p> | | |
| | <p>GQ3.2: Is the invested effort necessary to achieve the project goal(s)?</p> <p>Planned-GQ3.2: The invested effort is fully necessary to achieve the project goal(s).</p> | <p>I3.2.1: Requirement (costs) of implemented measures for achieving the project goal(s)</p> | | |
| <p>GQ3.3: Are the outputs of the project (e.g. capacities, knowledge, equipment) really used?</p> <p>Planned-GQ3.3: The outputs of the project (e.g. capacities, knowledge, equipment) are really used.</p> | <p>I3.3.1: Degree of utilization of the outputs through the target group</p> | | | |

| | | | | |
|--------|--|---|--|--|
| Impact | <p>GQ4.1: Which qualitative and quantitative climate-relevant impacts were achieved?</p> <p>Planned-GQ4.1: The envisaged qualitative and quantitative climate-relevant impacts were fully achieved.</p> | <p>I4.1.1: Realized/potential indirect emission reduction that go beyond the project level (in tCO2 or CO2 equivalent gases)</p> | | |
| | | <p>I4.1.2: Realized/potential decrease of ecosystem vulnerability that goes beyond the project level</p> | | |
| | | <p>I4.1.3: (Potential) indirect impact of staff and institutional capacities for preparing for and adapting to climate change (preparedness) and implementing of mitigation projects</p> | | |
| | | <p>I4.1.4: Degree of awareness of climate change and necessity for climate protection among the target group (proxy indicator - beyond the project level)</p> | | |
| | <p>GQ4.2: To which degree were relevant other un-intended impacts achieved ("Co-benefits"/negative side impacts)? This can also be impact that are not strictly "climate-relevant"</p> <p>Planned-GQ4.2: The intended positive impact was achieved, and no negative un-intended impacts were caused.</p> <p>Note: In case of no un-intended positive or negative side impacts this question is not to be graded</p> | <p>I4.2.1: Positive un-intended side impact</p> <p>Grading from 1 (very high) to 2 (high)</p> <p>Note: In case of no un-intended positive side impacts this indicator shall not be graded</p> | | |
| | | <p>I4.2.2: Negative un-intended side impact</p> <p>Grading from 6 (high) to 5 (middle) to 4 (small)</p> <p>Note: In case of no un-intended negative side impacts this indicator shall not be graded</p> | | |

| | | | | |
|----------------|---|--|--|--|
| | <p>GQ4.3: To which degree were multiplier effects in view of dissemination of the results achieved?</p> <p>Planned-GQ4.3: The envisaged multiplier effects in view of the dissemination of the results was achieved.</p> | <p>I4.3.1: Potential for replication of the project approach in the geographic project area</p> | | |
| | | <p>I4.3.2: Replication outside of the initial geographic project area</p> | | |
| Sustainability | <p>GQ5.1: To which degree is the project's impact verifiable even after the end of the project (in case of finished projects) or respectively to which degree is the project's impact expected to be verifiable after the end of the project?</p> <p>Planned-GQ5.1: Even after the end of the project the project's impact is verifiable without a doubt (or respectively for on-going projects: the project's impact is expected to be verifiable without a doubt even after the end of the project)</p> | <p>I5.1.1: Verifiable impact after the end of the project</p> | | |
| | <p>GQ5.2: To which degree do the beneficiary / project partner have the technical, economic and political capacities of sustaining and continuing the positive results of the project after the project has ended?</p> <p>Planned-GQ5.2: The beneficiary / project partner have the technical, economic and political capacities to sustain and continue the positive project results after the project has ended.</p> | <p>I5.2.1: Capacities of the beneficiary / project partner to continue the positive project results in a sustainable manner</p> | | |
| | <p>GQ5.3: To which degree are the project's outputs used or continued by the beneficiary / project partner?</p> <p>Soil-LF5.3: The project' outputs are used or continued by the beneficiary / project partner.</p> | <p>I5.3.1: Degree of continuation of the project's results with own resources by the beneficiary / project partner</p> | | |
| | | <p>I5.3.2: Initiation of investments of third parties</p> | | |

| | | | | |
|--|--|--|--|--|
| | <p>GQ5.4: How stable is the ecological, social, institutional and economic situation in the project area? Could changes of the current situation negatively influence the project's sustainability?</p> <p>Planned-GQ5.4: The ecological, social, institutional and economic situation in the project area is stable, changes cannot negatively influence the project's sustainability in a significant way.</p> | <p>I5.4.1: Probability of occurrence of ecological risks that can negatively influence the sustainability of the project</p> | | |
| | | <p>I5.4.2: Probability of occurrence of social risks that can negatively influence the sustainability of the project</p> | | |
| | | <p>I5.4.3: Probability of occurrence of institutional risks that can negatively influence the sustainability of the project</p> | | |
| | | <p>I5.4.4: Probability of occurrence of economic risks that can negatively influence the sustainability of the project</p> | | |
| <p>Coherence and coordination</p> | <p>GQ6.1: To which degree are is the project complementary / additive towards projects of other donors (including other German ministries / state agencies)?</p> <p>Planned-GQ6.1: The project concept is well coordinated / harmonized with other bi- and multilateral projects (including other German ministries / state agencies).</p> | <p>I6.1.1: Coordination / harmonization of the project concept with other donors (including other German ministries / state agencies) with view to complementarity, additivity, duplicability</p> | | |
| | <p>GQ6.2: Do the chosen forms of cooperation in project implementation assure an adequate coordination with other donors (including German ministries / state agencies)?</p> <p>Planned-GQ6.2: The chosen forms of cooperation ensure an adequate</p> | <p>I6.2.1: Ongoing coordination on the ground (<i>in situ</i>)</p> | | |
| <p>Planning and steering</p> | <p>GQ7.1: To what degree is the project planning by the implementing agency, the partner organization and the project management team of good quality?</p> <p>Planned-GQ7.1: Project planning of the implementing agency, the partner organization and the project management team is fully adequate.</p> | <p>I7.1.1: The general ecological, social, institutional and economic framework was adequately analysed</p> | | |
| | | <p>I7.1.2: The envisaged goals are precisely formulated and realistic</p> | | |
| | | <p>I7.1.3: A meaningful operational plan is available</p> | | |
| | | <p>I7.1.4: The intervention logic (vertically and horizontally) is consistent and logical</p> | | |
| | | <p>I7.1.5: Indicators for performance review are formulated so as to lead to meaningful information</p> | | |
| | | <p>I7.1.6: Indicators for performance review are measurable with acceptable effort</p> | | |

| | | | |
|---|--|--|--|
| <p>GQ7.2: To what degree is the steering of the implementing agency, the partner organization and the project management team of good quality?</p> <p>Planned-GQ7.2: The steering of the implementing agency, the partner organization and the project management team is fully adequate.</p> | <p>I7.2.1: A monitoring and evaluation system is established</p> | | |
| | <p>I7.2.2: The monitoring is used</p> | | |
| | <p>I7.2.3: The monitoring and evaluation system delivers relevant information for performance review</p> | | |
| | <p>I7.2.4: A meaningful operational plan is continuously adjusted</p> | | |
| | <p>I7.2.5: Adherence to planned timeframe</p> | | |
| <p>GQ7.3: To which degree is quality control undertaken by the contracting agency / the Program Office?</p> <p>Planned-GQ7.3: Quality control by the contracting agency / the Program Office is fully sufficient</p> | <p>I7.3.1: The contracting agency (Ministry of Environment / Program Office) reacts to progress reports in a timely manner</p> | | |
| | <p>I7.3.2: The contract agency (Ministry of Environment / Program Office) questions the content of the progress reports and/or provides feedback for project implementation</p> | | |

Self-Assessment of target achievement by the implementing agency

Indicator rating: 1 = best grade possible, 6 = worst grade possible
(Possible grades: 1,2,3,4,5,6)

EXAMPLE

| Evaluation criteria | Planned: Guiding question and planned results | Indicator | To be indicated by the implementing agency | |
|---------------------|--|---|--|--|
| | | | Achieved: Degree of target achievement (1,2,3,4,5,6) | Justification, explanation, or comments for the deviation from the planned results |
| Efficiency | GQ3.2: Is the invested effort necessary to achieve the project goal(s)? Planned-GQ3.2: The invested effort is fully necessary to achieve the project goal(s). | I3.2.1: Necessity (cost) of the implemented measures for achieving the project goal(s) | 2 | Every measure was necessary to achieve the project goal. At times the efficiency of the implemented activity could have been increased, though was impeded through local peculiarities (difficult access to government officials) |
| | GQ3.3: Are the outputs of the project (e.g. capacities, knowledge, equipment) really used? Planned-GQ3.3: The outputs of the project (e.g. capacities, knowledge, equipment) are really used. | I3.3.1: Degree of utilization of the outputs through the target group | 3 | The project is still going on, though it is likely that only a part of the target group will use the project's outputs. This is mostly due to the fact that behavioural change is needed, which comes only slowly and not to everyone. |



Evaluation of the International Climate Initiative (ICI) of the Federal Ministry for the Environ- ment, Nature Conservation and Nuclear Safety (BMU)

Cluster Evaluation Report

Contracting Authority



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ABBREVIATIONS

| | |
|-----|--|
| BMU | Bundesministerium für Umwelt, Naturschutz und Reaktorsicherheit (Federal Ministry for the Environment, Nature Conservation and Nuclear Safety) |
| ICI | International Climate Initiative |
| KfW | Kreditanstalt für Wiederaufbau (German Reconstruction Credit Institute) |
| PB | Programmbüro Internationale Klimaschutzinitiative (Programme Office for the International Climate Initiative) |

1 INTRODUCTION AND COMPLETE OVERVIEW

Column

Text

2 CLUSTER 1: CAPACITY DEVELOPMENT & POLICY CONSULTANCY

2.1 Cluster Description

2.2 Quantitative Evaluation of the Cluster

2.2.1 Evaluation according to project categories

Table 1: Distribution by Methodological Project Category (Cluster 1)

| METHODOLOGICAL PROJECT CATEGORY | Cluster 1 | | Total sample | |
|---------------------------------|-----------|---|--------------|---|
| | Projects | % | Projects | % |
| Implementation | | | | |
| Capacity development | | | | |
| Policy consultancy | | | | |
| Financing instruments | | | | |
| TOTAL | | | | |

Table 2: Distribution by Thematic Project Category (Cluster 1)

| THEMATIC PROJECT CATEGORY | Cluster 1 | | | | Total sample | | | | Share of Cluster 1 in total sample | |
|--|-----------|---|---|--------|--------------|---|---|--------|------------------------------------|--------|
| | Projects | % | € | € in % | Projects | % | € | € in % | Projects | € in % |
| Waste | | | | | | | | | | |
| Energy efficiency | | | | | | | | | | |
| Energy efficiency / Renewable energies | | | | | | | | | | |
| Renewable energies | | | | | | | | | | |
| Climate policy | | | | | | | | | | |
| Climate-relevant GHG | | | | | | | | | | |
| Carbon trading / Emissions market | | | | | | | | | | |
| Transport | | | | | | | | | | |
| Adaptation strategies | | | | | | | | | | |
| Climate-relevant biodiversity without REDD | | | | | | | | | | |
| Climate-relevant biodiversity with REDD | | | | | | | | | | |
| Carbon sinks with REDD relevance | | | | | | | | | | |
| Ecosystem-based land use systems | | | | | | | | | | |
| Insurance solutions | | | | | | | | | | |
| TOTAL | | | | | | | | | | |

Table 3: Geographical Distribution of the Projects & Funds (Cluster 1)

| REGION | Cluster 1 | | | | Total sample | | | |
|---------------------------------|-----------|---|---|--------|--------------|---|---|--------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| Africa | | | | | | | | |
| Asia | | | | | | | | |
| Europe, Caucasus & Central Asia | | | | | | | | |
| Central & South America | | | | | | | | |
| Middle East | | | | | | | | |
| Global | | | | | | | | |
| TOTAL | | | | | | | | |

Table 4: Distribution by Project Period (Cluster 1)

| PERIOD | Cluster 1 | | Total sample | |
|-------------------|-----------|---|--------------|---|
| | Projects | % | Projects | % |
| Less than 2 years | | | | |
| 2 - 3 years | | | | |
| More than 3 years | | | | |
| TOTAL | | | | |

Table 5: Distribution by Financial Volume (Cluster 1)

| FINANCIAL VOLUME | Cluster 1 | | Total sample | |
|-----------------------|-----------|---|--------------|---|
| | Projects | % | Projects | % |
| 0 - 499,999 | | | | |
| 500,000 - 999,999 | | | | |
| 1,000,000 - 2,999,999 | | | | |
| 3,000,000 and more | | | | |
| TOTAL | | | | |

Table 6: Distribution by Beneficiary (Cluster 1)

| BENEFICIARY | Cluster 1 | | | | Total sample | | | |
|---------------------|-----------|---|---|--------|--------------|---|---|--------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| GIZ | | | | | | | | |
| KfW | | | | | | | | |
| UN organisations | | | | | | | | |
| Private enterprises | | | | | | | | |
| International NGOs | | | | | | | | |
| German NGOs | | | | | | | | |

| | | | | | | | | |
|--------------|--|--|--|--|--|--|--|--|
| Institutes | | | | | | | | |
| Others | | | | | | | | |
| dena | | | | | | | | |
| EBRD | | | | | | | | |
| TOTAL | | | | | | | | |

2.2.2 Evaluation according to evaluation criteria

Table 7: Comparison of Evaluation Criteria (Cluster 1)

| CRITERION | Cluster 1 | | | Total sample | | |
|--------------------------|-----------|-----------|-----------|--------------|-----------|-----------|
| | Ø | % above Ø | % below Ø | Ø | % above Ø | % below Ø |
| Relevance | | | | | | |
| Effectiveness | | | | | | |
| Efficiency | | | | | | |
| Impact | | | | | | |
| Sustainability | | | | | | |
| Coherence & Coordination | | | | | | |
| Planning & Steering | | | | | | |

Relevance:

| SIGNATURE | Appraisal Relevance | Success factors / Critical factors |
|-----------|---------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Effectiveness:

| SIGNATURE | Appraisal Effectiveness | Success factors / Critical factors |
|-----------|-------------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Efficiency:

| SIGNATURE | Appraisal Efficiency | Success factors / Critical factors |
|-----------|----------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Impact:

| SIGNATURE | Appraisal Impact | Success factors / Critical factors |
|-----------|------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Sustainability:

| SIGNATURE | Appraisal Sustainability | Success factors / Critical factors |
|-----------|--------------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Coherence & coordination:

| PROJECT TITLE | Appraisal C & C | Success factors / Critical factors |
|---------------|-----------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Planning & steering:

| PROJECT TITLE | Appraisal P & S | Success factors / Critical factors |
|---------------|-----------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

2.3 Analysis of Quantitative Evaluation

In what way do the projects summarised under Cluster 1 contribute to the programme objectives of the ICI?

What are the common features and differences between the projects of the cluster?

Table 8: Evaluation Results by Methodological Approach

| CRITERION | Policy consultancy | Capacity development | Implementation |
|--------------------------|--------------------|----------------------|----------------|
| Relevance | | | |
| Effectiveness | | | |
| Efficiency | | | |
| Impact | | | |
| Sustainability | | | |
| Coherence & Coordination | | | |
| Planning & Steering | | | |

Can differences in the appraisals between cluster and total sample be explained and, if so, how?

Which success factors / failure factors are the projects based on?

Are there regional specifics which contribute to the success/failure of a project and should be considered in the planning?

Table 9: Evaluation Results by Region

| CRITERION | Africa | Asia | Europe, Caucasus & Central Asia | Central and South America | Global |
|--------------------------|--------|------|---------------------------------|---------------------------|--------|
| Relevance | | | | | |
| Effectiveness | | | | | |
| Efficiency | | | | | |
| Impact | | | | | |
| Sustainability | | | | | |
| Coherence & Coordination | | | | | |
| Planning & Steering | | | | | |

What statements can be made with regard to the influence on international climate negotiations?

3 CLUSTER 2&6: CLIMATE-FRIENDLY ECONOMY & SUSTAINABLE ENERGY SUPPLY & TECHNOLOGY COOPERATION

3.1 Cluster Description

3.2 Quantitative Evaluation of the Cluster

3.2.1 Evaluation according to project categories

Table 10: Distribution by Methodological Project Category (Cluster 2 & 6)

| METHODOLOGICAL PROJECT CATEGORY | Cluster 2 | | Cluster 6 | | Total sample | |
|---------------------------------|-----------|---|-----------|---|--------------|---|
| | Projects | % | Projects | % | Projects | % |
| Implementation | | | | | | |
| Capacity development | | | | | | |
| Policy consultancy | | | | | | |
| Financing instruments | | | | | | |
| TOTAL | | | | | | |

Table 11: Distribution by Thematic Project Category (Cluster 2)

| THEMATIC PROJECT CATEGORY | Cluster 2 | | | | Total sample | | | | Share of Cluster 2 in total sample | |
|--|-----------|---|---|--------|--------------|---|---|--------|------------------------------------|--------|
| | Projects | % | € | € in % | Projects | % | € | € in % | Projects | € in % |
| Waste | | | | | | | | | | |
| Energy efficiency | | | | | | | | | | |
| Energy efficiency / Renewable energies | | | | | | | | | | |
| Renewable energies | | | | | | | | | | |
| Climate policy | | | | | | | | | | |
| Climate-relevant GHG | | | | | | | | | | |
| Carbon trading / Emissions market | | | | | | | | | | |
| Transport | | | | | | | | | | |
| Adaptation strategies | | | | | | | | | | |
| Climate-relevant biodiversity without REDD | | | | | | | | | | |
| Climate-relevant biodiversity with REDD | | | | | | | | | | |
| Carbon sinks with REDD relevance | | | | | | | | | | |
| Ecosystem-based land use systems | | | | | | | | | | |

| | | | | | | | | | | |
|---------------------|--|--|--|--|--|--|--|--|--|--|
| Insurance solutions | | | | | | | | | | |
| TOTAL | | | | | | | | | | |

Table 12: Distribution by Thematic Project Category (Cluster 6)

| THEMATIC PROJECT CATEGORY | Cluster 6 | | | | Total sample | | | | Share of Cluster 6 in total sample | |
|--|-----------|---|---|--------|--------------|---|---|--------|------------------------------------|--------|
| | Projects | % | € | € in % | Projects | % | € | € in % | Projects | € in % |
| Waste | | | | | | | | | | |
| Energy efficiency | | | | | | | | | | |
| Energy efficiency / Renewable energies | | | | | | | | | | |
| Renewable energies | | | | | | | | | | |
| Climate policy | | | | | | | | | | |
| Climate-relevant GHG | | | | | | | | | | |
| Carbon trading / Emissions market | | | | | | | | | | |
| Transport | | | | | | | | | | |
| Adaptation strategies | | | | | | | | | | |
| Climate-relevant biodiversity without REDD | | | | | | | | | | |
| Climate-relevant biodiversity with REDD | | | | | | | | | | |
| Carbon sinks with REDD relevance | | | | | | | | | | |
| Ecosystem-based land use systems | | | | | | | | | | |
| Insurance solutions | | | | | | | | | | |
| TOTAL | | | | | | | | | | |

Table 13: Geographical Distribution of the Projects & Funds (Cluster 2)

| REGION | Cluster 2 | | | | Total sample | | | |
|---------------------------------|-----------|---|---|--------|--------------|---|---|--------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| Africa | | | | | | | | |
| Asia | | | | | | | | |
| Europe, Caucasus & Central Asia | | | | | | | | |
| Central & South America | | | | | | | | |
| Middle East | | | | | | | | |
| Global | | | | | | | | |
| TOTAL | | | | | | | | |

Table 14: Distribution by Project Period (Cluster 2 & 6)

| PERIOD | Cluster 2 | | Cluster 6 | | Total sample | |
|-------------------|-----------|---|-----------|---|--------------|---|
| | Projects | % | Projects | % | Projects | % |
| Less than 2 years | | | | | | |
| 2 - 3 years | | | | | | |
| More than 3 years | | | | | | |
| TOTAL | | | | | | |

Table 15: Distribution by Financial Volume (Cluster 2 & 6)

| FINANCIAL VOLUME | Cluster 2 | | Cluster 6 | | Total sample | |
|-----------------------|-----------|---|-----------|---|--------------|---|
| | Projects | % | Projects | % | Projects | % |
| 0 - 499,999 | | | | | | |
| 500,000 - 999,999 | | | | | | |
| 1,000,000 - 2,999,999 | | | | | | |
| 3,000,000 and more | | | | | | |
| TOTAL | | | | | | |

Table 16: Distribution by Beneficiary (Cluster 2)

| BENEFICIARY | Cluster 2 | | | | Total sample | | | |
|---------------------|-----------|---|---|--------|--------------|---|---|--------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| GIZ | | | | | | | | |
| KfW | | | | | | | | |
| UN organisations | | | | | | | | |
| Private enterprises | | | | | | | | |
| International NGOs | | | | | | | | |
| German NGOs | | | | | | | | |
| Institutes | | | | | | | | |
| Others | | | | | | | | |
| dena | | | | | | | | |
| EBRD | | | | | | | | |
| TOTAL | | | | | | | | |

Table 17: Distribution by Beneficiary (Cluster 6)

| BENEFICIARY | Cluster 6 | | | | Total sample | | | |
|---------------------|-----------|---|---|--------|--------------|---|---|--------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| GIZ | | | | | | | | |
| KfW | | | | | | | | |
| UN organisations | | | | | | | | |
| Private enterprises | | | | | | | | |

| | | | | | | | | | |
|--------------------|--|--|--|--|--|--|--|--|--|
| International NGOs | | | | | | | | | |
| German NGOs | | | | | | | | | |
| Institutes | | | | | | | | | |
| Others | | | | | | | | | |
| dena | | | | | | | | | |
| EBRD | | | | | | | | | |
| TOTAL | | | | | | | | | |

3.2.2 Evaluation according to evaluation criteria

Table 18: Comparison of Evaluation Criteria (Cluster 2 & 6)

| CRITERION | Cluster 2 | | | Cluster 6 | | | Total sample | | |
|--------------------------|-----------|-----------|-----------|-----------|-----------|-----------|--------------|-----------|-----------|
| | Ø | % above Ø | % below Ø | Ø | % above Ø | % below Ø | Ø | % above Ø | % below Ø |
| Relevance | | | | | | | | | |
| Effectiveness | | | | | | | | | |
| Efficiency | | | | | | | | | |
| Impact | | | | | | | | | |
| Sustainability | | | | | | | | | |
| Coherence & Coordination | | | | | | | | | |
| Planning & Steering | | | | | | | | | |

Relevance:

| PROJECT TITLE | Appraisal Relevance | Success factors / Critical factors |
|---------------|---------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Effectiveness:

| PROJECT TITLE | Appraisal Effectiveness | Success factors / Critical factors |
|---------------|-------------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |

Efficiency:

| PROJECT TITLE | Appraisal Efficiency | Success factors / Critical factors |
|---------------|----------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Impact:

| PROJECT TITLE | Appraisal Impact | Success factors / Critical factors |
|---------------|------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Sustainability:

| PROJECT TITLE | Appraisal Sustainability | Success factors / Critical factors |
|---------------|--------------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Coherence & coordination:

| PROJECT TITLE | Appraisal C & C | Success factors / Critical factors |
|---------------|-----------------|------------------------------------|
| | | ▪ |
| | | ▪ |
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| | | ▪ |

Planning & steering:

| PROJECT TITLE | Appraisal P & S | Success factors / Critical factors |
|---------------|-----------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

3.3 Analysis of Quantitative Evaluation

In what way do the projects summarised under the cluster contribute to the programme objectives of the ICI?

What are the common features and differences between the projects of the cluster?

Can differences in the appraisals between cluster and total sample be explained and, if so, how?

Which success factors / failure factors are the projects based on?

Are there regional specifics which contribute to the success/failure of a project and should be considered in the planning?

What statements can be made with regard to the influence on international climate negotiations?

4 CLUSTER 3: BIODIVERSITY & CARBON SINKS

4.1 Cluster Description

4.2 Quantitative Evaluation of the Cluster

4.2.1 Evaluation according to project categories

Table 19: Distribution by Methodological Project Category (Cluster 3)

| METHODOLOGICAL PROJECT CATEGORY | Cluster 3 | | Total sample | |
|---------------------------------|-----------|---|--------------|---|
| | Projects | % | Projects | % |
| Implementation | | | | |
| Capacity development | | | | |
| Policy consultancy | | | | |
| Financing instruments | | | | |
| TOTAL | | | | |

Table 20: Distribution by Thematic Project Category (Cluster 3)

| THEMATIC PROJECT CATEGORY | Cluster 3 | | | | Total sample | | | | Share of Cluster 3 in total sample | |
|--|-----------|---|---|--------|--------------|---|---|--------|------------------------------------|--------|
| | Projects | % | € | € in % | Projects | % | € | € in % | Projects | € in % |
| Waste | | | | | | | | | | |
| Energy efficiency | | | | | | | | | | |
| Energy efficiency / Renewable energies | | | | | | | | | | |
| Renewable energies | | | | | | | | | | |
| Climate policy | | | | | | | | | | |
| Climate-relevant GHG | | | | | | | | | | |
| Carbon trading / Emissions market | | | | | | | | | | |
| Transport | | | | | | | | | | |
| Adaptation strategies | | | | | | | | | | |
| Climate-relevant biodiversity without REDD | | | | | | | | | | |
| Climate-relevant biodiversity with REDD | | | | | | | | | | |
| Carbon sinks with REDD relevance | | | | | | | | | | |
| Ecosystem-based land use systems | | | | | | | | | | |
| Insurance solutions | | | | | | | | | | |
| TOTAL | | | | | | | | | | |

Table 21: Geographical Distribution of the Projects & Funds (Cluster 3)

| REGION | Cluster 3 | | | | Total sample | | | |
|---------------------------------|-----------|---|---|--------|--------------|---|---|--------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| Africa | | | | | | | | |
| Asia | | | | | | | | |
| Europe, Caucasus & Central Asia | | | | | | | | |
| Central & South America | | | | | | | | |
| Middle East | | | | | | | | |
| Global | | | | | | | | |
| TOTAL | | | | | | | | |

Table 22: Distribution by Project Period (Cluster 3)

| PERIOD | Cluster 3 | | Total sample | |
|-------------------|-----------|---|--------------|---|
| | Projects | % | Projects | % |
| Less than 2 years | | | | |
| 2 - 3 years | | | | |
| More than 3 years | | | | |
| TOTAL | | | | |

Table 23: Distribution by Financial Volume (Cluster 3)

| FINANCIAL VOLUME | Cluster 3 | | Total sample | |
|-----------------------|-----------|---|--------------|---|
| | Projects | % | Projects | % |
| 0 - 499,999 | | | | |
| 500,000 - 999,999 | | | | |
| 1,000,000 - 2,999,999 | | | | |
| 3,000,000 and more | | | | |
| TOTAL | | | | |

Table 24: Distribution by Beneficiary (Cluster 3)

| BENEFICIARY | Cluster 3 | | | | Total sample | | | |
|---------------------|-----------|---|---|--------|--------------|---|---|--------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| GIZ | | | | | | | | |
| KfW | | | | | | | | |
| UN organisations | | | | | | | | |
| Private enterprises | | | | | | | | |
| International NGOs | | | | | | | | |
| German NGOs | | | | | | | | |

| | | | | | | | | |
|--------------|--|--|--|--|--|--|--|--|
| Institutes | | | | | | | | |
| Others | | | | | | | | |
| dena | | | | | | | | |
| EBRD | | | | | | | | |
| TOTAL | | | | | | | | |

4.2.2 Evaluation according to evaluation criteria

Table 25: Comparison of Evaluation Criteria (Cluster 3)

| CRITERION | Cluster 3 | | | Total sample | | |
|--------------------------|-----------|-----------|-----------|--------------|-----------|-----------|
| | Ø | % above Ø | % below Ø | Ø | % above Ø | % below Ø |
| Relevance | | | | | | |
| Effectiveness | | | | | | |
| Efficiency | | | | | | |
| Impact | | | | | | |
| Sustainability | | | | | | |
| Coherence & Coordination | | | | | | |
| Planning & Steering | | | | | | |

Relevance:

| PROJECT TITLE | Appraisal Relevance | Success factors / Critical factors |
|---------------|---------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Effectiveness:

| PROJECT TITLE | Appraisal Effectiveness | Success factors / Critical factors |
|---------------|-------------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Efficiency:

| PROJECT TITLE | Appraisal Efficiency | Success factors / Critical factors |
|---------------|----------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Impact:

| PROJECT TITLE | Appraisal Impact | Success factors / Critical factors |
|---------------|------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Sustainability:

| PROJECT TITLE | Appraisal Sustainability | Success factors / Critical factors |
|---------------|--------------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Coherence & coordination:

| PROJECT TITLE | Appraisal C & C | Success factors / Critical factors |
|---------------|-----------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Planning & steering:

| PROJECT TITLE | Appraisal P & S | Success factors / Critical factors |
|---------------|-----------------|------------------------------------|
| | | |
| | | |
| | | |
| | | |

4.3 Analysis of Quantitative Evaluation

In what way do the projects summarised under the cluster contribute to the programme objectives of the ICI?

What are the common features and differences between the projects of the cluster?

Can differences in the appraisals between cluster and total sample be explained and, if so, how?

Which success factors / failure factors are the projects based on?

Are there regional specifics which contribute to the success/failure of a project and should be considered in the planning?

What statements can be made with regard to the influence on international climate negotiations?

5 CLUSTER 4: ADAPTATION TO CLIMATE CHANGE

5.1 Cluster Description

5.2 Quantitative Evaluation of the Cluster

5.2.1 Evaluation according to project categories

Table 26: Distribution by Methodological Project Category (Cluster 4)

| METHODOLOGICAL PROJECT CATEGORY | Cluster 4 | | Total sample | |
|---------------------------------|-----------|---|--------------|---|
| | Projects | % | Projects | % |
| Implementation | | | | |
| Capacity development | | | | |
| Policy consultancy | | | | |
| Financing instruments | | | | |
| TOTAL | | | | |

Table 27: Distribution by Thematic Project Category (Cluster 4)

| THEMATIC PROJECT CATEGORY | Cluster 4 | | | | Total sample | | | | Share of Cluster 4 in total sample | |
|--|-----------|---|---|--------|--------------|---|---|--------|------------------------------------|--------|
| | Projects | % | € | € in % | Projects | % | € | € in % | Projects | € in % |
| Waste | | | | | | | | | | |
| Energy efficiency | | | | | | | | | | |
| Energy efficiency / Renewable energies | | | | | | | | | | |
| Renewable energies | | | | | | | | | | |
| Climate policy | | | | | | | | | | |
| Climate-relevant GHG | | | | | | | | | | |
| Carbon trading / Emissions market | | | | | | | | | | |
| Transport | | | | | | | | | | |
| Adaptation strategies | | | | | | | | | | |
| Climate-relevant biodiversity without REDD | | | | | | | | | | |
| Climate-relevant biodiversity with REDD | | | | | | | | | | |
| Carbon sinks with REDD relevance | | | | | | | | | | |
| Ecosystem-based land use systems | | | | | | | | | | |
| Insurance solutions | | | | | | | | | | |
| TOTAL | | | | | | | | | | |

Table 28: Geographical Distribution of the Projects & Funds (Cluster 4)

| REGION | Cluster 4 | | | | Total sample | | | |
|---------------------------------|-----------|---|---|--------|--------------|---|---|--------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| Africa | | | | | | | | |
| Asia | | | | | | | | |
| Europe, Caucasus & Central Asia | | | | | | | | |
| Central & South America | | | | | | | | |
| Middle East | | | | | | | | |
| Global | | | | | | | | |
| TOTAL | | | | | | | | |

Table 29: Distribution by Project Period (Cluster 4)

| PERIOD | Cluster 4 | | Total sample | |
|-------------------|-----------|---|--------------|---|
| | Projects | % | Projects | % |
| Less than 2 years | | | | |
| 2 - 3 years | | | | |
| More than 3 years | | | | |
| TOTAL | | | | |

Table 30: Distribution by Financial Volume (Cluster 4)

| FINANCIAL VOLUME | Cluster 4 | | Total sample | |
|-----------------------|-----------|---|--------------|---|
| | Projects | % | Projects | % |
| 0 - 499,999 | | | | |
| 500,000 - 999,999 | | | | |
| 1,000,000 - 2,999,999 | | | | |
| 3,000,000 and more | | | | |
| TOTAL | | | | |

Table 31: Distribution by Beneficiary (Cluster 4)

| BENEFICIARY | Cluster 4 | | | | Total sample | | | |
|---------------------|-----------|---|---|--------|--------------|---|---|--------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| GIZ | | | | | | | | |
| KfW | | | | | | | | |
| UN organisations | | | | | | | | |
| Private enterprises | | | | | | | | |
| International NGOs | | | | | | | | |
| German NGOs | | | | | | | | |
| Institutes | | | | | | | | |
| Others | | | | | | | | |

| | | | | | | | | |
|-------|--|--|--|--|--|--|--|--|
| dena | | | | | | | | |
| EBRD | | | | | | | | |
| TOTAL | | | | | | | | |

5.2.2 Evaluation according to evaluation criteria

Table 32: Comparison of Evaluation Criteria (Cluster 4)

| CRITERION | Cluster 4 | | | Total sample | | |
|--------------------------|-----------|-----------|-----------|--------------|-----------|-----------|
| | Ø | % above Ø | % below Ø | Ø | % above Ø | % below Ø |
| Relevance | | | | | | |
| Effectiveness | | | | | | |
| Efficiency | | | | | | |
| Impact | | | | | | |
| Sustainability | | | | | | |
| Coherence & Coordination | | | | | | |
| Planning & Steering | | | | | | |

Relevance:

| PROJECT TITLE | Appraisal Relevance | Success factors / Critical factors |
|---------------|---------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Effectiveness:

| PROJECT TITLE | Appraisal Effectiveness | Success factors / Critical factors |
|---------------|-------------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Efficiency:

| PROJECT TITLE | Appraisal Efficiency | Success factors / Critical factors |
|---------------|----------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Impact:

| PROJECT TITLE | Appraisal Impact | Success factors / Critical factors |
|---------------|------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Sustainability:

| PROJECT TITLE | Appraisal Sustainability | Success factors / Critical factors |
|---------------|--------------------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Coherence & coordination:

| PROJECT TITLE | Appraisal C & C | Success factors / Critical factors |
|---------------|-----------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

Planning & steering:

| PROJECT TITLE | Appraisal P & S | Success factors / Critical factors |
|---------------|-----------------|------------------------------------|
| | | ▪ |
| | | ▪ |
| | | ▪ |
| | | ▪ |

5.3 Analysis of Quantitative Evaluation

In what way do the projects summarised under the cluster contribute to the programme objectives of the ICI?

Can differences in the appraisals between cluster and total sample be explained and, if so, how?

Which success factors / failure factors are the cluster's projects based on?

Are there regional specifics which contribute to the success/failure of a project and should be considered in the planning?

What statements can be made with regard to the influence on international climate negotiations?

Which recommendations for the further development of the cluster and the ICI can be deduced?

6 CLUSTER 5: REGIONAL CLUSTER

Table 33: Results by Regions

| CRITERIA | Ø Africa | Ø Asia | Ø Europe / Caucasus / Central Asia | Ø Central & South America | Ø Total sample |
|--------------------------|----------|--------|--|------------------------------|----------------|
| Relevance | | | | | |
| Effectiveness | | | | | |
| Efficiency | | | | | |
| Impact | | | | | |
| Sustainability | | | | | |
| Coherence & Coordination | | | | | |
| Planning & Steering | | | | | |

7 SUMMARY OF RESULTS AND CONCLUSIONS

7.1 Summary of Results

Table 34: Comparison of Cluster Results

| CRITERIA | Ø Cluster 1 | Ø Cluster 2 | Ø Cluster 3 | Ø Cluster 4 | Ø Cluster 6 | Ø Total sample |
|--------------------------|-------------|-------------|-------------|-------------|-------------|----------------|
| Relevance | | | | | | |
| Effectiveness | | | | | | |
| Efficiency | | | | | | |
| Impact | | | | | | |
| Sustainability | | | | | | |
| Coherence & Coordination | | | | | | |
| Planning & Steering | | | | | | |

7.2 Cluster-Specific Recommendations

Cluster 1: Capacity development & policy consultancy

Cluster 2: Climate-friendly economy & sustainable energy supply

Cluster 3: Biodiversity & carbon sinks

Cluster 4: Adaptation to climate change

Cluster 6: Technology cooperation

7.3 General Recommendations

Annex 1: Cluster Definition

| CLUSTER |
|---|
| CLUSTER 1: Capacity DEVELOPMENT & policy consultancy |
| CLUSTER 2: Climate-friendly economy & sustainable energy supply |
| CLUSTER 3: Biodiversity & carbon sinks |
| CLUSTER 4: Adaptation to climate change |
| CLUSTER 5: Regional cluster |
| CLUSTER 6: Technology cooperation |

Annex 3: Guiding Questions

- In what way do the projects summarised under the cluster contribute to the programme objectives of the ICI?
- What are the common features and differences between the projects of the cluster?
- Can differences in the appraisals between cluster and total sample be explained and, if so, how?
- Which success factors / failure factors are the cluster's projects based on?
- Are there regional specifics which contribute to the success/failure of a project and should be considered in the planning?
- What statements can be made with regard to the influence on international climate negotiations?
- Which recommendations for the further development of the cluster can be deduced?
- Which recommendations for the further development of the ICI can be made for the cluster?

Methodological Manual, Annex 6: Lists of Questions

| | |
|---|-----------|
| 1. STANDARDISED QUESTIONNAIRE FOR IMPLEMENTING AGENCIES | 2 |
| 2. CLOSED LIST OF QUESTIONS PB | 4 |
| 3. OPEN LIST OF QUESTIONS PB MANAGEMENT | 15 |
| 4. OPEN LIST OF QUESTIONS PB SUBJECT SPECIALISTS | 16 |
| 5. OPEN LIST OF QUESTIONS PB ADMINISTRATION | 17 |
| 6. OPEN LIST OF QUESTIONS BMU HEAD OF DEPARTMENT KI II 7 | 18 |
| 7. OPEN LIST OF QUESTIONS BMU DEPARTMENTS..... | 19 |
| 8. OPEN LIST OF QUESTIONS BMZ | 20 |
| 9. OPEN LIST OF QUESTIONS FOREIGN OFFICE..... | 21 |

1. Standardised Questionnaire for Implementing Agencies

| | Agree | Predominantly agree | Predominantly disagree | Disagree |
|--|------------------------------|---------------------|-----------------------------|----------|
| Selection procedure | | | | |
| The criteria for selecting the project proposals are clearly detailed and explained. | | | | |
| In case of "(Predominantly) disagree", please briefly explain. | | | | |
| The two-stage selection procedure is suitable to avoid unnecessary efforts to prepare the applications. | | | | |
| The selected procedure (ideas competition) is the best instrument to achieve the ICI's objectives. | | | | |
| In case of "(Predominantly) disagree", please briefly explain. | | | | |
| The selection of projects is transparent and based on reasonable criteria. | | | | |
| In case of "(Predominantly) disagree", please briefly explain. | | | | |
| What do you regard as biggest challenges with regard to the selection procedure? | | | | |
| According to you, what are the advantages and disadvantages of the ICI selection procedure? Please briefly explain. | | | | |
| Project outline | | | | |
| Before submitting the project outline, the project idea was discussed with the PB and/or BMU with regard to its potential eligibility for funding. | Yes <input type="checkbox"/> | | No <input type="checkbox"/> | |
| The form for the project outline is well structured. | | | | |
| The form for the project outline offers enough space to describe the project idea. | | | | |
| The period between the submission of the outline and the selection/rejection notice is appropriate. | | | | |
| Project proposal | | | | |
| The PB and/or BMU provided detailed references on how to (re)formulate the project proposal, if applicable. | | | | |
| The BMU provided specifications on how to design the project proposal (technical, partner organisations, etc.). | Yes <input type="checkbox"/> | | No <input type="checkbox"/> | |
| If so, please briefly explain which specifications were provided. | | | | |

| | Agree | Predominantly agree | Predominantly disagree | Disagree |
|--|-------|---------------------|------------------------|----------|
| The time frame for drawing up the project proposal (after selection of the outline) is adequate. | | | | |
| The form for the project proposal is well structured. | | | | |
| The form for the project proposal offers enough space to describe the proposal for implementation. | | | | |
| Project implementation | | | | |
| The reporting obligations (annual interim reports and final report) are appropriate to provide the BMU with sufficient information. | | | | |
| The formats of the reports are adequate to clearly describe the project progress and possible problems. | | | | |
| The reporting system allows for the implementing agency as well as the PB/BMU to have a steering effect on the project implementation. | | | | |
| Essentially, the reporting system ensures accountability to the BMU. | | | | |
| The Programme Office / BMU responded to the interim reports in a timely manner. | | | | |
| The Programme Office / BMU responded to the technical final report in a timely manner. | | | | |
| On the basis of the project reporting, a content-related dialogue between PB/BMU and implementing agency concerning the project implementation took place. | | | | |
| Miscellaneous | | | | |
| Due to its selection criteria and procedures, the ICI has some unique features compared to other financing mechanisms. | | | | |
| In case of "(Predominantly) agree", please describe the unique features you observed. | | | | |
| Are there any differences between the project ideas you submit to the ICI and those you submit to other financing institutions? | | | | |
| In case of "(Predominantly) agree", please state the differences. | | | | |
| Here, you have the opportunity to make further comments on the ICI (e.g. desirable improvements, perceived strengths, weaknesses, etc.). | | | | |

2. Closed List of Questions PB

Section 1: Selection procedure & portfolio development

| | |
|-----------|---|
| 1. | Is there a quantitative/qualitative assessment scheme for the evaluation of submitted project outlines and project proposals? |
|-----------|---|

Yes

No

| | |
|------------|---|
| 1.1 | If so, what does it look like? (please send prime example to GFA via email) |
|------------|---|

| | |
|-----------|--|
| 2. | How many independent, separate evaluations take place for the selection? |
|-----------|--|

Technical Answer

Legal / Commercial Answer

| | |
|-----------|---|
| 3. | The services of the Programme Office also include technical advice with regard to conceptual questions and the portfolio development with the involvement of GIZ technical and regional structures. |
|-----------|---|

| | |
|------------|--|
| 3.1 | How do the technical and regional structures contribute? (multiple answers possible) |
|------------|--|

Through the initiative of the organisational units

Upon request of the Programme Office

Other ways Answer

| | |
|------------|---|
| 3.2 | Where / How does the GIZ contribute its experience? (estimate in %) |
|------------|---|

In the design of the eligibility criteria

- Through the central office %
- Through the regional structures %

In the commentary of project outlines

- Through the central office %
- Through the regional structures %

In discussions with the BMU technical departments

- Through the central office
- Through the regional structures

Other ways: Answer

- Through the central office
- Through the regional structures

4. The funding information specifies three (2008-2010) or four (as of 2011) fields of action. Is there an internal ratio of distribution for the available funds?

Yes

No

4.1 If so, what is the percentage distribution (2008-2010)?

| Field of action | Share % |
|--|--|
| 1. Climate-friendly economy | <input style="width: 20px; height: 15px; border: 1px solid black; vertical-align: middle;" type="text" value="%"/> |
| 2. Adaptation to climate change | <input style="width: 20px; height: 15px; border: 1px solid black; vertical-align: middle;" type="text" value="%"/> |
| 3. Conservation and sustainable use of natural carbon sinks, REDD+ | <input style="width: 20px; height: 15px; border: 1px solid black; vertical-align: middle;" type="text" value="%"/> |

Room for comments:

Comment

4.2 If so, what is the percentage distribution (as of 2011)?

| Field of action | Share % |
|--|--|
| 1. Climate-friendly economy | <input style="width: 20px; height: 15px; border: 1px solid black; vertical-align: middle;" type="text" value="%"/> |
| 2. Adaptation to climate change | <input style="width: 20px; height: 15px; border: 1px solid black; vertical-align: middle;" type="text" value="%"/> |
| 3. Conservation and sustainable use of natural carbon sinks, REDD+ | <input style="width: 20px; height: 15px; border: 1px solid black; vertical-align: middle;" type="text" value="%"/> |
| 4. Biodiversity | <input style="width: 20px; height: 15px; border: 1px solid black; vertical-align: middle;" type="text" value="%"/> |

Room for comments:

Comment

5. Number of submitted and selected project outlines by field of action and selection round:

| Field of action | Project outlines | 2008 | 2009 | 2010 | 2011 | 2012 |
|-----------------|------------------|------|------|------|------|------|
| 1 | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| 2 | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| 3 | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| 4 | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |

6. Number of submitted and selected project proposals by field of action and selection round:

| Field of action | Project proposals | 2008 | 2009 | 2010 | 2011 | 2012 |
|-----------------|-------------------|------|------|------|------|------|
| 1 | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| 2 | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| 3 | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| 4 | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |

7. Number of submitted and selected project outlines by region and selection round:

| Regions | Project outlines | 2008 | 2009 | 2010 | 2011 | 2012 |
|--------------------------------|------------------|------|------|------|------|------|
| Africa | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| Asia | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| Europe, Caucasus, Central Asia | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| Latin America & Caribbean | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| Middle East | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| Global | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |

8. Number of submitted and selected project proposals by region and selection round:

| Regions | Project proposals | 2008 | 2009 | 2010 | 2011 | 2012 |
|--------------------------------|-------------------|------|------|------|------|------|
| Africa | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| Asia | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| Europe, Caucasus, Central Asia | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| Latin America & Caribbean | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| Middle East | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| Global | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |

9. Number of submitted and selected project outlines by applicant implementing agency and selection round:

| Applicant | Project outlines | 2008 | 2009 | 2010 | 2011 | 2012 |
|---|------------------|------|------|------|------|------|
| GIZ | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| KfW | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| UN organisations | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| Scientific institutes | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| International development banks (EBRD etc.) | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| Intern. NGOs | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| German NGOs | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| Private enterprises | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |
| Others | Submitted | # | # | # | # | # |
| | Selected | # | # | # | # | # |

10. Number of submitted and approved project proposals by applicant implementing agency and selection round:

| Applicant | Applications | 2008 | 2009 | 2010 | 2011 | 2012 |
|---|---------------------|-------------|-------------|-------------|-------------|-------------|
| GIZ | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| KfW | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| UN organisations | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| Scientific institutes | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| International development banks (EBRD etc.) | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| Intern. NGOs | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| German NGOs | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| Private enterprises | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| Others | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |

Section 2: Rejection of project outlines & proposals

11. What were the main reasons for rejecting project outlines? Indicate a tentative percentage distribution:

| Reasons for rejection | Share % |
|---|---------|
| Lack of relevance | % |
| Absence of necessary conditions at the implementing agency (financial, personnel, experience, etc.) | % |
| Selected country/countries | % |
| Partner organisation | % |
| Other reason: <i>Reason</i> | % |
| Other reason: <i>Reason</i> | % |
| Other reason: <i>Reason</i> | % |

12. Did you only select outlines which achieved an "A" in all areas?

Yes

No

12.1 If not, what is the share of approved outlines which in part only achieved a "B" or "C"?

| Field of action | Share % |
|--|---------|
| 1. Climate-friendly economy | % |
| 2. Adaptation to climate change | % |
| 3. Conservation and sustainable use of natural carbon sinks, REDD+ | % |
| 4. Biodiversity | % |

12.2 Did you reject outlines even if all parts achieved an "A" in the evaluation?

Yes

No

Room for comments:

Comment

12.3 Were outlines which the PB did not consider eligible for funding approved by the BMU and selected for the 2nd stage of the selection process?

Yes

No

12.4 If so, what is the share of these outlines as a percentage of the total number of selected outlines?

Share %

13. Are rejections still made in the 2nd stage of the selection process (submission of project proposals)?

Yes

No

13.1 If so, what were the main reasons for rejecting the project proposals? Indicate a tentative percentage distribution:

| Reasons for rejection | Share % |
|---|----------------------------|
| Formal errors | <input type="checkbox"/> % |
| Quality of planning | <input type="checkbox"/> % |
| Absence of necessary conditions at the implementing agency (financial, personnel, experience, etc.) | <input type="checkbox"/> % |
| Financing volume | <input type="checkbox"/> % |
| Conditions at partner organisation | <input type="checkbox"/> % |
| Other reason: <i>Reason</i> | <input type="checkbox"/> % |
| Other reason: <i>Reason</i> | <input type="checkbox"/> % |
| Other reason: <i>Reason</i> | <input type="checkbox"/> % |

13.2 Did you reject project proposals even if all parts achieved an "A" in the evaluation?

Yes

No

13.3 If so, what is the share of these project proposals as a percentage of the total number of selected project proposals?

Share %

Room for comments:

Comment

13.4 Did you also accept project proposals which did not achieve an "A" in all areas?

Yes

No

13.5 If so, what is the share of these project proposals as a percentage of the total number of selected project proposals?

Share %

Room for comments:

Comment

13.6 Were project proposals approved by the BMU, which the PB did not consider eligible for funding?

Yes

No

13.7 If so, what is the share of these project proposals as a percentage of the total number of selected outlines?

Share %

Room for comments:

Comment

14. What were or currently are the technical and administrative staffing ratios in relation to the number of project outlines, project proposals, and implementation projects?

| Staffing ratio | Area | 2008 | 2009 | 2010 | 2011 | 2012 |
|-----------------------------------|----------------|------|------|------|------|------|
| Project outlines/ employee | technical | # | # | # | # | # |
| | administrative | # | # | # | # | # |
| Project proposals/ employee | technical | # | # | # | # | # |
| | administrative | # | # | # | # | # |
| Implementation projects/ employee | technical | # | # | # | # | # |
| | administrative | # | # | # | # | # |

Section 3: Amendments

15. Number of submitted and approved amendments by applicant implementing agency and year (year of approval):

| Applicant | Amendments | 2008 | 2009 | 2010 | 2011 | 2012 |
|---|------------|------|------|------|------|------|
| GIZ | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| KfW | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| UN organisations | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| Scientific institutes | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| International development banks (EBRD etc.) | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| Intern. NGOs | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| German NGOs | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| Private enterprises | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |
| Others | Submitted | # | # | # | # | # |
| | Approved | # | # | # | # | # |

16. What is the approval process for the requests for changes? (Short explanation for internal PB processes as well as processes between PB and BMU)

Answer

17. How frequently and for what reasons were requests for changes submitted? (where applicable, estimate of rel. frequency)

Rel. frequency %

- | | | | |
|-----------------------|--------------------------|--------------------------|---|
| Concept changes | <input type="checkbox"/> | <input type="checkbox"/> | % |
| Budget changes | <input type="checkbox"/> | <input type="checkbox"/> | % |
| Time frame changes | <input type="checkbox"/> | <input type="checkbox"/> | % |
| Others: Answer | <input type="checkbox"/> | <input type="checkbox"/> | % |

18. How frequently and for what reasons were requests for changes rejected? (where applicable, estimate of rel. frequency)

Rel. frequency

- | | | | |
|---|--------------------------|--------------------------|---|
| Concept changes do not meet ICI criteria / not compliant with ICI | <input type="checkbox"/> | <input type="checkbox"/> | % |
| Lack of budget funds | <input type="checkbox"/> | <input type="checkbox"/> | % |
| Desired extension did not seem to be justified | <input type="checkbox"/> | <input type="checkbox"/> | % |
| Others: Answer | <input type="checkbox"/> | <input type="checkbox"/> | % |

19. Were requests for changes approved by the BMU, which the PB did not consider to be justified?

Yes

No

19.1 If so, what is the share of these cases as a percentage of the total number of requests for changes?

Share %

Room for comments:

Comment

20 Were requests for changes which the PB considered to be justified not approved by the BMU?

Yes

No

20.1 | If so, what is the share of these cases as a percentage of the total number of requests for changes?

Share %

Room for comments:

Comment

Section 4: Assessment & suggestions

21. | According to you, what are the strengths and weaknesses of the a) ICI selection and b) programme management process?

Answer

22. | What suggestions do you have for improving the ICI programme planning and programme steering?

Answer

23. | What suggestions do you have for improving cooperation with the BMU (e.g. communication, decision-making power / procedures, exchange of information, etc.)?

Answer

24. | How is the guaranteed strict separation between Programme Office and GIZ's own activities / interests ensured?

Answer

3. Open List of Questions PB Management

Introductory question:

- Task description: What other tasks beyond outline/proposal review and project support?

ICI programme management

- Focusing of programme – less and more comprehensive commitments by partners? (implementing agency: "financial amount not substantial for partners" ...)
- Inquiry with regard to the statement "unequal working capacities", interface management with the BMU (what is meant?)
- Advantages/disadvantages of current selection and award procedure (keyword steering options - inductive/deductive, high share of project outlines, etc.)
- Results of process and organisational advice
- Knowledge management (in progress): what, how?
- Does the PB support the BMU in the design and steering of the programme? In what way?
- Are country-specific portfolios developed?

Selection and award procedure

- Proposed: further simplifications of the procedure: in what way?
- Equal treatment of development banks / KfW and NGOs?
- Accusation of some implementing agencies: micro-management through BMU, not task of a ministry
- Transparency of selection and award procedure (amongst others, quantitative evaluation of bid categories, discretionary decisions?) (strong criticism voiced by implementing agencies concerning both transparency and content)
- Interaction with BMU in selection procedure (Does the BMU provide the PB with specifications concerning the project selection?)
- How is the harmonisation with KfW, BMZ implemented?
- How frequently, in what cases, and which evaluators are involved in the examination of applications?
- Quality of application examination: what are the "qualitative criteria" in the project examination?
- High share of rejected applications/outlines (particularly from "others", on average 280 out of 300)
- Feedback to rejected applicants
- Amendments (frequency? process, criticism of draft proposals)

Miscellaneous:

- Information on results of organisation consultancy resulting changes

4. Open List of Questions PB Subject Specialists

Introductory question:

- Task description / responsibility
Distribution of working hours to different fields of application (review, support of projects, other activities [ø per year: 40 outlines, 6 project proposals, 22 projects in implementation])

Selection and award procedure

- How are the outlines reviewed? (How are an independent evaluation and comparability ensured?)
- How frequently, in what cases, and which evaluators are involved in the examination of applications?
- How is the quality of the review process assessed? (keywords: time budget, possibility to examine baseline conditions & feasibility, examinations on the ground, impact hypotheses)
- Benchmarks in the review of outlines: What is appropriate? (amongst others, project volume / turnover of implementing agency and partners, project costs / profitability?)
- Basis of overall evaluation: weighting in the evaluation of different areas of the application
- How is the list of proposals with selection proposals developed? (consideration of budgetary targets – bilateral/others? What is the rejection of applications evaluated as "A" and the acceptance of more poorly rated outlines based on?)
- Does the BMU provide the PB with specifications concerning the project selection? (Why are applications which do not achieve an "A" in all areas also preferred?)
- Interaction with BMU in selection procedure?
- Interaction with applicants during the selection procedure (in more than 75% of cases ex ante coordination / support through implementing agencies indicated)
- Are the federal implementing agencies (GIZ/KfW) also in contact with the PB for preparation purposes / discussions of the outlines?
- High share of rejected applications from "others"
- Which parts of the GIZ/KfW applications are reviewed by the PB and using which criteria?

Project management and monitoring

- What does the process of project support look like?
- Reporting and report auditing: What is the response to reports? (survey showed that in 30% of final reports there was no response / 72% state that, basically, the reporting ensures accountability to the BMU ...)
- How are requests for changes examined and how are decisions taken?
- What does the coordination / discussions with the BMU look like in this context? Amendments (process, frequency, criticism draft proposals)
- Are amendments proactively demanded?
- In case of which questions does interaction with the implementing agencies occur?
- Are there cases where requests for changes were only submitted and approved by the end or even after the end of the project? How often as a percentage of the total number of amendments?
- How actively does the PB support the projects? What is appropriate in the appropriation procedure? How can the PB's power of review be appropriately exercised?

5. Open List of Questions PB Administration

Introductory question:

Task description / responsibility

Distribution of working hours to different fields of application (review, support of projects, other activities)

Selection and award procedure

- Examination sponsor organisation / sponsor analysis (amongst others, project volume / turnover)
Analysis of efficiency / profitability / adequacy of budgeted resources in the award procedure
Consideration of budgetary targets?
Questions and interaction with regard to funding legislation (how many questions are raised, what problems do occur?)
What does the coordination between technical and economic analysis look like?
Are parts of the GIZ/KfW applications reviewed by the PB and using which criteria?
Do the employees of the adm. area take part in consultations and decisions on the list of proposals?

Project management and monitoring

- Which aspects of financial project management and/or the reports of the implementing agencies are complained about most frequently by the PB?
According to which criteria is a budget increase approved?
Are there cases where requests for changes were only submitted and approved by the end or even after the end of the project? How often as a percentage of the total number of amendments?

6. Open List of Questions BMU Head of Department KI II 7

1. What does the current project selection process look like (preparation of application round with strategic focus, project outline, funding applications, application evaluation, and funding approval)?
 - 1.1. Procedure organisation / process,
 - 1.2. Distribution of responsibilities BMU/PB
2. Are attempts made to steer the applications according to the strategic objectives of the ICI? If so, how?
3. Are coordination activities with the BMZ performed beyond the project level according to fields of action, countries? If so, what does the division of responsibilities look like?
4. Are preliminary talks currently being held with countries, (international/national) implementing agencies concerning fields of action, funding priorities?
If so, how and when are the results communicated to the implementing agencies?
5. Is there an (internal) tentative distribution of available funds by fields of action, regions, implementing agencies, etc.?

If so:

- 5.1. Who is involved in the distribution (discussion)?
- 5.2. What are the criteria for the distribution?
6. If at all, what role does the parliament (committees) play in the programme design?
7. The political mandate requires, amongst others, an efficient use of the funds ...
 - 7.1. How is this ensured at the programme level?
 - 7.2. Are quantitative estimates of the (potential) impact made?
 - 7.2.1. (potential) emission impacts
 - 7.2.2. (potential) opportunity costs of adaptation impacts?
 - 7.2.3. Within this context, how are projects for the protection of biodiversity justified with regard to their competition with other fields of action concerning available funds?
 - 7.3. How is this ensured at the project/application level?
8. How is the involvement of development banks (KfW, EBRD), which are not implementing but financing organisations, in the implementation of capacity development projects justified?
9. The criterion of ODA eligibility almost leads to a complete overlap with the funding of the BMZ because the BMZ covers the same fields of action. This even applies to biodiversity projects. Under these circumstances, would a division (other than by source of funding) be possible and reasonable?
10. Is there a quantitative assessment scheme for the evaluation of submitted project outlines and funding applications? (not mentioned in the web)
11. Who evaluates the submitted documents?
12. Are there at least two separate, independent evaluations?
If so, what is decided in case of different evaluations?

7. Open List of Questions BMU Departments

1. **What is the department's task in general and what kind of ICI projects fall within its competence?**
2. **What significance does the ICI have from the technical departments' point of view**
 - for the BMU
 - for international climate negotiations
 - for international cooperation?
 - Should the BMU establish its own dialogue with partner countries independently from the BMZ/Foreign Office?
3. **What do you regard as the ICI's unique feature? (keyword ODA eligibility)**
4. **In what way are the technical departments involved in the planning of the strategic focus and the development of the funding criteria of the ICI?**
 - According to you, is the involvement sufficient?
5. **In what way are the technical departments involved in the project selection (examination of outlines, selection of outlines, application procedure)?**
 - According to you, is the involvement sufficient?
 - To how many outlines, applications does the department usually attend?
 - What does the ex ante interaction with potential applicants look like?
 - Does your department also contribute own suggestions for projects for an ICI funding? What does the procedure look like in this case?
 - According to which criteria are the projects selected?
 - Do you think the selection procedure is transparent?
6. **In what way are the technical departments in contact with the PB and project implementers during project implementation?**
 - To how many projects does the department attend?
 - How much time is available for responding to inquiries (from the project or PB) and for on-site visits?
 - Should the BMU itself be more strongly involved in the project support?
 - In what way can the technical departments influence / steer activities during project implementation?
7. **To what extent do project reports and results influence the work of the technical departments?**
8. **According to you, are the steering structures and the programme management (BMU / PB) appropriate?**
 - According to you, what is the role of the Programme Office?
 - According to you, does the PB fulfil its desired functions?
 - Do you think the distribution of responsibilities between BMU and PB is appropriate?
 - What do you think of the double role of GIZ (project implementer & PB)?
9. **What is your experience with the project implementers?**
 - What do you think is the reason for the high share of GIZ projects in the ICI?
10. **Do you have any suggestions for improvement?**

8. Open List of Questions BMZ

1. In what way is the ICI programme coordinated with the portfolio of the BMZ?

- 1.1. Written prior information on the planning?
- 1.2. Regular meetings? How frequently?
- 1.3. Are the technical departments involved?

2. Is work divided by fields of action?

If so:

What does it look like?

What are the criteria?

Is work divided by countries?

If so: What does it look like?

Apart from the award procedure, do you see content-related, conceptual differences between ICI projects and development cooperation (EZ) projects?

If so: which ones?

Are there any unique features of the ICI projects (apart from the source of funding)?

If so: which ones?

Which possibilities for improvement do you see in the ICI programme?

If any, which suggestions do you have for optimising the cooperation between the BMU (ICI programme) and the BMZ?

9. Open List of Questions Foreign Office

1. How is the Foreign Office informed about ICI projects in the respective countries?
2. What does the cooperation on the ground look like?
3. What role does the ICI play from the Foreign Office's point of view?
4. What role does the Foreign Office play in the ICI?
5. If any, which suggestions do you have for optimising the cooperation between the BMU (ICI programme) and the BMZ?

Annex 2: Evaluated Projects by Fields of Action from 2008/2009

Field of action I: Climate-friendly economy

| PROJECT NUMBER - FIELD OF ACTION I | Title | Country | Thematic project category | On site |
|--|--|---------------|--|---------|
| 08_I_001_CN_G_WINDENERGIE PLATTFORM | Deutsch-Chinesische Plattform für Erneuerbare Energien - Wind Environment Research & Training Center | China | Renewable energies | — |
| 08_I_002_NUS-G-KLIMA UND ENERGIEPOLITIK | Capacity Building für Klimaschutz | NIS/SEE | Climate policy | — |
| 08_I_003_GLOBAL_A_KNOWHOW TRANSFER | Programm TREE: Transfer Renewable Energy & Efficiency | Global | Energy efficiency / Renewable energies | — |
| 08_I_005_CN_G_SAUGRÜSSEL | Verminderung von Treibhausgasen durch die Rückführung flüchtiger Kohlenwasserstoffe an Tankstellen | China | Transport | — |
| 08_I_006_IN_G_ECO INDUSTRIEPARKS | Öko-Industrieparks in Andra Pradesh | India | Energy efficiency | ✓ |
| 08_I_008_IN_A_ENERGIEKAMPAGNE GASTGEWERBE | Übertragung der Energiekampagne Gastgewerbe auf Entwicklungs- und Schwellenländer | India | Energy efficiency | — |
| 08_I_009_BR_A_BIOGAS RIO GRANDE | Masterplan CDM-Biogaspotenziale Rio Grande do Sul | Brazil | Carbon market / Emissions trading | — |
| 08_I_010_ZAS_A_EE | Programm zur Verbesserung der Energieeffizienz in Bergdörfern | Central Asia | Energy efficiency | — |
| 08_I_013_GLOBAL_A_GENDER GREENHOUSE | Gender-Gerechtigkeit in der Klimadebatte | Global | Climate policy | — |
| 08_I_017_BR_A_POA EE BAUEN | Programme of Activities (PoA) zur Energieeffizienzsteigerung in Gebäuden | Brazil | Carbon market / Emissions trading | — |
| 08_I_018_NA_A_STUDIE ENERGIEKONZEPT | Entwicklung eines nationalen Energiekonzeptes | Namibia | Climate policy | — |
| 08_I_019_CN_A_LOW CARBON ZONE | Modell für eine kohlenstoffarme Wirtschaft | China | Climate policy | — |
| 08_I_020_CN_A_CCS | Studie zu CCS - Lagerstätten | China | Climate policy | — |
| 08_I_021_CL_G_STANDORTBESTIMMUNG RE | Staatliche Liegenschaften für Projekte zur Stromerzeugung aus erneuerbaren Energien | Chile | Renewable energies | ✓ |
| 08_I_022_GLOBAL_G_KLIMASCHUTZ DEZENTRALE ENERGIEVERSORGUNG | UND Klimaschutz und dezentrale Energieversorgung - Deutsch-Indisches Energieforum | Transnational | Climate policy | — |
| 08_I_024_CN_G_STANDARDS FÜR KÄLTEMITTEL | Unterstützung bei der Einführung von Standards zu natürlichen Kältemitteln | China | Climate-relevant GHG | — |

| PROJECT NUMBER - FIELD OF ACTION I | Title | Country | Thematic project category | On site |
|---|--|--------------|--|---------|
| 08_I_026_MU_G_KÄLTEMITTEL | Umrüstung von Klimaanlage in öffentlichen Gebäuden auf natürliche Kältemittel | Mauritius | Climate-relevant GHG | — |
| 08_I_028_CN_G_XPS | Umstellung der XPS-Schaumproduktion von fluorierten Gasen auf klimafreundliche CO2-Technologie | China | Climate-relevant GHG | — |
| 08_I_030_JO_G_WASSERPUMPSTATIONEN | Steigerung der Energieeffizienz im Wassersektor | Jordan | Energy efficiency | ✓ |
| 08_I_032_KZ_M_SEFF | Beratung zur Umsetzung der Finanzierungsfazilität "Nachhaltige Energie" | Kazakhstan | Energy efficiency / Renewable energies | ✓ |
| 08_I_035_SRB_A_BIOGAS | „Pigs for Kilowatt“ - Nutzung von Schweinegülle zur Biogasgewinnung | Serbia | Carbon market Emissions trading / | — |
| 08_I_037_IN_G_TRIGENERATION UND KWK | Kraft-Wärme-Kälte-Kopplung im Tamil Nadu Haus, Delhi | India | Energy efficiency | — |
| 08_I_038_ID_G_SELF-SUFFICIENT VILLAGE | Strategische und konzeptionelle Unterstützung des autonomen Dorf-Energie-Programms ("Desa Mandiri Energi" DME) | Indonesia | Renewable energies | — |
| 08_I_040_BR_G_1000 DÄCHER | Das "1000-Dächer-Programm" - Verbreitung solarthermischer Warmwassererzeugung | Brazil | Renewable energies | ✓ |
| 08_I_042_ZA_G_BECCAP | Basisprogramm Energie und Anpassung an den Klimawandel | South Africa | Carbon market Emissions trading / | — |
| 08_I_043_UA_A_GÄRUNG AUS RESTSTOFFEN | Nutzung von Reststoffen aus alkoholischer Gärung | Ukraine | Carbon market Emissions trading / | — |
| 08_I_044_KARIB_A_BIOGAS | Bioenergie in der Karibik | Caribbean | Carbon market Emissions trading / | — |
| 08_I_051_TH_A_ENERGIE | Energieeffizienzkonzept für die Ferieninsel Kho Khao | Thailand | Energy efficiency | — |
| 08_I_052_SZ_G_KÄLTEMITTEL | Umstellung der Produktion von kommerziellen Kältegeräten auf natürliche Kältemittel | Swaziland | Climate-relevant GHG | — |
| 08_I_053_ZA_G_KÄLTEMITTEL | Umstellung von Supermärkten von halogenierten auf natürliche Kältemittel | South Africa | Climate-relevant GHG | — |
| 08_I_054_CN_G_KÄLTEMITTEL | Modellhafte Produktion umweltfreundlicher Raumklimaanlagen | China | Climate-relevant GHG | ✓ |
| 08_I_057_EC_A_BIOKRAFTSTOFFE | Ersatz von fossilen Kraftstoffen durch Biokraftstoffe auf den Galapagosinseln | Ecuador | Renewable energies | — |
| 08_I_059_IN_G_LÄNDLICHE ENERGIEVERSORGUNG | Klimaneutrale Energieversorgung für ländliche Gebiete | India | Renewable energies | — |
| 08_I_061_GLOBAL_A_GOLD STANDARD | Ausbildung von lokalen "Gold Standard" Experten | Global | Carbon market Emissions trading / | — |
| 08_I_062_BF_A_LÄNDLICHE ELEKTRIFIZIERUNG | CDM Projekt zur ländlichen Elektrifizierung | Burkina Faso | Carbon market Emissions trading / | — |

| PROJECT NUMBER - FIELD OF ACTION I | Title | Country | Thematic project category | On site |
|---|--|--|--|---------|
| 08_I_063_ZA_M_SONNEN- UND WINDENERGIE | Verbesserung des Know-how zur Anwendung Erneuerbarer Energie-Technologien | South Africa | Renewable energies | — |
| 08_I_065_GLOBAL_G_DIALOGFORUM | Strategische Umweltpolitikdialogforen mit Schwellenländern | Global | Climate policy | — |
| 08_I_066_CN_G_CHINESE STERN REPORT | Economics of Climate Change | China | Climate policy | — |
| 08_I_068_GLOBAL_M_WORKSHOP BALI ROADMAP | Vorbereitungsworkshops für Entwicklungs- und Schwellenländer zur Verhandlung des Klimaabkommens 2009 | Global | Climate policy | — |
| 08_I_073_RUS_A_KONZEPT WINTEROLYMPIADE | Konzept zur nachhaltigen Energieversorgung der Winterolympiade 2014 in Sotchi | Russia | Energy efficiency | — |
| 08_I_074_MEDA_G_FILM | Dokumentarfilm: Energieeffizienz in Gebäuden in der MEDA-Region | MEDA | Energy efficiency | — |
| 08_I_081_LATEINAMERIKA UND KARIBIK M_SUSTAINABLE ENERGY ADVISORY FACILITY | Beratung zur nachhaltigen Energieversorgung | Latin America and Caribbean | Energy efficiency / Renewable energies | — |
| 08_I_088_GLOBAL_A_WISSENSTRANSFER EE | Globaler Wissenstransfer zum Thema Energieeffizienz | Global | Energy efficiency | — |
| 08_II_023_GHA_A_BIOGAS SOLAR | Nachhaltige Energie- und Wasserversorgung für die Universität Accra | Ghana | Renewable energies | ✓ |
| 09_I_011_HR_G_KOMMUNALER KLIMASCHUTZ | Organisation kommunaler Klimaschutzinitiativen in Kroatien und anderen Ländern Südosteuropas | Croatia and neighbouring countries in Southeast Europe | Climate policy | — |
| 09_I_029_BR_A_KLÄRANLAGE | Nutzung der Faulgase einer kommunalen Kläranlage für Transportzwecke in Americana (Sao Paulo) | Brazil | Renewable energies | on site |
| 09_I_031_RUS_M_SECF | Sustainable Energy and Carbon Finance Facility (SECF)- Russische Föderation | Russia | Energy efficiency / Renewable energies | — |
| 09_I_036_VNM_A_BIOGAS | PoA Konzeptentwicklung für den Einsatz von Kleinbiogasanlagen in kleinen Schweineproduktionsbetrieben in eine dezentrale Energieversorgung | Vietnam | Carbon market / Emissions trading | — |
| 09_I_049_DZ_A_SOLARTUMKRAFTWERK | Solarthermisches Turmkraftwerk Algerien, Teil 1 (Teil 2: 13 Mio. ab 2010) | Algeria | Renewable energies | — |
| 09_I_050_TH_A_SOLARLITE_TREFFERT | Kombinierte Strom-, Wärme- und Kälteerzeugung aus Solarenergie und Biomasse, TRESERT | Thailand | Renewable energies | ✓ |
| 09_I_067_MEX_M_BANKING SECTOR ENGAGEMENT | Einbindung des Bankensektors in die Finanzierung erneuerbarer Energien in Mexiko | Mexico | Energy efficiency / Renewable energies | — |
| 09_I_069_AFIKA_M_CARBON DEVELOPMENT FACILITY ASSET | African Carbon Asset Development (ACAD) Fazilität | Transnational | Carbon market / Emissions trading | — |

| PROJECT NUMBER - FIELD OF ACTION I | Title | Country | Thematic project category | On site |
|--|--|--|-----------------------------------|---------|
| 09_I_070_GLOBAL_M_CDMWATCH | CDM Watch | Global | Carbon market / Emissions trading | — |
| 09_I_077_CHN_A_METHAN-MINIMIERTE ABFALLBEHANDLUNG | Klimaschutzprojekt Gaobeidian City, Provinz Hebei, China, Umsetzung eines Konzeptes für eine methanminimierte Abfallbehandlung | China | Waste | ✓ |
| 09_I_082_CHL_A_ABFALLBEHANDLUNGSZENTRUM MARGA MARGA | Abfallbehandlungszentrum (ABZ) in der Region Marga-Marga | Chile | Waste | — |
| 09_I_087_UKR_K VERKEHRSMODERNISIERUNG LEMBERG | Energieeffizienter Ausbau und Modernisierung des öffentlichen Nahverkehrs Lemberg | Ukraine | Transport | — |
| 09_I_095_NUS_G_CAPACITY DEVELOPMENT | Capacity Development für eine nachhaltige Energie- und Klimapolitik in Mittel- und Osteuropa, Russland und Zentralasien | CEE/CIS | Climate policy | — |
| 09_I_100_CHN_A_SECTORAL CDM | Kohlenstoffmarkt im Neubaubereich in China – Programmatic CDM, neue sektorale Ansätze, Aufbau einer nationalen Handelsplattform | China | Carbon market / Emissions trading | — |
| 09_I_102_AZE_A_SOCAR | Erarbeitung einer Klimaschutzstrategie für Aserbaidschans Öl- und Gasgesellschaft SOCAR | Azerbaijan | Carbon market / Emissions trading | — |
| 09_I_106_GLOBAL_A_TREE | TREE-Project: Transfer Renewable Energy & Efficiency | Selected developing and emerging countries | Climate policy | — |
| 09_I_108_NUS_A_EE CAPACITY BUILDING | Klimaschutz und Erneuerbare Energien als Chance für Wirtschaft, Politik und Zivilgesellschaft in Osteuropa, Kaukasus und Zentralasien durch Technologie- und Wissenstransfer | CIS; Caucasus and Central Asia | Climate policy | — |
| 09_I_110_UKR_M_TAM UKRAINE | TAM: Steigerung der Energieeffizienz in der Ukraine | Ukraine | Energy efficiency | — |
| 09_I_111_RUS_M_TAM RUSSIA | TAM: Steigerung der Energieeffizienz in Russland | Russia | Energy efficiency | — |
| 09_I_114_CHN_G_FOBI FÜHRUNGSKRÄFTE | Führungskräftefortbildung im Bereich Umwelt und Klima | China | Climate policy | — |
| 09_I_126_GLOBAL_A_NACHHALTIG-TV | "Nachhaltig" - die Programminitiative auf DW-TV | Global | Climate policy | — |
| 09_I_127_RUS_A_MODERNISIERUNGSPARTNERSCH AFT | Aufbau und Umsetzung einer Innovationsplattform für eine Deutsch-Russische Modernisierungspartnerschaft mit dem Gebiet Swerdlowsk in der Russischen Föderation | Russia | Energy efficiency | — |
| 10_I_078_RUS_A_KOROLEV_MUSTERSTADT | Korolev - Musterstadt der Wärmeenergieeinsparung | Russia | Energy efficiency | — |
| TOTAL: 68 PROJECTS IN FIELD OF ACTION I, 10 OF WHICH ON-SITE EVALUATIONS | | | | |

Fields of action II & III

| PROJECT NUMBER - FIELD OF ACTION II & III | Title | Country | Thematic project category | On site |
|---|---|--|--|---------|
| 08_II_001_KAZ_M_GESUNDHEITLICHE ANPASSUNG | Gesundheitliche Anpassung an den Klimawandel | Kazakhstan | Adaptation strategies | — |
| 08_II_002_ALB_M_GESUNDHEITLICHE ANPASSUNG | Gesundheitliche Anpassung an den Klimawandel | Albania | Adaptation strategies | — |
| 08_II_003_KGZ_M_GESUNDHEITLICHE ANPASSUNG | Gesundheitliche Anpassung an den Klimawandel | Kyrgyzstan | Adaptation strategies | — |
| 08_II_004_MKD_M_GESUNDHEITLICHE ANPASSUNG | Gesundheitliche Anpassung an den Klimawandel | Macedonia | Adaptation strategies | — |
| 08_II_005_RUS_M_GESUNDHEITLICHE ANPASSUNG | Gesundheitliche Anpassung an den Klimawandel | Russia | Adaptation strategies | — |
| 08_II_006_TJK_M_GESUNDHEITLICHE ANPASSUNG | Gesundheitliche Anpassung an den Klimawandel | Tajikistan | Adaptation strategies | — |
| 08_II_007_UZB_M_GESUNDHEITLICHE ANPASSUNG | Gesundheitliche Anpassung an den Klimawandel | Uzbekistan | Adaptation strategies | ✓ |
| 08_II_009_BRA_A_CENTRO KLIMA | Multiplikation von Best practice Erfahrungen zur Anpassung an den Klimawandel | Brazil | Adaptation strategies | — |
| 08_II_010_GEO_G_REHABILITIERUNG DEGRADierter LANDSCHAFTEN | Klimatolerante Rehabilitation degradierter Großlandschaften im Süd-Kaukasus | Georgia | Ecosystem-based land use systems | — |
| 08_II_013_CHN_G_KOOPERATIONSPLATTFORM ÖKOSYSTEME | Kooperationsplattform zum Schutz artenreicher und karbonspeichernder Ökosysteme | China | Carbon sinks with REDD relevance | — |
| 08_II_014_GLOBAL_G_CD-REDD | CD-REDD: Verminderung von Emissionen aus Entwaldung in Entwicklungsländern | Global | Climate-relevant biodiversity with REDD | — |
| 08_II_015_THA_G_NATURBEZOGENER TOURISMUS | Klimaschutz im naturbezogenen Tourismus | Thailand | Adaptation strategies | ✓ |
| 08_II_017_ASIA_A_MARINESCHUTZGEBIETE | Marine und Küstenschutzgebiete im Korallendreieck | Indonesia, Malaysia, Papua New Guinea, Philippines, Solomon Islands, Timor-Leste | Adaptation strategies | ✓ |
| 08_II_018_ASIA_A_TNC SCHUTZGEBIETE | Herausforderung Klimawandel in Mikronesien | Micronesian Islands, Marshall Islands, Palau | Adaptation strategies | — |
| 08_II_020_CHN_G_WETTERVERSICHERUNG | Versicherungsinstrumente zur Anpassung an den Klimawandel | China | Insurance solutions | — |
| 08_II_025_BRA_K_FUNBIO WALDSCHUTZ | Schutz der atlantischen Küstenwälder | Brazil | Carbon sinks with REDD relevance | — |
| 08_II_026_BLR, UKR_K_RSPB TORFMOORE | Rehabilitierung von Torfmooren | Belarus, Ukraine | Climate-relevant biodiversity without REDD | — |
| 08_II_028_COG_K_LAC TUMBA | Schutz des Ngiri-Dreiecks | DR Congo | Carbon sinks with REDD relevance | ✓ |

| PROJECT NUMBER - FIELD OF ACTION II & III | Title | Country | Thematic project category | On site |
|--|--|------------------|--|---------|
| 08_II_030_KAUKAS_K_WIEDERHERSTELLUNG VON WÄLDERN | Kaukasus-Initiative: Wiederaufforstung im Südkaukasus | Caucasus | Carbon sinks with REDD relevance | — |
| 08_II_031_PNG_K_CI YUS | Indigenes Waldschutzgebiet Yus | Papua New Guinea | Carbon sinks with REDD relevance | ✓ |
| 08_II_033_RUS_K_WALDSCHUTZ | Schutz von Urwäldern in der Bikin-Region | Russia | Climate-relevant biodiversity without REDD | — |
| 08_II_034_TKM_G_WALDBEWIRTSCHAFTUNG | Nachhaltige Waldbewirtschaftung | Turkmenistan | Climate-relevant biodiversity without REDD | — |
| 08_II_035_PER_K_WALD-ÖKOSYSTEME | Reduktion der Emissionen durch Entwaldung durch den Schutz von Wald-Ökosystemen in Amazonien | Peru | Climate-relevant biodiversity with REDD | ✓ |
| 08_II_036_ZMB_M_TROCKENWALDSCHUTZ | Erhaltung des Miombo-Trockenwaldes durch Vergrößerung und Management bestehender Schutzgebiete | Sambia | Carbon sinks with REDD relevance | — |
| 08_II_037_ZA_M_FEUCHTGEBIETE | Feuchtgebietsschutz in der Kapregion | South Africa | Climate-relevant biodiversity without REDD | — |
| 08_II_039_KZZ_M_ALTAI | Erhaltung von Lebensräumen in der Altai Sayan-Region | Kazakhstan | Carbon sinks with REDD relevance | — |
| 08_II_041_TZA_M_BERGWALDSCHUTZ | Schutz von Bergwäldern | Tanzania | Carbon sinks with REDD relevance | ✓ |
| 08_II_046_GLOBAL_G_GSAI | Informationsplattform für Anpassung an den Klimawandel (CI: GRASP) | Global | Adaptation strategies | — |
| 08_II_047_IND_A_KATASTROPHENPRÄVENTION HIMALAJA | Katastrophenprävention und Anpassung an den Klimawandel in entlegenen Dörfern des Himalaja | India | Adaptation strategies | — |
| 08_II_049_PHL_G_ANPASSUNGSSTRATEGIE UND BIODIV FONDS | Anpassung an den Klimawandel und Erhaltung der Biodiversität | Philippines | Ecosystem-based land use systems | ✓ |
| 08_II_052_LDCS_A_ANALYT UNTERSTÜTZUNG FÜR LDCS | PREVENT – Unterstützung für Delegationen aus den am wenigsten entwickelten Ländern und kleinen Inselstaaten in „post-2012“ Verhandlungen | LDC/SIDS | Adaptation strategies | — |
| 08_II_055_GLOBAL_A_LIFE WEB | Unterstützung der LifeWeb Initiative | Global | Carbon sinks with REDD relevance | — |
| 08_II_057_VNM_G_FEUCHTGEBIETE BAC LIEU | Nachhaltige Entwicklung von Küstenschutzwäldern (Feuchtgebieten) in der Provinz Bac Lieu | Vietnam | Ecosystem-based land use systems | ✓ |
| 08_II_060_MEX_G_SCHUTZMAßNAHMEN ÖKOSYSTEME | Klimaschutz in fünf Ökosystemen | Mexico | Carbon sinks with REDD relevance | ✓ |

| PROJECT NUMBER - FIELD OF ACTION II & III | Title | Country | Thematic project category | On site |
|--|--|---|--|---------|
| 08_II_061_BRA_G/K_NATURSCHUTZGEBIETE | Förderung von Schutzgebieten mit nachhaltiger Nutzung in Amazonien (ARPA) | Brazil | Climate-relevant biodiversity with REDD | ✓ |
| 08_II_063_CMR_K_TRINATIONALES WALDSCHUTZGEBIET | Trinationales Waldschutzgebiet (Kongobecken) | Cameroon, Congo, Central African Republic | Climate-relevant biodiversity with REDD | — |
| 09_II_008_IDN_M_REGENWALDSCHUTZ | Adaptive, über den Handel mit Emissionszertifikaten finanzierte Waldbewirtschaftung im Tropical Rainforest Heritage of Sumatra | Indonesia | Climate-relevant biodiversity with REDD | ✓ |
| 09_II_011_COMIFAC_G_KLIMAWANDEL | Klimawandelszenarien Kongobecken | COMIFAC member states | Adaptation strategies | — |
| 09_II_012_MLI_G_KLIMAWANDEL | Stärkung der nationalen Klimapolitik und Anpassungsstrategien an den Klimawandel | Mali | Adaptation strategies | — |
| 09_II_019_TUR_G_FEUCHTGEBIETE | Anpassung an den Klimawandel und Biodiversitätserhalt durch Schutz und nachhaltige Nutzung von Feuchtgebieten in der Türkei | Turkey | Climate-relevant biodiversity without REDD | — |
| 09_II_021_IND_K_KLIMASCHUTZ | Verbesserung des Schutzgebietsmanagements und der Anpassung an den Klimawandel in klimatisch verletzbaren Ökosystemen Indiens | India | Carbon sinks with REDD relevance | — |
| 09_II_022_PER_A_REGENWALDSCHUTZ | Schutz des Regenwalds und Förderung der indigenen Lokalbevölkerung im Amazonastiefland | Peru | Climate-relevant biodiversity with REDD | — |
| 09_II_032_AZE_K_WIEDERHERSTELLUNG VON WÄLDERN | Wiederherstellung von Wäldern | Azerbaijan | Carbon sinks with REDD relevance | — |
| 09_II_038_RUS_M_ALTAI | Erhaltung von Lebensräumen in der Altai Sayan-Region durch Vergrößerung des Schutzgebietsnetzes | Russia | Climate-relevant biodiversity without REDD | — |
| 09_II_053_TJK_G_FLUßAUENWÄLDER_THERMOISOLIERUNG WOHNHÄUSER | Rehabilitierung und nachhaltige Bewirtschaftung von Flusssauenwäldern; Thermoisolierung von Wohnhäusern | Tajikistan | Climate-relevant biodiversity without REDD | — |
| 09_II_059_GUY_K/A_GUIANA SCHILD INITIATIVE | „Guyana-Schild-Initiative“/ Vermiedene Abholzung durch Zusammenlegung bestehender und Schaffung neuer Schutzgebiete in der Guianan Region | Guyan Region: Guyana, Suriname, Venezuela, Brazil | Carbon sinks with REDD relevance | — |
| 09_III_011_IDN_G_TORFWALDGEBIET MERANG | Erweiterungsvorhaben Informations- und Wissensmanagement für Biodiversitätsschutz durch Vorbereitungsmaßnahmen für Vermiedene Entwaldung (REDD) im Torfwaldgebiet Merang | Indonesia | Climate-relevant biodiversity with REDD | — |

TOTAL: 47 PROJECTS IN FIELD OF ACTION II & III, 12 OF WHICH ON-SITE EVALUATIONS

Annex 3: Statistical Assessment of Individual Project Evaluations

Possible grades to be assigned to the evaluation criteria

| Possible grades | Standard definitions |
|-----------------|---|
| Grade 1 | Very good result, exceeding clearly all expectations |
| Grade 2 | Good result, fully fulfilling expectations, no major shortcomings |
| Grade 3 | Satisfying result, below expectations but the positive result dominate |
| Grade 4 | Non-satisfying result, clearly below expectations, negative results clearly dominate despite visible positive results |
| Grade 5 | Clearly inadequate result, clearly below expectations, negative results clearly dominate |
| Grade 6 | The project is to be seen very critically, it is useless and/or changed the situation for the worse |

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|---------------------------------|--|
| Criterion 1: | Relevance |
| Description: | The criterion „relevance“ scrutinizes the intervention logic of the respective individual project in the context of the overall ICI program. |
| Higher-ranking guiding question | GQ1: Do the project goals take into account ICI's overall goals? |

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| Criterion 2: | Effectiveness |
| Description: | The criterion Effectiveness scrutinizes the degree of target achievement, i.e. the extend to which the defined project goals were reached (in case of ongoing projects: the likelihood that the project goals will be reached). |
| Higher-ranking guiding question | EF2: To which degree were the defined project goals reached? |

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| Criterion 3: | Efficiency |
| Description: | The criterion „efficiency“ scrutinizes the economic feasibility of the respective project. |
| Higher-ranking guiding question | EF3: How is the relation between the project results and the employed (financial) means to be judged? |

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| Criterion 4: | Impact |
| Description: | <p>The criterion „impact“ scrutinizes the climate-relevant impacts that go beyond the direct outcomes of a respective project. Sometimes the wording "indirect outcomes" is also applied in this context. The "direct outcomes" of a project can be directly attributed to said project but also contribute to possible "indirect outcomes". Due to the so-called "attribution gap" it cannot fully be discerned to which degree the project contributes to the "indirect outcomes", because other projects and measures contribute to the "indirect outcomes" as well.</p> <p>The "indirect outcomes" (=impact) are at the end of the project's impact chain. Internationally (OECD-DAC) the following terms are used when talking about impact chains: activities, outputs, outcome (direct outcome), impact (indirect outcome). In German development cooperation another "layer" is inserted between output and outcome, namely "use of output".</p> |
| Higher-ranking guiding question | EF4: Do (climate-relevant) impacts arise in a sector / country, to which the direct project outcome contributes? |

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|---------------------------------|---|
| Criterion 5: | Sustainability |
| Description: | The criterion „sustainability“ scrutinizes the degree to which the project’s outcome are continued to be used by the local stakeholders after project termination, as well as the degree to which the project impact stays visible. |
| Higher-ranking guiding question | EF5: Can the positive outcomes / impacts of the project be sustained? |

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| Criterion 6: | Coherence & Coordination |
| Description: | The criterion „coherence & coordination“ scrutinizes the degree to which activities / projects were coordinated with other bi- and multilateral donors as well as other German ministries / departments. |
| Higher-ranking guiding question | EF6: Is the project complementary to interventions of other donors? |

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| Criterion 7: | Planning & Steering |
| Description: | The criterion „planning & steering“ scrutinizes the quality of the project management in terms of project planning and steering. |
| Higher-ranking guiding question | EF7: Are the employed planning and steering processes appropriate for reaching the project’s goals? |

| Project number | Country | Region | Implementing Agency | Project - category topic | Project category methodology | Field | Title | Project start | Project end | Project duration | Overall budget | Desk study or in situ evaluation | BMU Division | | | | | | Evaluator Division | | | | | | | | | | | |
|---|------------|--------------------------------|------------------------------|---|------------------------------|-------|--|---------------|-------------|------------------|----------------|----------------------------------|--------------|-----------|-----------|-----------|-----------|-----------|--------------------|-----------|-----------|-----------|-----------|-----------|---|--|---|---|---|--|
| | | | | | | | | | | | | | Cluster 1 | Cluster 2 | Cluster 3 | Cluster 4 | Cluster 5 | Cluster 6 | Cluster 1 | Cluster 2 | Cluster 3 | Cluster 4 | Cluster 5 | Cluster 6 | | | | | | |
| 09_II_022_PER_A_Regenwaldschutz | Peru | Central-/South America | KfW | Climate relevant biodiversity with REDD | Policy advice | II | Schutz des Regenwalds und Förderung der indigenen Lokalbevölkerung im Amazonastiefland | 10/2008 | 12/2009 | 1,1 | 118.754 € | Desk | 1 | | 1 | | 1 | | 1 | | 1 | | 1 | | 1 | | 1 | | 1 | |
| 08_I_001_CN_G_Windenergie Plattform | China | Asia | GTZ | Renewable energy | Capacity building | I | Deutsch-Chinesische Plattform für Erneuerbare Energien - Wind Environment Research & Training Center | 11/2008 | 02/2011 | 2,3 | 5.184.923 € | Desk | 1 | 1 | | | 1 | 1 | 1 | | | 1 | | | 1 | | | 1 | 1 | |
| 08_I_005_CN_G_Saugrüssel | China | Asia | GTZ | Transport | Capacity building | I | Verminderung von Treibhausgasen durch die Rückführung flüchtiger Kohlenwasserstoffe an Tankstellen | 12/2008 | 03/2012 | 3,3 | 300.355 € | Desk | 1 | 1 | | | 1 | 1 | 1 | | | | | 1 | | | 1 | 1 | | |
| 08_I_021_CL_G_Standortbestimmung RE | Chile | Central-/South America | GTZ | Renewable energy | Capacity building | I | Staatliche Liegenschaften für Projekte zur Stromerzeugung aus erneuerbaren Energien | 11/2008 | 06/2011 | 2,7 | 1.299.863 € | in situ | 1 | 1 | | | 1 | 1 | 1 | | | | | 1 | | | 1 | 1 | | |
| 08_I_024_CN_G_Standards für Kältemittel | China | Asia | GTZ | Climate relevant greenhouse gas emissions | Capacity building | I | Unterstützung bei der Einführung von Standards zu natürlichen Kältemitteln | 08/2008 | 06/2011 | 2,9 | 300.000 € | Desk | 1 | 1 | | | 1 | 1 | 1 | | | | | 1 | | | 1 | 1 | | |
| 08_I_032_KZ_M_SEFF | Kazakhstan | Europe, Caucasus, Central Asia | EBRD | Energy efficiency/ Renewable energy | Capacity building | I | Beratung zur Umsetzung der Finanzierungsfazilität "Nachhaltige Energie" | 08/2008 | 12/2011 | 3,4 | 1.944.000 € | in situ | 1 | 1 | | | 1 | 1 | 1 | | | | | 1 | | | 1 | 1 | | |
| 08_I_043_UA_A_Gärung aus Reststoffen | Ukraine | Europe, Caucasus, Central Asia | GFA Envest | Carbon market/ emissions trade | Capacity building | I | Nutzung von Reststoffen aus alkoholischer Gärung | 10/2008 | 03/2009 | 0,5 | 179.020 € | Desk | 1 | 1 | | | 1 | | 1 | | | | | 1 | | | 1 | 1 | | |
| 08_I_061_Global_A_Gold Standard | Global | Global | The Gold Standard Foundation | Carbon market/ emissions trade | Capacity building | I | Ausbildung von lokalen "Gold Standard" Experten | 11/2008 | 12/2010 | 2,2 | 2.074.063 € | Desk | 1 | | | | 1 | 1 | | | | | | | 1 | | | 1 | | |
| 08_I_065_Global_G_Dialogforum | Global | Global | GTZ | Climate policy | Policy advice | I | Strategische Umweltpolitikdialogforen mit Schwellenländern | 11/2008 | 12/2009 | 1,2 | 559.000 € | Desk | 1 | 1 | | | 1 | 1 | 1 | | | | | 1 | | | 1 | 1 | | |

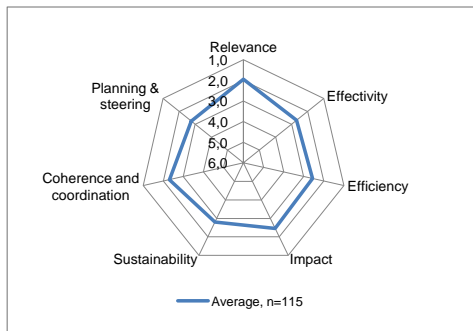
| Project number | Country | Region | Implementing Agency | Project - category topic | Project category methodology | Field | Title | Project start | Project end | Project duration | Overall budget | Desk study or in situ evaluation | BMU Division | | | | | | Evaluator Division | | | | | | | | |
|---|-----------------------|--------------------------------|---------------------|---|------------------------------|-------|--|---------------|-------------|------------------|----------------|----------------------------------|--------------|-----------|-----------|-----------|-----------|-----------|--------------------|-----------|-----------|-----------|-----------|-----------|---|---|---|
| | | | | | | | | | | | | | Cluster 1 | Cluster 2 | Cluster 3 | Cluster 4 | Cluster 5 | Cluster 6 | Cluster 1 | Cluster 2 | Cluster 3 | Cluster 4 | Cluster 5 | Cluster 6 | | | |
| 09_II_012_MLI_G_Klimawandel | Mali | Africa | GTZ | Adaptation strategies | Policy advice | II | Stärkung der nationalen Klimapolitik und Anpassungsstrategien an den Klimawandel | 06/2009 | 05/2010 | 1,0 | 800.000 € | Desk | 1 | | | 1 | 1 | | | 1 | | | 1 | 1 | | | |
| 08_I_052_SZ_G_Kältemittel | Swaziland | Africa | GTZ | Carbon market/ emission trade | Implementation | I | Umstellung der Produktion von kommerziellen Kältegeräten auf natürliche Kältemittel | 10/2008 | 05/2012 | 3,7 | 1.677.059 € | Desk | | 1 | | | 1 | 1 | | | 1 | | | 1 | | | 1 |
| 08_I_073_RUS_A_Konzept Winterolympiade | Russia | Europe, Caucasus, Central Asia | DENA | Energy efficiency | Policy advice | I | Konzept zur nachhaltigen Energieversorgung der Winterolympiade 2014 in Sochi | 10/2008 | 01/2010 | 1,2 | 226.211 € | Desk | 1 | 1 | | | 1 | 1 | | | 1 | 1 | | | 1 | | 1 |
| 08_II_006_IN_G_Eco Industrieparks | India | Asia | GTZ | Energy efficiency | Capacity building | I | Öko-Industrieparks in Andra Pradesh | 11/2008 | 03/2012 | 3,4 | 1.720.332 € | in situ | 1 | 1 | | | 1 | 1 | | | 1 | 1 | | | 1 | 1 | 1 |
| 09_II_011_COMIFAC_G_Klimawandel | COMIFAC-Member states | Africa | GTZ | Adaptation strategies | Policy advice | II | Klimawandelszenarien Kongobecken | 11/2009 | 04/2012 | 2,5 | 1.530.000 € | Desk | 1 | | | | 1 | 1 | | | 1 | | | 1 | 1 | | |
| 08_II_001_KAZ_M_gesundheitliche Anpassung | Kazakhstan | Europe, Caucasus, Central Asia | WHO | Adaptation strategies | Capacity building | II | Gesundheitliche Anpassung an den Klimawandel | 12/2008 | 08/2012 | 3,8 | 1.009.744 € | Desk | 1 | | | | 1 | 1 | | | 1 | | | 1 | 1 | | |
| 09_III_011_IDN_G_Torfwaldgebiet Merang | Indonesia | Asia | GTZ | Climate relevant biodiversity with REDD | Policy advice | III | Erweiterungsvorhaben Informations- und Wissensmanagement für Biodiversitätsschutz durch Vorbereitungsmaßnahmen für Vermiedene Entwaldung (REDD) im Torfwaldgebiet Merang | 10/2009 | 12/2011 | 2,3 | 625.787 € | Desk | 1 | | 1 | | 1 | 1 | | | 1 | | | 1 | | 1 | |
| 08_II_015_THA_G_Naturbezogener Tourismus | Thailand | Asia | GTZ | Adaptation strategies | Capacity building | II | Klimaschutz im naturbezogenen Tourismus | 11/2008 | 05/2012 | 3,6 | 1.771.926 € | in situ | 1 | | | | 1 | 1 | | | 1 | | | 1 | | | 1 |

| Project number | Country | Region | Implementing Agency | Project - category topic | Project category methodology | Field | Title | Project start | Project end | Project duration | Overall budget | Desk study or in situ evaluation | BMU Division | | | | | | Evaluator Division | | | | | | | | | | | | |
|--|---|--------------------------------|---|--|------------------------------|-------|--|---------------|----------------------|------------------|----------------|----------------------------------|--------------|-----------|-----------|-----------|-----------|-----------|--------------------|-----------|-----------|-----------|-----------|-----------|--|---|---|---|---|---|--|
| | | | | | | | | | | | | | Cluster 1 | Cluster 2 | Cluster 3 | Cluster 4 | Cluster 5 | Cluster 6 | Cluster 1 | Cluster 2 | Cluster 3 | Cluster 4 | Cluster 5 | Cluster 6 | | | | | | | |
| 08_I_009_BR_A_Biogas Rio Grande | Brazil | Central-/South America | DENA | Carbon market/ emissions trade | Capacity building | I | Masterplan CDM-Biogaspotenziale Rio Grande do Sul | 08/2008 | 02/2010 | 1,6 | 122.720 € | Desk | 1 | 1 | | | | | | | | | | | | | | | | | |
| 09_I_108_NUS_A_EE (Keine Vorschläge) building | NIS; Caucasus und Central Asia | Europe, Caucasus, Central Asia | Women in Europe for a Common Future - WECEF | Climate policy | Capacity building | I | Klimaschutz und Erneuerbare Energien als Chance für Wirtschaft, Politik und Zivilgesellschaft in Osteuropa, Kaukasus und Zentralasien durch Technologie- und Wissenstransfer | 10/2009 | 11/2010 | 2,0 | 176.235 € | Desk | 1 | 1 | | | 1 | | | | 1 | 1 | | | | | | 1 | | 1 | |
| 08_II_061_BRA_G/K_Naturschutzgebiete | Brazil | Central-/South America | GTZ / KfW | Climate relevant biodiversity with REDD | Implementation | II | Förderung von Schutzgebieten mit nachhaltiger Nutzung in Amazonien (ARPA) | 11/2008 | 12/2009 bzw. 01/2010 | 1,3 | 6.500.000 € | in situ | | | | 1 | 1 | | | | | | | | | | 1 | 1 | | | |
| 09_I_031_RUS_M_SECF | Russia | Europe, Caucasus, Central Asia | EBRD | Energy efficiency/ Renewable energy | Capacity building | I | Sustainable Energy and Carbon Finance Facility (SECF)- Russische Föderation | 12/2009 | 09/2011 | 1,8 | 2.423.156 € | Desk | 1 | 1 | | | 1 | | | 1 | 1 | | | | | | 1 | | 1 | | |
| 08_I_010_ZAS_A_EE | Central Asia | Europe, Caucasus, Central Asia | CAMP Alatau | Energy efficiency | Capacity building | I | Programm zur Verbesserung der Energieeffizienz in Bergdörfern | 11/2008 | 02/2010 | 1,3 | 142.327 € | Desk | 1 | 1 | | | 1 | | | 1 | | | | | | | | 1 | 1 | 1 | |
| 08_II_063_CMR_K_Trinationales Waldschutzgebiet | Cameroon, Congo, Central African Republic | Africa | KfW | Climate relevant biodiversity with REDD | Capacity building | II | Trinationales Waldschutzgebiet (Kongobecken) | 12/2008 | 01/2012 | 3,2 | 1.451.243 € | Desk | 1 | | 1 | | 1 | | | 1 | | 1 | | | | | 1 | | 1 | | |
| 08_II_003_KGZ_M_gesundheitliche Anpassung | Kyrgyzstan | Europe, Caucasus, Central Asia | WHO | Adaptation strategies | Capacity building | II | Gesundheitliche Anpassung an den Klimawandel | 12/2008 | 12/2011 | 3,1 | 1.004.443 € | Desk | 1 | | | 1 | 1 | 1 | 1 | | | | | | | 1 | 1 | 1 | | | |
| 08_II_026_BLR_UKR_K_RSPB Torfmoore | Belarus, Ukraine | Europe, Caucasus, Central Asia | KfW | Climate relevant biodiversity without REDD | Implementation | II | Rehabilitierung von Torfmooren | 10/2008 | 12/2012 | 4,3 | 3.546.693 € | Desk | | | | 1 | 1 | | | | 1 | | | | | | 1 | | 1 | | |
| 08_II_052_LDCs_A_analyt Unterstützung für LDCs | LDCs/SIDS | Global | PIK | Adaptation strategies | Policy advice | II | PREVENT – Unterstützung für Delegationen aus den am wenigsten entwickelten Ländern und kleinen Inselstaaten in „post-2012“ Verhandlungen | 11/2008 | 08/2011 | 2,8 | 1.867.027 € | Desk | 1 | | | 1 | 1 | 1 | 1 | | | | | | | | 1 | | | | |
| 08_I_017_BR_A_PoA EE Bauen | Brazil | Central-/South America | InWent GmbH | Carbon market/ emissions trade | Capacity building | I | Programme of Activities (PoA) zur Energieeffizienzsteigerung in Gebäuden | 10/2008 | 02/2009 | 0,4 | 132.000 € | Desk | 1 | 1 | | | 1 | | | 1 | 1 | | | | | | 1 | | | | |

| Project number | Country | Region | Implementing Agency | Project - category topic | Project category methodology | Field | Title | Project start | Project end | Project duration | Overall budget | Desk study or in situ evaluation | BMU Division | | | | | | Evaluator Division | | | | | | | | | | | | |
|---|---|--------------------------------|---------------------|--|------------------------------|-------|--|---------------|-------------|------------------|----------------|----------------------------------|--------------|-----------|-----------|-----------|-----------|-----------|--------------------|-----------|-----------|-----------|-----------|-----------|---|---|---|---|--|--|--|
| | | | | | | | | | | | | | Cluster 1 | Cluster 2 | Cluster 3 | Cluster 4 | Cluster 5 | Cluster 6 | Cluster 1 | Cluster 2 | Cluster 3 | Cluster 4 | Cluster 5 | Cluster 6 | | | | | | | |
| 08_II_039_KZZ_M_Altai | Kazakhstan | Europe, Caucasus, Central Asia | UNDP | Carbon sinks with REDD relevance | Implementation | II | Erhaltung von Lebensräumen in der Altai Sayan-Region | 11/2008 | 11/2009 | 1,1 | 1.869.181 € | Desk | 1 | | | 1 | | | | | | 1 | | | | 1 | | | | | |
| 09_II_019_TUR_G_Feuchtgebiete | Turkey | Europe, Caucasus, Central Asia | GTZ | Climate relevant biodiversity without REDD | Implementation | II | Anpassung an den Klimawandel und Biodiversitätserhalt durch Schutz und nachhaltige Nutzung von Feuchtgebieten in der Türkei | 06/2009 | 03/2013 | 3,8 | 1.247.922 € | Desk | 1 | | | 1 | | | | | | 1 | | | | 1 | | | | | |
| 09_II_032_AZE_K_Wiederherstellung von Wäldern | Azerbaijan | Europe, Caucasus, Central Asia | KfW | Carbon sinks with REDD relevance | Implementation | II | Wiederherstellung von Wäldern | 01/2009 | 12/2010 | 2,0 | 200.000 € | Desk | | | 1 | | 1 | | | | | | | | 1 | | | 1 | | | |
| 09_II_059_GUY_KA_Guiana Schild Initiative | Guianan Region: Guyana, Suriname, Venezuela, Brazil | Central-/South America | KfW | Carbon sinks with REDD relevance | Implementation | II | „Guyana-Schild-Initiative“/ Vermiedene Abholzung durch Zusammenlegung bestehender und Schaffung neuer Schutzgebiete in der Guianan Region | 10/2009 | 12/2012 | 3,25 | 5.091.411 € | Desk | 1 | | 1 | | 1 | | | | | | 1 | | | | 1 | | | | |

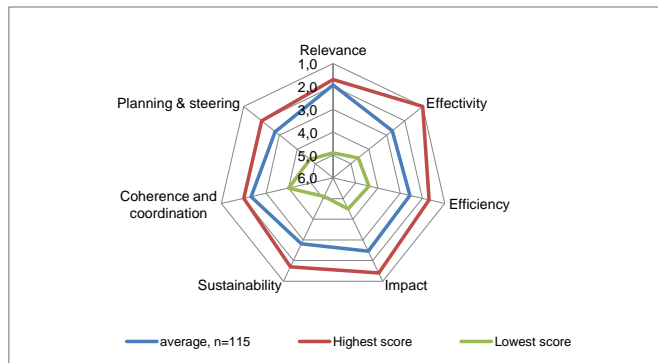
Overall evaluation by criteria

| Total | To be adapted by the evaluator |
|----------------------------|--------------------------------|
| Criteria | Average, n=115 |
| Relevance | 1,9 |
| Effectivity | 2,7 |
| Efficiency | 2,6 |
| Impact | 2,5 |
| Sustainability | 2,8 |
| Coherence and coordination | 2,3 |
| Planning & steering | 2,8 |



Overall evaluation by criteria with highest / lowest score

| | To be adapted by the evaluator | | |
|----------------------------|--------------------------------|---------------|--------------|
| Criteria | average, n=115 | Highest score | Lowest score |
| Relevance | 1,9 | 1,7 | 4,9 |
| Effectivity | 2,7 | 1,0 | 4,6 |
| Efficiency | 2,6 | 1,7 | 4,4 |
| Impact | 2,5 | 1,4 | 4,5 |
| Sustainability | 2,8 | 1,7 | 5,1 |
| Coherence and coordination | 2,3 | 2,0 | 4,0 |
| Planning & steering | 2,8 | 2,0 | 4,7 |



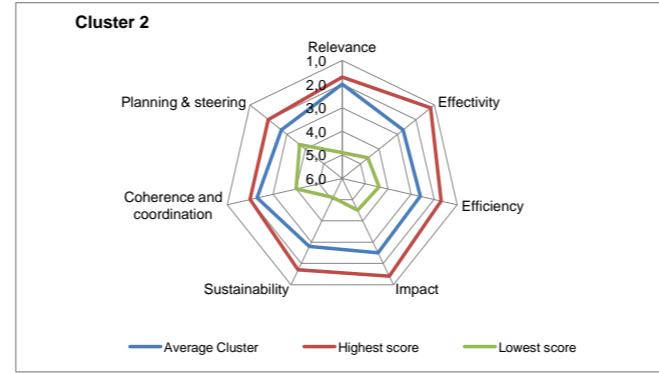
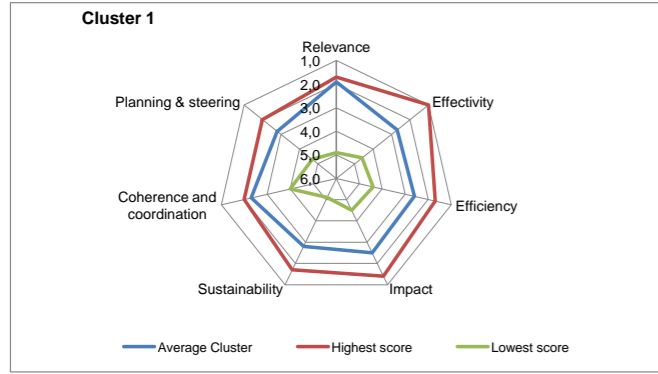
General explanation of the spider chart

A spider chart is a graphical method of displaying multivariate data in the form of a two-dimensional chart of three or more quantitative variables represented on axes starting from the same point. It is ideally suited to show strengths and weaknesses of a given observation (in our case: project).

Overall evaluation of the individual projects by Cluster

| Cluster 1 | To be adapted by the evaluator | | |
|----------------------------|--------------------------------|---------------|--------------|
| | Average Cluster | Highest score | Lowest score |
| Relevance | 1,9 | 1,7 | 4,9 |
| Effectivity | 2,7 | 1,0 | 4,6 |
| Efficiency | 2,6 | 1,7 | 4,4 |
| Impact | 2,5 | 1,4 | 4,5 |
| Sustainability | 2,8 | 1,7 | 5,1 |
| Coherence and coordination | 2,3 | 2,0 | 4,0 |
| Planning & steering | 2,8 | 2,0 | 4,7 |

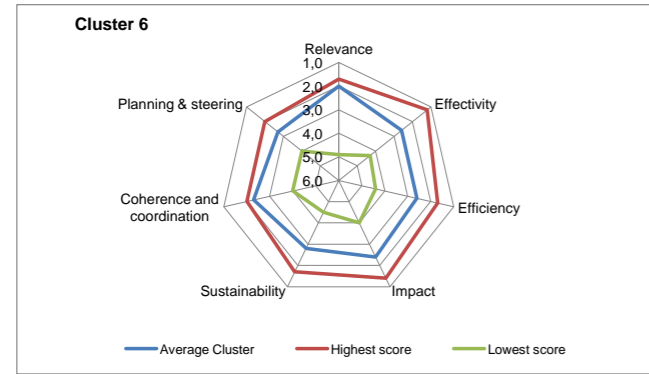
| Cluster 2 | To be adapted by the evaluator | | |
|----------------------------|--------------------------------|---------------|--------------|
| | Average Cluster | Highest score | Lowest score |
| Relevance | 2,0 | 1,7 | 4,9 |
| Effectivity | 2,7 | 1,2 | 4,6 |
| Efficiency | 2,6 | 1,7 | 4,4 |
| Impact | 2,5 | 1,4 | 4,5 |
| Sustainability | 2,8 | 1,7 | 5,1 |
| Coherence and coordination | 2,3 | 2,0 | 4,0 |
| Planning & steering | 2,7 | 2,0 | 3,7 |



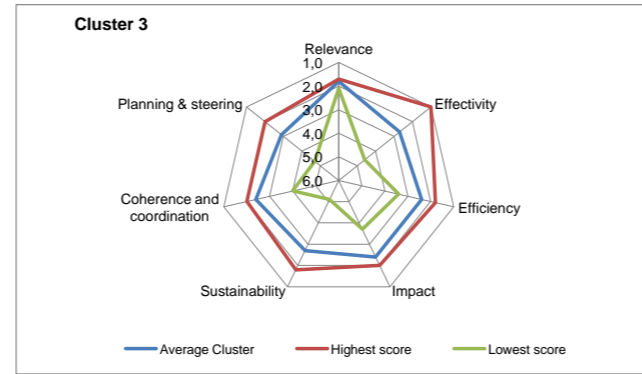
General explanation of the spider chart

A spider chart is a graphical method of displaying multivariate data in the form of a two-dimensional chart of three or more quantitative variables represented on axes starting from the same point. It is ideally suited to show strengths and weaknesses of a given observation (in our case: project).

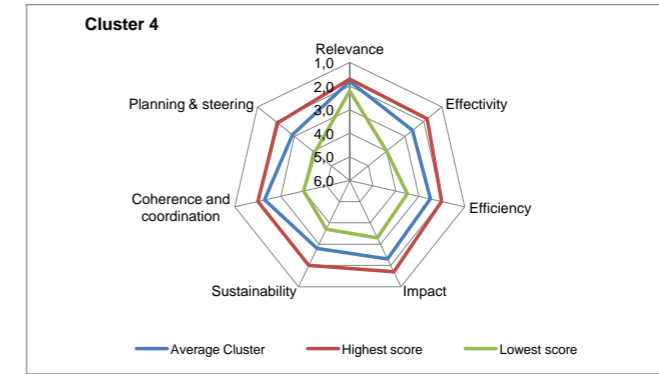
| Cluster 6 | To be adapted by the evaluator | | |
|----------------------------|--------------------------------|---------------|--------------|
| | Average Cluster | Highest score | Lowest score |
| Relevance | 2,0 | 1,7 | 4,9 |
| Effectivity | 2,6 | 1,2 | 4,3 |
| Efficiency | 2,6 | 1,7 | 4,4 |
| Impact | 2,4 | 1,4 | 4,0 |
| Sustainability | 2,8 | 1,7 | 4,5 |
| Coherence and coordination | 2,3 | 2,0 | 4,0 |
| Planning & steering | 2,7 | 2,0 | 4,0 |



| Cluster 3 | To be adapted by the evaluator | | |
|----------------------------|--------------------------------|---------------|--------------|
| | Average Cluster | Highest score | Lowest score |
| Relevance | 1,8 | 1,7 | 2,1 |
| Effectivity | 2,7 | 1,0 | 4,6 |
| Efficiency | 2,4 | 1,8 | 3,4 |
| Impact | 2,4 | 2,0 | 3,7 |
| Sustainability | 2,7 | 1,8 | 5,1 |
| Coherence and coordination | 2,4 | 2,0 | 4,0 |
| Planning & steering | 2,9 | 2,0 | 4,7 |



| Cluster 4 | To be adapted by the evaluator | | |
|----------------------------|--------------------------------|---------------|--------------|
| | Average Cluster | Highest score | Lowest score |
| Relevance | 1,8 | 1,7 | 2,2 |
| Effectivity | 2,6 | 1,8 | 4,0 |
| Efficiency | 2,5 | 2,0 | 3,5 |
| Impact | 2,3 | 1,7 | 3,3 |
| Sustainability | 2,8 | 2,0 | 3,7 |
| Coherence and coordination | 2,3 | 2,0 | 4,0 |
| Planning & steering | 2,9 | 2,1 | 4,1 |



Cluster 1: Capacity building & Policy advice (n=93)

Note
This Cluster comprises projects of fields I, II & III

| Distribution according to THEMATIC project category | Number of projects Cluster 1 | % distribution Cluster 1 | Total sample | % distribution total sample | % Cluster 1 of total sample |
|---|------------------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Waste | 0 | 0% | 2 | 2% | 0% |
| Energy efficiency | 12 | 13% | 13 | 11% | 92% |
| Energy efficiency/ renewable energies | 5 | 5% | 5 | 4% | 100% |
| Renewable energies | 8 | 9% | 11 | 10% | 73% |
| Climate policy | 16 | 17% | 16 | 14% | 100% |
| Climate relevant greenhouse gas emissions | 1 | 1% | 6 | 5% | 17% |
| Carbon trade / emission market | 12 | 13% | 13 | 11% | 92% |
| Transport | 2 | 2% | 2 | 2% | 100% |
| Adaptation strategies | 16 | 17% | 16 | 14% | 100% |
| Climate-relevant biodiversity without REDD | 3 | 3% | 7 | 6% | 43% |
| Climate-relevant biodiversity with REDD | 5 | 5% | 7 | 6% | 71% |
| Carbon sinks with REDD relevance | 9 | 10% | 13 | 11% | 69% |
| Ecosystem-based land use systems | 3 | 3% | 3 | 3% | 100% |
| Insurance solutions | 1 | 1% | 1 | 1% | 100% |
| Total | 93 | 100% | 115 | 100% | 81% |

| Distribution according to METHODOLOGICAL project category | Number of projects Cluster 1 | % distribution Cluster 1 | Total sample | % distribution total sample | % Cluster 1 of total sample |
|---|------------------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Implementation | 6 | 6% | 27 | 23% | 22% |
| Capacity building | 65 | 70% | 65 | 57% | 100% |
| Policy advice | 22 | 24% | 22 | 19% | 100% |
| Financing instruments | 0 | 0% | 1 | 1% | 0% |
| Total | 93 | 100% | 115 | 100% | 81% |

| Regional distribution | Number of projects Cluster 1 | Cluster 1 | Total sample | % distribution total sample | % Cluster 1 of total sample |
|---------------------------------|------------------------------|-------------|--------------|-----------------------------|-----------------------------|
| Africa | 11 | 12% | 17 | 15% | 65% |
| Asia | 26 | 28% | 32 | 28% | 81% |
| Europe, Caucasus & Central Asia | 28 | 30% | 33 | 29% | 85% |
| Central and South America | 12 | 13% | 17 | 15% | 71% |
| Middle East | 2 | 2% | 2 | 2% | 100% |
| Global | 14 | 15% | 14 | 12% | 100% |
| Total | 93 | 100% | 115 | 100% | 81% |

| Distribution according to project duration | Number of projects Cluster 1 | % distribution Cluster 1 | Total sample | % distribution total sample | % Cluster 1 of total sample |
|--|------------------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| less than 2 years | 34 | 37% | 39 | 34% | 87% |
| 2 - 3 years | 26 | 28% | 33 | 29% | 79% |
| more than 3 years | 33 | 35% | 43 | 37% | 77% |
| Total | 93 | 100% | 115 | 100% | 81% |

| Distribution according to financial volume in € | Number of projects Cluster 1 | % distribution Cluster 1 | Financial volume Cluster 1 | % financial volume Cluster 1 | Total sample | % distribution total sample | Financial volume of total sample | % financial volume of total sample | % Cluster 1 of total sample | % Cluster 1 of financial volume total sample |
|---|------------------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|----------------------------------|------------------------------------|-----------------------------|--|
| 0 - 499.999 | 29 | 31% | 6.768.754 € | 5% | 30 | 26% | 6.968.754 € | 4% | 97% | 97% |
| 500.000 - 999.999 | 14 | 15% | 10.095.512 € | 8% | 15 | 13% | 10.734.235 € | 6% | 93% | 94% |
| 1.000.000 - 2.999.999 | 42 | 45% | 73.108.158 € | 54% | 58 | 50% | 106.820.734 € | 57% | 72% | 68% |
| 3.000.000 and more | 8 | 9% | 44.297.424 € | 33% | 12 | 10% | 61.644.117 € | 33% | 67% | 72% |
| Total | 93 | 100% | 134.269.848 € | 100% | 115 | 100% | 186.167.840 € | 100% | 81% | 72% |

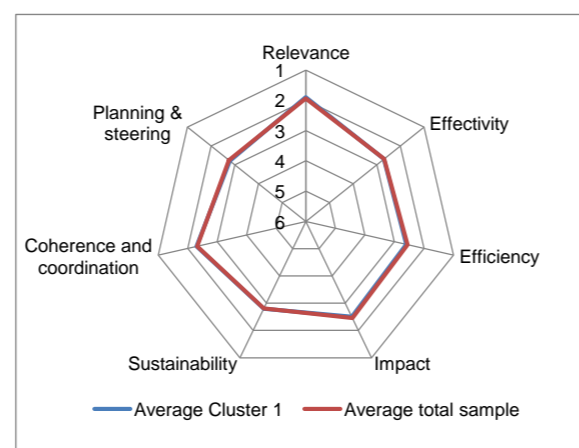
Some discrepancies of the financial volume may be subject to rounding differences!

| Distribution according to financial volume in € per region | Number of projects Cluster 1 | % distribution Cluster 1 | Financial volume Cluster 1 | % financial volume Cluster 1 | Total sample | % distribution total sample | Financial volume of total sample | % financial volume of total sample | % Cluster 1 of total sample | % Cluster 1 of financial volume total sample |
|--|------------------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|----------------------------------|------------------------------------|-----------------------------|--|
| Africa | 11 | 12% | 17.014.359 € | 13% | 17 | 15% | 29.109.069 € | 16% | 65% | 58% |
| Asia | 26 | 28% | 38.632.595 € | 29% | 32 | 28% | 52.543.019 € | 28% | 81% | 74% |
| Europe, Caucasus & Central Asia | 28 | 30% | 37.573.622 € | 28% | 33 | 29% | 47.871.536 € | 26% | 85% | 78% |
| Central and South America | 12 | 13% | 19.303.427 € | 14% | 17 | 15% | 34.898.370 € | 19% | 71% | 55% |
| Middle East | 2 | 2% | 2.208.732 € | 2% | 2 | 2% | 2.208.732 € | 1% | 100% | 100% |
| Global | 14 | 15% | 19.537.114 € | 15% | 14 | 12% | 19.537.114 € | 10% | 100% | 100% |
| Total | 93 | 100% | 134.269.849 € | 100% | 115 | 100% | 186.167.840 € | 100% | 81% | 72% |

| Distribution according to financial volume in € per theme | Number of projects Cluster 1 | % distribution Cluster 1 | Financial volume Cluster 1 | % financial volume Cluster 1 | Total sample | % distribution total sample | Financial volume of total sample | % financial volume of total sample | % Cluster 1 of total sample | % Cluster 1 of financial volume total sample |
|---|------------------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|----------------------------------|------------------------------------|-----------------------------|--|
| Waste | 0 | 0% | 0 € | 0% | 2 | 2% | 6.700.000 € | 4% | 0% | 0% |
| Energy efficiency | 12 | 13% | 6.893.723 € | 5% | 13 | 11% | 7.893.723 € | 4% | 92% | 87% |
| Energy efficiency/ renewable energies | 5 | 5% | 7.213.677 € | 5% | 5 | 4% | 7.213.677 € | 4% | 100% | 100% |
| Renewable energies | 8 | 9% | 19.813.039 € | 15% | 11 | 10% | 26.484.531 € | 14% | 73% | 75% |
| Climate policy | 16 | 17% | 23.003.153 € | 17% | 16 | 14% | 23.003.153 € | 12% | 100% | 100% |
| Climate relevant greenhouse gas emissions | 1 | 1% | 300.000 € | 0% | 6 | 5% | 10.277.059 € | 6% | 17% | 3% |
| Carbon trade / emission market | 12 | 13% | 11.243.521 € | 8% | 13 | 11% | 13.993.521 € | 8% | 92% | 80% |
| Transport | 2 | 2% | 707.782 € | 1% | 2 | 2% | 707.782 € | 0% | 100% | 100% |
| Adaptation strategies | 16 | 17% | 20.871.579 € | 16% | 16 | 14% | 20.871.599 € | 11% | 100% | 100% |
| Climate-relevant biodiversity without REDD | 3 | 3% | 5.716.244 € | 4% | 7 | 6% | 15.814.158 € | 8% | 43% | 36% |
| Climate-relevant biodiversity with REDD | 5 | 5% | 6.475.784 € | 5% | 7 | 6% | 13.614.507 € | 7% | 71% | 48% |
| Carbon sinks with REDD relevance | 9 | 10% | 23.376.464 € | 17% | 13 | 11% | 30.939.268 € | 17% | 69% | 76% |
| Ecosystem-based land use systems | 3 | 3% | 6.008.691 € | 4% | 3 | 3% | 6.008.691 € | 3% | 100% | 100% |
| Insurance solutions | 1 | 1% | 2.646.191 € | 2% | 1 | 1% | 2.646.191 € | 1% | 100% | 100% |
| Total | 93 | 100% | 134.269.848 € | 100% | 115 | 100% | 186.167.860 € | 100% | 81% | 72% |

| Distribution by evaluation criteria | Number of evaluated projects Cluster 1 | Highest score Cluster 1 | Lowest score Cluster 1 | Average Cluster 1 | higher than average Cluster 1 | lower than average Cluster 1 | % higher than average Cluster 1 | % lower than average Cluster 1 | Number of evaluated projects total sample | Highest score total sample | Lowest score total sample | Average total sample | higher than average total sample | lower than average total sample | % higher than average total sample | % lower than average total sample |
|-------------------------------------|--|-------------------------|------------------------|-------------------|-------------------------------|------------------------------|---------------------------------|--------------------------------|---|----------------------------|---------------------------|----------------------|----------------------------------|---------------------------------|------------------------------------|-----------------------------------|
| Relevance | 92 | 1,7 | 4,9 | 1,9 | 58 | 32 | 63% | 35% | 114 | 1,7 | 4,9 | 1,9 | 72 | 39 | 63% | 34% |
| Effectivity | 93 | 1,0 | 4,6 | 2,7 | 51 | 39 | 55% | 42% | 115 | 1,0 | 4,6 | 2,7 | 64 | 48 | 56% | 42% |
| Efficiency | 93 | 1,7 | 4,4 | 2,6 | 51 | 35 | 55% | 38% | 115 | 1,7 | 4,4 | 2,6 | 67 | 41 | 58% | 36% |
| Impact | 89 | 1,4 | 4,5 | 2,5 | 53 | 33 | 60% | 37% | 110 | 1,4 | 4,5 | 2,5 | 67 | 39 | 61% | 35% |
| Sustainability | 92 | 1,7 | 5,1 | 2,8 | 45 | 41 | 49% | 45% | 113 | 1,7 | 5,1 | 2,8 | 59 | 48 | 52% | 42% |
| Coherence and coordination | 93 | 2,0 | 4,0 | 2,3 | 62 | 31 | 67% | 33% | 115 | 2,0 | 4,0 | 2,3 | 75 | 40 | 65% | 35% |
| Planning & steering | 93 | 2,0 | 4,7 | 2,8 | 52 | 39 | 56% | 42% | 115 | 2,0 | 4,7 | 2,8 | 67 | 45 | 58% | 39% |

| Criteria | Average Cluster 1 | Average total sample |
|----------------------------|-------------------|----------------------|
| Relevance | 1,9 | 1,9 |
| Effectivity | 2,7 | 2,7 |
| Efficiency | 2,6 | 2,6 |
| Impact | 2,5 | 2,5 |
| Sustainability | 2,8 | 2,8 |
| Coherence and coordination | 2,3 | 2,3 |
| Planning & steering | 2,8 | 2,8 |



Cluster 2: Climate-friendly economy & sustainable energy supply (n=65)

Note:

Quasi identical with Förderbereich I

Omitted have been:

- Gender-equity in the climate debate
- Vocational training of local "Gold Standard" experts since they are dealing with the theme "Climate-friendly economy & sustainable energy supply" only to a small extent.

| Distribution according to THEMATIC project category | Number of projects | % distribution Cluster 2 | Total sample | % distribution total sample | % Cluster 2 of total sample |
|---|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Waste | 2 | 3% | 2 | 2% | 100% |
| Energy efficiency | 13 | 20% | 13 | 11% | 100% |
| Energy efficiency/ renewable energies | 5 | 8% | 5 | 4% | 100% |
| Renewable energies | 11 | 17% | 11 | 10% | 100% |
| Climate policy | 14 | 22% | 16 | 14% | 88% |
| Climate relevant greenhouse gas emissions | 6 | 9% | 6 | 5% | 100% |
| Carbon trade / emission market | 12 | 18% | 13 | 11% | 92% |
| Transport | 2 | 3% | 2 | 2% | 100% |
| Adaptation strategies | 0 | 0% | 16 | 14% | 0% |
| Climate-relevant biodiversity without REDD | 0 | 0% | 7 | 6% | 0% |
| Climate-relevant biodiversity with REDD | 0 | 0% | 7 | 6% | 0% |
| Carbon sinks with REDD relevance | 0 | 0% | 13 | 11% | 0% |
| Ecosystem-based landuse systems | 0 | 0% | 3 | 3% | 0% |
| Insurance solutions | 0 | 0% | 1 | 1% | 0% |
| Total | 65 | 100% | 115 | 100% | 57% |

| Distribution according to METHODOLOGICAL project category | Number of projects | % distribution Cluster 2 | Total sample | % distribution total sample | % Cluster 2 of total sample |
|---|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Implementation | 12 | 18% | 27 | 23% | 44% |
| Capacity building | 40 | 62% | 65 | 57% | 62% |
| Policy advice | 13 | 20% | 22 | 19% | 59% |
| Financing instruments | 0 | 0% | 1 | 1% | 0% |
| Total | 65 | 100% | 115 | 100% | 57% |

| Regional distribution | Number of projects | % distribution Cluster 2 | Total sample | % distribution total sample | % Cluster 2 of total sample |
|---------------------------------|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Africa | 10 | 15% | 17 | 15% | 59% |
| Asia | 19 | 29% | 32 | 28% | 59% |
| Europe, Caucasus & Central Asia | 16 | 25% | 33 | 29% | 48% |
| Central and South America | 10 | 15% | 17 | 15% | 59% |
| Middle East | 2 | 3% | 2 | 2% | 100% |
| Global | 8 | 12% | 14 | 12% | 57% |
| Total | 65 | 100% | 115 | 100% | 57% |

| Distribution according to project duration | Number of projects | % distribution Cluster 2 | Total sample | % distribution total sample | % Cluster 2 of total sample |
|--|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| less than 2 years | 26 | 40% | 39 | 34% | 67% |
| 2 - 3 years | 18 | 28% | 33 | 29% | 55% |
| more than 3 years | 21 | 32% | 43 | 37% | 49% |
| Total | 65 | 100% | 115 | 100% | 57% |

| Distribution according to financial volume in € | Number of projects | % distribution Cluster 2 | Financial volume Cluster 2 | % financial volume Cluster 2 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 2 of total sample | % Cluster 2 of financial volume total sample |
|---|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| 0 - 499.999 | 24 | 37% | 5.883.475 € | 6% | 30 | 26% | 6.968.754 € | 4% | 80% | 84% |
| 500.000 - 999.999 | 9 | 14% | 5.774.775 € | 6% | 15 | 13% | 10.734.235 € | 6% | 60% | 54% |
| 1.000.000 - 2.999.999 | 25 | 38% | 46.182.996 € | 49% | 58 | 50% | 106.820.734 € | 57% | 43% | 43% |
| 3.000.000 and more | 7 | 11% | 35.925.637 € | 38% | 12 | 10% | 61.644.117 € | 33% | 58% | 58% |
| Total | 65 | 100% | 93.766.883 € | 100% | 115 | 100% | 186.167.840 € | 100% | 57% | 50% |

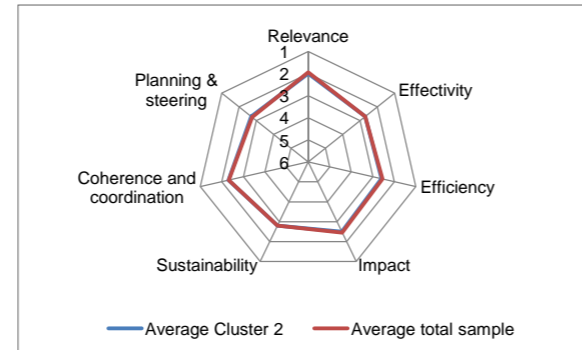
Some discrepancies of the financial volume may be subject to rounding differences!

| Distribution according to financial volume in € per region | Number of projects | % distribution Cluster 2 | Financial volume Cluster 2 | % financial volume Cluster 2 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 2 of total sample | % Cluster 2 of financial volume total sample |
|--|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| Africa | 10 | 15% | 17.285.424 € | 18% | 17 | 15% | 29.109.069 € | 16% | 59% | 59% |
| Asia | 19 | 29% | 30.031.151 € | 32% | 32 | 28% | 52.543.019 € | 28% | 59% | 57% |
| Europe, Caucasus & Central Asia | 16 | 25% | 18.750.618 € | 20% | 33 | 29% | 47.871.536 € | 26% | 48% | 39% |
| Central and South America | 10 | 15% | 14.808.964 € | 16% | 17 | 15% | 34.898.370 € | 19% | 59% | 42% |
| Middle East | 2 | 3% | 2.208.732 € | 2% | 2 | 2% | 2.208.732 € | 1% | 100% | 100% |
| Global | 8 | 12% | 10.681.994 € | 11% | 14 | 12% | 19.537.114 € | 10% | 57% | 55% |
| Total | 65 | 100% | 93.766.883 € | 100% | 115 | 100% | 186.167.840 € | 100% | 57% | 50% |

| Distribution according to financial volume in € per theme | Number of projects | % distribution Cluster 2 | Financial volume Cluster 2 | % financial volume Cluster 2 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 2 of total sample | % Cluster 2 of financial volume total sample |
|---|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| Waste | 2 | 3% | 6.700.000 € | 7% | 2 | 2% | 6.700.000 € | 4% | 100% | 100% |
| Energy efficiency | 13 | 20% | 7.893.723 € | 8% | 13 | 11% | 7.893.723 € | 4% | 100% | 100% |
| Energy efficiency/ renewable energies | 5 | 8% | 7.213.677 € | 8% | 5 | 4% | 7.213.677 € | 4% | 100% | 100% |
| Renewable energies | 11 | 17% | 26.484.531 € | 28% | 11 | 10% | 26.484.531 € | 14% | 100% | 100% |
| Climate policy | 14 | 22% | 22.570.653 € | 24% | 16 | 14% | 23.003.153 € | 12% | 88% | 98% |
| Climate relevant greenhouse gas emissions | 6 | 9% | 10.277.059 € | 11% | 6 | 5% | 10.277.059 € | 6% | 100% | 100% |
| Carbon trade / emission market | 12 | 18% | 11.919.458 € | 13% | 13 | 11% | 13.993.521 € | 8% | 92% | 85% |
| Transport | 2 | 3% | 707.782 € | 1% | 2 | 2% | 707.782 € | 0% | 100% | 100% |
| Adaptation strategies | 0 | 0% | 0 € | 0% | 16 | 14% | 20.871.599 € | 11% | 0% | 0% |
| Climate-relevant biodiversity without REDD | 0 | 0% | 0 € | 0% | 7 | 6% | 15.814.158 € | 8% | 0% | 0% |
| Climate-relevant biodiversity with REDD | 0 | 0% | 0 € | 0% | 7 | 6% | 13.614.507 € | 7% | 0% | 0% |
| Carbon sinks with REDD relevance | 0 | 0% | 0 € | 0% | 13 | 11% | 30.939.268 € | 17% | 0% | 0% |
| Ecosystem-based land use systems | 0 | 0% | 0 € | 0% | 3 | 3% | 6.008.691 € | 3% | 0% | 0% |
| Insurance solutions | 0 | 0% | 0 € | 0% | 1 | 1% | 2.646.191 € | 1% | 0% | 0% |
| Total | 65 | 100% | 93.766.883 € | 100% | 115 | 100% | 186.167.860 € | 100% | 57% | 50% |

| Distribution by evaluation criteria | Number of evaluated projects Cluster 2 | Highest score Cluster 2 | Lowest score Cluster 2 | Average Cluster 2 | higher than average Cluster 2 | lower than average Cluster 2 | % higher than average Cluster 2 | % lower than average Cluster 2 | Number of evaluated projects total sample | Highest score total sample | Lowest score total sample | Average total sample | higher than average total sample | lower than average total sample | % higher than average total sample | % lower than average total sample |
|-------------------------------------|--|-------------------------|------------------------|-------------------|-------------------------------|------------------------------|---------------------------------|--------------------------------|---|----------------------------|---------------------------|----------------------|----------------------------------|---------------------------------|------------------------------------|-----------------------------------|
| Relevance | 65 | 1,7 | 4,9 | 2,0 | 35 | 15 | 54% | 23% | 114 | 1,7 | 4,9 | 1,9 | 72 | 39 | 63% | 34% |
| Effectivity | 65 | 1,2 | 4,6 | 2,7 | 35 | 28 | 54% | 43% | 115 | 1,0 | 4,6 | 2,7 | 64 | 48 | 56% | 42% |
| Efficiency | 65 | 1,7 | 4,4 | 2,6 | 35 | 26 | 54% | 40% | 115 | 1,7 | 4,4 | 2,6 | 67 | 41 | 58% | 36% |
| Impact | 63 | 1,4 | 4,5 | 2,5 | 36 | 24 | 57% | 38% | 110 | 1,4 | 4,5 | 2,5 | 67 | 39 | 61% | 35% |
| Sustainability | 64 | 1,7 | 5,1 | 2,8 | 30 | 30 | 47% | 47% | 113 | 1,7 | 5,1 | 2,8 | 59 | 48 | 52% | 42% |
| Coherence and coordination | 65 | 2,0 | 4,0 | 2,3 | 44 | 21 | 68% | 32% | 115 | 2,0 | 4,0 | 2,3 | 75 | 40 | 65% | 35% |
| Planning & steering | 65 | 2,0 | 3,7 | 2,7 | 35 | 25 | 54% | 38% | 115 | 2,0 | 4,7 | 2,8 | 67 | 45 | 58% | 39% |

| Criteria | Average Cluster 2 | Average total sample |
|----------------------------|-------------------|----------------------|
| Relevance | 2,0 | 1,9 |
| Effectivity | 2,7 | 2,7 |
| Efficiency | 2,6 | 2,6 |
| Impact | 2,5 | 2,5 |
| Sustainability | 2,8 | 2,8 |
| Coherence and coordination | 2,3 | 2,3 |
| Planning & steering | 2,7 | 2,8 |



**Cluster 3: Biodiversity & carbon sinks
(n=27)**

Note:
Quasi identical with field III

All projects from the THEMATIC project categories

- Carbon sinks with REDD relevance
- Climate-relevant biodiversity without REDD
- Climate-relevant biodiversity with REDD

| Distribution according to THEMATIC project category | Number of projects | % distribution Cluster 3 | Total sample | % distribution total sample | % Cluster 3 of total sample |
|---|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Waste | 0 | 0% | 2 | 2% | 0% |
| Energy efficiency | 0 | 0% | 13 | 11% | 0% |
| Energy efficiency/ renewable energies | 0 | 0% | 5 | 4% | 0% |
| Renewable energies | 0 | 0% | 11 | 10% | 0% |
| Climate policy | 0 | 0% | 16 | 14% | 0% |
| Climate relevant greenhouse gas emissions | 0 | 0% | 6 | 5% | 0% |
| Carbon trade / emission market | 0 | 0% | 13 | 11% | 0% |
| Transport | 0 | 0% | 2 | 2% | 0% |
| Adaptation strategies | 0 | 0% | 16 | 14% | 0% |
| Climate-relevant biodiversity without REDD | 7 | 26% | 7 | 6% | 100% |
| Climate-relevant biodiversity with REDD | 7 | 26% | 7 | 6% | 100% |
| Carbon sinks with REDD relevance | 13 | 48% | 13 | 11% | 100% |
| Ecosystem-based land use systems | 0 | 0% | 3 | 3% | 0% |
| Insurance solutions | 0 | 0% | 1 | 1% | 0% |
| Total | 27 | 100% | 115 | 100% | 23% |

| Distribution according to METHODOLOGICAL project category | Number of projects | % distribution Cluster 3 | Total sample | % distribution total sample | % Cluster 3 of total sample |
|---|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Implementation | 13 | 48% | 27 | 23% | 48% |
| Capacity building | 10 | 37% | 65 | 57% | 15% |
| Policy advice | 3 | 11% | 22 | 19% | 14% |
| Financing instruments | 1 | 4% | 1 | 1% | 100% |
| Total | 27 | 100% | 115 | 100% | 23% |

| Regional distribution | Number of projects | % distribution Cluster 3 | Total sample | % distribution total sample | % Cluster 3 of total sample |
|---------------------------------|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Africa | 5 | 19% | 17 | 15% | 29% |
| Asia | 5 | 19% | 32 | 28% | 16% |
| Europe, Caucasus & Central Asia | 9 | 33% | 33 | 29% | 27% |
| Central and South America | 6 | 22% | 17 | 15% | 35% |
| Middle East | 0 | 0% | 2 | 2% | 0% |
| Global | 2 | 7% | 14 | 12% | 14% |
| Total | 27 | 100% | 115 | 100% | 23% |

| Distribution according to project duration | Number of projects | % distribution Cluster 3 | Total sample | % distribution total sample | % Cluster 3 of total sample |
|--|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| less than 2 years | 8 | 30% | 39 | 34% | 21% |
| 2 - 3 years | 8 | 30% | 33 | 29% | 24% |
| more than 3 years | 11 | 41% | 43 | 37% | 26% |
| Total | 27 | 100% | 115 | 100% | 23% |

| Distribution according to financial volume in € | Number of projects | % distribution Cluster 3 | Financial volume Cluster 3 | % financial volume Cluster 3 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 3 of total sample | % Cluster 3 of financial volume total sample |
|---|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| 0 - 499.999 | 3 | 11% | 518.754 € | 1% | 30 | 26% | 6.968.754 € | 4% | 10% | 7% |
| 500.000 - 999.999 | 2 | 7% | 1.264.510 € | 2% | 15 | 13% | 10.734.235 € | 6% | 13% | 12% |
| 1.000.000 - 2.999.999 | 17 | 63% | 32.866.189 € | 54% | 58 | 50% | 106.820.734 € | 57% | 29% | 31% |
| 3.000.000 and more | 5 | 19% | 25.718.480 € | 43% | 12 | 10% | 61.644.117 € | 33% | 42% | 42% |
| Total | 27 | 100% | 60.367.933 € | 100% | 115 | 100% | 186.167.840 € | 100% | 23% | 32% |

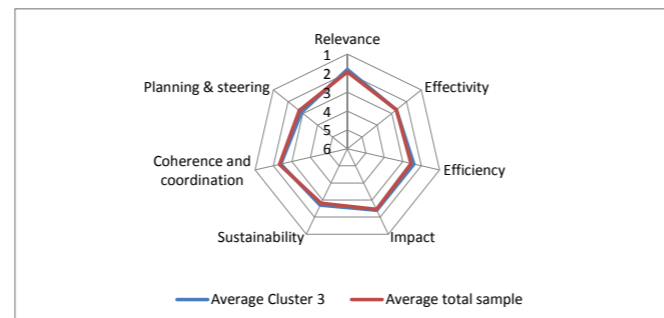
Some discrepancies of the financial volume may be subject to rounding differences!

| Distribution according to financial volume in € per region | Number of projects | % distribution Cluster 3 | Financial volume Cluster 3 | % financial volume Cluster 3 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 3 of total sample | % Cluster 3 of financial volume total sample |
|--|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| Africa | 5 | 19% | 9.493.645 € | 16% | 17 | 15% | 29.109.069 € | 16% | 29% | 33% |
| Asia | 5 | 19% | 8.303.170 € | 14% | 32 | 28% | 52.543.019 € | 28% | 16% | 16% |
| Europe, Caucasus & Central Asia | 9 | 33% | 20.708.339 € | 34% | 33 | 29% | 47.871.536 € | 26% | 27% | 43% |
| Central and South America | 6 | 22% | 19.078.165 € | 32% | 17 | 15% | 34.898.370 € | 19% | 35% | 55% |
| Middle East | 0 | 0% | 0 € | 0% | 2 | 2% | 2.208.732 € | 1% | 0% | 0% |
| Global | 2 | 7% | 2.784.614 € | 5% | 14 | 12% | 19.537.114 € | 10% | 14% | 14% |
| Total | 27 | 100% | 60.367.933 € | 100% | 115 | 100% | 186.167.840 € | 100% | 23% | 32% |

| Distribution according to financial volume in € per theme | Number of projects | % distribution Cluster 3 | Financial volume Cluster 3 | % financial volume Cluster 3 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 3 of total sample | % Cluster 3 of financial volume total sample |
|---|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| Waste | 0 | 0% | 0 € | 0% | 2 | 2% | 6.700.000 € | 4% | 0% | 0% |
| Energy efficiency | 0 | 0% | 0 € | 0% | 13 | 11% | 7.893.723 € | 4% | 0% | 0% |
| Energy efficiency/ renewable energies | 0 | 0% | 0 € | 0% | 5 | 4% | 7.213.677 € | 4% | 0% | 0% |
| Renewable energies | 0 | 0% | 0 € | 0% | 11 | 10% | 26.484.531 € | 14% | 0% | 0% |
| Climate policy | 0 | 0% | 0 € | 0% | 16 | 14% | 23.003.153 € | 12% | 0% | 0% |
| Climate relevant greenhouse gas emissions | 0 | 0% | 0 € | 0% | 6 | 5% | 10.277.059 € | 6% | 0% | 0% |
| Carbon trade / emission market | 0 | 0% | 0 € | 0% | 13 | 11% | 13.993.521 € | 8% | 0% | 0% |
| Transport | 0 | 0% | 0 € | 0% | 2 | 2% | 707.782 € | 0% | 0% | 0% |
| Adaptation strategies | 0 | 0% | 0 € | 0% | 16 | 14% | 20.871.599 € | 11% | 0% | 0% |
| Climate-relevant biodiversity without REDD | 7 | 26% | 15.814.158 € | 26% | 7 | 6% | 15.814.158 € | 8% | 100% | 100% |
| Climate-relevant biodiversity with REDD | 7 | 26% | 13.614.507 € | 23% | 7 | 6% | 13.614.507 € | 7% | 100% | 100% |
| Carbon sinks with REDD relevance | 13 | 48% | 30.939.268 € | 51% | 13 | 11% | 30.939.268 € | 17% | 100% | 100% |
| Ecosystem-based land use systems | 0 | 0% | 0 € | 0% | 3 | 3% | 6.008.691 € | 3% | 0% | 0% |
| Insurance solutions | 0 | 0% | 0 € | 0% | 1 | 1% | 2.646.191 € | 1% | 0% | 0% |
| Total | 27 | 100% | 60.367.933 € | 100% | 115 | 100% | 186.167.860 € | 100% | 23% | 32% |

| Distribution by evaluation criteria | Number of evaluated projects Cluster 3 | Highest score Cluster 3 | Lowest score Cluster 3 | Average Cluster 3 | higher than average Cluster 3 | lower than average Cluster 3 | % higher than average Cluster 3 | % lower than average Cluster 3 | Number of evaluated projects total sample | Highest score total sample | Lowest score total sample | Average total sample | higher than average total sample | lower than average total sample | % higher than average total sample | % lower than average total sample |
|-------------------------------------|--|-------------------------|------------------------|-------------------|-------------------------------|------------------------------|---------------------------------|--------------------------------|---|----------------------------|---------------------------|----------------------|----------------------------------|---------------------------------|------------------------------------|-----------------------------------|
| Relevance | 27 | 1,7 | 2,1 | 1,8 | 1 | 5 | 4% | 19% | 114 | 1,7 | 4,9 | 1,9 | 72 | 39 | 63% | 34% |
| Effectivity | 27 | 1,0 | 4,6 | 2,7 | 13 | 12 | 48% | 44% | 115 | 1,0 | 4,6 | 2,7 | 64 | 48 | 56% | 42% |
| Efficiency | 27 | 1,8 | 3,4 | 2,4 | 20 | 9 | 74% | 33% | 115 | 1,7 | 4,4 | 2,6 | 67 | 41 | 58% | 36% |
| Impact | 25 | 2,0 | 3,7 | 2,4 | 12 | 8 | 48% | 32% | 110 | 1,4 | 4,5 | 2,5 | 67 | 39 | 61% | 35% |
| Sustainability | 26 | 1,8 | 5,1 | 2,7 | 16 | 7 | 62% | 27% | 113 | 1,7 | 5,1 | 2,8 | 59 | 48 | 52% | 42% |
| Coherence and coordination | 27 | 2,0 | 4,0 | 2,4 | 17 | 9 | 63% | 33% | 115 | 2,0 | 4,0 | 2,3 | 75 | 40 | 65% | 35% |
| Planning & steering | 27 | 2,0 | 4,7 | 2,9 | 15 | 10 | 56% | 37% | 115 | 2,0 | 4,7 | 2,8 | 67 | 45 | 58% | 39% |

| Criteria | Average Cluster 3 | Average total sample |
|----------------------------|-------------------|----------------------|
| Relevance | 1,8 | 1,9 |
| Effectivity | 2,7 | 2,7 |
| Efficiency | 2,4 | 2,6 |
| Impact | 2,4 | 2,5 |
| Sustainability | 2,7 | 2,8 |
| Coherence and coordination | 2,4 | 2,3 |
| Planning & steering | 2,9 | 2,8 |



Cluster 4: Adaptation to climate change (n=20)

Note:

Quasi identical with field II

All projects from the THEMATIC project categories

- Adaptation strategies
- Ecosystem-based land use systems
- Insurance solutions

| Distribution according to THEMATIC project category | Number of projects | % distribution Cluster 4 | Total sample | % distribution total sample | % Cluster 4 of total sample |
|---|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Waste | 0 | 0% | 2 | 2% | 0% |
| Energy efficiency | 0 | 0% | 13 | 11% | 0% |
| Energy efficiency/ renewable energies | 0 | 0% | 5 | 4% | 0% |
| Renewable energies | 0 | 0% | 11 | 10% | 0% |
| Climate policy | 0 | 0% | 16 | 14% | 0% |
| Climate relevant greenhouse gas emissions | 0 | 0% | 6 | 5% | 0% |
| Carbon trade / emission market | 0 | 0% | 13 | 11% | 0% |
| Transport | 0 | 0% | 2 | 2% | 0% |
| Adaptation strategies | 16 | 80% | 16 | 14% | 100% |
| Climate-relevant biodiversity without REDD | 0 | 0% | 7 | 6% | 0% |
| Climate-relevant biodiversity with REDD | 0 | 0% | 7 | 6% | 0% |
| Carbon sinks with REDD relevance | 0 | 0% | 13 | 11% | 0% |
| Ecosystem-based land use systems | 3 | 15% | 3 | 3% | 100% |
| Insurance solutions | 1 | 5% | 1 | 1% | 100% |
| Total | 20 | 100% | 115 | 100% | 17% |

| Distribution according to METHODOLOGICAL project category | Number of projects | % distribution Cluster 4 | Total sample | % distribution total sample | % Cluster 4 of total sample |
|---|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Implementation | 2 | 10% | 27 | 23% | 7% |
| Capacity building | 13 | 65% | 65 | 57% | 20% |
| Policy advice | 5 | 25% | 22 | 19% | 23% |
| Financing instruments | 0 | 0% | 1 | 1% | 0% |
| Total | 20 | 100% | 115 | 100% | 17% |

| Regional distribution | Number of projects | % distribution Cluster 4 | Total sample | % distribution total sample | % Cluster 4 of total sample |
|---------------------------------|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Africa | 2 | 10% | 17 | 15% | 12% |
| Asia | 7 | 35% | 32 | 28% | 22% |
| Europe, Caucasus & Central Asia | 8 | 40% | 33 | 29% | 24% |
| Central and South America | 1 | 5% | 17 | 15% | 6% |
| Middle East | 0 | 0% | 2 | 2% | 0% |
| Global | 2 | 10% | 14 | 12% | 14% |
| Total | 20 | 100% | 115 | 100% | 17% |

| Distribution according to project duration | Number of projects | % distribution Cluster 4 | Total sample | % distribution total sample | % Cluster 4 of total sample |
|--|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| less than 2 years | 4 | 20% | 39 | 34% | 10% |
| 2 - 3 years | 5 | 25% | 33 | 29% | 15% |
| more than 3 years | 11 | 55% | 43 | 37% | 26% |
| Total | 20 | 100% | 115 | 100% | 17% |

| Distribution according to financial volume in € | Number of projects | % distribution Cluster 4 | Financial volume Cluster 4 | % financial volume Cluster 4 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 4 of total sample | % Cluster 4 of financial volume total sample |
|---|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| 0 - 499.999 | 1 | 5% | 134.025 € | 0% | 30 | 26% | 6.968.754 € | 4% | 3% | 2% |
| 500.000 - 999.999 | 4 | 20% | 3.694.950 € | 13% | 15 | 13% | 10.734.235 € | 6% | 27% | 34% |
| 1.000.000 - 2.999.999 | 15 | 75% | 25.697.486 € | 87% | 58 | 50% | 106.820.734 € | 57% | 26% | 24% |
| 3.000.000 and more | 0 | 0% | 0 € | 0% | 12 | 10% | 61.644.117 € | 33% | 0% | 0% |
| Total | 20 | 100% | 29.526.461 € | 100% | 115 | 100% | 186.167.840 € | 100% | 17% | 16% |

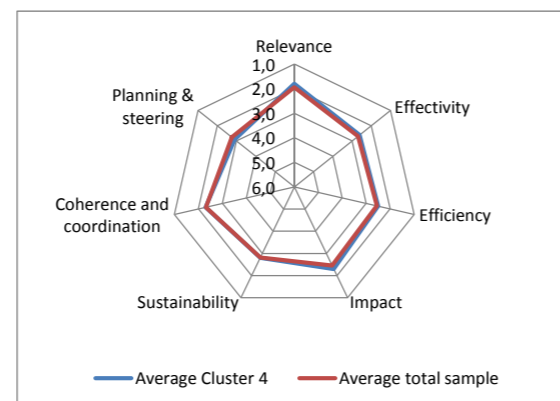
Some discrepancies of the financial volume may be subject to rounding differences!

| Distribution according to financial volume in € per region | Number of projects | % distribution Cluster 4 | Financial volume Cluster 4 | % financial volume Cluster 4 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 4 of total sample | % Cluster 4 of financial volume total sample |
|--|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| Africa | 2 | 10% | 2.330.000 € | 8% | 17 | 15% | 29.109.069 € | 16% | 12% | 8% |
| Asia | 7 | 35% | 13.908.698 € | 47% | 32 | 28% | 52.543.019 € | 28% | 22% | 26% |
| Europe, Caucasus & Central Asia | 8 | 40% | 8.412.579 € | 28% | 33 | 29% | 47.871.536 € | 26% | 24% | 18% |
| Central and South America | 1 | 5% | 1.011.241 € | 3% | 17 | 15% | 34.898.370 € | 19% | 6% | 3% |
| Middle East | 0 | 0% | 0 € | 0% | 2 | 2% | 2.208.732 € | 1% | 0% | 0% |
| Global | 2 | 10% | 3.863.943 € | 13% | 14 | 12% | 19.537.114 € | 10% | 14% | 20% |
| Total | 20 | 100% | 29.526.461 € | 100% | 115 | 100% | 186.167.840 € | 100% | 17% | 16% |

| Distribution according to financial volume in € per theme | Number of projects | % distribution Cluster 4 | Financial volume Cluster 4 | % financial volume Cluster 4 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 4 of total sample | % Cluster 4 of financial volume total sample |
|---|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| Waste | 0 | 0% | 0 € | 0% | 2 | 2% | 6.700.000 € | 4% | 0% | 0% |
| Energy efficiency | 0 | 0% | 0 € | 0% | 13 | 11% | 7.893.723 € | 4% | 0% | 0% |
| Energy efficiency/ renewable energies | 0 | 0% | 0 € | 0% | 5 | 4% | 7.213.677 € | 4% | 0% | 0% |
| Renewable energies | 0 | 0% | 0 € | 0% | 11 | 10% | 26.484.531 € | 14% | 0% | 0% |
| Climate policy | 0 | 0% | 0 € | 0% | 16 | 14% | 23.003.153 € | 12% | 0% | 0% |
| Climate relevant greenhouse gas emissions | 0 | 0% | 0 € | 0% | 6 | 5% | 10.277.059 € | 6% | 0% | 0% |
| Carbon trade / emission market | 0 | 0% | 0 € | 0% | 13 | 11% | 13.993.521 € | 8% | 0% | 0% |
| Transport | 0 | 0% | 0 € | 0% | 2 | 2% | 707.782 € | 0% | 0% | 0% |
| Adaptation strategies | 16 | 80% | 20.871.579 € | 71% | 16 | 14% | 20.871.599 € | 11% | 100% | 100% |
| Climate-relevant biodiversity without REDD | 0 | 0% | 0 € | 0% | 7 | 6% | 15.814.158 € | 8% | 0% | 0% |
| Climate-relevant biodiversity with REDD | 0 | 0% | 0 € | 0% | 7 | 6% | 13.614.507 € | 7% | 0% | 0% |
| Carbon sinks with REDD relevance | 0 | 0% | 0 € | 0% | 13 | 11% | 30.939.268 € | 17% | 0% | 0% |
| Ecosystem-based land use systems | 3 | 15% | 6.008.691 € | 20% | 3 | 3% | 6.008.691 € | 3% | 100% | 100% |
| Insurance solutions | 1 | 5% | 2.646.191 € | 9% | 1 | 1% | 2.646.191 € | 1% | 100% | 100% |
| Total | 20 | 100% | 29.526.461 € | 100% | 115 | 100% | 186.167.860 € | 100% | 17% | 16% |

| Distribution by evaluation criteria | Number of evaluated projects Cluster 4 | Highest score Cluster 4 | Lowest score Cluster 4 | Average Cluster 4 | higher than average Cluster 4 | lower than average Cluster 4 | % higher than average Cluster 4 | % lower than average Cluster 4 | Number of evaluated projects total sample | Highest score total sample | Lowest score total sample | Average total sample | higher than average total sample | lower than average total sample | % higher than average total sample | % lower than average total sample |
|-------------------------------------|--|-------------------------|------------------------|-------------------|-------------------------------|------------------------------|---------------------------------|--------------------------------|---|----------------------------|---------------------------|----------------------|----------------------------------|---------------------------------|------------------------------------|-----------------------------------|
| Relevance | 20 | 1,7 | 2,2 | 1,8 | 10 | 5 | 50% | 25% | 114 | 1,7 | 4,9 | 1,9 | 72 | 39 | 63% | 34% |
| Effectivity | 20 | 1,8 | 4,0 | 2,6 | 12 | 6 | 60% | 30% | 115 | 1,0 | 4,6 | 2,7 | 64 | 48 | 56% | 42% |
| Efficiency | 20 | 2,0 | 3,5 | 2,5 | 11 | 9 | 55% | 45% | 115 | 1,7 | 4,4 | 2,6 | 67 | 41 | 58% | 36% |
| Impact | 20 | 1,7 | 3,3 | 2,3 | 9 | 9 | 45% | 45% | 110 | 1,4 | 4,5 | 2,5 | 67 | 39 | 61% | 35% |
| Sustainability | 20 | 2,0 | 3,7 | 2,8 | 9 | 9 | 45% | 45% | 113 | 1,7 | 5,1 | 2,8 | 59 | 48 | 52% | 42% |
| Coherence and coordination | 20 | 2,0 | 4,0 | 2,3 | 12 | 8 | 60% | 40% | 115 | 2,0 | 4,0 | 2,3 | 75 | 40 | 65% | 35% |
| Planning & steering | 20 | 2,1 | 4,1 | 2,9 | 11 | 9 | 55% | 45% | 115 | 2,0 | 4,7 | 2,8 | 67 | 45 | 58% | 39% |

| Criteria | Average Cluster 4 | Average total sample |
|----------------------------|-------------------|----------------------|
| Relevance | 1,8 | 1,9 |
| Effectivity | 2,6 | 2,7 |
| Efficiency | 2,5 | 2,6 |
| Impact | 2,3 | 2,5 |
| Sustainability | 2,8 | 2,8 |
| Coherence and coordination | 2,3 | 2,3 |
| Planning & steering | 2,9 | 2,8 |



Cluster 5: Regional cluster (n=115)

Note:
This Cluster comprises all projects.

| Distribution according to THEMATIC project category | Number of projects | % distribution Cluster 5 | Total sample | % distribution total sample | % Cluster 5 of total sample |
|---|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Waste | 2 | 2% | 2 | 2% | 100% |
| Energy efficiency | 13 | 11% | 13 | 11% | 100% |
| Energy efficiency/ renewable energies | 5 | 4% | 5 | 4% | 100% |
| Renewable energies | 11 | 10% | 11 | 10% | 100% |
| Climate policy | 16 | 14% | 16 | 14% | 100% |
| Climate relevant greenhouse gas emissions | 6 | 5% | 6 | 5% | 100% |
| Carbon trade / emission market | 13 | 11% | 13 | 11% | 100% |
| Transport | 2 | 2% | 2 | 2% | 100% |
| Adaptation strategies | 16 | 14% | 16 | 14% | 100% |
| Climate-relevant biodiversity without REDD | 7 | 6% | 7 | 6% | 100% |
| Climate-relevant biodiversity with REDD | 7 | 6% | 7 | 6% | 100% |
| Carbon sinks with REDD relevance | 13 | 11% | 13 | 11% | 100% |
| Ecosystem-based land use systems | 3 | 3% | 3 | 3% | 100% |
| Insurance solutions | 1 | 1% | 1 | 1% | 100% |
| Total | 115 | 100% | 115 | 100% | 100% |

| Distribution according to METHODOLOGICAL project category | Number of projects | % distribution Cluster 5 | Total sample | % distribution total sample | % Cluster 5 of total sample |
|---|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Implementation | 27 | 23% | 27 | 23% | 100% |
| Capacity building | 65 | 57% | 65 | 57% | 100% |
| Policy advice | 22 | 19% | 22 | 19% | 100% |
| Financing instruments | 1 | 1% | 1 | 1% | 100% |
| Total | 115 | 100% | 115 | 100% | 100% |

| Regional distribution | Number of projects | % distribution Cluster 5 | Total sample | % distribution total sample | % Cluster 5 of total sample |
|---------------------------------|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Africa | 17 | 15% | 17 | 15% | 100% |
| Asia | 32 | 28% | 32 | 28% | 100% |
| Europe, Caucasus & Central Asia | 33 | 29% | 33 | 29% | 100% |
| Central and South America | 17 | 15% | 17 | 15% | 100% |
| Middle East | 2 | 2% | 2 | 2% | 100% |
| Global | 14 | 12% | 14 | 12% | 100% |
| Total | 115 | 100% | 115 | 100% | 100% |

| Distribution according to project duration | Number of projects | % distribution Cluster 5 | Total sample | % distribution total sample | % Cluster 5 of total sample |
|--|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| less than 2 years | 39 | 34% | 39 | 34% | 100% |
| 2 - 3 years | 33 | 29% | 33 | 29% | 100% |
| more than 3 years | 43 | 37% | 43 | 37% | 100% |
| Total | 115 | 100% | 115 | 100% | 100% |

| Distribution according to financial volume in € | Number of projects | % distribution Cluster 5 | Financial volume Cluster 5 | % financial volume Cluster 5 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 5 of total sample | % Cluster 5 of financial volume total sample |
|---|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| 0 - 499.999 | 30 | 26% | 6.968.754 € | 4% | 30 | 26% | 6.968.754 € | 4% | 100% | 100% |
| 500.000 - 999.999 | 15 | 13% | 10.734.235 € | 6% | 15 | 13% | 10.734.235 € | 6% | 100% | 100% |
| 1.000.000 - 2.999.999 | 58 | 50% | 106.820.734 € | 57% | 58 | 50% | 106.820.734 € | 57% | 100% | 100% |
| 3.000.000 and more | 12 | 10% | 61.644.117 € | 33% | 12 | 10% | 61.644.117 € | 33% | 100% | 100% |
| Total | 115 | 100% | 186.167.840 € | 100% | 115 | 100% | 186.167.840 € | 100% | 100% | 100% |

Some discrepancies of the financial volume may be subject to rounding differences!

| Distribution according to financial volume in € per region | Number of projects | % distribution Cluster 5 | Financial volume Cluster 5 | % financial volume Cluster 5 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 5 of total sample | % Cluster 5 of financial volume total sample |
|--|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| Africa | 17 | 15% | 29.109.069 € | 16% | 17 | 15% | 29.109.069 € | 16% | 100% | 100% |
| Asia | 32 | 28% | 52.543.019 € | 28% | 32 | 28% | 52.543.019 € | 28% | 100% | 100% |
| Europe, Caucasus & Central Asia | 33 | 29% | 47.871.536 € | 26% | 33 | 29% | 47.871.536 € | 26% | 100% | 100% |
| Central and South America | 17 | 15% | 34.898.370 € | 19% | 17 | 15% | 34.898.370 € | 19% | 100% | 100% |
| Middle East | 2 | 2% | 2.208.732 € | 1% | 2 | 2% | 2.208.732 € | 1% | 100% | 100% |
| Global | 14 | 12% | 19.537.114 € | 10% | 14 | 12% | 19.537.114 € | 10% | 100% | 100% |
| Total | 115 | 100% | 186.167.840 € | 100% | 115 | 100% | 186.167.840 € | 100% | 100% | 100% |

| Distribution according to financial volume in € per theme | Number of projects | % distribution Cluster 5 | Financial volume Cluster 5 | % financial volume Cluster 5 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 5 of total sample | % Cluster 5 of financial volume total sample |
|---|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| Waste | 2 | 2% | 6.700.000 € | 4% | 2 | 2% | 6.700.000 € | 4% | 100% | 100% |
| Energy efficiency | 13 | 11% | 7.893.723 € | 4% | 13 | 11% | 7.893.723 € | 4% | 100% | 100% |
| Energy efficiency/ renewable energies | 5 | 4% | 7.213.677 € | 4% | 5 | 4% | 7.213.677 € | 4% | 100% | 100% |
| Renewable energies | 11 | 10% | 26.484.531 € | 14% | 11 | 10% | 26.484.531 € | 14% | 100% | 100% |
| Climate policy | 16 | 14% | 23.003.153 € | 12% | 16 | 14% | 23.003.153 € | 12% | 100% | 100% |
| Climate relevant greenhouse gas emissions | 6 | 5% | 10.277.059 € | 6% | 6 | 5% | 10.277.059 € | 6% | 100% | 100% |
| Carbon trade / emission market | 13 | 11% | 13.993.521 € | 8% | 13 | 11% | 13.993.521 € | 8% | 100% | 100% |
| Transport | 2 | 2% | 707.782 € | 0% | 2 | 2% | 707.782 € | 0% | 100% | 100% |
| Adaptation strategies | 16 | 14% | 20.871.599 € | 11% | 16 | 14% | 20.871.599 € | 11% | 100% | 100% |
| Climate-relevant biodiversity without REDD | 7 | 6% | 15.814.158 € | 8% | 7 | 6% | 15.814.158 € | 8% | 100% | 100% |
| Climate-relevant biodiversity with REDD | 7 | 6% | 13.614.507 € | 7% | 7 | 6% | 13.614.507 € | 7% | 100% | 100% |
| Carbon sinks with REDD relevance | 13 | 11% | 30.939.268 € | 17% | 13 | 11% | 30.939.268 € | 17% | 100% | 100% |
| Ecosystem-based land use systems | 3 | 3% | 6.008.691 € | 3% | 3 | 3% | 6.008.691 € | 3% | 100% | 100% |
| Insurance solutions | 1 | 1% | 2.646.191 € | 1% | 1 | 1% | 2.646.191 € | 1% | 100% | 100% |
| Total | 115 | 100% | 186.167.860 € | 100% | 115 | 100% | 186.167.860 € | 100% | 100% | 100% |

| Distribution by evaluation criteria | Number of evaluated projects Cluster 5 | Highest score Cluster 5 | Lowest score Cluster 5 | Average Cluster 5 | higher than average Cluster 5 | lower than average Cluster 5 | % higher than average Cluster 5 | % lower than average Cluster 5 | Number of evaluated projects total sample | Highest score total sample | Lowest score total sample | Average total sample | higher than average total sample | lower than average total sample | % higher than average total sample | % lower than average total sample |
|-------------------------------------|--|-------------------------|------------------------|-------------------|-------------------------------|------------------------------|---------------------------------|--------------------------------|---|----------------------------|---------------------------|----------------------|----------------------------------|---------------------------------|------------------------------------|-----------------------------------|
| Africa | | | | | | | | | | | | | | | | |
| Relevance | 17 | 1,7 | 3,3 | 2,0 | 11 | 3 | 65% | 18% | 114 | 1,7 | 4,9 | 1,9 | 72 | 39 | 63% | 34% |
| Effectivity | 17 | 2,0 | 4,6 | 3,1 | 10 | 7 | 59% | 41% | 115 | 1,0 | 4,6 | 2,7 | 64 | 48 | 56% | 42% |
| Efficiency | 17 | 2,0 | 4,1 | 2,9 | 9 | 7 | 53% | 41% | 115 | 1,7 | 4,4 | 2,6 | 67 | 41 | 58% | 36% |
| Impact | 16 | 1,9 | 4,0 | 2,7 | 9 | 6 | 56% | 38% | 110 | 1,4 | 4,5 | 2,5 | 67 | 39 | 61% | 35% |
| Sustainability | 17 | 1,9 | 4,5 | 3,2 | 8 | 8 | 47% | 47% | 113 | 1,7 | 5,1 | 2,8 | 59 | 48 | 52% | 42% |
| Coherence and coordination | 17 | 2,0 | 4,0 | 2,6 | 11 | 6 | 65% | 35% | 115 | 2,0 | 4,0 | 2,3 | 75 | 40 | 65% | 35% |
| Planning & steering | 17 | 2,1 | 4,3 | 3,1 | 9 | 8 | 53% | 47% | 115 | 2,0 | 4,7 | 2,8 | 67 | 45 | 58% | 39% |

| Distribution by evaluation criteria | Number of evaluated projects Cluster 5 | Highest score Cluster 5 | Lowest score Cluster 5 | Average Cluster 5 | higher than average Cluster 5 | lower than average Cluster 5 | % higher than average Cluster 5 | % lower than average Cluster 5 | Number of evaluated projects total sample | Highest score total sample | Lowest score total sample | Average total sample | higher than average total sample | lower than average total sample | % higher than average total sample | % lower than average total sample |
|-------------------------------------|--|-------------------------|------------------------|-------------------|-------------------------------|------------------------------|---------------------------------|--------------------------------|---|----------------------------|---------------------------|----------------------|----------------------------------|---------------------------------|------------------------------------|-----------------------------------|
| Asia | | | | | | | | | | | | | | | | |
| Relevance | 32 | 1,7 | 2,7 | 1,8 | 16 | 9 | 50% | 28% | 114 | 1,7 | 4,9 | 1,9 | 72 | 39 | 63% | 34% |
| Effectivity | 32 | 1,8 | 4,3 | 2,7 | 17 | 14 | 53% | 44% | 115 | 1,0 | 4,6 | 2,7 | 64 | 48 | 56% | 42% |
| Efficiency | 32 | 1,7 | 3,9 | 2,5 | 19 | 11 | 59% | 34% | 115 | 1,7 | 4,4 | 2,6 | 67 | 41 | 58% | 36% |
| Impact | 31 | 1,5 | 3,6 | 2,4 | 15 | 12 | 48% | 39% | 110 | 1,4 | 4,5 | 2,5 | 67 | 39 | 61% | 35% |
| Sustainability | 32 | 2,0 | 5,1 | 2,8 | 17 | 11 | 53% | 34% | 113 | 1,7 | 5,1 | 2,8 | 59 | 48 | 52% | 42% |
| Coherence and coordination | 32 | 2,0 | 4,0 | 2,2 | 23 | 9 | 72% | 28% | 115 | 2,0 | 4,0 | 2,3 | 75 | 40 | 65% | 35% |
| Planning & steering | 32 | 2,1 | 4,7 | 2,8 | 20 | 12 | 63% | 38% | 115 | 2,0 | 4,7 | 2,8 | 67 | 45 | 58% | 39% |

| Distribution by evaluation criteria | Number of evaluated projects Cluster 5 | Highest score Cluster 5 | Lowest score Cluster 5 | Average Cluster 5 | higher than average Cluster 5 | lower than average Cluster 5 | % higher than average Cluster 5 | % lower than average Cluster 5 | Number of evaluated projects total sample | Highest score total sample | Lowest score total sample | Average total sample | higher than average total sample | lower than average total sample | % higher than average total sample | % lower than average total sample |
|--|--|-------------------------|------------------------|-------------------|-------------------------------|------------------------------|---------------------------------|--------------------------------|---|----------------------------|---------------------------|----------------------|----------------------------------|---------------------------------|------------------------------------|-----------------------------------|
| Europe, Caucasus & Central Asia | | | | | | | | | | | | | | | | |
| Relevance | 33 | 1,7 | 4,9 | 2,0 | 17 | 9 | 52% | 27% | 114 | 1,7 | 4,9 | 1,9 | 72 | 39 | 63% | 34% |
| Effectivity | 33 | 1,8 | 4,3 | 2,7 | 19 | 14 | 58% | 42% | 115 | 1,0 | 4,6 | 2,7 | 64 | 48 | 56% | 42% |
| Efficiency | 33 | 1,8 | 4,4 | 2,5 | 20 | 13 | 61% | 39% | 115 | 1,7 | 4,4 | 2,6 | 67 | 41 | 58% | 36% |
| Impact | 32 | 1,7 | 3,8 | 2,5 | 18 | 12 | 56% | 38% | 110 | 1,4 | 4,5 | 2,5 | 67 | 39 | 61% | 35% |
| Sustainability | 32 | 1,8 | 4,1 | 2,8 | 16 | 14 | 50% | 44% | 113 | 1,7 | 5,1 | 2,8 | 59 | 48 | 52% | 42% |
| Coherence and coordination | 33 | 2,0 | 4,0 | 2,2 | 24 | 9 | 73% | 27% | 115 | 2,0 | 4,0 | 2,3 | 75 | 40 | 65% | 35% |
| Planning & steering | 33 | 2,0 | 4,1 | 2,7 | 19 | 13 | 58% | 39% | 115 | 2,0 | 4,7 | 2,8 | 67 | 45 | 58% | 39% |

| Distribution by evaluation criteria | Number of evaluated projects Cluster 5 | Highest score Cluster 5 | Lowest score Cluster 5 | Average Cluster 5 | higher than average Cluster 5 | lower than average Cluster 5 | % higher than average Cluster 5 | % lower than average Cluster 5 | Number of evaluated projects total sample | Highest score total sample | Lowest score total sample | Average total sample | higher than average total sample | lower than average total sample | % higher than average total sample | % lower than average total sample |
|-------------------------------------|--|-------------------------|------------------------|-------------------|-------------------------------|------------------------------|---------------------------------|--------------------------------|---|----------------------------|---------------------------|----------------------|----------------------------------|---------------------------------|------------------------------------|-----------------------------------|
| Central and South America | | | | | | | | | | | | | | | | |
| Relevance | 17 | 1,7 | 3,4 | 2,0 | 9 | 3 | 53% | 18% | 114 | 1,7 | 4,9 | 1,9 | 72 | 39 | 63% | 34% |
| Effectivity | 17 | 1,2 | 4,6 | 2,8 | 10 | 7 | 59% | 41% | 115 | 1,0 | 4,6 | 2,7 | 64 | 48 | 56% | 42% |
| Efficiency | 17 | 1,7 | 4,4 | 2,6 | 8 | 7 | 47% | 41% | 115 | 1,7 | 4,4 | 2,6 | 67 | 41 | 58% | 36% |
| Impact | 16 | 1,4 | 4,5 | 2,6 | 8 | 7 | 50% | 44% | 110 | 1,4 | 4,5 | 2,5 | 67 | 39 | 61% | 35% |
| Sustainability | 16 | 1,8 | 5,1 | 2,8 | 10 | 6 | 63% | 38% | 113 | 1,7 | 5,1 | 2,8 | 59 | 48 | 52% | 42% |
| Coherence and coordination | 17 | 2,0 | 4,0 | 2,5 | 9 | 4 | 53% | 24% | 115 | 2,0 | 4,0 | 2,3 | 75 | 40 | 65% | 35% |
| Planning & steering | 17 | 2,1 | 3,7 | 2,7 | 10 | 6 | 59% | 35% | 115 | 2,0 | 4,7 | 2,8 | 67 | 45 | 58% | 39% |

| Distribution by evaluation criteria | Number of evaluated projects Cluster 5 | Highest score Cluster 5 | Lowest score Cluster 5 | Average Cluster 5 | higher than average Cluster 5 | lower than average Cluster 5 | % higher than average Cluster 5 | % lower than average Cluster 5 | Number of evaluated projects total sample | Highest score total sample | Lowest score total sample | Average total sample | higher than average total sample | lower than average total sample | % higher than average total sample | % lower than average total sample |
|-------------------------------------|--|-------------------------|------------------------|-------------------|-------------------------------|------------------------------|---------------------------------|--------------------------------|---|----------------------------|---------------------------|----------------------|----------------------------------|---------------------------------|------------------------------------|-----------------------------------|
| Middle East | | | | | | | | | | | | | | | | |
| Relevance | 2 | 1,7 | 1,7 | 1,7 | 0 | 0 | 0% | 0% | 114 | 1,7 | 4,9 | 1,9 | 72 | 39 | 63% | 34% |
| Effectivity | 2 | 2,0 | 2,0 | 2,0 | 0 | 0 | 0% | 0% | 115 | 1,0 | 4,6 | 2,7 | 64 | 48 | 56% | 42% |
| Efficiency | 2 | 2,0 | 2,1 | 2,1 | 1 | 0 | 50% | 0% | 115 | 1,7 | 4,4 | 2,6 | 67 | 41 | 58% | 36% |
| Impact | 2 | 1,4 | 1,9 | 1,7 | 1 | 1 | 50% | 50% | 110 | 1,4 | 4,5 | 2,5 | 67 | 39 | 61% | 35% |
| Sustainability | 2 | 1,7 | 2,2 | 2,0 | 1 | 1 | 50% | 50% | 113 | 1,7 | 5,1 | 2,8 | 59 | 48 | 52% | 42% |
| Coherence and coordination | 2 | 2,0 | 2,0 | 2,0 | 0 | 0 | 0% | 0% | 115 | 2,0 | 4,0 | 2,3 | 75 | 40 | 65% | 35% |
| Planning & steering | 2 | 2,0 | 2,1 | 2,1 | 1 | 0 | 50% | 0% | 115 | 2,0 | 4,7 | 2,8 | 67 | 45 | 58% | 39% |

| Distribution by evaluation criteria | Number of evaluated projects Cluster 5 | Highest score Cluster 5 | Lowest score Cluster 5 | Average Cluster 5 | higher than average Cluster 5 | lower than average Cluster 5 | % higher than average Cluster 5 | % lower than average Cluster 5 | Number of evaluated projects total sample | Highest score total sample | Lowest score total sample | Average total sample | higher than average total sample | lower than average total sample | % higher than average total sample | % lower than average total sample |
|-------------------------------------|--|-------------------------|------------------------|-------------------|-------------------------------|------------------------------|---------------------------------|--------------------------------|---|----------------------------|---------------------------|----------------------|----------------------------------|---------------------------------|------------------------------------|-----------------------------------|
| Global | | | | | | | | | | | | | | | | |
| Relevance | 13 | 1,7 | 2,0 | 1,7 | 0 | 4 | 0% | 31% | 114 | 1,7 | 4,9 | 1,9 | 72 | 39 | 63% | 34% |
| Effectivity | 14 | 1,0 | 3,0 | 2,2 | 6 | 8 | 43% | 57% | 115 | 1,0 | 4,6 | 2,7 | 64 | 48 | 56% | 42% |
| Efficiency | 14 | 1,7 | 3,3 | 2,2 | 8 | 5 | 57% | 36% | 115 | 1,7 | 4,4 | 2,6 | 67 | 41 | 58% | 36% |
| Impact | 13 | 1,5 | 2,7 | 2,0 | 5 | 2 | 38% | 15% | 110 | 1,4 | 4,5 | 2,5 | 67 | 39 | 61% | 35% |
| Sustainability | 14 | 2,0 | 3,7 | 2,6 | 9 | 5 | 64% | 36% | 113 | 1,7 | 5,1 | 2,8 | 59 | 48 | 52% | 42% |
| Coherence and coordination | 14 | 2,0 | 3,5 | 2,2 | 11 | 3 | 79% | 21% | 115 | 2,0 | 4,0 | 2,3 | 75 | 40 | 65% | 35% |
| Planning & steering | 14 | 2,0 | 3,9 | 2,6 | 8 | 6 | 57% | 43% | 115 | 2,0 | 4,7 | 2,8 | 67 | 45 | 58% | 39% |

Cluster 6: Technology cooperation (n=42)

Note:
Cluster 6, "technology cooperation", includes projects with the following characteristics:
• have a sufficient direct reference to technology, i.e. technical facilities
• direct reference means physical installation of facilities, technological standard setting and improvement of technical systems, improvement of technical information management, technological adaptation to local conditions, relevant software and manuals, technical knowledge transfer, capacity development for the direct use of technology, research in the area of technology, financing of technology
• strengthen national technology innovation systems, in particular as regards systemic holistic approaches combining different forms of technology cooperation (networking, institutionalisation, institution building, broad research platforms).

| Distribution according to THEMATIC project category | Number of projects | % distribution Cluster 6 | Total sample | % distribution total sample | % Cluster 6 of total sample |
|---|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Waste | 2 | 5% | 2 | 2% | 100% |
| Energy efficiency | 7 | 17% | 13 | 11% | 54% |
| Energy efficiency/ renewable energies | 3 | 7% | 5 | 4% | 60% |
| Renewable energies | 6 | 14% | 11 | 10% | 55% |
| Climate policy | 6 | 14% | 16 | 14% | 38% |
| Climate relevant greenhouse gas emissions | 6 | 14% | 6 | 5% | 100% |
| Carbon trade / emission market | 6 | 14% | 13 | 11% | 46% |
| Transport | 1 | 2% | 2 | 2% | 50% |
| Adaptation strategies | 4 | 10% | 16 | 14% | 25% |
| Climate-relevant biodiversity without REDD | 0 | 0% | 7 | 6% | 0% |
| Climate-relevant biodiversity with REDD | 0 | 0% | 7 | 6% | 0% |
| Carbon sinks with REDD relevance | 0 | 0% | 13 | 11% | 0% |
| Ecosystem-based land use systems | 1 | 2% | 3 | 3% | 33% |
| Insurance solutions | 0 | 0% | 1 | 1% | 0% |
| Total | 42 | 100% | 115 | 100% | 37% |

| Distribution according to METHODOLOGICAL project category | Number of projects | % distribution Cluster 6 | Total sample | % distribution total sample | % Cluster 6 of total sample |
|---|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Implementation | 11 | 26% | 27 | 23% | 41% |
| Capacity building | 25 | 60% | 65 | 57% | 38% |
| Policy advice | 6 | 14% | 22 | 19% | 27% |
| Financing instruments | 0 | 0% | 1 | 1% | 0% |
| Total | 42 | 100% | 115 | 100% | 37% |

| Regional distribution | Number of projects | % distribution Cluster 6 | Total sample | % distribution total sample | % Cluster 6 of total sample |
|---------------------------------|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| Africa | 8 | 19% | 17 | 15% | 47% |
| Asia | 11 | 26% | 32 | 28% | 34% |
| Europe, Caucasus & Central Asia | 13 | 31% | 33 | 29% | 39% |
| Central and South America | 4 | 10% | 17 | 15% | 24% |
| Middle East | 1 | 2% | 2 | 2% | 50% |
| Global | 5 | 12% | 14 | 12% | 36% |
| Total | 42 | 100% | 115 | 100% | 37% |

| Distribution according to project duration | Number of projects | % distribution Cluster 6 | Total sample | % distribution total sample | % Cluster 6 of total sample |
|--|--------------------|--------------------------|--------------|-----------------------------|-----------------------------|
| less than 2 years | 14 | 33% | 39 | 34% | 36% |
| 2 - 3 years | 11 | 26% | 33 | 29% | 33% |
| more than 3 years | 17 | 40% | 43 | 37% | 40% |
| Total | 42 | 100% | 115 | 100% | 37% |

| Distribution according to financial volume in € | Number of projects | % distribution Cluster 6 | Financial volume Cluster 6 | % financial volume Cluster 6 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 6 of total sample | % Cluster 6 of financial volume total sample |
|---|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| 0 - 499.999 | 12 | 29% | 2.593.105 € | 4% | 30 | 26% | 6.968.754 € | 4% | 40% | 37% |
| 500.000 - 999.999 | 5 | 12% | 4.388.050 € | 7% | 15 | 13% | 10.734.235 € | 6% | 33% | 41% |
| 1.000.000 - 2.999.999 | 20 | 48% | 35.917.250 € | 55% | 58 | 50% | 106.820.734 € | 57% | 34% | 34% |
| 3.000.000 and more | 5 | 12% | 22.571.278 € | 34% | 12 | 10% | 61.644.117 € | 33% | 42% | 37% |
| Total | 42 | 100% | 65.469.683 € | 100% | 115 | 100% | 186.167.840 € | 100% | 37% | 35% |

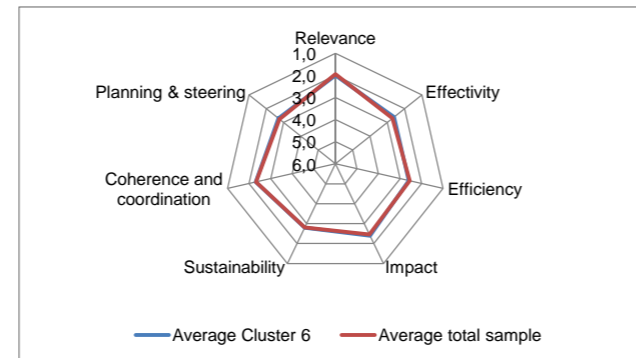
Some discrepancies of the financial volume may be subject to rounding differences!

| Distribution according to financial volume in € per region | Number of projects | % distribution Cluster 6 | Financial volume Cluster 6 | % financial volume Cluster 6 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 6 of total sample | % Cluster 6 of financial volume total sample |
|--|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| Africa | 8 | 19% | 12.051.065 € | 18% | 17 | 15% | 29.109.069 € | 16% | 47% | 41% |
| Asia | 11 | 26% | 24.713.251 € | 38% | 32 | 28% | 52.543.019 € | 28% | 34% | 47% |
| Europe, Caucasus & Central Asia | 13 | 31% | 11.075.514 € | 17% | 33 | 29% | 47.871.536 € | 26% | 39% | 23% |
| Central and South America | 4 | 10% | 10.367.973 € | 16% | 17 | 15% | 34.898.370 € | 19% | 24% | 30% |
| Middle East | 1 | 2% | 1.809.674 € | 3% | 2 | 2% | 2.208.732 € | 1% | 50% | 82% |
| Global | 5 | 12% | 5.452.206 € | 8% | 14 | 12% | 19.537.114 € | 10% | 36% | 28% |
| Total | 42 | 100% | 65.469.683 € | 100% | 115 | 100% | 186.167.840 € | 100% | 37% | 35% |

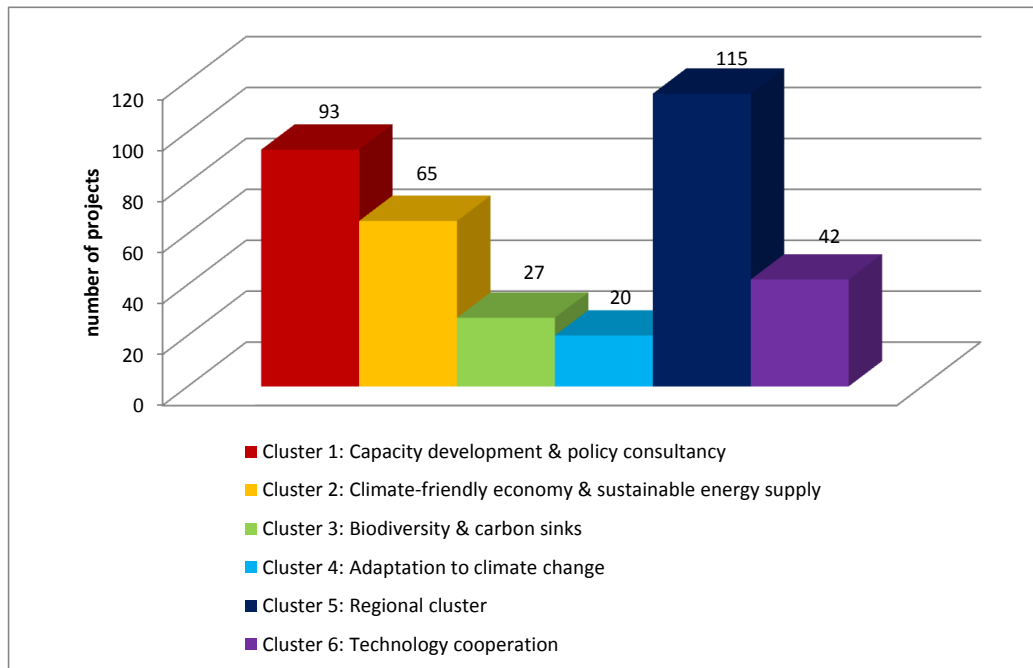
| Distribution according to financial volume in € per theme | Number of projects | % distribution Cluster 6 | Financial volume Cluster 6 | % financial volume Cluster 6 | Total sample | % distribution total sample | Financial volume total sample | % financial volume total sample | % Cluster 6 of total sample | % Cluster 6 of financial volume total sample |
|---|--------------------|--------------------------|----------------------------|------------------------------|--------------|-----------------------------|-------------------------------|---------------------------------|-----------------------------|--|
| Waste | 2 | 5% | 6.700.000 € | 11% | 2 | 2% | 6.700.000 € | 4% | 100% | 100% |
| Energy efficiency | 7 | 17% | 5.358.995 € | 8% | 13 | 11% | 7.893.723 € | 4% | 54% | 68% |
| Energy efficiency/ renewable energies | 3 | 7% | 6.542.147 € | 10% | 5 | 4% | 7.213.677 € | 4% | 60% | 91% |
| Renewable energies | 6 | 14% | 18.369.790 € | 29% | 11 | 10% | 26.484.531 € | 14% | 55% | 69% |
| Climate policy | 6 | 14% | 5.129.545 € | 8% | 16 | 14% | 23.003.153 € | 12% | 38% | 22% |
| Climate relevant greenhouse gas emissions | 6 | 14% | 10.277.059 € | 16% | 6 | 5% | 10.277.059 € | 6% | 100% | 100% |
| Carbon trade / emission market | 6 | 14% | 5.192.399 € | 8% | 13 | 11% | 13.993.521 € | 8% | 46% | 37% |
| Transport | 1 | 2% | 300.354 € | 0% | 2 | 2% | 707.782 € | 0% | 50% | 42% |
| Adaptation strategies | 4 | 10% | 3.899.393 € | 6% | 16 | 14% | 20.871.599 € | 11% | 25% | 19% |
| Climate-relevant biodiversity without REDD | 0 | 0% | 0 € | 0% | 7 | 6% | 15.814.158 € | 8% | 0% | 0% |
| Climate-relevant biodiversity with REDD | 0 | 0% | 0 € | 0% | 7 | 6% | 13.614.507 € | 7% | 0% | 0% |
| Carbon sinks with REDD relevance | 0 | 0% | 0 € | 0% | 13 | 11% | 30.939.268 € | 17% | 0% | 0% |
| Ecosystem-based land use systems | 1 | 2% | 1.325.023 € | 2% | 3 | 3% | 6.008.691 € | 3% | 33% | 22% |
| Insurance solutions | 0 | 0% | 0 € | 0% | 1 | 1% | 2.646.191 € | 1% | 0% | 0% |
| Total | 42 | 100% | 63.094.705 € | 100% | 115 | 100% | 186.167.860 € | 100% | 37% | 34% |

| Distribution by evaluation criteria | Number of evaluated projects Cluster 6 | Highest score Cluster 6 | Lowest score Cluster 6 | Average Cluster 6 | higher than average Cluster 6 | lower than average Cluster 6 | % higher than average Cluster 6 | % lower than average Cluster 6 | Number of evaluated projects total sample | Highest score total sample | Lowest score total sample | Average total sample | higher than average total sample | lower than average total sample | % higher than average total sample | % lower than average total sample |
|-------------------------------------|--|-------------------------|------------------------|-------------------|-------------------------------|------------------------------|---------------------------------|--------------------------------|---|----------------------------|---------------------------|----------------------|----------------------------------|---------------------------------|------------------------------------|-----------------------------------|
| Relevance | 42 | 1,7 | 4,9 | 2,0 | 25 | 8 | 60% | 19% | 114 | 1,7 | 4,9 | 1,9 | 72 | 39 | 63% | 34% |
| Effectivity | 42 | 1,2 | 4,3 | 2,6 | 25 | 16 | 60% | 38% | 115 | 1,0 | 4,6 | 2,7 | 64 | 48 | 56% | 42% |
| Efficiency | 42 | 1,7 | 4,4 | 2,6 | 24 | 15 | 57% | 36% | 115 | 1,7 | 4,4 | 2,6 | 67 | 41 | 58% | 36% |
| Impact | 41 | 1,4 | 4,0 | 2,4 | 25 | 16 | 61% | 39% | 110 | 1,4 | 4,5 | 2,5 | 67 | 39 | 61% | 35% |
| Sustainability | 42 | 1,7 | 4,5 | 2,8 | 23 | 18 | 55% | 43% | 113 | 1,7 | 5,1 | 2,8 | 59 | 48 | 52% | 42% |
| Coherence and coordination | 42 | 2,0 | 4,0 | 2,3 | 27 | 15 | 64% | 36% | 115 | 2,0 | 4,0 | 2,3 | 75 | 40 | 65% | 35% |
| Planning & steering | 42 | 2,0 | 4,0 | 2,7 | 25 | 14 | 60% | 33% | 115 | 2,0 | 4,7 | 2,8 | 67 | 45 | 58% | 39% |

| Criteria | Average Cluster 6 | Average total sample |
|----------------------------|-------------------|----------------------|
| Relevance | 2,0 | 1,9 |
| Effectivity | 2,6 | 2,7 |
| Efficiency | 2,6 | 2,6 |
| Impact | 2,4 | 2,5 |
| Sustainability | 2,8 | 2,8 |
| Coherence and coordination | 2,3 | 2,3 |
| Planning & steering | 2,7 | 2,8 |



| Cluster | Number of projects (old) | Number of projects (new) |
|---|--------------------------|--------------------------|
| Cluster 1: Capacity development & policy consultancy | 87 | 93 |
| Cluster 2: Climate-friendly economy & sustainable energy supply | 66 | 65 |
| Cluster 3: Biodiversity & carbon sinks | 27 | 27 |
| Cluster 4: Adaptation to climate change | 20 | 20 |
| Cluster 5: Regional cluster | 115 | 115 |
| Cluster 6: Technology cooperation | 26 | 42 |





Evaluation of the International Climate Initiative (ICI) of the Federal Ministry for the Environ- ment, Nature Conservation and Nuclear Safety (BMU)

Annex 4

Cluster Evaluation Report

Contracting Authority



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ABBREVIATIONS

| | |
|--------|--|
| BMU | Bundesministerium für Umwelt, Naturschutz und Reaktorsicherheit (Federal Ministry for the Environment, Nature Conservation and Nuclear Safety) |
| CBD | Convention on Biological Diversity |
| CD | Capacity Development |
| dena | Deutsche Energie-Agentur (German Energy Agency) |
| EBRD | European Bank for Reconstruction and Development |
| ECCA | Europe, Caucasus & Central Asia |
| EE | Energy Efficiency |
| EZ | Entwicklungszusammenarbeit (Development cooperation) |
| GEF | Global Environment Facility |
| GHG | Greenhouse Gases |
| GIZ | Gesellschaft für Internationale Zusammenarbeit (German Agency for International Cooperation) |
| ICI | International Climate Initiative |
| KfW | Kreditanstalt für Wiederaufbau (German Reconstruction Credit Institute) |
| LDC | Least Developed Countries |
| M & E | Monitoring and Evaluation |
| NCRE | non-conventional renewable energies |
| NAPA | Nationale Anpassungsprogramme (National Adaptation Programmes) |
| NGO | Non-Governmental Organisation |
| ODA | Official Development Assistance |
| PB | Programmbüro Internationale Klimaschutzinitiative (Programme Office for the International Climate Initiative) |
| PIK | Potsdam-Institut für Klimafolgenforschung (Potsdam Institute for Climate Impact Research) |
| RE | Renewable Energies |
| REDD | Reducing Emissions from Deforestation and Degradation |
| SIDS | Small Island Developing States |
| UBA | Umweltbundesamt (Environment Agency Germany) |
| UN | United Nations |
| UNDP | United Nations Development Program |
| UNESCO | United Nations Educational, Scientific and Cultural Organization |
| WHO | World Health Organisation |

1 INTRODUCTION AND COMPLETE OVERVIEW

Cluster evaluation

The cluster evaluation served the representation of the results of projects with similar or the same content or methodology as well as their comparative assessment and the evaluation of success factors and/or critical factors.

For the evaluation, the contracting authority had originally defined 5 clusters, with one cluster added in the course of the evaluation (also refer to Annex 1):

- Cluster 1: Capacity development & policy consultancy
- Cluster 2: Climate-friendly economy & sustainable energy supply
- Cluster 3: Biodiversity & carbon sinks
- Cluster 4: Adaptation to climate change
- Cluster 5: Regional cluster
- Cluster 6: Technology cooperation¹

The contracting authority assigned each project to several clusters (see Annex 2). The contractor reviewed the cluster assignment and revised it, if the individual project evaluation or the evaluator suggested a different assignment. The number of revisions is not noteworthy.

Clusters 2 to 4 are thematic clusters. Each project was only assigned to one of these clusters. In case a project addressed several thematic aspects, the most important thematic aspect was identified and the project assigned to the corresponding cluster. Clusters 1 and 6 are methodological clusters covering the three fields of action of the ICI. The projects were assigned to these clusters in addition to the thematic clusters.

An independent, complete analysis was carried out for Clusters 1, 2, 3, 4, and 6, respectively. In this process, Clusters 2 & 6 were retroactively analysed as one cluster due to the many overlaps and the similarity of results. In consultation with the contracting authority, Cluster 5 (regional cluster) was analysed only briefly because there are only minor differences. Regional differences were analysed within the context of the other clusters.²

The cluster evaluation also uses guiding questions which were derived from the 7 evaluation criteria and were formulated both universally and cluster specifically (see Annex 3).

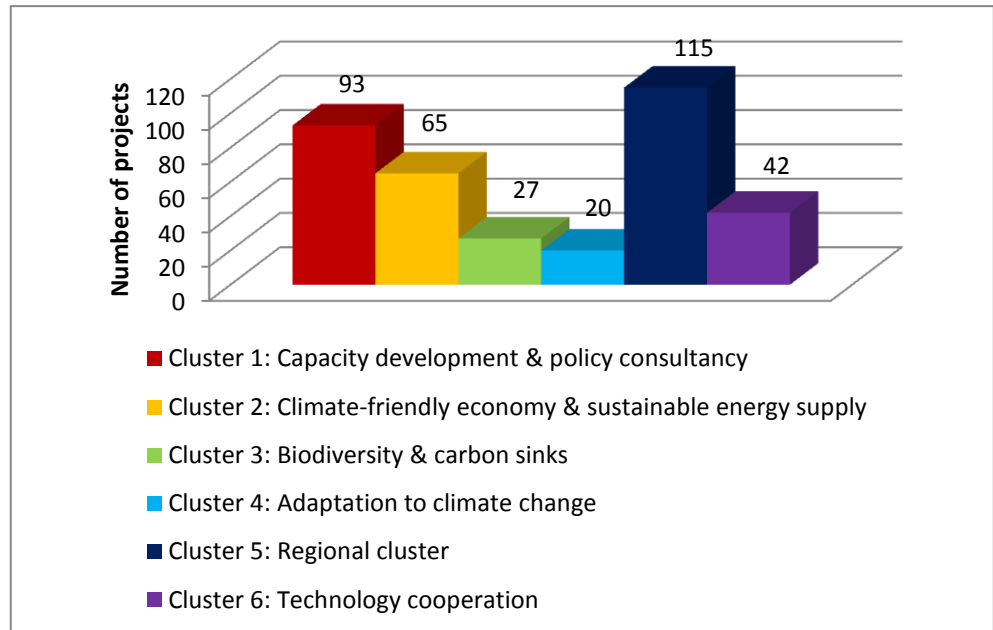
¹ The cluster "technology cooperation" was additionally included in 2011 due to the topicality of the subject matter in the international climate policy dialogue.

² Email 2012-08-20

**Assignment
of projects**

The following figure shows the distribution of the projects to the clusters.

Figure 1: Distribution of Projects to Clusters



Source: Own representation on the basis of UBA/BMU project lists and expert opinion

2 CLUSTER 1: CAPACITY DEVELOPMENT & POLICY CONSULTANCY

2.1 Cluster Description

Cross-thematic cluster

Establishment or development of structures and processes and capacity building among partners

Great diversity of topics and great share in total sample

Distinction from "implementation projects"

Cluster 1 is a cross-thematic cluster and includes projects of all three fields of action of the ICI.³ It tries to include the specifics of all projects focused on the development and dissemination of know-how for the institutional and political levels of the partner countries or international partners. Capacity development and policy consultancy are constitutive characteristics of programmes and projects of international technical and economic cooperation. They are methodological-conceptual categories and largely independent of the thematic objects of cooperation. Usually, they aim at the establishment and/or development of institutional structures through the improvement of processes and management, as well as capacity building among people affected by these topics for avoiding and dealing with climate change, be it in the institutions and/or the target groups.

In light of the methodological category of the cluster, it is no surprise that all three fields of action of the ICI are included and the diversity of topics is accordingly great. It ranges from the energy efficiency in buildings and local public transport, a feasibility study for a solar thermal power tower, the use of small biogas plants in pig farms, to the management of protected areas, the adaptation to the health risks of climate change, and even gender equality in the climate debate. Beyond the diversity of topics, the cluster also includes the great majority of funded projects because of the methodological approach. Accordingly, with 93 projects or 81%, the cluster sample has a very high share in the total sample (115 projects). Therefore, the statistical results do not show major deviations from those of the total sample. Even more so since the distinction from the other categories used by the BMU, i.e. "implementation" and "financing instruments", is not very clear.

In addition to the investment-related parts, the projects classified as implementation projects often include important consulting and training components as well as other support measures which do not significantly differ from those of the projects in Cluster 1. 44% of the so-called implementation projects alone are implemented by GIZ, 15% by UN organisations which usually use investment-related components - in accordance with their mandate - exclusively for capacity development and policy consultancy. Frequently, consultancy and capacity development also play a major role in the KfW projects which all address measures of natural resource management (protected areas/REDD, reforestation, peat bogs). Partly, they are pilot projects that serve the generation and dissemination of know-how, which also applies to a couple of projects in Cluster 1.

³ At the time of evaluation:
 Field of action I: Support of climate-friendly business
 Field of action II: Support of measures for the adaptation to the consequences of CC
 Field of action III: Conservation and sustainable use of natural carbon sinks / Reducing Emissions from Deforestation and Degradation (REDD)

Policy consultancy, capacity development, and implementation are often related. The main difference seems to be particularly the size of the investment-related share of the respective projects. Projects in which it was not clear that the investment-related part clearly prevails were additionally taken into account in Cluster 1. However, the investment-related part usually leads to a greater total financial volume of implementation projects. This is shown by the comparison of the financing share of Cluster 1 with the total sample. While the percentage share of projects in the sample is 81%, the financial volume only has a share of 72%. On average, the projects in Cluster 1 are smaller.

2.2 Quantitative Evaluation of the Cluster

2.2.1 Evaluation according to project categories

Methodological project category

Table 1 shows the project distribution by methodological project category. According to the classification of the BMU, 70% are part of capacity development, 24% belong to policy consultancy, and 6% of the clusters are additional implementation projects. Capacity development measures prevail, but it needs to be considered that, often, all methodological approaches are connected and in these cases the separation is due to the distribution since a double assignment is not possible. The projects were always assigned to the prevailing approach. In the sample, they have a share of 57%, 19%, and 23%, respectively. However, again it must be emphasised that the assignment often does not seem very precise due to the rather unclear distinction.

Table 1: Distribution by Methodological Project Category (Cluster 1)

| METHODOLOGICAL PROJECT CATEGORY | Cluster 1 | | Total sample | |
|---------------------------------|-----------|-------------|--------------|-------------|
| | Projects | % | Projects | % |
| Implementation | 6 | 6% | 27 | 23% |
| Capacity development | 65 | 70% | 65 | 57% |
| Policy consultancy | 22 | 24% | 22 | 19% |
| Financing instruments | 0 | 0% | 1 | 1% |
| TOTAL | 93 | 100% | 115 | 100% |

As explained above, the project category "implementation" partly also includes strong elements of capacity development (consultancy and training) so that it could be expected that the results in this cluster do not significantly differ from those of the overall programme.

Thematic distribution of projects

Table 2 shows the thematic distribution of the cluster. As can be seen, only few topics are underrepresented compared to the total sample. This basically applies to topics with a relatively small share in the overall programme, such as waste management and climate-relevant GHG. Often, the share in the total sample amounts to 100% or clearly more than 2/3.

Table 2: Distribution by Thematic Project Category (Cluster 1)

| THEMATIC PROJECT CATEGORY | Cluster 1 | | | | Total sample | | | | Share of Cluster 1 in total sample | |
|--|-----------|-------------|--------------------|-------------|--------------|-------------|--------------------|-------------|------------------------------------|------------|
| | Projects | % | € | € in % | Projects | % | € | € in % | Projects | € in % |
| Waste | 0 | 0% | 0 | 0% | 2 | 2% | 6,700,000 | 4% | 0% | 0% |
| Energy efficiency | 12 | 13% | 6,893,723 | 5% | 13 | 11% | 7,893,723 | 4% | 92% | 87% |
| Energy efficiency / Renewable energies | 5 | 5% | 7,213,677 | 5% | 5 | 4% | 7,213,677 | 4% | 100% | 100% |
| Renewable energies | 8 | 9% | 19,813,039 | 15% | 11 | 10% | 26,484,531 | 14% | 73% | 75% |
| Climate policy | 16 | 17% | 23,003,153 | 17% | 16 | 14% | 23,003,153 | 12% | 100% | 100% |
| Climate-relevant GHG | 1 | 1% | 300,000 | 0% | 6 | 5% | 10,277,059 | 6% | 17% | 3% |
| Carbon trading / Emissions market | 12 | 13% | 11,243,521 | 8% | 13 | 11% | 13,993,521 | 8% | 92% | 80% |
| Transport | 2 | 2% | 707,782 | 1% | 2 | 2% | 707,782 | 0% | 100% | 100% |
| Adaptation strategies | 16 | 17% | 20,871,579 | 16% | 16 | 14% | 20,871,599 | 11% | 100% | 100% |
| Climate-relevant biodiversity without REDD | 3 | 3% | 5,716,244 | 4% | 7 | 6% | 15,814,158 | 8% | 43% | 36% |
| Climate-relevant biodiversity with REDD | 5 | 5% | 6,475,784 | 5% | 7 | 6% | 13,614,507 | 7% | 71% | 48% |
| Carbon sinks with REDD relevance | 9 | 10% | 23,376,464 | 17% | 13 | 11% | 30,939,268 | 17% | 69% | 76% |
| Ecosystem-based land use systems | 3 | 3% | 6,008,691 | 4% | 3 | 3% | 6,008,691 | 3% | 100% | 100% |
| Insurance solutions | 1 | 1% | 2,646,191 | 2% | 1 | 1% | 2,646,191 | 1% | 100% | 100% |
| TOTAL | 93 | 100% | 134,269,849 | 100% | 115 | 100% | 186,167,840 | 100% | 81% | 72% |

Thematic distribution of funds

Further, Table 2 shows the thematic distribution of the funds of projects in the cluster and of the total sample. Here, the distribution of the cluster's funds is also very similar to the distribution of the number of projects. It becomes clear that all topics with a financing share of 75% and more in the financial volume of the total sample have an overproportional relative share in the cluster budget. Amongst others, this again applies to the consultancy-specific topics climate policy and adaptation strategies, but also energy efficiency and renewable energies.

Geographical distribution of projects

The projects of Cluster 1 show a distribution by regions which is largely identical with the total sample (Table 3). Therefore, the regions should not have an influence on the results of the cluster compared to the overall programme. However, it is remarkable that all global projects are part of Cluster 1.

Geographical distribution of funds

The geographical distribution of the funds of Cluster 1 only slightly differs from the distribution in the total sample. Basically, it is similar to the percentage distribution of projects.

However, a shift of the financing in favour of Asia is discernible, while the financial volume of the region Europe, Caucasus, and Central Asia lags behind the percentage distribution of the projects.

Africa and Central and South America are slightly underrepresented compared to the total sample, while the global projects - as could be expected - show a higher value than the total sample, since all corresponding projects are contained in Cluster 1. As expected, Asia and the region Europe, Caucasus, and Central Asia also show slightly higher values with regard to the financing compared to the total sample.

Table 3: Geographical Distribution of the Projects & Funds (Cluster 1)

| REGION | Cluster 1 | | | | Total sample | | | |
|---------------------------------|-----------|-------------|--------------------|-------------|--------------|-------------|--------------------|-------------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| Africa | 11 | 12% | 17,014,359 | 13% | 17 | 15% | 29,109,069 | 16% |
| Asia | 26 | 28% | 38,632,595 | 29% | 32 | 28% | 52,543,019 | 28% |
| Europe, Caucasus & Central Asia | 28 | 30% | 37,573,622 | 28% | 33 | 29% | 47,871,536 | 26% |
| Central & South America | 12 | 13% | 19,303,427 | 14% | 17 | 15% | 34,898,370 | 19% |
| Middle East | 2 | 2% | 2,208,732 | 2% | 2 | 2% | 2,208,732 | 1% |
| Global | 14 | 15% | 19,537,114 | 15% | 14 | 12% | 19,537,114 | 10% |
| TOTAL | 93 | 100% | 134,269,849 | 100% | 115 | 100% | 186,167,840 | 100% |

Project periods

Table 4 shows the periods of the projects in the cluster. It suggests that, compared to the total sample, it contains a greater number of projects with shorter project periods. This can largely be explained by the short-term projects of policy consultancy, which are often implemented in the form of studies, concept and model developments, or short-term consultancy services.

Table 4: Distribution by Project Period (Cluster 1)

| PERIOD | Cluster 1 | | Total sample | |
|-------------------|-----------|-------------|--------------|-------------|
| | Projects | % | Projects | % |
| Less than 2 years | 34 | 37% | 39 | 34% |
| 2 - 3 years | 26 | 28% | 33 | 29% |
| More than 3 years | 33 | 35% | 43 | 37% |
| TOTAL | 93 | 100% | 115 | 100% |

Table 5 shows the distribution of the projects in the cluster and the overall programme by financial volume.

Distribution by financial volume

Table 5: Distribution by Financial Volume (Cluster 1)

| FINANCIAL VOLUME | Cluster 1 | | Total sample | |
|-----------------------|-----------|-------------|--------------|-------------|
| | Projects | % | Projects | % |
| 0 - 499,999 | 29 | 31% | 30 | 26% |
| 500,000 - 999,999 | 14 | 15% | 15 | 13% |
| 1,000,000 - 2,999,999 | 42 | 45% | 58 | 50% |
| 3,000,000 and more | 8 | 9% | 12 | 10% |
| TOTAL | 93 | 100% | 115 | 100% |

As evident from Table 5, the share of projects with a smaller financial volume of below € 1 million in Cluster 1 is greater than in the total sample and the share of projects with more than € 1 million is smaller. Thus, the average financing in Cluster 1 amounts to € 1.3 million - € 1.6 million in the overall programme; as could be expected, implementation projects have a greater investment share which also requires more funds.

Distribution by beneficiaries

Table 6 gives an insight into the distribution of beneficiaries in Cluster 1. In comparison with the total sample, it can be stated that, here, the distribution within the cluster does not significantly differ from the total sample either. This also applies in particular to the institutions specialised in capacity development and policy consultancy (GIZ, UN, NGOs). Merely the share of international NGOs is higher in this sample, but the absolute number is the same since all projects are part of Cluster 1.

If the financial volume is taken into account, it becomes clear that the mentioned institutions account for a relatively higher financing share. The GIZ, UN organisations, and international NGOs have an aggregated share of 68%, while their numerical share is "only" 63%. The aggregated share in the total sample amounts to 76%. This also means that 24% of the funds they receive are used for projects which are not classified as belonging to the Cluster "capacity development and policy consultancy", but the category "implementation" and/or "financing instruments". On the other hand, the KfW and the EBRD account for 22% of the funds used for capacity development and policy consultancy. Since these institutions themselves are no project implementers, but commission third parties with the implementation, it must be assumed that implementing agencies typical of Cluster 1 are active via the development banks. These are often international NGOs.

Table 6: Distribution by Beneficiary (Cluster 1)

| BENEFICIARY | Cluster 1 | | | | Total sample | | | |
|---------------------|-----------|-------------|--------------------|-------------|--------------|-------------|--------------------|-------------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| GIZ | 34 | 37% | 61,781,787 | 46% | 43 | 37% | 82,886,846 | 45% |
| KfW | 9 | 10% | 21,725,599 | 16% | 13 | 11% | 29,984,284 | 16% |
| UN organisations | 16 | 17% | 23,367,656 | 17% | 19 | 17% | 29,780,412 | 16% |
| Private enterprises | 9 | 10% | 5,066,300 | 4% | 11 | 10% | 12,338,002 | 7% |
| International NGOs | 8 | 9% | 7,978,333 | 6% | 8 | 7% | 7,978,333 | 4% |
| German NGOs | 2 | 2% | 474,025 | 0% | 3 | 3% | 3,224,025 | 2% |
| Institutes | 4 | 4% | 3,245,825 | 2% | 6 | 5% | 7,752,768 | 4% |
| Others | 3 | 3% | 4,477,690 | 3% | 4 | 3% | 6,070,537 | 3% |
| dena | 4 | 4% | 785,477 | 1% | 4 | 3% | 785,477 | 0% |
| EBRD | 4 | 4% | 5,367,156 | 4% | 4 | 3% | 5,367,156 | 3% |
| TOTAL | 93 | 100% | 134,269,849 | 100% | 115 | 100% | 186,167,840 | 100% |

2.2.2 Evaluation according to evaluation criteria

Values almost identical with those of total sample

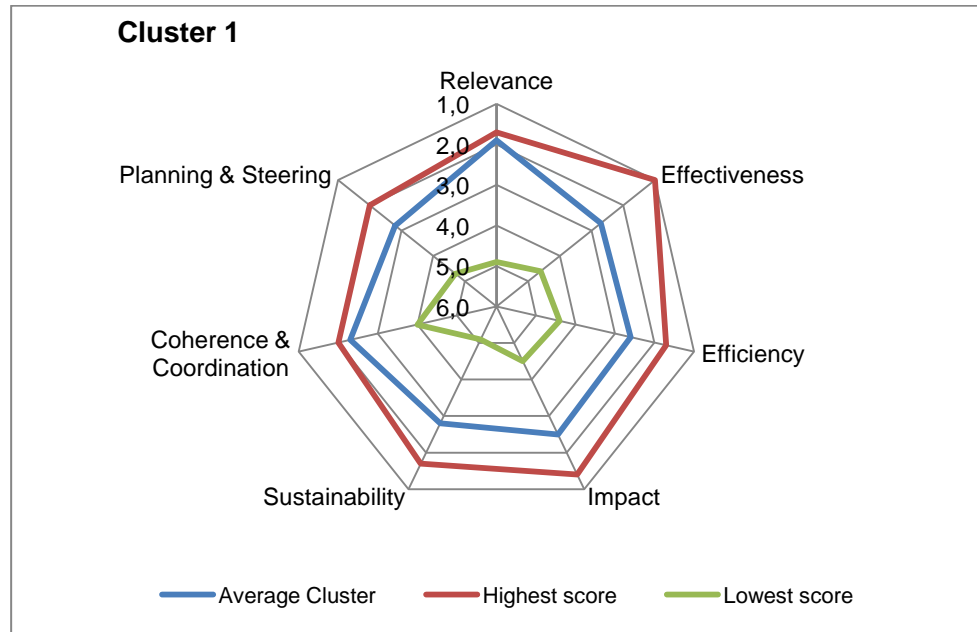
The comparison of the average values of the cluster with the total sample (Table 7) shows that the results of the cluster are almost identical with those of the total sample. The values for sustainability and planning & steering are slightly lower, but do not constitute significant deviations. The average values conceal the in part considerable differences obvious in the criteria of individual projects. This is clearly evident from the spider diagram showing the average values compared to the highest and lowest values.

Table 7: Comparison of Evaluation Criteria (Cluster 1)

| CRITERION | Cluster 1 | | | Total sample | | |
|--------------------------|-----------|-----------|-----------|--------------|-----------|-----------|
| | Ø | % above Ø | % below Ø | Ø | % above Ø | % below Ø |
| Relevance | 1.9 | 63% | 35% | 1.9 | 63% | 34% |
| Effectiveness | 2.7 | 55% | 42% | 2.7 | 56% | 42% |
| Efficiency | 2.6 | 55% | 38% | 2.6 | 58% | 36% |
| Impact | 2.5 | 60% | 37% | 2.5 | 61% | 35% |
| Sustainability | 2.8 | 49% | 45% | 2.8 | 52% | 42% |
| Coherence & Coordination | 2.3 | 67% | 33% | 2.3 | 65% | 35% |
| Planning & Steering | 2.8 | 56% | 42% | 2.8 | 58% | 39% |

Figure 2: Spider Diagram for Cluster 1

...average, highest,
lowest value ...



In detail, the results of the criteria show the following picture:

Relevance: The average grade of the cluster is 1.9, i.e. the same as for the total sample.

| SIGNATURE | Appraisal Relevance | Success factors / Critical factors |
|---|---------------------|---|
| 8_II_046_GLOBAL_G_GSAI GIZ | 1.7 | <ul style="list-style-type: none"> Project has exemplary character Aims at contribution to international climate regime (amongst others Nairobi Work Programme) Information platform aims at protecting biodiversity and increasing capacity to adapt Contributes to the monitoring of climate change High relevance with regard to achieving the countries' climate goals |
| 08_II_052_LDCS_A_ANALYT_UNTERSTÜTZUNG FÜR LDCS PIK | 1.7 | <ul style="list-style-type: none"> Planned contributions to the international climate regime are the main objective Innovative approach with exemplary character Statements concerning climate development possible through PRIMAP The project is targeted at climate negotiators from SIDS and LDC Great demand even before project start |
| 08_I_018_NAM_A_STUDIE_ENERGIE KONZEPT DENA | 3.3 | <ul style="list-style-type: none"> Expected theoretical emission reductions of 54,000 tCO₂/year rather limited compared to other projects Even though the ICI project's content is in line with existing programmes and the national energy policy, its concept was not connected with them No direct support from Namibian government |
| 08_I_010_ZAS_A_EE CAMP ALATOO | 4.9 | <ul style="list-style-type: none"> The application states that the project objective was the improvement of the living conditions of the population, which is not directly in line with the ICI criteria. Even though the planned measures (insulation of buildings and efficient stoves) are climate-relevant, their scope is very restricted in absolute terms. |

Effectiveness: The average grade of the cluster is 2.7, as is the case for the total sample.

| SIGNATURE | Appraisal Effectiveness | Success factors / Critical factors |
|---|-------------------------|--|
| 08_I_021_CL_G_STANDORT-BESTIMMUNG RE <i>GIZ</i> | 1.2 | <ul style="list-style-type: none"> Good baseline analysis and project concept Competence, experience, and commitment of the implementing agency and the partners Integration into the partner structure Positive political framework Exceeding originally planned outputs |
| 08_II_047_IND_A_KATASTROPHEN PRÄVENTION HIMALAJA <i>DEACONRY</i> | 1.8 | <ul style="list-style-type: none"> Implementation structure: local main implementer Longstanding experience of the local organisation in the region and with the target group The component "participatory processes" exceeded expectations since surveys were carried out in 206 instead of 100 villages |
| 08_I_032_KZ_M_S EFF <i>EBRD</i> | 4.0 | <ul style="list-style-type: none"> The actual objective of reducing emissions as well as the initiation of a self-sustaining market for investments in energy projects was not achieved The instruments used in the present project were not sufficiently adapted to the specific situation in Kazakhstan (particularly a comparatively too high interest rate of loan funds) Thus, in retrospect, it must be stated that the achievability of the formulated objectives was not realistic. |
| 08_I_073_RUS_A_KONZEPT WINTER-OLYMPIADE <i>DENA</i> | 4.3 | <ul style="list-style-type: none"> Inadequate analysis of baseline situation (selection of partner) Not very target-oriented project or study concept (planning) Study not practical |

Efficiency: The average grade of the cluster is 2.6, as is the case for the total sample.

| SIGNATURE | Appraisal Efficiency | Success factors / Critical factors |
|---|----------------------|--|
| 09_I_126_GLOBA L_A_NACHHALTIG-TV, <i>DW-TV</i> | 1.7 | <ul style="list-style-type: none"> Good partners, good product, increase of BMU budget The finished products are extensively being used and are in great demand China's biggest video platform "Tudou" streams the contributions Great interest from Brazil - translation into Portuguese The online content is greater than initially planned and many big organisations have created links to the content on their web pages |
| 09_I_036_VNM_A_BIOGAS <i>GFA ENVEST</i> | 1.9 | <ul style="list-style-type: none"> Measured against the emission reductions (0.675 t CO₂ on average or, more realistically, 1 t CO₂/year) and comparable approaches, the facilities are cost-efficient. The use of the outputs exceeds expectations: MARD and ADB have initiated an additional joint biogas programme and are continuing the development. Multiplier effect |
| 08_I_005_CN_G_SAUGRÜSSEL <i>GIZ</i> | 3.3 | <ul style="list-style-type: none"> General conditions not adequately analysed High management costs which even increased in the course of the project by approx. € 34,000 (all in all 1/3 of the overall project) The planned 52,000 € for the conversion of two petrol stations were not sufficient due to wrong information on the calculated price in the preparatory phase. Increased costs due to an unexpected language barrier of the authorities |

| SIGNATURE | Appraisal Efficiency | Success factors / Critical factors |
|--|----------------------|--|
| 08_II_017_ASIA_A_MARINESCHUTZ_GEBIETE <i>THE NATURE CONSERVANCY</i> | 3.8 | <ul style="list-style-type: none"> Relatively limited cost-efficiency due to distribution of the project among two countries Double overhead costs due to acceptance of overheads, even for subcontractors (e.g. WWF) Several measures not necessary for achieving the project objective (e.g. genetic examination of fish larvae, studies on income-generating activities without practical relevance) Degree of use of several studies not very high |

Impact: The average grade of the cluster is 2.5, as is the case for the total sample.

| SIGNATURE | Appraisal Impact | Success factors / Critical factors |
|---|------------------|--|
| 08_I_021_CL_G_STANDORT-BESTIMMUNG RE <i>GIZ</i> | 1.4 | <ul style="list-style-type: none"> Very well coordinated, innovative concept, positive institutional environment, great commitment by the partners Initiated measures are continued with own resources The measurements are replicated at other locations Use of NCRE promoted by the partner and capacities developed Great demand for wind energy locations generated At the political level, project outputs (CADE report) are still being used |
| 08_I_030_JO_G_WASSERPUMP-STATIONEN <i>GIZ</i> | 1.4 | <ul style="list-style-type: none"> The project approach is supposed to be disseminated on a large scale. WAJ is planning the medium- to long-term dissemination of the approach in all major pumping stations in Jordan. Moreover, first measures have been implemented in neighbouring countries. The replication in the project area is clearly visible (see cooperation with JICA and KfW). Awareness-raising at the level of political decision makers (MWI) as well as at the implementation level (WAJ) |
| 08_I_043_UA_A_GÄRUNG AUS RESTSTOFFEN <i>GFA ENVEST</i> | 3.0 | <ul style="list-style-type: none"> No potential for replication beyond the group No real interest in "climate", only in savings Target group mainly interested in cost savings in business operations Group management's awareness not sufficiently raised to also acknowledge the significance of emission reductions |
| 08_I_017_BR_A_POA EE BAUEN <i>INWENT</i> | 3.8 | <ul style="list-style-type: none"> No direct/indirect emission reductions since the project was not continued No visible potential for replication |

Sustainability: The average grade of the cluster is 2.8, as is the case for the total sample.

| SIGNATURE | Appraisal Sustainability | Success factors / Critical factors |
|---|--------------------------|---|
| 09-I-067-MEX-M-BANKING SECTOR ENGAGEMENT <i>FSFM</i> | 1.8 | <ul style="list-style-type: none"> The training programme is not only in demand and implemented in Mexico, but already in other Latin American countries as well. The programme is financed by the course participants and is implemented cost-efficiently. Online portal Secured financing |

| SIGNATURE | Appraisal Sustainability | Success factors / Critical factors |
|--|--------------------------|--|
| 08_II_035_PER_K_WALD-ÖKOSYSTEME <i>KFW</i> | 2.2 | <ul style="list-style-type: none"> Capacities and willingness of the partners & target group to continue the results Target group is enthusiastic multiplier of the project approach Park management established and operative Park management supports results, technical know-how available Protection of forest resources by volunteer and public park rangers is further intensified Technical & financial capacities of SERNANP available |
| 08_I_073_RUS_A_KONZEPT WINTER-OLYMPIADE <i>DENA</i> | 4.1 | <ul style="list-style-type: none"> Project results (study/proposals) not used by target group MoU between dena and RUDEA for the further promotion of RE and EE cancelled due to lack of interest of the Russian partners High institutional risks Main reasons: Wrong partners, limited interest of partners, no follow-up financing |
| 09_III_011_IDN_G_TORFWALD-GEBIET MERANG <i>GIZ</i> | 5.1 | <ul style="list-style-type: none"> The sustainability of a knowledge and information management system can be deduced from whether the partner was sufficiently trained to independently take over the system at a later point in time. However, this was no focus of the project, which strongly focused on increasing the visibility of the overall project and generating knowledge within the GIZ knowledge management system. High social, institutional and economic risks |

Coherence & coordination: The average grade of the cluster is 2.3, as is the case for the total sample.

| PROJECT TITLE | Appraisal C & C | Success factors / Critical factors |
|---|-----------------|--|
| 08_II_046_GLOBA L_G_GSAI, <i>GIZ/PIK</i> | 2.0 | <ul style="list-style-type: none"> Cooperation of BMU with GIZ Coordination with regard to the organisation of and participation in workshops/conferences and the analysis of competing systems The cooperation and connection of several platforms is in progress. |
| 08_II_049_PHL_G_ANPASSUNGS-STRATEGIE UND BIODIV FONDS <i>GIZ</i> | 2.0 | <ul style="list-style-type: none"> At the national level, close coordination with other donors was ensured CCBio led the way, initially supported the coordination between donors Very close coordination of German EZ on the ground through short distances and complementarity |
| 08_II_034_TKM_G_WALDBEWIRT-SCHAFTUNG <i>GIZ</i> | 3.0 | <ul style="list-style-type: none"> Other donors were not involved in the project design Involvement of universities was planned, but not contractually agreed Turkmenistan is no priority country of the BMZ, hence no joint project design |
| 08_II_041_TZA_M_BERGWALD-SCHUTZ <i>UNDP</i> | 4.0 | <ul style="list-style-type: none"> At the level of the BMU, apparently no coherence with regard to the coordination with other federal ministries or implementing agencies The project was largely implemented as individual project, with insufficient coordination at higher levels with other donors active in the same areas, such as carbon monitoring. |

Planning & steering: 2.8, identical with the total sample.

| PROJECT TITLE | Appraisal P & S | Success factors / Critical factors |
|--|-----------------|---|
| 09_I_126_GLOBA L_A_NACH- HALTIG-TV <i>DW</i> | 2.0 | <ul style="list-style-type: none"> The general conditions were adequately analysed The stated objectives were realistically formulated Informative operational plan is available Target indicators measurable M&E system appropriate Project period adhered to |
| 09_I_049_DZ_A_ SOLARTURM- KRAFTWERK <i>SOLAR INSTITUTE JÜLICH</i> | 2.1 | <ul style="list-style-type: none"> Adapted and high-quality pre-planning phase due to longstanding, cooperative relations General conditions adequately analysed with great care Stated project objectives very detailed, clear, and realistic Explicit definition of predetermined breaking points as well as break-off conditions Clear and informative operational plan M&E system established, being used, updated Relevant information for performance review |
| 09_II_021_IND_K_ KLIMASCHUTZ, <i>KFW/WWF</i> | 4.7 | <ul style="list-style-type: none"> Since the WWF had originally applied for a project which was not approved, the project application is characterised by the approach of the actual project and not the study. Therefore, the objectives are formulated too ambitiously. An activity plan is not available The indicators are not formulated as indicators and are not quantified M&E system does apparently not exist |
| 08_II_055_ GLOBAL_A_LIFE WEB <i>CBD SECRETARIAT</i> | 3.9 | <ul style="list-style-type: none"> A more detailed and thorough analysis would have been necessary within the ICI context for understanding climate-relevant implications. Intervention logic shows major shortcomings, neither consistent nor coherent No indicators Control system not really usable or not informative |

2.3 Analysis of Quantitative Evaluation

In what way do the projects summarised under Cluster 1 contribute to the programme objectives of the ICI?

Climate protection projects prevail

As initially explained, the projects of Cluster 1 cover all three fields of action of the ICI so that, with regard to their objectives, they make a contribution to climate protection as well as to the adaptation to already discernible climate changes. A glance at the table above supports the conclusion that the projects focusing on climate protection or the reduction of GHG emissions prevail as measured by their number as well as the used funds, with 75% and more. Beyond the areas of renewable energies, energy efficiency, carbon trading / emissions market, and transport, the REDD-relevant projects for the conservation of biodiversity and carbon sinks are also assigned to the field of climate protection, even though they also have a function with regard to the ability to adapt. The projects immediately focusing on the ability to adapt to climate change have a share of approximately 25%. Thus, capacity development and policy consultancy predominantly target climate protection.

| | |
|--|--|
| <p>Target criteria of ICI are fully met</p> | <p>The relevance of the planned contributions of the projects is considered very high in the evaluation. With regard to their relevance, more than 60% of the projects show a good result that fully meets expectations, without major shortcomings, or even exceed expectations. Thus, in the project proposals and project designs, the ICI target criteria are fully met to the extent expected.</p> |
| <p>However, average results are below expectations</p> | <p>However, if the evaluations of the effectiveness (degree of goal achievement) and further criteria (impact, sustainability) are taken into account, it cannot be assumed that the planned contributions were fully achieved. On average, the projects rather achieve a satisfactory result. Thus, their average is below expectations, even though positive results prevail. The projects of policy consultancy show slightly worse results than the capacity development projects.</p> |
| <p>Quantitative statement on climate impact not possible</p> | <p>It is not possible to make a summarily quantitative statement on the climate impact or the economic effects of the cluster since the corresponding data is not available. Such data was not requested for the planning, application, or the implementation as part of an M&E system. Therefore, an analysis of excellence with regard to climate impacts or an analysis of opportunity costs of adaptation projects falls outside the scope of this evaluation mandate.</p> |
| <p><i>What are the common features and differences between the projects of the cluster?</i></p> | |
| <p>Common denominator: capacity development among decision makers and administrations, communities, and target groups</p> | <p>The common denominator of Cluster 1 projects is the methodological approach for consultancy services and capacity development among decision makers and administrations, communities, and target groups. Usually, this applies independently of the classification of the projects as policy consultancy, capacity development, or implementation projects. In all cases, the primary objective is the development or generation of knowledge and its dissemination and deepening among the stakeholders involved, partly with the help of more or less extensive investments.</p> |
| <p>The objectives, scope, and complexity of projects classified as policy consultancy are usually more limited</p> | <p>The objectives, scope, and complexity of the projects classified as <u>policy consultancy</u> are usually more limited. These are mainly projects which plan to support policymakers in the adaptation of policies and strategies on climate protection or the adaptation to climate change and the preparation of investments, if required, and do so in the form of studies for the development of methodologies or feasibility studies, analyses, the development of concepts and strategies, climate models, etc. The limited scope is also reflected in the financial volume, which amounts to an average of € 1 million, while capacity development projects have an average volume of € 1.5 million, implementation projects of € 2.3 million. Further, it must be considered that the "big" policy consultancy projects should partly rather be classified as capacity development projects⁴, which would lead to an even greater difference, if the assignment was stricter. In contrast, the smaller, more</p> |

⁴ This applies e.g. to the project 08_II_017_ASIA_A_Marineschutzgebiete, targeting the creation of marine protected areas (€ 2.5 million), and 08_II_049_PHL_G (adaptation strategy and Biodiv Fund) with a budget of approximately € 3 million, which includes elements of concept development as well as their subsequent implementation.

specific policy consultancy projects are often related to the international climate dialogue.⁵

Capacity development projects bigger and partly very complex

Capacity development projects also include analyses, concept developments, preparation of plans etc., but the focus is on capacity development, i.e. strengthening capacities of institutions or personnel. Amongst others, these projects include management plans and instruments, the development or improvement of management capacities, the use of resources, advice on improved energy efficiency, the promotion of renewable energies, or the improvement of climate resilience.

Partly, the design of these projects is very complex. For instance, protected area management projects have to take into account the social and economic situation of the population in the border areas and plan measures accordingly. Such projects require higher project budgets and longer project periods. Frequently, the requirements are so high that they can only be met within the framework of comprehensive programme approaches with funds from several donors. Therefore, it is not seldom the case that the respective ICI projects were implemented as partial component within the framework of co-financing.

Average results of policy consultancy projects slightly worse

In light of the more complex methodological approaches of capacity development projects, one might assume that the projects of policy consultancy and implementation were less complex and, thus, easier to implement and more successful. However, the values in Table 8 do not confirm this hypothesis, quite on the contrary. While the results for "capacity development" and "implementation" are largely similar, the average values of the criteria of policy consultancy projects are slightly lower than those of the other projects. However, in particular, the scores for planning & steering and sustainability stand out.

Table 8: Evaluation Results by Methodological Approach

| CRITERION | Policy consultancy | Capacity development | Implementation |
|--------------------------|--------------------|----------------------|----------------|
| Relevance | 2.0 | 1.9 | 1.9 |
| Effectiveness | 2.9 | 2.6 | 2.5 |
| Efficiency | 2.8 | 2.6 | 2.3 |
| Impact | 2.5 | 2.5 | 2.4 |
| Sustainability | 3.1 | 2.7 | 2.7 |
| Coherence & Coordination | 2.4 | 2.3 | 2.3 |
| Planning & Steering | 3.0 | 2.7 | 2.4 |

⁵ An excellent example of this is project "08_II_052_LDCs_A_analyt Unterstützung für LDCs" which supported LDC and SIDS with regard to the post-2012 climate process.

Lack of planning or review probably contributed to worse results

Both in the planning and steering of the projects, the policy consultancy projects achieved a lower rating than the capacity development projects. With regard to the sustainability, it is particularly remarkable that the (technical, economic, political) capacities of the national sponsor/partner to maintain and continue the positive project results after project end achieved much lower scores. The (ecological, social, institutional, or economic) framework conditions of the projects achieved similarly critical results. They are the subject of planning (analysis of baseline situation) and the application process. The lack of planning or review of this criterion probably contributed to the worse results. If the projects with the lowest scores for planning & steering are filtered out, this assumption is confirmed. The corresponding scores for effectiveness (3.0) and sustainability (3.1) suggest an interrelation between planning & steering and the project results.

Can differences in the appraisals between cluster and total sample be explained and, if so, how?

Capacity development and policy consultancy projects seem to have stricter requirements for planning & steering and face higher risks

It is not possible to statistically deduce verified reasons for the differences in the evaluation since the values are largely identical. However, with regard to the lower rating, the previously verified higher complexity of capacity building and policy consultancy projects as well as the risks related to the partner structures must be taken into account, even though it was established above that the complexity cannot be regarded as single determining factor. Nevertheless, in due consideration of the character of implementation projects and compared to a larger sample, it can be assumed that capacity development and policy consultancy projects usually establish stricter requirements for the analysis of the baseline situation (sector-specific, economic, political, and institutional framework) and seem to face higher risks. The dependencies on general conditions seem considerably greater in case of Cluster 1 projects than in case of implementation projects which e.g. address the creation of pilot or model plants (investment projects).

Which success factors / failure factors are the projects based on?

Critical factors

The evaluation of strengths and weaknesses decisively determining the project results point to the critical factors already known from international project cooperation. The gained experience points to the outstanding significance of the conceptual project approach, the importance of planning, above all a good analysis of baseline conditions, the institutional integration in partner structures, the commitment of the partner institutions, the competence and experience of the implementing agencies during implementation, their broad sector-specific, institutional, and country-specific knowledge, as well as the competence of the personnel used on the side of the implementing agency as well as the partner. Depending on the extent to which these factors were fulfilled, the results were influenced positively or negatively. The most frequent answers can be summarised as follows:

- Design of the project approach, logical planning (intervention logic)
- Analysis of the baseline situation (country, sector, sponsor/partner)
- Integration into existing local structures/partner structures / networking of the project
- Experience and competence, previous experience in the partner country, network of the implementing agency

- Institutional and/or personnel-related commitment by the partner, ownership, political support
- Coordination/Integration with other donors (leverage effect / distinction)
- Experience of the partner
- Dependence on external financing / unsecured follow-up financing
- Project period

These factors seem to determine the project success, i.e. the achievement of the objectives, the (potential) impact, and (expected) sustainability. They also stand out in the previously mentioned projects with the highest and lowest ratings:

The experience gained from Cluster 1 leads to the conclusion that special attention should be paid to the above mentioned determining factors when reviewing the project proposals. In many cases, this seems not to be possible without an inspection on the ground, unless the entire updated knowledge is available in-house. Otherwise, reviewers are completely dependent on the descriptions of the applicant.

More attention must be paid to critical success factors and M&E system

Beyond the significance of the quality of planning and the underlying analysis of baseline conditions, it became clear that more attention must be paid to the M&E system to improve and facilitate the project steering and performance review. The "approval" of achieved outputs is not sufficient in the project type of Cluster 1. Drawing up concepts and implementing studies and activities are necessary measures, but no sufficient conditions for the planned impacts on climate protection or the ability to adapt to climate change.

Upscaling and innovative approaches ...

Further mentioned lessons learned show the same tendencies, pointing to the significance of upscaling and criticising that the development of innovative approaches without support in the implementation falls short. The latter indication seems particularly important with regard to study projects, which play a major role in policy consultancy projects.⁶

**Expansion projects:
good leverage effects, but ... partly difficult distinction and inconsistencies**

One positive aspect was the fact that good leverage effects can be achieved with co-financing. A more critical aspect is partly the difficult distinction from ongoing measures and the attribution of impacts. Overlapping (duplicity) is not ruled out, if there is no clear distribution of responsibilities and activities. Further, the expansion of desired impacts comes to nothing if the programme concept is not sufficiently target-oriented.⁷

.... involvement of local educational institutions positive

With regard to the sustainable development of capacities, the involvement of local educational institutions seems important. This was very successfully implemented in two cases.⁸ With the involvement of the universities and other educational institutions, the know-how is sustainably embedded at the local level.

⁶ Cf. 10_I_078_RUS_A_Korolev_Musterstadt

⁷ Cf. e.g. 08_II_041_TZA_M_Bergwaldschutz

⁸ Cf. e.g. 08_I_021_CL_G_Standort-bestimmung RE and 08_II_041_TZA_M_Bergwaldschutz

Are there regional specifics which contribute to the success/failure of a project and should be considered in the planning?

Global projects best, except for planning and steering

The regional results of the evaluation for Cluster 1 are summarised in Table 9. It shows that the global projects achieved the highest scores in all criteria but planning and steering. The global projects are limited in their number (10) and not very complex. They focus on the international exchange of information, knowledge and experience via internet fora, networks, and conferences. Protagonists of the international climate dialogue are involved in many projects, both at the implementation level (GIZ, PIK; Wuppertal Institute, Global Gold Standard Foundation, CBD Secretariat) and the target group / user level (amongst others, country representatives for climate protection and protected area management). Normally, the usual problems with regard to the complexity of the project approach, the political and socio-economic framework, the sponsor structures, and ownership, etc. do not exist. Thus, it is no surprise that, in most cases, the best scores were achieved here.

Table 9: Evaluation Results by Region

| CRITERION | Africa | Asia | Europe, Caucasus & Central Asia | Central and South America | Global |
|--------------------------|--------|------|---------------------------------|---------------------------|--------|
| Relevance | 2.0 | 1.9 | 2.1 | 2.1 | 1.7 |
| Effectiveness | 3.0 | 2.8 | 2.8 | 2.8 | 2.2 |
| Efficiency | 2.9 | 2.7 | 2.6 | 2.7 | 2.2 |
| Impact | 2.8 | 2.5 | 2.6 | 2.6 | 2.0 |
| Sustainability | 3.3 | 2.8 | 2.9 | 2.8 | 2.6 |
| Coherence & Coordination | 2.7 | 2.2 | 2.3 | 2.5 | 2.2 |
| Planning & Steering | 3.1 | 2.9 | 2.8 | 2.5 | 2.6 |

Region Europe, Caucasus & Central Asia (ECCA) comparatively poor

Further, it is interesting that the region Europe, Caucasus & Central Asia (ECCA) achieved comparatively poor results. Relevance, effectiveness, efficiency (together with Central and South America), impact, and sustainability show the lowest scores. All results, except for relevance, are below expectations, even though mostly the positive results still prevail. Planning & steering cannot be regarded as a possible explanation, at least not exclusively, since Africa shows a similar picture in this regard.

In the ECCA region and Africa, sustainability most frequently called in question

In both regions, ECCA and Africa, the sustainability is most frequently called in question. The corresponding risks are seen in the general conditions of the project environment (grade 3.2). Apart from this, the degree of continuation of activities with own resources achieved the lowest scores (grade 3.1) in the ECCA region. This could suggest a low ownership. However, this statement cannot be underpinned by statistics. On the whole, the continuation with own resources achieves better scores in Africa than in the ECCA region. However, there, the (technical, economic, political) capacities of the national sponsor/partner to maintain the project results after project end and continue measures are evaluated critically (average grade 3.0).

What statements can be made with regard to the influence on international climate negotiations?

Global projects ... are partly directly related to the international climate dialogue

It seems that a statement on the influence on climate negotiations can only be made for the global projects of the cluster. As explained above, they mostly focus on the global transfer of information, knowledge, and experience and are partly directly related to the international climate dialogue. Developed models, information platforms, fora, etc. were initiated or presented at international conferences. Many people involved are protagonists of the dialogue and negotiations. The project "PREVENT"⁹ directly focuses on supporting LDC and SIDS in climate negotiations. Thus, in case of these projects it can be assumed that they increase the ICI's international visibility and also positively contribute to the international dialogue. This cannot be claimed by all other projects. Even though they contribute to collecting data and experience for the dialogue, they are primarily focused on achieving the project-specific objectives.

⁹ See project 08_II_052_LDCs_A, PREVENT – Synthesis of policy-relevant climate science and analytical support for delegations of the Least Developed Countries group (LDC) and Small Island States (SIDS) in “post-2012” negotiations.

3 CLUSTER 2&6: CLIMATE-FRIENDLY ECONOMY & SUSTAINABLE ENERGY SUPPLY & TECHNOLOGY COOPERATION

3.1 Cluster Description

Cluster 2 and 6 almost congruent

Cluster 2 includes 65 projects and, thus, more than half of all projects in the total sample. Cluster 6 contains 42 projects. Except for 5 individual projects, the projects contained in Cluster 6 are also part of Cluster 2, resulting in clear overlaps in the evaluation results and analyses. Therefore, after consultation with the contracting authority, these two clusters are evaluated together.

Thematic focus Cluster 2

Cluster 2 "Climate-friendly economy & sustainable energy supply" contains projects whose focus is on the subject area "avoidance of hostile greenhouse gases (GHG)".

More specifically, the projects have the objective to support the partner countries in the establishment of an economic and energy supply structure which possibly avoids the emission of hostile greenhouse gases. To that end, the increase of energy efficiency, development of renewable energies, and the reduction of hostile greenhouse gases are supported through specific implementation measures as well as know-how transfer and policy consultancy in the partner country.

The cluster includes the following thematic project categories:

- Waste
- Energy efficiency (EE) in the industry and the building sector
- Renewable energies (RE)
- Combination of EE and RE
- Transport
- Climate policy
- Climate-relevant GHG
- Carbon trading / Emissions market

Thematic focus Cluster 6

Cluster 6, "technology cooperation", includes projects with a sufficient reference to technology application and transfer. This includes:

- Physical installation of facilities and pilot projects
- Technological standard setting and improvement of technical systems
- Technical knowledge transfer, capacity development for the direct use of technology
- Research in the area of technology
- Financing of technology

Further, projects which strengthen national technology innovation systems and technology clusters or combine different forms of technology cooperation (networking, institutionalisation, institution building, broad research platforms) fall into Cluster 6.

Distinction between clusters

The clusters are distinct or characterised by the fact that the majority of projects have the potential to achieve attributable, specific, measurable, and verifiable GHG reductions – and this partly even during project implementation.

3.2 Quantitative Evaluation of the Cluster

3.2.1 Evaluation according to project categories

Methodological distribution within the cluster

According to the classification of the BMU, 62% of the projects of Cluster 2 are part of capacity development, 20% belong to policy consultancy, and 18% are implementation projects (Table 10). Thus, the distribution within the cluster is basically congruent with the distribution in the total sample – the maximum deviation is 5%. This also applies to Cluster 6 (Table 10).

In the clusters and the total sample, measures for capacity development clearly prevail. However, it must be considered that, during project implementation, the methodological approaches were frequently applied together. The clear separation is only due to the distribution since a double assignment is not possible. The projects were always assigned to the prevailing methodological approach. However, the assignment does not seem very precise due to the rather unclear distinction.

Table 10: Distribution by Methodological Project Category (Cluster 2 & 6)

| METHODOLOGICAL PROJECT CATEGORY | Cluster 2 | | Cluster 6 | | Total sample | |
|---------------------------------|-----------|-------------|-----------|-------------|--------------|-------------|
| | Projects | % | Projects | % | Projects | % |
| Implementation | 12 | 18% | 11 | 26% | 27 | 23% |
| Capacity development | 40 | 62% | 25 | 60% | 65 | 57% |
| Policy consultancy | 13 | 20% | 6 | 14% | 22 | 19% |
| Financing instruments | 0 | 0% | 0 | 0% | 1 | 1% |
| TOTAL | 65 | 100% | 42 | 100% | 115 | 100% |

Thematic distribution of projects in the cluster

Table 11 shows the thematic distribution of projects in the cluster. In line with the cluster definition, the cluster de facto includes all projects addressing the subject areas GHG avoidance, low-carbon or renewable energy supply, and efficient use of energy. The cluster's share in the total number of evaluated projects is 100% for these subject areas.

Within the cluster, the high share of projects in the subject areas energy efficiency (20%) and climate policy (22%) is to be emphasised. In the thematic categories climate policy and emissions market, the projects mainly deal with the application and design of the flexible mechanisms of the Kyoto Protocol.

Due to the thematic distinction, the cluster does not include projects in the area adaptation, biodiversity, and carbon sinks.

Thematic distribution of funds in Cluster 2

The thematic distribution of funds in Cluster 2 considerably differs from the distribution of the projects to the individual fields of action (Table 11). For instance, the subject area of energy efficiency accounts for 20% of the projects, but only 8% of the funds are used for this subject area. The opposite is the case in the area of renewable energies.

Table 11: Distribution by Thematic Project Category (Cluster 2)

| THEMATIC PROJECT CATEGORY | Cluster 2 | | | | Total sample | | | | Share of Cluster 2 in total sample | |
|--|-----------|-------------|-------------------|-------------|--------------|-------------|--------------------|-------------|------------------------------------|------------|
| | Projects | % | € | € in % | Projects | % | € | € in % | Projects | € in % |
| Waste | 2 | 3% | 6,700,000 | 7% | 2 | 2% | 6,700,000 | 4% | 100% | 100% |
| Energy efficiency | 13 | 20% | 7,893,723 | 8% | 13 | 11% | 7,893,723 | 4% | 100% | 100% |
| Energy efficiency / Renewable energies | 5 | 8% | 7,213,677 | 8% | 5 | 4% | 7,213,677 | 4% | 100% | 100% |
| Renewable energies | 11 | 17% | 26,484,531 | 28% | 11 | 10% | 26,484,531 | 14% | 100% | 100% |
| Climate policy | 14 | 22% | 22,570,653 | 24% | 16 | 14% | 23,003,153 | 12% | 88% | 98% |
| Climate-relevant GHG | 6 | 9% | 10,277,059 | 11% | 6 | 5% | 10,277,059 | 6% | 100% | 100% |
| Carbon trading / Emissions market | 12 | 18% | 11,919,458 | 13% | 13 | 11% | 13,993,521 | 8% | 92% | 85% |
| Transport | 2 | 3% | 707,782 | 1% | 2 | 2% | 707,782 | 0% | 100% | 100% |
| Adaptation strategies | 0 | 0% | 0 | 0% | 16 | 14% | 20,871,599 | 11% | 0% | 0% |
| Climate-relevant biodiversity without REDD | 0 | 0% | 0 | 0% | 7 | 6% | 15,814,158 | 8% | 0% | 0% |
| Climate-relevant biodiversity with REDD | 0 | 0% | 0 | 0% | 7 | 6% | 13,614,507 | 7% | 0% | 0% |
| Carbon sinks with REDD relevance | 0 | 0% | 0 | 0% | 13 | 11% | 30,939,268 | 17% | 0% | 0% |
| Ecosystem-based land use systems | 0 | 0% | 0 | 0% | 3 | 3% | 6,008,691 | 3% | 0% | 0% |
| Insurance solutions | 0 | 0% | 0 | 0% | 1 | 1% | 2,646,191 | 1% | 0% | 0% |
| TOTAL | 65 | 100% | 93,766,883 | 100% | 115 | 100% | 186,167,840 | 100% | 57% | 50% |

Table 12 shows the thematic distribution of projects in Cluster 6. The cluster includes projects addressing the subject areas GHG avoidance, low-carbon or renewable energy supply, and efficient use of energy as well as projects whose thematic priority is the adaptation to climate change. However, the projects for GHG avoidance clearly prevail.

Within the cluster, the high share of projects in the subject areas energy efficiency and renewable energies is to be emphasised. Combined, these areas account for 38% of the projects in the cluster. The high share is almost inevitable since EE and RE projects are almost always clearly related to technology or the introduction of new technologies.

Table 12: Distribution by Thematic Project Category (Cluster 6)

| THEMATIC PROJECT CATEGORY | Cluster 6 | | | | Total sample | | | | Share of Cluster 6 in total sample | |
|--|-----------|-------------|-------------------|-------------|--------------|-------------|--------------------|-------------|------------------------------------|------------|
| | Projects | % | € | € in % | Projects | % | € | € in % | Projects | € in % |
| Waste | 2 | 5% | 6,700,000 | 11% | 2 | 2% | 6,700,000 | 4% | 100% | 100% |
| Energy efficiency | 7 | 17% | 5,358,995 | 8% | 13 | 11% | 7,893,723 | 4% | 54% | 68% |
| Energy efficiency / Renewable energies | 3 | 7% | 6,542,147 | 10% | 5 | 4% | 7,213,677 | 4% | 60% | 91% |
| Renewable energies | 6 | 14% | 18,369,790 | 29% | 11 | 10% | 26,484,531 | 14% | 55% | 69% |
| Climate policy | 6 | 14% | 5,129,545 | 8% | 16 | 14% | 23,003,153 | 12% | 38% | 22% |
| Climate-relevant GHG | 6 | 14% | 10,277,059 | 16% | 6 | 5% | 10,277,059 | 6% | 100% | 100% |
| Carbon trading / Emissions market | 6 | 14% | 5,192,399 | 8% | 13 | 11% | 13,993,521 | 8% | 46% | 37% |
| Transport | 1 | 2% | 300,354 | 0% | 2 | 2% | 707,782 | 0% | 50% | 42% |
| Adaptation strategies | 4 | 10% | 3,899,393 | 6% | 16 | 14% | 20,871,599 | 11% | 25% | 19% |
| Climate-relevant biodiversity without REDD | 0 | 0% | 0 | 0% | 7 | 6% | 15,814,158 | 8% | 0% | 0% |
| Climate-relevant biodiversity with REDD | 0 | 0% | 0 | 0% | 7 | 6% | 13,614,507 | 7% | 0% | 0% |
| Carbon sinks with REDD relevance | 0 | 0% | 0 | 0% | 13 | 11% | 30,939,268 | 17% | 0% | 0% |
| Ecosystem-based land use systems | 1 | 2% | 1,325,023 | 2% | 3 | 3% | 6,008,691 | 3% | 33% | 22% |
| Insurance solutions | 0 | 0% | 0 | 0% | 1 | 1% | 2,646,191 | 1% | 0% | 0% |
| TOTAL | 42 | 100% | 63,094,705 | 100% | 115 | 100% | 186,167,840 | 100% | 37% | 34% |

Geographical distribution of projects in the cluster

The geographical distribution of projects in Cluster 2 is almost identical with the distribution in the programme sample (Table 13). An exception is the region Europe, Caucasus & Central Asia, which, in contrast to the total sample, accounts for only 25% of the projects in Cluster 2. Nevertheless, the regional distribution in comparison with the overall programme should not influence the results in the cluster. The results listed below are very similar to those in Cluster 6, which is why the latter is not listed separately.

It is remarkable that Cluster 2 projects account for a considerable share of the overall programme in the regions Africa (59%), Central and South America (59%), and Asia (63%).

Geographical distribution of funds in Cluster 2

The geographical distribution of the funds of Cluster 2 only slightly differs from the distribution in the total sample. Basically, it is similar to the numerical, i.e. percentage distribution of projects. However, a shift of the financing in favour of Africa and Asia is discernible, while the financial volume of the region Europe, Caucasus, and Central Asia lags behind the percentage distribution of the projects.

Table 13: Geographical Distribution of the Projects & Funds (Cluster 2)

| REGION | Cluster 2 | | | | Total sample | | | |
|---------------------------------|-----------|-------------|-------------------|-------------|--------------|-------------|--------------------|-------------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| Africa | 10 | 15% | 17,285,424 | 18% | 17 | 15% | 29,109,069 | 16% |
| Asia | 19 | 29% | 30,031,151 | 32% | 32 | 28% | 52,543,019 | 28% |
| Europe, Caucasus & Central Asia | 16 | 25% | 18,750,618 | 20% | 33 | 29% | 47,871,536 | 26% |
| Central & South America | 10 | 15% | 14,808,964 | 16% | 17 | 15% | 34,898,370 | 19% |
| Middle East | 2 | 3% | 2,208,732 | 2% | 2 | 2% | 2,208,732 | 1% |
| Global | 8 | 12% | 10,681,994 | 11% | 14 | 12% | 19,537,114 | 10% |
| TOTAL | 65 | 100% | 93,766,883 | 100% | 115 | 100% | 186,167,840 | 100% |

Project periods in the cluster

In Cluster 2, projects with a period of less than two years prevail (39%), followed by projects running more than three years (32%) (Table 14). The share of relatively short-term projects is surprising since the fields of action of the cluster would rather suggest longer project periods. The latter was the case in Cluster 6, where 40% of projects had a project period of more than 3 years.

Table 14: Distribution by Project Period (Cluster 2 & 6)

| PERIOD | Cluster 2 | | Cluster 6 | | Total sample | |
|-------------------|-----------|-------------|-----------|-------------|--------------|-------------|
| | Projects | % | Projects | % | Projects | % |
| Less than 2 years | 26 | 40% | 14 | 33% | 39 | 34% |
| 2 - 3 years | 18 | 28% | 11 | 26% | 33 | 29% |
| More than 3 years | 21 | 32% | 17 | 40% | 43 | 37% |
| TOTAL | 65 | 100% | 42 | 100% | 115 | 100% |

Financial volume of projects

The percentage distribution of the financial volumes in Cluster 2 and 6 is very similar to that of the total sample (see Table 15). The number of projects in Cluster 2 with a small financial volume is obviously congruent with the number of projects with a period of less than two years.

Table 15: Distribution by Financial Volume (Cluster 2 & 6)

| FINANCIAL VOLUME | Cluster 2 | | Cluster 6 | | Total sample | |
|-----------------------|-----------|-------------|-----------|-------------|--------------|-------------|
| | Projects | % | Projects | % | Projects | % |
| 0 - 499,999 | 24 | 37% | 12 | 29% | 30 | 26% |
| 500,000 - 999,999 | 9 | 14% | 5 | 12% | 15 | 13% |
| 1,000,000 - 2,999,999 | 25 | 38% | 20 | 48% | 58 | 50% |
| 3,000,000 and more | 7 | 11% | 5 | 12% | 12 | 10% |
| TOTAL | 65 | 100% | 42 | 100% | 115 | 100% |

Distribution of projects and funds by beneficiary

Table 16 provides an overview of the distribution of beneficiaries in Cluster 2.

It is remarkable that de facto all projects implemented by private enterprises fall into Cluster 2. The same also applies to the EBRD and dena. KfW and UN organisations, on the other hand, are underrepresented in Cluster 2 compared to their commitment in the overall programme.

Table 16: Distribution by Beneficiary (Cluster 2)

| BENEFICIARY | Cluster 2 | | | | Total sample | | | |
|---------------------|-----------|-------------|-------------------|-------------|--------------|-------------|--------------------|-------------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| GIZ | 26 | 40% | 50,779,808 | 54% | 43 | 37% | 82,886,846 | 45% |
| KfW | 1 | 2% | 407,427 | 0% | 13 | 11% | 29,984,284 | 16% |
| UN organisations | 5 | 8% | 8,955,095 | 10% | 19 | 17% | 29,780,412 | 16% |
| Private enterprises | 11 | 17% | 12,338,002 | 13% | 11 | 10% | 12,338,002 | 7% |
| International NGOs | 4 | 6% | 1,098,882 | 1% | 8 | 7% | 7,978,333 | 4% |
| German NGOs | 2 | 3% | 3,090,000 | 3% | 3 | 3% | 3,224,025 | 2% |
| Institutes | 5 | 8% | 5,885,741 | 6% | 6 | 5% | 7,752,768 | 4% |
| Others | 3 | 5% | 5,059,295 | 5% | 4 | 3% | 6,070,537 | 3% |
| dena | 4 | 6% | 785,477 | 1% | 4 | 3% | 785,477 | 0% |
| EBRD | 4 | 6% | 5,367,156 | 6% | 4 | 3% | 5,367,156 | 3% |
| TOTAL | 65 | 100% | 93,766,883 | 100% | 115 | 100% | 186,167,840 | 100% |

The GIZ is by far the greatest beneficiary and the implementing agency with the most projects. The GIZ is mainly active in projects which fall into Cluster 2.

The GIZ also implements by far the most projects in Cluster 6 and also is the greatest beneficiary (Table 17). Private enterprises are the second biggest group of implementing agencies. It is remarkable that the commitment of private enterprises compared to the total sample is greatest in Cluster 6.

However, it must be concluded that the commitment of private enterprises and institutes is smaller than might be expected in the area of technology cooperation.

Table 17: Distribution by Beneficiary (Cluster 6)

| BENEFICIARY | Cluster 6 | | | | Total sample | | | |
|---------------------|-----------|-------------|-------------------|-------------|--------------|-------------|--------------------|-------------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| GIZ | 18 | 43% | 36,819,952 | 56% | 43 | 37% | 82,886,846 | 45% |
| KfW | 0 | 0% | - | 0% | 13 | 11% | 29,984,284 | 16% |
| UN organisations | 4 | 10% | 3,899,393 | 6% | 19 | 17% | 29,780,412 | 16% |
| Private enterprises | 8 | 19% | 11,529,918 | 18% | 11 | 10% | 12,338,002 | 7% |
| International NGOs | 2 | 5% | 318,562 | 0% | 8 | 7% | 7,978,333 | 4% |
| German NGOs | 1 | 2% | 2,750,000 | 4% | 3 | 3% | 3,224,025 | 2% |
| Institutes | 3 | 7% | 3,529,098 | 5% | 6 | 5% | 7,752,768 | 4% |
| Others | 1 | 2% | 1,592,847 | 2% | 4 | 3% | 6,070,537 | 3% |
| dena | 3 | 7% | 662,757 | 1% | 4 | 3% | 785.47 | 0% |
| EBRD | 2 | 5% | 4,367,156 | 7% | 4 | 3% | 5,367,156 | 3% |
| TOTAL | 42 | 100% | 65,469,683 | 100% | 115 | 100% | 186,167,840 | 100% |

3.2.2 Evaluation according to evaluation criteria

Grades very similar to total sample

As evident from the table below, the average grades of Cluster 2 and 6 are almost identical with the grades of the total sample. Possible deviations and differences are limited to a few tenths and are neglected here.

Table 18: Comparison of Evaluation Criteria (Cluster 2 & 6)

| CRITERION | Cluster 2 | | | Cluster 6 | | | Total sample | | |
|--------------------------|-----------|-----------|-----------|-----------|-----------|-----------|--------------|-----------|-----------|
| | Ø | % above Ø | % below Ø | Ø | % above Ø | % below Ø | Ø | % above Ø | % below Ø |
| Relevance | 2.0 | 54% | 23% | 2.0 | 60% | 19% | 1.9 | 63% | 34% |
| Effectiveness | 2.7 | 54% | 43% | 2.6 | 60% | 38% | 2.7 | 56% | 42% |
| Efficiency | 2.6 | 54% | 40% | 2.6 | 57% | 36% | 2.6 | 58% | 36% |
| Impact | 2.5 | 57% | 38% | 2.4 | 61% | 39% | 2.5 | 61% | 35% |
| Sustainability | 2.8 | 47% | 47% | 2.8 | 55% | 43% | 2.8 | 52% | 42% |
| Coherence & Coordination | 2.3 | 68% | 32% | 2.3 | 64% | 36% | 2.3 | 65% | 35% |
| Planning & Steering | 2.7 | 54% | 38% | 2.7 | 60% | 33% | 2.8 | 58% | 39% |

Figure 3: Spider Diagram for Cluster 2

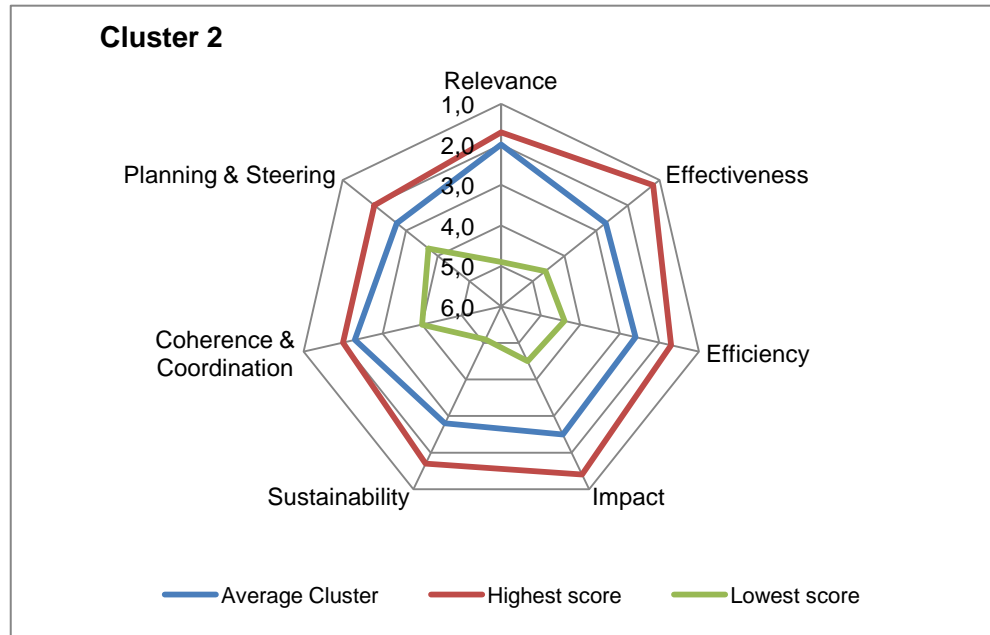
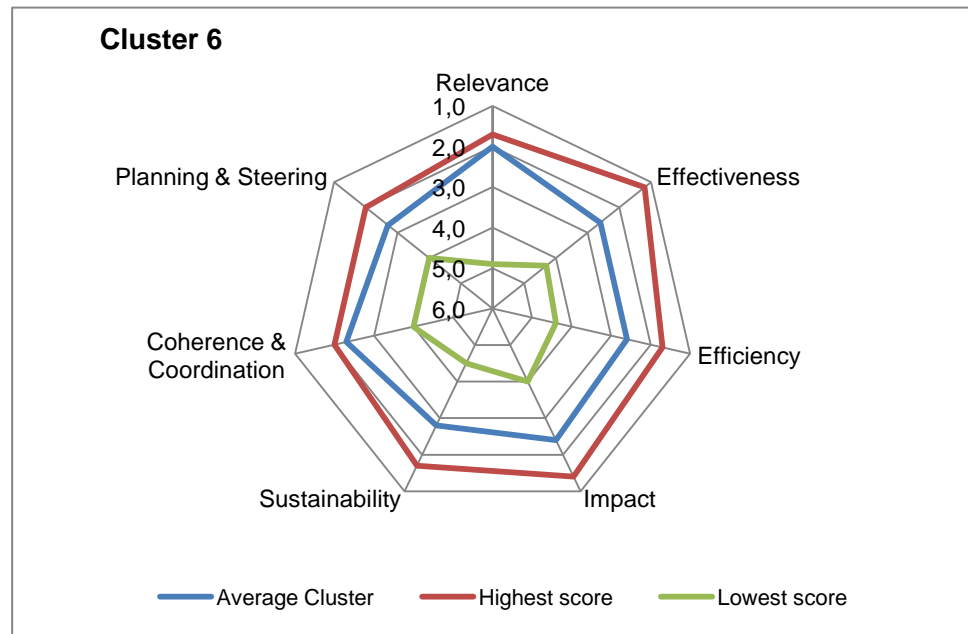


Figure 4: Spider Diagram for Cluster 6



In detail, the results of the criteria show the following picture (all selected project examples fall both into Cluster 2 and Cluster 6):

Relevance: The average grade for the criterion relevance in the clusters is 2.0. Thus, it can be concluded that the projects of the cluster clearly make a contribution to achieving the programme objectives of the ICI.

| PROJECT TITLE | Appraisal Relevance | Success factors / Critical factors |
|---|---------------------|---|
| 08-I-030-JO-G-WASSERPUMP-STATIONEN GTZ | 1.8 | <ul style="list-style-type: none"> Political and economic relevance in Jordan - coherent with national strategies Partner institutions show project ownership, reflected not only in own financial contributions, but reform-oriented institutional changes Use of results by Jordan partners and international protagonists (IFIs) Mobilisation of additional funds: replication of the project approach / realisation of further EE measures with funds of other donors |
| 08_I_021_CL_G_STANDORT-BESTIMMUNG RE GTZ | 1.7 | <ul style="list-style-type: none"> Well-designed, innovative project approach adapted to situation Involvement of partners in the planning Great competence of the implementing agency and the partner Extraordinarily great commitment. The institutional commitment itself (partner) was also extraordinary Own contributions and continuation of activities Flexibility and swift adaptation to changing challenges by the project staff and the BMU |
| 08_I_018_NA_A_STUDIE ENERGIEKONZEPT DENA | 3.3 | <ul style="list-style-type: none"> Namibia's energy mix was only partly well thought out and possible emission reductions were overestimated Even though the ICI project's content is in line with existing programmes and the national energy policy, its concept was not connected with them As far as the evaluator is informed, at the time of project application, the government did not support this project |
| 08_I_010_ZAS_A_EE CAMP ALATOO | 4.9 | <ul style="list-style-type: none"> The application states that the project objective was the improvement of the living conditions of the population, which is not directly in line with the ICI criteria Even though the planned measures (insulation of buildings and efficient stoves) are climate-relevant, their scope is very restricted in absolute terms |

Effectiveness: The average grade of the clusters is 2.7 (Cluster 2) and 2.6 (Cluster 6), which is (almost) identical with the overall average of 2.7.

| PROJECT TITLE | Appraisal Effectiveness | Success factors / Critical factors |
|---|-------------------------|--|
| 08_I_001_CN_G_WIND ENERGIE PLATTFORM GTZ | 2.0 | <ul style="list-style-type: none"> The project built upon the experience of the China Wind Power Project which was already being implemented and was designed as a supplement of the latter The concept of a research and training centre was integrated into the existing structures of CEPRI-RED Great and growing interest on the Chinese side |
| 09_I_049_DZ_A_SOLARTURM-KRAFTWERK SOLAR INSTITUTE JÜLICH | 2.0 | <ul style="list-style-type: none"> Realistic goals The project is supported by numerous institutions/organisations and the Algerian government |

| PROJECT TITLE | Appraisal Effectiveness | Success factors / Critical factors |
|--|-------------------------|---|
| 09_I_082_CHL_A_ ABFALLBEHANDLUNG SZENTRUM MARGA MARGA IFAS | 3.9 | <ul style="list-style-type: none"> To this day, both centres have not been built. The main reason was the changed financing concept (from operator consortium to loan concept) The CDM validation was suspended in light of the outstanding implementation of the CDM component |
| 08_I_042_ZA_G_ BECCAP GTZ | 4.3 | <ul style="list-style-type: none"> Non-achievement of the quantitative goals mentioned in the project application Lack of interest among target group Lack of interest of CEF No practical tests |

Efficiency: The average grade of Clusters 2 and 6 is 2.6. This is also the overall average.

| PROJECT TITLE | Appraisal Efficiency | Success factors / Critical factors |
|---|----------------------|--|
| 08_I_028_CN_G_XPS GTZ | 1.7 | <ul style="list-style-type: none"> The degree of use of the outputs by the target group is evaluated as being above expectations. At the macro level, the project outputs were used for demonstrating the technology as an alternative to HFC blowing agents. A successful demonstration of the technology and its adaptation to the Chinese market resulted in its inclusion in the Sector plan within the context of China's HPMP. |
| 09_I_077_CHN_A_ METHAN-MINIMIERTE ABFALLBEHANDLUNG AWN | 2.0 | <ul style="list-style-type: none"> Having in mind that the project does not only include composting, but recycling and biogas recovery, the cost per emission reduction is evaluated as good. All measures required After the finalisation of the construction works in late 2011, the plant was transferred to the City of Gaobeidian. The local operator company for the MBT plant was founded. Also, the staff of the plant (laboratory, security, and management) has already been hired. |
| 08_I_062_BF_A_ LÄNDLICHE ELEKTRIFIZIERUNG ATMOSFAIR | 4.0 | <ul style="list-style-type: none"> Measures were financed which were only necessary to a limited degree The 22 kWel plant is still being used (though only partially) and is important for the hospital in Pô (see project reports). However, still no investors have been found for the construction of the 250kW plants and the planning documentation as well as the prepared PDD is not being used. |
| 09_I_127_RUS_A_ MODERNISIERUNGS- PARTNERSCHAFT DENA | 4.4 | <ul style="list-style-type: none"> On the basis of the realised measures / outputs of the project and the used funds, an only limited efficiency can be assumed Some measures are only to some extent in line with the objectives Based on the available information, it seems that results are not or only hardly being used |

Impact: The average grade of the clusters is 2.5 (Cluster 2) and 2.4 (Cluster 6), which is (almost) identical with the overall average of 2.5.

| PROJECT TITLE | Appraisal Impact | Success factors / Critical factors |
|--|------------------|---|
| 08_I_028_CN_G_XPS GTZ | 1.5 | <ul style="list-style-type: none"> The emission reduction which will be achieved with the implementation of the adopted Sector Plan Phase 1 amounts to over 20 million tCO₂ by 2015. The target group is actively preparing for the implementation of the Sector Plan and the conversion of the XPS sector. The selected partners CPPIA and MEP/FECO are working on raising the awareness of and promoting the F-free technology. Very high potential for replication |
| 09_I_050_TH_A_SOLARLITE_TREFFERT SOLARLITE | 1.9 | <ul style="list-style-type: none"> TRESERT around 200 tCO₂, TSE1 around 5,400 tCO₂. However, since Solarlite has signed a contract with TSE for the construction of 15 plants with approximately 135 MW capacity, the emission reduction is estimated at over 100,000 tCO₂ p.a. Great awareness: SERT is a recognised academic institute and the lecturers of SERT present the TRESERT project at national and international conferences. There is a significant potential for the dissemination of the CSP technology in Thailand due to the favourable climatic conditions. |
| 08_I_073_RUS_A_KONZEPT WINTEROLYMPIADE DENA | 3.8 | <ul style="list-style-type: none"> Project concept not implemented, thus no emission reduction The cooperation between the partners was terminated |
| 08_I_042_ZA_G_BECCAP GTZ | n/a | <ul style="list-style-type: none"> Due to the only limited achievement of the project's goals, no significant impacts beyond the project objectives have been achieved, either. For this reason, the indicator is not evaluated, even though South Africa and the region show an overall great potential for energy efficient products. |

Sustainability: Just as in the total sample, the criterion "sustainability" achieved the lowest scores and achieved an average grade of 2.8 in Clusters 2 and 6. Thus, it can be concluded that sustainability was a weakness of many projects which should be improved in future project designs and implementations.

| PROJECT TITLE | Appraisal Sustainability | Success factors / Critical factors |
|---|--------------------------|---|
| 09_I_049_DZ_A_SOLARTURM-KRAFTWERK SOLAR INSTITUTE JÜLICH | 1.9 | <ul style="list-style-type: none"> Due to the close connections between institutions, universities, and organisations, the vocational and university training in Algeria (incl. technology park), and the international training and research cooperation, the capacities are developed in such a way that the project partners will, in all likelihood, be able to meet all challenges. Further investments in solar power towers have already been planned and investments of approx. € 0.75 billion have been put out to competitive tender. |
| 08_I_053_ZA_G_KÄLTEMITTEL GTZ | 2.1 | <ul style="list-style-type: none"> The two PnP supermarkets have converted their refrigeration appliances to the technology on the basis of natural refrigerants. PnP has adopted a new strategy which plans the conversion of all new supermarkets by 2015. The project has increased the interest of other supermarket chains and some of them started to introduce the new technology (e.g. Makro S.A.). |

| PROJECT TITLE | Appraisal Sustainability | Success factors / Critical factors |
|---|--------------------------|---|
| 08_I_022_GLOBAL_G_KLIMASCHUTZ UND DEZENTRALE ENERGIEVERSORGUNG GTZ | 3.2 | <ul style="list-style-type: none"> According to the implementing agency, the participants in the forum have sufficient capacities to continue identifying, evaluating and developing cooperation ideas. However, there is a lack of capacities and abilities for the moderation and coordination between different institutions in India and Germany. Investments of third parties expected, but not yet realised Institutional and economic risks |
| 08_I_062_BF_A_LÄNDLICHE ELEKTRIFIZIERUNG ATMOSFAIR | 3.9 | <ul style="list-style-type: none"> Lack of experience of the implementing agency in the project country Decisive factors / risks wrongly assessed before project start (e.g. only verbal agreement of electricity rates) Dependence on individual institutions whose behaviour can hardly be foreseen |

Coherence & coordination: The average grade of the clusters is 2.3, which is identical with the overall average.

| PROJECT TITLE | Appraisal C & C | Success factors / Critical factors |
|--|-----------------|---|
| 08_I_005_CN_G_SAUGRÜSSEL GTZ | 2.0 | <ul style="list-style-type: none"> Coordination sessions between the donors and the MEP take place for coordination purposes and the avoidance of duplicities. The forms of cooperation ensured coordination with the government departments. The Chinese Ministry of Environmental Protection (MEP) and its subordinate Vehicle Emission Control Center (VECC) were in charge of the project. At the provincial and municipality level, the environmental authorities were involved. |
| 09_I_106_GLOBAL_A_TREE RENAC | 2.0 | <ul style="list-style-type: none"> The project design was developed as a complementary service to already existing further training offers of other donors as well as national initiatives. National initiatives were identified with the help of the countries' embassies in Germany and the institutions of German development cooperation (GIZ, KfW, InWEnt) were contacted to avoid overlaps. |
| 08_I_042_ZA_G_BECCAP GTZ | 3.5 | <ul style="list-style-type: none"> Coordination took place, but it must be mentioned that these prior agreements were of a general nature and specific agreements on the project or its continuation after project end were missing. The coordination for the establishment of a Carbon Facility is regarded as less satisfactory. At the time of application, sufficient information on the requirements (also in South Africa) were already available and could have been used in the implementation of activities. |
| 08_I_073_RUS_A_KONZEPT WINTEROLYMPIADE DENA | 4.0 | <ul style="list-style-type: none"> Dena tried to ensure coordination with the relevant institutions on the ground, but ultimately this came to nothing. The willingness and attempts existed, just as verbal confirmations before project start that dena would be supported by the relevant institutions. However, in the end, the decisive support for the collection of data and implementation of the proposals was missing. |

Planning & steering: The average grade of the clusters is 2.7 (Cluster 2) and 2.7 (Cluster 6), which is (almost) identical with the overall average of 2.8.

| PROJECT TITLE | Appraisal P & S | Success factors / Critical factors |
|---|-----------------|--|
| 08_I_088_GLOBAL_A_WISSENSTRANSFER EE WUPPERTAL INSTITUTE | 2.0 | <ul style="list-style-type: none"> Frequent coordination processes with the BMU and the national institutions for planning purposes Well-measurable indicators M&E took place |
| 08_I_043_UA_A_GÄRUNG AUS RESTSTOFFEN GFA ENVEST | 2.0 | <ul style="list-style-type: none"> Framework conditions were very carefully analysed right from the start Objectives formulated clearly and unambiguously and deduced packages of measures clearly outlined Good intervention logic recognisable As is often the case in a short-term project, the degrees of fulfilment of the individual goals were used as indicators for measuring the state of the project The implementing agency used its internal monitoring system for project monitoring. This is considered reasonable |
| 09_I_082_CHL_A_ABFALLBEHANDLUNGSZENTRUM MARGA MARGA IFAS | 3.7 | <ul style="list-style-type: none"> The wishes of the target group in Chile, which ultimately came down to a change of the techn./fin. concept, were very late communicated to the PB (project reports). Ultimately, the goals formulated in the ICI application were not followed up and foreseeable deviations were not directly communicated. Unclear formulation of measures Target indicators related to the individual measures were not formulated. The indicators merely refer to a measurement of emission reductions in case of a project implementation (not for teaching material, authorisations). |
| 08_II_023_GHA_A_BIOGAS SOLAR IÖV | 3.7 | <ul style="list-style-type: none"> The project was not planned in cooperation with the VVU. If this had been the case, the general conditions could have been better analysed. In light of the complicated procedures for investment projects at the VVU and the construction times usually needed in Ghana, the project goals were not realistically defined No official M&E system was planned or established. The implementing agency used an internal system. However, this was not sufficient for the regular monitoring of the project progress. |

3.3 Analysis of Quantitative Evaluation

In what way do the projects summarised under the cluster contribute to the programme objectives of the ICI?

High relevance - target criteria of ICI are fully met

The projects of Clusters 2 & 6 as a whole cover the subject area "promotion of a climate-friendly economy / avoidance of GHG emissions" of the ICI. In the cluster, projects from the categories EE and climate policy prevail.

The relevance of the projects in the cluster with regard to the target criteria of the ICI is to be considered high – average appraisal 2.0. With regard to their relevance, the majority of projects show a good result that fully meets expectations, without major shortcomings, or even exceed expectations. Only one project of the cluster must clearly be called in question with regard to its relevance.

| | |
|---|--|
| Evaluation of other criteria | <p>As opposed to relevance, the other criteria achieved lower ratings on average. This particularly applies to the criteria effectiveness, impact, and sustainability. Thus, it can be concluded that, in a considerable part of the projects, the contributions were not fully achieved and the project outputs are only used to a limited degree or not at all.</p> |
| High potential for GHG avoidance | <p>The majority of projects show a great potential for the medium- and long-term avoidance of GHG emissions. However, these potentials are difficult to quantify and are mostly estimated by the implementing agencies on the basis of assumptions. Also, the realisation of the GHG reduction potentials is often dependent on factors which are beyond the control or influence of the projects as well as on the use and continuation of the project results by the partner organisation or partner country after the end of the project. A real reduction of GHG emissions during the implementation of the projects is achieved in very few cases and only to a limited extent.</p> <p><i>What are the common features and differences between the projects of the cluster?</i></p> |
| Common features of projects in the cluster | <p>The common denominator of the cluster projects is the methodological approach for consultancy services and capacity building among decision makers and administrations, communities, and target groups. Usually, this applies independently of the classification of the projects as policy consultancy, capacity development, or implementation projects. In all cases, the primary objective is the development or generation of knowledge and its dissemination and deepening among the stakeholders involved, partly with the help of more or less extensive investments.</p> |
| Capacity development projects most successful | <p>The projects with the methodological approach capacity development seem most successful in both clusters or achieve better average grades. Particularly in the criteria effectiveness, impact, and sustainability, the capacity development projects achieve much better average scores than the projects focusing on policy consultancy.</p> <p>The capacity development projects - similar to the implementation projects - have longer project periods (on average 2.5 years) and bigger financial volumes (€ 1.4 million on average) than the policy consultancy projects (on average 1.8 years and € 770,000). These key figures illustrate the partly complex and multi-layered project designs. Capacity development projects include analyses, concept developments, preparation of plans etc., but the focus is on capacity development, i.e. strengthening capacities of institutions or personnel. Amongst others, these projects focus on management plans and instruments, the development or improvement of management capacities, advice on improved energy efficiency, the promotion of renewable energies.</p> |
| Policy consultancy projects more limited with regard to objectives and scope | <p>The objectives, scope, and complexity of the projects classified as policy consultancy are usually more limited. This circumstance is also reflected in the key figures already mentioned: project period 1.8 years on average, financial volume € 770,000.</p> <p>These are mainly projects which plan to support policymakers in the preparation of policies and strategies on climate protection and investments, if required, and do so in the form of studies for the development of method-</p> |

ologies or feasibility studies, analyses, the development of concepts and strategies, climate models, etc.

Since the implementation of the strategies and concepts developed by the projects was mostly no part of the projects, the sustainability of policy consultancy shows poor results (grade 3.1) compared to the other methodological approaches. In general, it can be stated that studies and concepts without subsequent support in their implementation cannot have a sustainable impact and, thus, cannot make a contribution to GHG reduction.

Can differences in the appraisals between cluster and total sample be explained and, if so, how?

As already described above, the average appraisals in the clusters do not significantly differ from the grades in the total sample.

Many projects lacking in effectiveness and sustainability – in cluster and total sample

It is remarkable that, just as in the total sample, almost half of the projects in the clusters achieved below-average grades in the criteria effectiveness and sustainability. Thus, it can be concluded that a great number of ICI projects achieved the defined goals to an only limited extent and project results are also only partly used in a sustainable manner.

The circumstance that goals are only partly achieved may be attributed to the fact that the project period is too short, making it difficult to achieve the formulated objectives. The definition of a too short project period can be regarded as a planning error – similarly as with a poor intervention logic and the selection of the wrong partners, which may also have a detrimental effect on the goal achievement and sustainability. Both aspects are repeatedly mentioned as shortcomings in the individual evaluations.

Which success factors / failure factors are the projects based on?

Critical factors similar and known from international cooperation

The evaluation of strengths and weaknesses decisively determining the project results point to the outstanding importance of the following factors:

- Design of the project approach and intervention logic
- Institutional integration into partner structures, the commitment of the partner institutions
- Competence and experience of the implementing agencies and their sector-specific, institutional, and country-specific knowledge
- Analysis of general conditions
- Involvement of partners in the design and planning
- Coherence with national strategies of the partner country

Depending on the extent to which these factors were fulfilled, the results were influenced positively or negatively.

In particular, the following lessons learned result from the reports of the individual evaluations of the cluster:

High potential for replication or up-scaling

In general, the projects of the clusters have a great potential for replication in the partner country and beyond. Particularly the experiences from supported pilot projects are suitable for upscaling, which may result in a significant reduction of GHG emissions.

However, the available potential for upscaling is only rarely used since upscaling measures are often no part of the project concept and the partner does not have enough resources after project end to realise pilot projects on a large scale.

Project design weak

The design and intervention logic of a great number of projects is weak. The goals and measures often seem overly ambitious, particularly in comparison with the planned financial volume and the project period.

The planned activities are often not in line with the expected impacts and clear indicators for performance review are missing.

Focusing with regard to project objective and activities

Projects with a clear focus with regard to objectives and activities achieve better results than projects tackling a great number of topics at the same time.

If projects with a great diversity of topics and activities additionally choose a regional or transnational approach, the projects have a complexity that has a detrimental effect on the project impact.¹⁰

Combination of methodological approaches

The combination of the different methodological approaches seems effective, for instance capacity development in conjunction with implementation and investment projects.

Projects combining different approaches seem to have a better and more sustainable effect.¹¹

Selection of partners in target country decisive

The selection of the partner organisation is of vital importance - not only with regard to achieving the specific project objective, but above all with regard to the long-term use and impact of the project results (sustainability). The lack of use of the project results and outputs is a shortcoming of the projects that is very often mentioned in the individual evaluation reports.

With respect to the selection of a partner, it is of fundamental importance that the national partner organisation(s) have the responsibility (implementation mandate) and resources to realise the project results and independently continue the measures after project end.

Studies without implementation concepts not effective

Moreover, it can be concluded that studies, concepts, and the development of strategies do not have a sustainable impact if corresponding implementation concepts or the support in the implementation are no component of the project or unless the partner organisation confirmed its clear interest in the implementation of positive project results as early as in the run-up to the project.

Difficulty of follow-up financing

Similarly as with the missing implementation concepts, an unavailable or not clarified follow-up financing often hampers the realisation of effects. In particular, this applies to innovative pilot measures which cannot achieve a large-scale effect without further financing and support (upscaling). The sustainability of phase-based projects is also threatened in case of missing follow-up financing.

¹⁰ Cf. 09_I_108_NUS_A_EE_capacity building

¹¹ e.g. 08_I_006_IN_G_Eco Industrieparks, 08_I_032_KZ_M_SEFF, 08_I_057_EC_A_Biokraftstoffe, 09-I-031-RUS-M-SECF

The projects which were successful with regard to the aspect of follow-up financing and the expansion of the funding base show the following pattern:

- The partner organisation has sufficient own financial resources or the possibility to mobilise funds from national programmes – see 08_I_006_IN_G_Eco Industrieparks, 08_I_053_SA Kälte Supermärkte, 09_I_049_DZA_A_Solarturmkraftwerk.
- Existing international promotional or funding programmes (e.g. via IFIs) were complementary to the project, mobilising additional funds – see 08-I-030-JO-G-Wasserpumpen EnEff, 08_I_057_EC_A_Biokraftstoffe.
- Thanks to the positive results of the project, IFIs could be attracted or developed an interest in providing funds / establishing funding mechanisms – see 08_I_36VNM_A_Biogas.

Are there regional specifics which contribute to the success/failure of a project and should be considered in the planning?

Due to the small number of samples, it is not possible to make reliable statements on the regional differences in the evaluation of the clusters. Due to the small sample per region, individual poorly rated projects distort the result too much.

However, it seems remarkable that the regions Africa and Europe, Caucasus & Central Asia achieved clearly worse results than the average in the categories effectiveness, efficiency, impact, and sustainability.

With regard to the region Europe, Caucasus & Central Asia, the poor results can be explained by the fact that a great part of the projects consisted in studies and the development of concepts whose results were not supplemented by implementation support.

In the case of Africa, it can be assumed that the ICI projects face the same problems as common EZ projects: weak partner institutions, insufficient framework conditions and few possibilities of financing / follow-up financing by local partners.

What statements can be made with regard to the influence on international climate negotiations?

The global projects of the cluster are partly directly related to the international climate dialogue. This cannot be claimed by all other projects. Even though they contribute to collecting data and experience for the dialogue, they are primarily focused on achieving the project-specific objectives.

4 CLUSTER 3: BIODIVERSITY & CARBON SINKS

4.1 Cluster Description

Non-forest carbon sinks are included

Cluster 3 "Biodiversity and carbon sinks" includes projects aiming at the preservation of carbon sinks, especially forests and other ecosystems such as wetlands. Activities in these areas are meant to improve synergies between climate protection and biodiversity protection.

Originally, it was planned to limit the cluster to "biodiversity and REDD". However, the implementation of the ICI addressed several non-forest carbon sinks, particularly peat bogs, which are included in the final definition of the cluster. Moreover, it supports countries that cannot take part in the REDD mechanism. Now, the cluster includes all projects from the thematic project categories carbon sinks with REDD relevance, climate-relevant biodiversity without REDD, and climate-relevant biodiversity with REDD.

In practice, it is hardly possible to make a distinction between carbon sinks and biodiversity. Carbon sinks are a part of biodiversity (forests), so that, here, an artificial distinction is made which actually does not exist.

The cluster includes a total of 27 projects. The prevailing subject areas are projects which, by some means or other, aim at the conservation of forests.

There is a particularly unclear distinction between this cluster and the cluster adaptation to climate change. The close relationship of the two clusters is mainly due to the fact that biodiversity projects can basically also be understood as adaptation to climate change: the conservation of biological diversity strengthens ecosystems and, thus, their resilience to the consequences of climate change. A couple of projects assigned to the cluster adaptation could easily have been assigned to the cluster biodiversity or carbon sinks, or vice versa. However, when assigning the projects to clusters, only one of these two clusters was chosen to avoid double evaluations.

Carbon sinks serve both mitigation and adaptation

This also demonstrates the general difficulty of assigning carbon sink projects to the areas of mitigation or adaptation: forests and peat bogs constitute enormously important carbon sinks; thanks to avoided deforestation or avoided peat extraction, a contribution to climate protection is achieved. However, at the same time, the conservation of these ecosystems also contributes to the adaptation to climate change thanks to the conservation of their stabilising function.

Out of the 27 projects analysed in this cluster, 24 focus on a clearly limited geographical area: they have the objective to avoid degradation in certain forests, wetlands, or other ecosystems and ensure their permanent conservation.

Frequently, these projects combine capacity development and the involvement of the local population with the implementation of specific protective measures (investments). A short description of the projects is available in Annex 2.

Three projects go beyond this framework and pursue conceptual, wider goals:

- The project "Cooperation platform for the protection of species-rich and carbon storing ecosystems" (08_II_013_CHN_G_Kooperationsplattform Ökosysteme) has the objective to strengthen cooperation between researchers, the responsible administrations, and the local population with regard to the protected areas system in China.
- The project "Support of the LifeWeb Initiative" (08_II_055_GLOBAL_A_LIFE WEB) supports the establishment of a global broker mechanism for financing protected areas worldwide.
- The project "CD-REDD: reduction of emissions from deforestation in developing countries" (08_II_014_GLOBAL_G_CD-REDD) supports the further development of REDD instruments.

A total of 20 out of 27 projects in this cluster were evaluated in desk studies, 7 in on-site evaluations.

4.2 Quantitative Evaluation of the Cluster

4.2.1 Evaluation according to project categories

According to the distribution by the BMU, almost half of the projects (48%) are to be assigned to the methodological project category "implementation", followed by capacity building (37%), policy consultancy (11%), and financing instruments (4%) (Table 19). An analysis of the individual projects shows that the respective assignment is rather unclear except for only few cases, since the projects use different instruments (for this, also refer e.g. to Cluster 1).

First, it needs to be mentioned that the term "implementation" was supposed to be used as a general umbrella term for the implementation of projects. However, within the meaning of the ICI, it probably rather refers to real investments in contrast to immaterial investments.

The most projects pursue integrated approaches and implementation and capacity development are inseparable

The majority of projects target the protection and sustainable use of biodiversity (including forests) in a certain region. This is basically achieved by an integrated approach with the combination of capacity building and development among personnel and institutions and the procurement of material goods and services. Thus, a separation for the purpose of categorisation seems artificial and should rather be avoided.

The extent of overlaps between the methodological project categories is also reflected in the example of LifeWeb: the ICI funded the establishment of this broker mechanism which was to be used as financing support for protected areas. To date, 17 donors have submitted a total of 62 letters of interest amounting to almost EUR 200 million. However, the project is not classified as project addressing financing instruments, but as policy consultancy project.

Table 19: Distribution by Methodological Project Category (Cluster 3)

| METHODOLOGICAL PROJECT CATEGORY | Cluster 3 | | Total sample | |
|---------------------------------|-----------|-------------|--------------|-------------|
| | Projects | % | Projects | % |
| Implementation | 13 | 48% | 27 | 23% |
| Capacity development | 10 | 37% | 65 | 57% |
| Policy consultancy | 3 | 11% | 22 | 19% |
| Financing instruments | 1 | 4% | 1 | 1% |
| TOTAL | 27 | 100% | 115 | 100% |

Table 20 shows the thematic distribution of projects in Cluster 3. As can be seen, all three categories, i.e. "climate-relevant biodiversity with REDD relevance", "climate-relevant biodiversity without REDD relevance", and "carbon sinks with REDD relevance", are adequately represented, at least formally.

However, the purpose of this categorisation should be critically questioned. The separation of "climate-relevant biodiversity" and "carbon sinks" is artificial. Ultimately, all carbon sinks constitute climate-relevant biodiversity. The assignment to one of these project categories is, thus, not reasonable.

The project "Reduction of emissions from deforestation through the protection of forest ecosystems in Amazonia" (Peru) is, for instance, assigned to the project category "climate-relevant biodiversity with REDD", the project "Protection of the Atlantic coastal forests" in Brazil is assigned to the category "carbon sinks with REDD relevance". Therefore, the separation of carbon sinks and biodiversity seems slightly arbitrary.

The thematic distribution of funds of the projects in Cluster 3 is not analysed here since, as mentioned above, there is a lot of latitude when it comes to the thematic distribution of projects so that an evaluation would hardly yield relevant information.

Table 20: Distribution by Thematic Project Category (Cluster 3)

| THEMATIC PROJECT CATEGORY | Cluster 3 | | | | Total sample | | | | Share of Cluster 3 in total sample | |
|--|-----------|-------------|-------------------|-------------|--------------|-------------|--------------------|-------------|------------------------------------|------------|
| | Projects | % | € | € in % | Projects | % | € | € in % | Pro-jects | € in % |
| Waste | 0 | 0% | 0 € | 0% | 2 | 2% | 6,700,000 | 4% | 0% | 0% |
| Energy efficiency | 0 | 0% | 0 € | 0% | 13 | 11% | 7,893,723 | 4% | 0% | 0% |
| Energy efficiency / Renewable energies | 0 | 0% | 0 € | 0% | 5 | 4% | 7,213,677 | 4% | 0% | 0% |
| Renewable energies | 0 | 0% | 0 € | 0% | 11 | 10% | 26,484,531 | 14% | 0% | 0% |
| Climate policy | 0 | 0% | 0 € | 0% | 16 | 14% | 23,003,153 | 12% | 0% | 0% |
| Climate-relevant GHG | 0 | 0% | 0 € | 0% | 6 | 5% | 10,277,059 | 6% | 0% | 0% |
| Carbon trading / Emissions market | 0 | 0% | 0 € | 0% | 13 | 11% | 13,993,521 | 8% | 0% | 0% |
| Transport | 0 | 0% | 0 € | 0% | 2 | 2% | 707,782 | 0% | 0% | 0% |
| Adaptation strategies | 0 | 0% | 0 € | 0% | 16 | 14% | 20,871,599 | 11% | 0% | 0% |
| Climate-relevant biodiversity without REDD | 7 | 26% | 15,814,158 | 26% | 7 | 6% | 15,814,158 | 8% | 100% | 100% |
| Climate-relevant biodiversity with REDD | 7 | 26% | 13,614,507 | 23% | 7 | 6% | 13,614,507 | 7% | 100% | 100% |
| Carbon sinks with REDD relevance | 13 | 48% | 30,939,268 | 51% | 13 | 11% | 30,939,268 | 17% | 100% | 100% |
| Ecosystem-based land use systems | 0 | 0% | 0 € | 0% | 3 | 3% | 6,008,691 | 3% | 0% | 0% |
| Insurance solutions | 0 | 0% | 0 € | 0% | 1 | 1% | 2,646,191 | 1% | 0% | 0% |
| TOTAL | 27 | 100% | 60,367,933 | 100% | 115 | 100% | 186,167,840 | 100% | 23% | 32% |

Geographical distribution of the projects

The geographical distribution of the projects largely corresponds with the distribution of projects in the entire ICI portfolio (Table 21). In comparison, Africa and Latin America are slightly overrepresented, and Asia slightly underrepresented. However, the differences should not be overrated due to the relatively small sample (a single project in Cluster 3 accounts for as much as 3.7% of the overall cluster).

The well-forested and biodiversity-rich tropics and subtropics are no geographical priority of the ICI

However, it is remarkable that the region Europe, Caucasus and Central Asia was a priority region of the ICI both within the context of the overall ICI portfolio and in Cluster 3 and is clearly ahead of the well-forested and biodiversity-rich tropics with their high relevance for climate protection. This is also to be viewed critically with regard to the fact that this region does not include states participating in the REDD process.

The backgrounds of this geographical prioritisation are not known. With regard to Europe and Central Asia one might speculate whether this reflects a certain complementarity with development cooperation: countries of this region are mostly no (or no longer) partner countries of German development cooperation, so that the ICI probably offsets this imbalance.

Further, it is remarkable that the MENA region (Near and Middle East, North Africa) is not represented at all in the ICI projects of Cluster 3. In the overall ICI portfolio analysed herein, the region also only accounts for less than 2% of the projects.

Geographical distribution of funds

Table 21 also shows the geographical distribution of funds used in Cluster 3 compared to the average of all projects of the ICI sample evaluated herein. The funds used in Africa in the projects of Cluster 3 correspond with those used by the ICI as a whole. However, in Europe, Caucasus & Central Asia (ECCA) and Latin America, it is rather significantly higher - at the expense of project funds in Asia. This pattern largely corresponds with the distribution pattern of the number of projects.

Table 21: Geographical Distribution of the Projects & Funds (Cluster 3)

| REGION | Cluster 3 | | | | Total sample | | | |
|---------------------------------|-----------|-------------|-------------------|-------------|--------------|-------------|--------------------|-------------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| Africa | 5 | 19% | 9,493,645 | 16% | 17 | 15% | 29,109,069 | 16% |
| Asia | 5 | 19% | 8,303,170 | 14% | 32 | 28% | 52,543,019 | 28% |
| Europe, Caucasus & Central Asia | 9 | 33% | 20,708,339 | 34% | 33 | 29% | 47,871,536 | 26% |
| Central & South America | 6 | 22% | 19,078,165 | 32% | 17 | 15% | 34,898,370 | 19% |
| Middle East | 0 | 0% | 0 | 0% | 2 | 2% | 2,208,732 | 1% |
| Global | 2 | 7% | 2,784,614 | 5% | 14 | 12% | 19,537,114 | 10% |
| TOTAL | 27 | 100% | 60,367,933 | 100% | 115 | 100% | 186,167,840 | 100% |

Project periods

Table 22 shows the periods of the projects in Cluster 3. On the whole, the values largely correspond with the total sample. In Cluster 3 of the ICI, approximately one third of the projects have a time frame of less than two years. This includes:

- South Africa: Protection of wetlands in the Cape region;
- India: Improvement of the protected area management and the adaptation to climate change in ecosystems vulnerable to the climate;
- Peru: Protection of the rainforest and support of the indigenous local population in the Amazonian lowlands;
- Brazil: Protection of the Atlantic coastal forests;
- Mexico: Climate protection in five ecosystems;

- Global: CD-REDD: reduction of emissions from deforestation in developing countries;
- Brazil: Support of protected areas with sustainable use in Amazonia (ARPA);
- Kazakhstan: Preservation of habitats in the Altai Sayan region.

In several projects, the BMU retroactively approved an extension of the project period. In the project design, planners usually defined too short project periods which were not in line with the project tasks.

Short project periods can be justified in some cases, such as

- the creation of a financing mechanism (environmental fund), where the project tasks of the ICI are basically limited to the provision of funds (Atlantic Forest Conservation Fund, Brazil);
- "blended operations" combined with the projects of other donors, where the ICI funds are used as "topping-up" of existing financing and which does not require the creation of new management structures (South Africa and Altai/Russia, where the ICI co-financed ongoing UNDP/GEF projects).

In principle, it must be assumed that, at least in the projects of Cluster 3, sustainable impacts can only be achieved in the long term. The majority of projects more or less directly target the development of capacities of personnel and institutions, which would actually rule out short project periods right from the start. According to consistent observations of numerous donors (e.g. also World Bank and GEF), sustainable impacts with regard to the management of natural resources and rural development can only be achieved through long-term commitment.

Table 22: Distribution by Project Period (Cluster 3)

| PERIOD | Cluster 3 | | Total sample | |
|-------------------|-----------|-------------|--------------|-------------|
| | Projects | % | Projects | % |
| Less than 2 years | 8 | 30% | 39 | 34% |
| 2 - 3 years | 8 | 30% | 33 | 29% |
| More than 3 years | 11 | 41% | 43 | 37% |
| TOTAL | 27 | 100% | 115 | 100% |

Distribution by financial volume

Table 23 shows the distribution of funds to the projects in Cluster 3 compared with the financial volume of the overall programme. Almost two thirds of the projects had a total volume of EUR 1 to 3 million, more than 80% of the projects had more than EUR 1 million available. Out of the five projects with less than EUR 1 million at their disposal, some had very ambitious goals, such as restoring two deciduous forest areas in Azerbaijan or the protection of a rainforest area in Peru. It is obvious that, in case of these small-scale measures, there is a huge gap between the claimed goals and the funds available. In other words:

Small projects with insufficient funding

The small projects with contract values of less than EUR 1 million are not, as might be expected, very limited, specific measures or studies, e.g. as supplement to existing national or international projects or programmes, but indeed have very ambitious goals.

Table 23: Distribution by Financial Volume (Cluster 3)

| FINANCIAL VOLUME | Cluster 3 | | Total sample | |
|-----------------------|-----------|-------------|--------------|-------------|
| | Projects | % | Projects | % |
| 0 - 499,999 | 3 | 11% | 30 | 26% |
| 500,000 - 999,999 | 2 | 7% | 15 | 13% |
| 1,000,000 - 2,999,999 | 17 | 63% | 58 | 50% |
| 3,000,000 and more | 5 | 19% | 12 | 10% |
| TOTAL | 27 | 100% | 115 | 100% |

With regard to the beneficiaries, KfW ranks first with 44% of the projects, followed by GTZ/GIZ with 30%. International organisations represent one quarter (26%) of the beneficiaries (Table 24). In 5 cases, the beneficiary is the UNDP, in one case UNESCO, and in one case the Secretariat of the Convention on Biodiversity (CBD). A more or less consistent picture results, if the financial volume is taken as a basis instead of the number of projects. Here, KfW is also clearly ahead, followed by GTZ/GIZ, and UN organisations rank third.

Table 24: Distribution by Beneficiary (Cluster 3)

| BENEFICIARY | Cluster 3 | | | | Total sample | | | |
|---------------------|-----------|-------------|-------------------|-------------|--------------|-------------|--------------------|-------------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| GIZ | 8 | 30% | 17,053,315 | 28% | 43 | 37% | 82,886,846 | 45% |
| KfW | 12 | 44% | 29,576,857 | 49% | 13 | 11% | 29,984,284 | 16% |
| UN organisations | 7 | 26% | 13,737,761 | 23% | 19 | 17% | 29,780,412 | 16% |
| Private enterprises | 0 | 0% | 0 | 0% | 11 | 10% | 12,338,002 | 7% |
| International NGOs | 0 | 0% | 0 | 0% | 8 | 7% | 7,978,333 | 4% |
| German NGOs | 0 | 0% | 0 | 0% | 3 | 3% | 3,224,025 | 2% |
| Institutes | 0 | 0% | 0 | 0% | 6 | 5% | 7,752,768 | 4% |
| Others | 0 | 0% | 0 | 0% | 4 | 3% | 6,070,537 | 3% |
| dena | 0 | 0% | 0 | 0% | 4 | 3% | 785,477 | 0% |
| EBRD | 0 | 0% | 0 | 0% | 4 | 3% | 5,367,156 | 3% |
| TOTAL | 27 | 100% | 60,367,933 | 100% | 115 | 100% | 186,167,840 | 100% |

4.2.2 Evaluation according to evaluation criteria

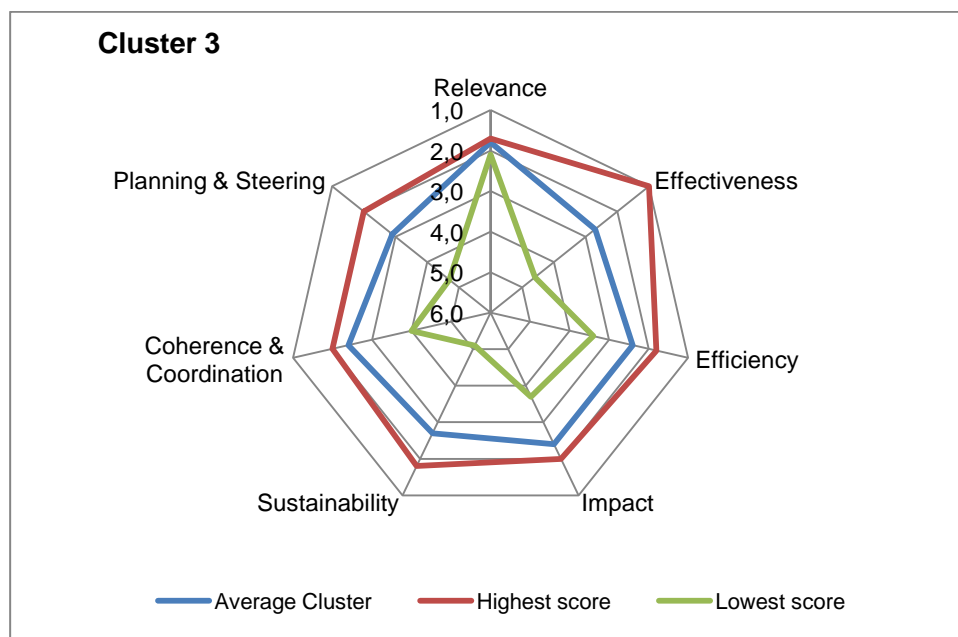
Grades very similar to total sample

On the whole, the results of Cluster 3 closely conform to the total sample (Table 25). Deviations of up to one tenth are not regarded as relevant. In one criterion, there is a slightly stronger deviation: the efficiency is rated 0.2 points lower in the cluster than in the overall average.

Table 25: Comparison of Evaluation Criteria (Cluster 3)

| CRITERION | Cluster 3 | | | Total sample | | |
|--------------------------|-----------|-----------|-----------|--------------|-----------|-----------|
| | Ø | % above Ø | % below Ø | Ø | % above Ø | % below Ø |
| Relevance | 1.8 | 4% | 19% | 1.9 | 63% | 34% |
| Effectiveness | 2.7 | 48% | 44% | 2.7 | 56% | 42% |
| Efficiency | 2.4 | 74% | 33% | 2.6 | 58% | 36% |
| Impact | 2.4 | 48% | 32% | 2.5 | 61% | 35% |
| Sustainability | 2.7 | 62% | 27% | 2.8 | 52% | 42% |
| Coherence & Coordination | 2.4 | 63% | 33% | 2.3 | 65% | 35% |
| Planning & Steering | 2.9 | 56% | 37% | 2.8 | 58% | 39% |

Figure 5: Spider Diagram for Cluster 3



In detail, the results of the criteria show the following picture:

Relevance: The average grade in the cluster for the criterion relevance is 1.8; thus, the average grade is better than the average of the total sample (1.9).

| PROJECT TITLE | Appraisal Relevance | Success factors / Critical factors |
|---|---------------------|---|
| 09_II_022 PER A REGENWALDSCHUTZ KFW | 1.7 | <ul style="list-style-type: none"> Potential to avoid the loss of biodiversity Contribution to the international discussions on the definition of REDD mechanisms The project is in line with the climate protection strategy of the government of Peru The project is supported by Peru's Ministry for the Environment (letter of support in project proposal) |

| PROJECT TITLE | Appraisal Relevance | Success factors / Critical factors |
|--|---------------------|---|
| 09_II_038_RUS_M_ALTAI <i>UNDP</i> | 1.8 | <ul style="list-style-type: none"> Exemplary character With the Altai-Sayan region, the project supports an area that is one of the biggest largely pristine natural landscapes and ranks among the most significant regions in terms of biodiversity, according to international criteria. |
| 09_II_032_AZE_K_WIEDERHERSTELLUNG VON WÄLDERN <i>KFW</i> | 2.0 | <ul style="list-style-type: none"> The expected results of the feasibility study include, amongst others, a concept for reforestation in- and outside the Caspian Hyrcanian Forest, a methodology for the quantification of climate impacts, measures for a sustainable energy supply at the household level, as well as proposals for the compliance with (environmental) legislation in the national park. |
| 08_II_030_KAVKAS_K_WIEDERHERSTELLUNG VON WÄLDERN <i>KFW</i> | 2.1 | <ul style="list-style-type: none"> An increase of the pilot forests' capacities to adapt is firmly integrated at the result level of the project The planned CDM measures are the first of their kind in Armenia and Georgia; worldwide, there are also only a few registered CDM (re)forestation projects at the time of application |

Effectiveness: The average grade of the cluster is the same as the average grade of the total sample (2.7).

| PROJECT TITLE | Appraisal Effectiveness | Success factors / Critical factors |
|--|-------------------------|---|
| 08_II_014_GLOBAL_G_CD-REDD <i>GTZ</i> | 1.0 | <ul style="list-style-type: none"> The project had the objective to make developing countries familiar with GHG inventory systems (involving state-of-the-art technology) in order to live up to the UNFCCC's qualitative requirements on the accuracy of data from the forest sector, which are in turn used as basis for successful and exact MRV systems in the implementation of projects. The international workshops were geared to these topics and, according to project reports, they were successfully implemented (plus one additional workshop!). The results were integrated into the practical and political activities of the countries and, in the evaluator's view, they ultimately contributed to the situation that, today, many participating countries have already been able to successfully acquire funds from the World Bank and other financing organisations to initiate the respective national activities. |
| 09_II_019_TUR_G_FEUCHTGEBIETE <i>GTZ</i> | 1.8 | <ul style="list-style-type: none"> The project very effectively and successfully combines capacity building at the national level with the implementation of pilot projects at the local level. Thanks to very good public relations work, the project received a lot of feedback and acceptance. |
| 08_II_028_COG_K_LAC TUMBA <i>KFW</i> | 3.7 | <ul style="list-style-type: none"> The goals defined at the start of the planning phase were not fully achieved. This was mainly due to missing planning and steering capacities The baseline studies (socio-economic studies and situation analysis on biodiversity) do not render relevant information and have to be implemented again / adjusted Some measures not adapted to local conditions |
| 08_II_036_ZMB_M_TROCKENWALDSCHUTZ <i>UNDP</i> | 4.6 | <ul style="list-style-type: none"> The scope of the implemented activities does not suffice to actually achieve the objectives and, thus, achieve and secure the overall result. Moreover, the majority of the already insufficient measures for improving the socio-economic conditions were cancelled because it became clear that insufficient funds had been planned for this area in the project concept (> 40% goal achievement). |

Efficiency: The average grade in the cluster for the criterion efficiency is 2.4; thus, the average grade is better than the average of the total sample (2.6).

| PROJECT TITLE | Appraisal Efficiency | Success factors / Critical factors |
|--|----------------------|---|
| 08_II_014_GLOBAL_G_CD-REDD GTZ | 1.8 | <ul style="list-style-type: none"> The measure could be implemented more cost-efficiently than expected. Internal GIZ costs as well as expenses for the implementation of the workshop could be reduced. BMU ICI funds were saved and paid back. |
| 08_II_061_BRA_G/K_NATURSCHUTZ-GEBIETE GTZ&KFW | 2.0 | <ul style="list-style-type: none"> Thanks to the support in the implementation of the 28 reserves selected by the project, approximately 1.4 Gt CO2 emissions could be avoided, if the IPAM data are taken as basis. This corresponds with an annual avoidance of 34 Mt CO2 emissions. In the evaluator's view, with a financial volume of EUR 5.5 million, an equal emission reduction cannot be achieved through a comparable technology. |
| 08_II_037_ZA_M_FEUCHTGEBIETE UNDP | 3.3 | <ul style="list-style-type: none"> In case of some expenses, it should be questioned whether there would not have been more cost-efficient alternatives. It e.g. remains an open question whether a 10-percent General Management Support (GMS) for UNDP is appropriate in case of such short measures, or whether several procurements of scientific equipment (e.g. 3D scanner for EUR 68,000) were required for achieving the project objective or were the most cost-efficient option. Also, the equipment of four private wine cellars with wind-solar hybrid systems may seem questionable with regard to cost efficiency. |
| 09_II_021_IND_K_KLIMASCHUTZ KFW | 3.4 | <ul style="list-style-type: none"> In the evaluator's view, the financing plan is rather unspecific, i.e. it is not mentioned how many trainings and how many consultancies are supposed to be implemented with the respective sum. Degree of use of output unclear: target groups are wrongly defined in the application: the later target groups, i.e. those after the project / end of the study are mentioned. However, the target groups of these studies are the government institutions. |

Impact: The average grade in the cluster for the criterion impact is 2.4; thus, the average grade is better than the average of the total sample (2.5).

| PROJECT TITLE | Appraisal Impact | Success factors / Critical factors |
|--|------------------|---|
| 08_II_013_CHN_G_KOOPERATIONS-PLATTFORM ÖKOSYSTEME GTZ | 2.0 | <ul style="list-style-type: none"> The project implemented numerous well documented workshops and publications, which is why it can be expected that the respective authority officials will also be able to function as multipliers in the future. According to the project reports, the developed approaches are being used by the respective authorities in the province of Jiangxi. According to the project reports, the methodology developed by the project is being used by another GIZ project in Peru. |
| 09_II_053_TJK_G_FLUSSAUENWÄLDER_THERMOISOLIERUNG WOHNHÄUSER GTZ | 2.0 | <ul style="list-style-type: none"> The capacities of the forestry authority were developed through further training measures and other activities; thus, today, they are much better able to fulfil their tasks. Hence, institutional capacities were developed, which will have a long-term effect. A couple of public relations measures helped to advertise the concept of the Joint Forest Management and receive the necessary support of the population. |
| 09_III_011_IDN_G_TORFWALDGEbiet MERANG GTZ | 3.6 | <ul style="list-style-type: none"> The provision of knowledge alone cannot achieve a satisfactory impact. Since the establishment of a formalised network was not successful, there is no basis or guarantee that sufficient weight will be attributed to the experience generated so that the desired impact will be achieved. |
| 08_II_028_COG_K_LAC TUMBA KFW | 3.7 | <ul style="list-style-type: none"> Population pressure and migration flows lead to traditional adaptation / generation measures becoming less important Training measures of the project made the target group more aware of the severity of the problems and also increased the awareness of possible protective and adaptation measures. However, they have not yet found any working solutions for themselves and can, thus, not serve as multipliers for the adaptation to climate change. Signs of the dependency syndrome due to the ineffectiveness of some measures. |

Sustainability: The average grade in the cluster for the criterion sustainability is 2.7; thus, the average grade is better than the average of the total sample (2.8).

| PROJECT TITLE | Appraisal Sustainability | Success factors / Critical factors |
|--|--------------------------|---|
| 09_II_038_RUS_M_ALTAI UNDP | 1.8 | <ul style="list-style-type: none"> Public authorities provide additional funds for the management of protected areas Ecological, social, institutional and economic risks can practically be ruled out |
| 08_II_055_GLOBAL_A_LIFE WEB CBD SECRETARIAT | 2.0 | <ul style="list-style-type: none"> The Coordination Office of the LifeWeb Initiative still exists and is still active; the internet platform is still being operated The CBD secretariat has sufficient resources. A couple of donors seem to be interested in the follow-up financing. |

| PROJECT TITLE | Appraisal Sustainability | Success factors / Critical factors |
|--|--------------------------|--|
| 08_II_063_CMR_K_TRINATIONALES WALDSCHUTZGEBIET <i>KFW</i> | 3.7 | <ul style="list-style-type: none"> Lack of administrative and financial capacities of national partners In the evaluator's view, it can generally be expected that the Republic of the Congo and the ZAR will continue to only pay for the inadequate basic salaries of the public employees so that all other running costs will still have to be financed mostly externally. Currently, the partners are not yet able to maintain the project results with own resources. High risks, particularly poaching and political situation |
| 09_III_011_IDN_G_TORFWALDGEBIET MERANG <i>GTZ</i> | 5.1 | <ul style="list-style-type: none"> Development of a formalised network not successful Interest of the (Indonesian) partner in REDD is strongly fluctuating Inadequate preparation of emissions trading High risks, particularly pressure on REDD from the indigenous population and international NGOs |

Coherence & coordination: The average grade of the cluster is 2.4, i.e. one tenth lower than the average grade of the total sample (2.3).

| PROJECT TITLE | Appraisal C & C | Success factors / Critical factors |
|---|-----------------|--|
| 08_II_013_CHN_G_KOOPERATIONS-PLATTFORM ÖKOSYSTEME <i>GTZ</i> | 2.0 | <ul style="list-style-type: none"> The project was firmly embedded in other GIZ projects. Members of staff of other GIZ projects took part in the project events on a regular basis. Since the project organised many international workshops and also took part in international climate conferences, good coordination was ensured. |
| 08_II_060_MEX_G_SCHUTZMAßNAHMEN ÖKOSYSTEME <i>GTZ</i> | 2.0 | <ul style="list-style-type: none"> The project is the start of a series of new projects which will be implemented in cooperation with Mexican environmental organisations. Apparently, a common planning framework has been developed in the last couple of years within the context of the projects planned and implemented by GIZ. After the discussions on the ground, it seems that coordination with the Mexican authorities was excellent. |
| 08_II_025_BRA_K_FUNBIO WALDSCHUTZ <i>KFW</i> | 3.5 | <ul style="list-style-type: none"> According to internal information, the concept for the application of funds of AFCOF phase 1 was negotiated by a consultant with no involvement of the MMA, which the final concept was almost imposed on and then had to act as applicant. |
| 08_II_036_ZMB_M_TROCKEN-WALDSCHUTZ <i>UNDP</i> | 3.5 | <ul style="list-style-type: none"> On the basis of the reports, it is to be questioned whether coordination with other federal ministries or donor organisations for ensuring adequate project coherence occurred and whether the principles of donor harmonisation were complied with. No coordination by the BMU and/or the PB accompanying the project implementation. The project was largely implemented independently by the national partners, with little coordination by superior authorities or harmonisation with other sponsors active in the same areas, particularly in the area of carbon monitoring. |

Planning & steering: The average grade in the cluster for the criterion planning & steering is 2.9; thus, the average grade is one tenth below the average of the total sample (2.8).

| PROJECT TITLE | Appraisal P & S | Success factors / Critical factors |
|---|-----------------|--|
| 09_II_032_AZE_K_WIEDERHERSTELLUNG VON WÄLDERN <i>KFW</i> | 2.0 | <ul style="list-style-type: none"> General conditions adequately analysed, particularly against the backdrop of the often difficult cooperation with the MENR Objectives of study realistic Intervention logic clear Operational plan adapted |
| 08_II_026_BLR, UKR_K_RSPB TORFMOORE <i>KFW</i> | 2.1 | <ul style="list-style-type: none"> Standards for planning and steering were largely complied with and the project implementation was adapted to the requirements, as far as necessary A project extension of several months seems justified in light of the ambitious goals |
| 08_II_055_GLOBAL_A_LIFE WEB <i>CBD SECRETARIAT</i> | 3.9 | <ul style="list-style-type: none"> More detailed and thorough analysis of general conditions would have been necessary In the evaluator's view, the target structure in the application is very unclear and does not make any distinctions between activities, outputs, direct impacts and indirect impacts as required by international standards. No operational plan is available Indicators are only measurable to a very limited degree M&E possible with restrictions |
| 08_II_028_COG_K_LAC TUMBA <i>KFW</i> | 4.3 | <ul style="list-style-type: none"> At the end of phase I (after 3 years and 2 months), there is still no operational plan available. Deficient intervention logic Indicators vaguely formulated, with much room for interpretation No M&E system |

4.3 Analysis of Quantitative Evaluation

In what way do the projects summarised under the cluster contribute to the programme objectives of the ICI?

The projects summarised in Cluster 3 include the areas "carbon sinks with REDD relevance", "climate-relevant biodiversity with REDD" and "climate-relevant biodiversity without REDD". Even though the assignment of individual projects to certain thematic areas poses some problems, all projects have in common that they target the protection of biodiversity and, thus, of natural carbon sinks, and therefore make a contribution to combating and adapting to climate change. All projects fit in very well with this comprehensive topic and, thus, their relevance to the ICI is basically given in all cases. Therefore, the projects achieve good scores in this regard, which meet expectations.

REDD projects are funded in countries which do not even participate in the REDD mechanism

Even though the projects are categorised with regard to their **REDD relevance**, no corresponding selective criteria are available. The REDD mechanism (Reducing Emissions from Deforestation and Degradation in Developing Countries) is exclusively aimed at developing countries, and a distinction is made between countries whose national forestry programmes receive direct support and "other partner countries" acting e.g. as observers

in the policy board or as participants in regional workshops. The group of countries supported by the UN REDD programme includes 16 states, the group of "other partner countries" includes 26 states. Additionally, there are the states which do not belong to one of these two categories.

Out of the ICI projects in Cluster 3, six countries take part in the REDD mechanism, namely the Democratic Republic of Congo, Indonesia, Papua New Guinea, the Republic of the Congo, Zambia, and Tanzania. It can be assumed that these projects are supposed to help lay the foundation for REDD in these countries. However, REDD does not actually play a role in the project design of all of these projects.

On the other hand, ICI projects "with REDD relevance" are also implemented in newly industrialising countries such as Brazil, China, and India, or in transformation states such as Azerbaijan, Georgia, and Kazakhstan. All of them are states the REDD mechanism is not primarily aimed at and where the function of the ICI with regard to REDD is not entirely clear.

The fact that a lot of importance was attributed to REDD in the classification of the projects - and thus the project selection - shows that REDD is highly relevant to the goals of the ICI. However, this group of countries is very heterogeneous and for instance also includes countries that already have national REDD programmes, but also those not primarily targeted by REDD. A common factor is not discernible. A strategic approach to this topic by the ICI ("What does the ICI want to achieve with regard to REDD?") was not yet recognisable in the projects from 2008 and 2009.

Table 26: Countries / REDD Status

Thematic classification of the countries in Cluster 3 in comparison with their actual REDD status within the meaning of the UN REDD programme. Countries not participating in this programme which are nevertheless supported by the ICI with reference to REDD are highlighted in colour.

| | Biodiv with REDD | Biodiv without REDD | Sinks with REDD | REDD country | REDD partner |
|------------------------|------------------|---------------------|-----------------|--------------|--------------|
| Armenia | | | x | | |
| Azerbaijan | | | x | | |
| Belarus and Ukraine | | x | | | |
| Brazil (3 projects) | x | | x | | |
| China | | | x | | |
| Congo | x | | | | x |
| Congo, D.R. | | | x | x | |
| Georgia | | | x | | |
| Guyana | | | x | | x |
| India | | | x | | |
| Indonesia (2 projects) | x | | | x | |
| Cameroon | x | | | | |
| Kazakhstan | | | x | | |
| Mexico | | | x | | x |
| Papua New Guinea | | | x | x | |
| Peru (2 projects) | x | | | | x |
| Russia (2 projects) | | x | | | |
| Zambia | | | x | | |
| Suriname | | | x | | |
| South Africa | | x | | | |

| | Biodiv with REDD | Biodiv without REDD | Sinks with REDD | REDD country | REDD partner |
|--------------------------|------------------|---------------------|-----------------|--------------|--------------|
| Tajikistan | | x | | | |
| Tanzania | | | x | | |
| Turkey | | x | | | |
| Turkmenistan | | x | | | |
| Venezuela | | | x | | |
| Central African Republic | x | | | | x |

What are the common features and differences between the projects of the cluster?

All in all, the ratings of the projects in Cluster 3 are highly congruent with those of the total sample. Per criterion, the average values deviate by a few tenths at most and are, thus, not significant.

Out of the 27 projects analysed in this cluster, 24 focus on a clearly limited geographical area: they have the objective to avoid degradation in certain forests, wetlands, or other ecosystems and ensure their permanent conservation. Frequently, these projects combine capacity development and the involvement of the local population with the implementation of specific protective measures (investments).

Three projects go beyond this framework and pursue conceptual, wider goals, such as strengthening the cooperation between science, administration, and the population with regard to the management of protected areas, establishing a worldwide broker mechanism for financing protected areas, or the further development of the REDD instruments.

Can differences in the appraisals between cluster and total sample be explained and, if so, how?

The rating of the individual criteria in the sample largely corresponds with the average of the total sample; the most differences lie in the range of 0.2 evaluation points and are, thus, not statistically relevant. However, it would not be in accordance with reality to draw general conclusions for the project type of Cluster 3.

Which success factors / failure factors are the projects based on?

Planning and steering. The most critical point in the projects of Cluster 3 is definitely the planning and steering of the projects. Well-designed project proposals with a clear underlying project concept also resulted in clearly better results in the implementation and vice versa.

Linking with ongoing projects. Several projects in the cluster were still able to achieve good results in spite of a very narrow time horizon because they were linked to ongoing projects or could draw on established project structures. Even though the visibility of the ICI contribution sometimes suffers in case of these procedures, it still is a good business model for achieving good results in case of pressure with regard to the outflow of funds.

Involvement of project partners. A distinction is to be made between a formal or political coordination with the partner country and an actual integration in terms of project responsibility.

Coordination of the projects between the BMU and the partner governments takes place on a case-by-case basis, e.g. - if available - within the context of bilateral steering committees for cooperation in the environmental sector. There is no standard procedure for coordination; project agreements or comparable binding regulations are not concluded. Ultimately, it is the responsibility of the implementing agencies to officialise the projects. Here, the implementing agencies often make use of the latitude provided by a linking to already running projects.

Often, the involvement of the project partners in the planning process and the project implementation was not satisfactory. Examples of which include:

The individual evaluation of the Chinese-German cooperation platform for the protection of species-rich, carbon-storing ecosystems¹² arrived at the result that the national partner, the Ministry of Environmental Protection, was apparently not involved in the concept development in the planning phase. "A better coordination of the project design with the partner institution MEP would have ensured better support". This may be symptomatic of other projects, too.

The involvement of the partner in the project "Peat swamp forests Merang", Indonesia,¹³ was evaluated similarly. "A joint project implementation is not discernible. Steering activities in cooperation with the partner, to be able to respond to new national decisions, were not planned." In Turkmenistan¹⁴, the project partners were initially not involved in the project steering and showed their disinterest and lack of ownership of the project e.g. through their non-participation in field visits.

Not until the government put pressure on the implementing agencies and local partners in the second half of the project (several projects of other donors were closed at the same time due to "a lack of benefits for Turkmenistan") did the situation improve.

In only few cases in this cluster did the implementing agencies hand over the project implementation to national/local public or semi-governmental institutions. This includes e.g. the project "Reduction of emissions from deforestation through the protection of forest ecosystems in Amazonia", where KfW signed an implementation contract with the Peruvian protected area fund PROFONANPE. In Brazil, KfW also handed over the project implementation to the Brazilian Fund for Biodiversity (FUNBIO). In Peru, GIZ closely cooperates with the national protected area administration CONANP.

Ultimately, the impression prevails that, in this cluster, the project proposals are drawn up by the implementing agencies with only little involvement of partners and that the partners are often not sufficiently involved in the implementation (there are also no funds available for project review and

¹² 08_II_013_CHN_G_Kooperationsplattform Ökosysteme

¹³ 09_III_011_IDN_G_Torfwaldgebiet Merang

¹⁴ 08_II_034_TKM_G_Waldbewirtschaftung

preparation, for instance). This often resulted in a low project ownership - apparently especially in the first years of the ICI - with all known consequences with regard to impact and sustainability.

Within this context, the Paris Declaration of Aid Effectiveness (2005) should also be mentioned, which was also signed by Germany and in which donor and developing countries agreed that partner countries are in charge of and responsible for every development process and that donor countries respect this leadership role. Since ICI projects also count as ODA (ODA eligibility of the proposals is an important selection criterion), these provisions are binding.

NGOs as project implementers. The ICI is open to different protagonists from Germany and abroad. Funded are projects of federal implementing agencies, public organisations, non-governmental organisations, private enterprises, universities and research institutes, as well as international and multilateral organisations and institutions, such as development banks, UN organisations and programmes, which are implemented in partner countries. In case of Cluster 3, 74% of all projects were implemented by KfW and GIZ, the remaining 26% by multilateral organisations. National and international NGOs, for instance, did not play a role here - in contrast to other clusters.

On the other hand, NGOs frequently act as executive organisations under the umbrella of the KfW: Royal Society for the Protection of Birds (RSPB), WWF, Conservation International (CI), or Woodland Park Zoo (WPZ) can be named as examples. Within the context of the individual project evaluations, it was not analysed in detail which tasks of project steering and quality assurance are assumed by KfW.

It could not be logically reconstructed under which conditions e.g. international NGOs directly act as implementing agencies of the ICI (e.g. The Nature Conservancy in Cluster 4) and when they act as executive organisations contracted by KfW. These questions also need to be clarified with regard to aspects of efficiency as part of the programme evaluation.

Are there regional specifics which contribute to the success/failure of a project and should be considered in the planning?

Regional specifics which contributed to the success or failure of a project could not be identified. The results of projects implemented in transformation states (Azerbaijan, Kazakhstan, Caucasus states, Russian Federation, Tajikistan, Turkmenistan) do not differ from the other projects either, i.e. no results are recognisable which could be traced back to regional specifics.

What statements can be made with regard to the influence on international climate negotiations?

The majority of projects were national measures with no immediate impact on the international negotiation process. An exception is the project for the rewetting of peat bogs in Belarus, which developed provisions for voluntary carbon trading, which Belarus also introduced into the international negotiation process.

As a global project, the LifeWeb Initiative should also be mentioned. Even though it did not have a direct influence on climate negotiations, it made a contribution to the further development of the financing instruments of the Convention on Biological Diversity and the implementation of the Strategic Plan of the CBD.

5 CLUSTER 4: ADAPTATION TO CLIMATE CHANGE

5.1 Cluster Description

**Description
Cluster 4**

In the area of adaptation, parts of suitable national programmes for the adaptation to climate change (on the basis of the national or regional strategies, NAPAs) are implemented in selected partner countries which are particularly vulnerable to climate change. Ideally, an integrated approach is to be chosen in order to target more than one aspect of adaptation, such as water resource management, optimised land use planning, sustainable biomass production, health, but also disaster risk management and migration.

All projects from the thematic project categories "adaptation strategies", "ecosystem-based land use systems", and "insurance solutions" are contained in Cluster 4. Out of the 20 projects assigned to Cluster 4, the category adaptation strategies is far ahead with 16 projects, the two other categories are accordingly poorly represented.

**Unclear distinction
from Cluster 3**

There is a particularly unclear distinction between this cluster and Cluster 3 "biodiversity and carbon sinks". No clear distinction can be deduced from the definition and project contents. Generally, Cluster 3 also targets aspects of adaptation. Moreover, the term "adaptation strategies" was interpreted rather broadly in Cluster 4. Not all projects mainly focus on adaptation strategies; some are basically implementation projects benefitting adaptation in the broadest sense.

5.2 Quantitative Evaluation of the Cluster

5.2.1 Evaluation according to project categories

**Methodological
distribution of
projects**

Table 27 shows the project distribution by methodological project category. Out of the 20 projects in Cluster 4, two (10%) are implementation projects and 5 (25%) are policy consultancy projects. The majority of projects (17, 65%) are capacity development measures.

Table 27: Distribution by Methodological Project Category (Cluster 4)

| METHODOLOGICAL PROJECT CATEGORY | Cluster 4 | | Total sample | |
|---------------------------------|-----------|-------------|--------------|-------------|
| | Projects | % | Projects | % |
| Implementation | 2 | 10% | 27 | 23% |
| Capacity development | 13 | 65% | 65 | 57% |
| Policy consultancy | 5 | 25% | 22 | 19% |
| Financing instruments | 0 | 0% | 1 | 1% |
| TOTAL | 20 | 100% | 115 | 100% |

Thematic distribution of projects

Table 28 shows the thematic distribution of the cluster. 16 out of the 20 projects (80%) fall into the category "adaptation strategies". 3 projects (15%) focus on ecosystem-based land use systems, and only one project (5%) deals with insurance solutions.

Further, Table 28 shows the thematic distribution of the funds of the projects in the cluster and of the total sample. It is largely in line with the distribution of the number of projects, with the adaptation strategy measures being slightly more cost-efficient in comparison.

Table 28: Distribution by Thematic Project Category (Cluster 4)

| THEMATIC PROJECT CATEGORY | Cluster 4 | | | | Total sample | | | | Share of Cluster 4 in total sample | |
|--|-----------|-------------|-------------------|-------------|--------------|-------------|--------------------|-------------|------------------------------------|------------|
| | Projects | % | € | € in % | Projects | % | € | € in % | Projects | € in % |
| Waste | 0 | 0% | 0 | 0% | 2 | 2% | 6,700,000 | 4% | 0% | 0% |
| Energy efficiency | 0 | 0% | 0 | 0% | 13 | 11% | 7,893,723 | 4% | 0% | 0% |
| Energy efficiency / Renewable energies | 0 | 0% | 0 | 0% | 5 | 4% | 7,213,677 | 4% | 0% | 0% |
| Renewable energies | 0 | 0% | 0 | 0% | 11 | 10% | 26,484,531 | 14% | 0% | 0% |
| Climate policy | 0 | 0% | 0 | 0% | 16 | 14% | 23,003,153 | 12% | 0% | 0% |
| Climate-relevant GHG | 0 | 0% | 0 | 0% | 6 | 5% | 10,277,059 | 6% | 0% | 0% |
| Carbon trading / Emissions market | 0 | 0% | 0 | 0% | 13 | 11% | 13,993,521 | 8% | 0% | 0% |
| Transport | 0 | 0% | 0 | 0% | 2 | 2% | 707,782 | 0% | 0% | 0% |
| Adaptation strategies | 16 | 80% | 20,871,579 | 71% | 16 | 14% | 20,871,599 | 11% | 100% | 100% |
| Climate-relevant biodiversity without REDD | 0 | 0% | 0 | 0% | 7 | 6% | 15,814,158 | 8% | 0% | 0% |
| Climate-relevant biodiversity with REDD | 0 | 0% | 0 | 0% | 7 | 6% | 13,614,507 | 7% | 0% | 0% |
| Carbon sinks with REDD relevance | 0 | 0% | 0 | 0% | 13 | 11% | 30,939,268 | 17% | 0% | 0% |
| Ecosystem-based land use systems | 3 | 15% | 6,008,691 | 20% | 3 | 3% | 6,008,691 | 3% | 100% | 100% |
| Insurance solutions | 1 | 5% | 2,646,191 | 9% | 1 | 1% | 2,646,191 | 1% | 100% | 100% |
| TOTAL | 20 | 100% | 29,526,461 | 100% | 115 | 100% | 186,167,840 | 100% | 17% | 16% |

Geographical distribution of projects and funds

The projects of Cluster 4 are spread across all regions of the ICI except for the Middle East (see Table 29). It seems remarkable that Africa remains underrepresented with 2 projects in the area of adaptation. Asia and Europe/Caucasus/Central Asia are represented best with 7 or 8 projects. 2 projects are global, one measure was implemented in Central & South America.

The geographical distribution of the funds in the cluster only slightly differs from the distribution of the number of projects. However, a shift of the financing in favour of Asia is discernible, while the financial volume of the region Europe, Caucasus, and Central Asia lags behind the percentage distribution of the projects.

Table 29: Geographical Distribution of the Projects & Funds (Cluster 4)

| REGION | Cluster 4 | | | | Total sample | | | |
|---------------------------------|-----------|-------------|-------------------|-------------|--------------|-------------|--------------------|-------------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| Africa | 2 | 10% | 2,330,000 | 8% | 17 | 15% | 29,109,069 | 16% |
| Asia | 7 | 35% | 13,908,698 | 47% | 32 | 28% | 52,543,019 | 28% |
| Europe, Caucasus & Central Asia | 8 | 40% | 8,412,579 | 28% | 33 | 29% | 47,871,536 | 26% |
| Central & South America | 1 | 5% | 1,011,241 | 3% | 17 | 15% | 34,898,370 | 19% |
| Middle East | 0 | 0% | 0 | 0% | 2 | 2% | 2,208,732 | 1% |
| Global | 2 | 10% | 3,863,943 | 13% | 14 | 12% | 19,537,114 | 10% |
| TOTAL | 20 | 100% | 29,526,461 | 100% | 115 | 100% | 186,167,840 | 100% |

Project periods

Table 30 shows the periods of the projects in the cluster. It suggests that, compared to the total sample, it contains a greater number of projects with longer project periods of more than 3 years. This also reflects the complexity and long-term nature of adaptation projects.

Table 30: Distribution by Project Period (Cluster 4)

| PERIOD | Cluster 4 | | Total sample | |
|-------------------|-----------|-------------|--------------|-------------|
| | Projects | % | Projects | % |
| Less than 2 years | 4 | 20% | 39 | 34% |
| 2 - 3 years | 5 | 25% | 33 | 29% |
| More than 3 years | 11 | 55% | 43 | 37% |
| TOTAL | 20 | 100% | 115 | 100% |

Distribution by financial volume

Table 31 shows the distribution of the projects in the cluster and the overall programme by financial volume. With 75%, the share of projects with a greater financial volume of more than € 1 million is even higher than in the total sample.

Table 31: Distribution by Financial Volume (Cluster 4)

| FINANCIAL VOLUME | Cluster 4 | | Total sample | |
|-----------------------|-----------|-------------|--------------|-------------|
| | Projects | % | Projects | % |
| 0 - 499,999 | 1 | 5% | 30 | 26% |
| 500,000 - 999,999 | 4 | 20% | 15 | 13% |
| 1,000,000 - 2,999,999 | 15 | 75% | 58 | 50% |
| 3,000,000 and more | 0 | 0% | 12 | 10% |
| TOTAL | 20 | 100% | 115 | 100% |

Distribution by beneficiaries

With regard to the beneficiaries, GIZ ranks first with 8 projects and is, thus, overrepresented in the adaptation area with 40% of the projects, compared to the total sample (35%). A total of 7 projects are implemented by the WHO on the basis of one single project approach for the adaptation of health to climate change in different countries. Additionally, 3 NGOs, the PIK, and the UBA are represented as institutional implementers. The funds are distributed as follows: 50% for GIZ, 24% for WHO, 16% for NGOs, and 9% for institutional implementing agencies.

Table 32: Distribution by Beneficiary (Cluster 4)

| BENEFICIARY | Cluster 4 | | | | Total sample | | | |
|---------------------|-----------|-------------|-------------------|-------------|--------------|-------------|--------------------|-------------|
| | Projects | % | € | € in % | Projects | % | € | € in % |
| GIZ | 8 | 40% | 14,753,724 | 50% | 43 | 37% | 82,886,846 | 45% |
| KfW | 0 | 0% | - | 0% | 13 | 11% | 29,984,284 | 16% |
| UN organisations | 7 | 35% | 7,087,556 | 24% | 19 | 17% | 29,780,412 | 16% |
| Private enterprises | 0 | 0% | - | 0% | 11 | 10% | 12,338,002 | 7% |
| International NGOs | 2 | 10% | 4,672,888 | 16% | 8 | 7% | 7,978,333 | 4% |
| German NGOs | 1 | 5% | 134,025 | 0% | 3 | 3% | 3,224,025 | 2% |
| Institutes | 1 | 5% | 1,867,027 | 6% | 6 | 5% | 7,752,768 | 4% |
| Others | 1 | 5% | 1,011,241 | 3% | 4 | 3% | 6,070,537 | 3% |
| dena | 0 | 0% | - | 0% | 4 | 3% | 785,477 | 0% |
| EBRD | 0 | 0% | - | 0% | 4 | 3% | 5,367,156 | 3% |
| TOTAL | 20 | 100% | 29,526,461 | 100% | 115 | 100% | 186,167,840 | 100% |

5.2.2 Evaluation according to evaluation criteria

Grades very similar to total sample

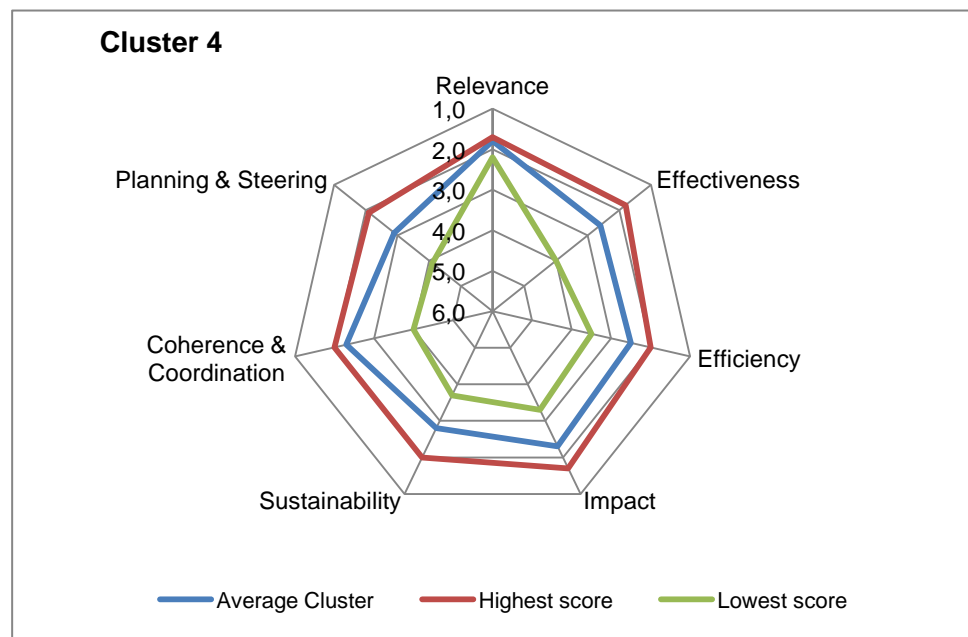
On the whole, the results of Cluster 4 closely conform to the total sample (Table 33). Deviations of up to one tenth are not regarded as relevant, while 4 of the 7 criteria show a positive trend. In one criterion, there is a slightly stronger deviation: in the cluster, the impact lies 0.2 points above

the overall average, which is partly due to the positive performance of all WHO health projects, but also due to other effective project approaches.

Table 33: Comparison of Evaluation Criteria (Cluster 4)

| CRITERION | Cluster 4 | | | Total sample | | |
|--------------------------|-----------|-----------|-----------|--------------|-----------|-----------|
| | Ø | % above Ø | % below Ø | Ø | % above Ø | % below Ø |
| Relevance | 1.8 | 50% | 25% | 1.9 | 63% | 34% |
| Effectiveness | 2.6 | 60% | 30% | 2.7 | 56% | 42% |
| Efficiency | 2.5 | 55% | 45% | 2.6 | 58% | 36% |
| Impact | 2.3 | 45% | 45% | 2.5 | 61% | 35% |
| Sustainability | 2.8 | 45% | 45% | 2.8 | 52% | 42% |
| Coherence & Coordination | 2.3 | 60% | 40% | 2.3 | 65% | 35% |
| Planning & Steering | 2.9 | 55% | 45% | 2.8 | 58% | 39% |

Figure 6: Spider Diagram for Cluster 4



In detail, the results of the criteria show the following picture:

Relevance: The average grade in the cluster for the criterion relevance is 1.8; thus, the average grade is better than the average of the total sample (1.9).

| PROJECT TITLE | Ap-praisal Rele-vance | Success factors / Critical factors |
|--|-----------------------|---|
| 08_II_017_ASIA_A_MARINESCHUTZ-GEBIETE <i>THE NATURE CONSERVANCY - CORAL TRIANGLE CENTER</i> | 1.7 | <ul style="list-style-type: none"> Designation of protected areas as contribution to the conservation of biodiversity Innovative approach Conformity of Coral Triangle Initiative with national policies of the partner countries Full appreciation of ministries |
| 08_II_046_GLOBAL_G_GSAI <i>GTZ</i> | 1.7 | <ul style="list-style-type: none"> Contribution to climate protection regime Conservation of biodiversity (through information platform) Technically innovative character |
| 08_II_007_UZB_M_GESUNDHEITLICHE ANPASSUNG <i>WHO</i> | 2.1 | <ul style="list-style-type: none"> The project offers models for the adaptation to climate change, which have a pilot character and potential for replication. It contributed to the development of international climate protection regulations and was presented at international UNFCCC meetings |
| 08_II_047_IND_A_KATASTROPHEN-PRÄVENTION HIMALAJA <i>DEACONRY EKD</i> | 2.2 | <ul style="list-style-type: none"> The concept presented in the project application is a model that can be replicated since it is tailored to local contexts Improved adaptation capacities through the promotion of adaptation strategies The appreciation of the project prior to its start is difficult to assess. No letter of support was made available to the evaluator. After further inquiries to the DKH, still no clear answer is possible. |

Effectiveness: The average grade in the cluster for the criterion effectiveness is 2.6; thus, the average grade is better than the average of the total sample (2.7).

| PROJECT TITLE | Appraisal Effective-ness | Success factors / Critical factors |
|---|--------------------------|---|
| 08_II_047_IND_A_KATASTROPHEN-PRÄVENTION HIMALAJA <i>DEACONRY EKD</i> | 1.8 | <ul style="list-style-type: none"> All planned outputs for the achievement of the project objective were achieved and, in case of the planned number of villages (component 2), even exceeded The cooperation with the local main implementing agency Navdanya Trust and the Women's Alliance made it possible to achieve the project objectives. |
| 09_II_011_COMIFAC_G_KLIMAWANDEL <i>GTZ</i> | 2.0 | <ul style="list-style-type: none"> In practice, the degree of goal achievement is difficult to measure on the basis of the indicators. Moreover, the present project partly offered ground-breaking scientific work. For these reasons, an exact assessment of the degree of goal achievement is difficult. At the moment, there are no indicators of a possible non-achievement of planned measures and interim results. After the consolidation of the cooperation between GIZ and the scientific partners on the one hand and the project, COMIFAC, CICOS, and the subordinated institutions on the other, it is likely that the objective will be achieved, according to the evaluator. |

| PROJECT TITLE | Appraisal Effectiveness | Success factors / Critical factors |
|---|-------------------------|--|
| 08_II_006_TJK_M_GESUNDHEITLICHE ANPASSUNG <i>WHO</i> | 3.6 | <ul style="list-style-type: none"> Objectives only partly achieved, e.g.: "Improving the security of the water supply for healthcare facilities through cost-efficient technologies". This goal was changed in the course of the project. Instead of healthcare facilities, the focus is now on small-scale water systems in rural villages. This is a change of focus that can hardly be justified or understood. |
| 08_II_020_CHN_G_WETTER-VERSICHERUNG <i>GTZ</i> | 4.0 | <ul style="list-style-type: none"> It is not sure whether the objective to offer economically viable products in the weather insurance sector can be achieved by March 2012, and it remains very unclear whether the customers/farmers will use this project. The project was only successful in the area of policy consultancy (a goal not included in the original definition) |

Efficiency: The average grade in the cluster for the criterion efficiency is 2.5; thus, the average grade is better than the average of the total sample (2.6).

| PROJECT TITLE | Appraisal Efficiency | Success factors / Critical factors |
|--|----------------------|--|
| 08_II_057_VNM_G_FEUCHTGEBIETE BAC LIEU <i>GTZ</i> | 2.0 | <ul style="list-style-type: none"> In the evaluator's view, project costs are relatively low in light of the great economic risks in case the mangrove belt would be lost (cost of dam building much higher; thousands of people lose their livelihood) On the one hand, the outputs of the project are actively being used by the local population (e.g. shrimps farmers) and, on the other hand, the mediators (above all, the Department for Forest Protection) accept the educational and training facilities with great interest (on-site evaluation) |
| 08_II_010_GEO_G_REHABILITIERUNG DEGRADIERTER LANDSCHAFTEN <i>GTZ</i> | 2.0 | <ul style="list-style-type: none"> Today, peasants already suffer considerable economic losses due to wind erosion, which is increased by the lack (deforestation!) of shelter belts. Due to climate change, these effects will further increase. The project's adaptation measures certainly constitute an economically attractive alternative. According to project reports, the outputs immediately initiated by the project are being used |
| 08_II_001_KAZ_M_GESUNDHEITLICHE ANPASSUNG <i>WHO</i> | 3.0 | <ul style="list-style-type: none"> If the measures implemented to date are set in relation to the used budget, it can be concluded that the measures have generally been cost-efficient up to now. Due to the considerable delays in the implementation, it is still difficult to make a final assessment of the degree of use of the project outputs by the target group/mediators. |
| 08_II_017_ASIA_A_MARINESCHUTZ-GEBIETE <i>THE NATURE CONSERVANCY - CORAL TRIANGLE CENTER</i> | 3.4 | <ul style="list-style-type: none"> Relatively low cost-efficiency due to the distribution of the project among two countries; double overhead costs due to acceptance of overheads, even for subcontractors (e.g. WWF); relatively high own staff costs Several measures are not required for achieving the project objective. Examples: genetic examination of fish larvae, studies on income-generating activities without practical relevance. The degree of use of several studies is not very high (e.g. income-generating measures, see above; adaptation study; zoning study only implemented after the establishment of the Savu Sea MPS) |

Impact: The average grade in the cluster for the criterion impact is 2.3; thus, the average grade is better than the average of the total sample (2.5).

| PROJECT TITLE | Appraisal Impact | Success factors / Critical factors |
|--|------------------|---|
| 08_II_052_LDCS_A_A NALYT UNTERSTÜTZUNG FÜR LDCS <i>PIK</i> | 1.7 | <ul style="list-style-type: none"> According to the final report, AOSIS and LDC negotiators always emphasised that PREVENT had changed their modus operandi and, thus, they acted more effectively and more confidently. It can be expected that the 250 to 300 reached AOSIS and LDC negotiators will also act as multipliers for climate protection issues in the future. In its present form, PREVENT can also support AOSIS and LDC in future rounds of negotiations, in the evaluator's view. |
| 08_II_002_ALB_M_ GESUNDHEITLICHE ANPASSUNG <i>WHO</i> | 2.0 | <ul style="list-style-type: none"> It can be assumed that the target groups reached by the project are informed and able to reduce health risks of climate change through their own behaviour. Thanks to the achieved project results, the target groups were enabled to act as multipliers for awareness-raising. The experience gained in this project was shared with the other 6 countries involved in the WHO seven-country initiative. |
| 08_II_005_RUS_M_ GESUNDHEITLICHE ANPASSUNG <i>WHO</i> | 2.9 | <ul style="list-style-type: none"> It seems questionable whether healthcare personnel is an appropriate group of multipliers or whether other target groups such as experts in the field of communication science or journalists would have been a better choice. |
| 08_II_015_THA_G_ NATURBEZOGENER TOURISMUS <i>GTZ</i> | 3.3 | <ul style="list-style-type: none"> The project promoted the subject area of climate change and tourism and made many people involved for the first time aware of this topic. However, the measures, even as models, have not yet resulted in any specific reduction of climate-damaging gases. |

Sustainability: The average grade of the cluster for the criterion sustainability is 2.8, as is the case for the total sample.

| PROJECT TITLE | Appraisal Sustainability | Success factors / Critical factors |
|--|--------------------------|--|
| 08_II_004_MKD_M_ GESUNDHEITLICHE ANPASSUNG <i>WHO</i> | 2.0 | <ul style="list-style-type: none"> The Macedonian government recognises the significance of climate change. A national plan for the adaptation of the healthcare sector to climate change was prepared along with an action plan and was adopted by the government in February 2011. The improved adaptation of healthcare facilities to climate-related challenges and the increased awareness of the adaptation to climatic changes among the population are core elements thereof. |
| 08_II_009_BRA_A_ CENTRO KLIMA <i>UBA</i> | 2.1 | <ul style="list-style-type: none"> At the local level, approximately 70% of the involved small farmers are using the irrigation systems acquired with the help of micro credits for diversified cultivation. At the regional level, the communication structures and networks of the Adapta Sertão Initiative are maintained and actively working. The work of Centro Clima of the University of Rio de Janeiro for the systemisation of best practices for climate change adaptation is being continued; inputs for the relevant national policies and strategies in this area are continued to be provided. |

| PROJECT TITLE | Appraisal Sustainability | Success factors / Critical factors |
|---|--------------------------|---|
| 08_II_001_KAZ_M_GESUNDHEITLICHE ANPASSUNG <i>WHO</i> | 3.5 | <ul style="list-style-type: none"> According to the evaluator, the communication and cooperation structures that have not yet been firmly established cannot fully meet the expectations with regard to sustainability yet. A continuation of the project results with own resources is only possible as long as the topic remains high up on the political agenda. High institutional risks |
| 08_II_046_GLOBAL_G_GSAI <i>GTZ</i> | 3.7 | <ul style="list-style-type: none"> Growing competition As also mentioned in the final report, it has still not been possible to develop a long-term financing and operating concept. The current operators of the platform are dependent on the project financing, i.e. external financing, and cannot maintain the platform with own resources. |

Coherence & coordination: The average grade of the cluster for the criterion coherence & coordination is 2.3, as is the case for the total sample.

| PROJECT TITLE | Appraisal C & C | Success factors / Critical factors |
|---|-----------------|---|
| 08_II_049_PHL_G_ANPASSUNGS-STRATEGIE UND BIODIV FONDUS <i>GTZ</i> | 2.0 | <ul style="list-style-type: none"> At the national level, close coordination with other donors was ensured CCBio led the way, initially supported the coordination between donors Very close coordination of German EZ on the ground through short distances and complementarity |
| 08_II_057_VNM_G_FEUCHTGEBIETE BAC LIEU <i>GTZ</i> | 2.0 | <ul style="list-style-type: none"> Integration into comprehensive programme on NRM in the Mekong Delta. Good coordination with BMZ, AUSAID, and others Meeting of all projects on the ground once a month; additionally, bilateral meetings with other projects |
| 08_II_015_THA_G_NATURBEZOGENER TOURISMUS <i>GTZ</i> | 3.0 | <ul style="list-style-type: none"> Hardly any cooperation with PEEK project (also funded by the ICI, implemented by UNWTO, very similar goals) |
| 08_II_047_IND_A_KATASTROPHEN-PRÄVENTION HIMALAJA <i>DEACONRY EKD</i> | 4.0 | <ul style="list-style-type: none"> According to the implementing agency, no coordination with other donors occurred in addition to the local coordination of measures with the partner organisation. It was not analysed to what extent other donors are already active in the region/sector. |

Planning & steering: The average grade in the cluster for the criterion planning & steering is 2.9; thus, the average grade is one tenth below the average of the total sample (2.8).

| PROJECT TITLE | Appraisal P & S | Success factors / Critical factors |
|--|-----------------|---|
| 08_II_057_VNM_G_FEUCHTGEBIETE BAC LIEU GTZ | 2.1 | <ul style="list-style-type: none"> The project could be built upon the experience of the GIZ in the sector as well as the Delta region The project is based upon a well-elaborated operational plan, which is also the basis of a monitoring system Indicators are quantified |
| 08_II_046_GLOBAL_G_GSAI GTZ | 2.2 | <ul style="list-style-type: none"> General conditions adequately analysed No formal operational plan is available, but a project description based upon GIZ standards which describes the intervention logic in a consistent manner. Indicators are available at the output level and the level of the use of outputs (direct impact). Partly, the parameters are not quantified The M&E system was used for the project development and the reporting and provided relevant information for performance review |
| 08_II_003_KGZ_M_GESUNDHEITLICHE ANPASSUNG WHO | 4.0 | <ul style="list-style-type: none"> Goals not clearly formulated Content differences between the project reports and the project application give reason to assume that no strict operational plan with clearly defined measures is available. Some points in the project application can be regarded as indicators, but they do not provide information on quantity, quality and time. Confusing M&E structure |
| 08_II_006_TJK_M_GESUNDHEITLICHE ANPASSUNG WHO | 4.1 | <ul style="list-style-type: none"> Risk was identified, but wrongly assessed Coordination efforts underestimated Only some stated goals are realistically formulated. During implementation, one essential goal had to be changed Unclear intervention logic No indicators Existence of an M&E system unclear |

5.3 Analysis of Quantitative Evaluation

In what way do the projects summarised under the cluster contribute to the programme objectives of the ICI?

Contribution to the ICI and climate negotiations

With a total of approximately € 29.5 million, the contribution of the ICI in the adaptation area accounts for about 16% of the funds of the total sample. This is roughly also the proportional share of the number of projects (17%).

A very prominent area is the adaptation of health to climate change in Europe/Caucasus. Further, one project in the area of insurance solutions stands out as pilot project addressing a special aspect of insurance solutions which achieved special visibility. With two projects on integrated adaptation strategy and policy consultancy (Philippines and Mali), the projects in this area also provided experience on integrated consultancy work in the adaptation area at the national level. A further special area is covered by 3 projects in Asia addressing coastal protection and marine protected areas. Further, special mention must be made of two important initiatives for im-

proved knowledge management, access to information, and scientific analyses at the global level.

However, taking a look at the overall picture, it cannot be stated that the overall contribution of the ICI resulted in measurable adaptation effects achieved by the projects. This reflects the difficulty of the ICI to formulate specific and realistic expectations with regard to objectives and impacts, especially in the adaptation area. However, particularly at the start of the programme in 2008, the ICI was not the only one dealing with this problem. Since that time, the dialogue in the adaptation area at the international level has been further developed.

What are the common features and differences between the projects of the cluster?

Common features and differences

The common features of the projects in the adaptation area are the high complexity of adaptation problems, the difficulty to define a target-oriented intervention logic and the respective, consistently required multi-sector and integrated approaches of project intervention.

The different selected approaches could not be much more diverse, while particularly the successful approaches could be termed "integrated" in the broadest sense. Integrated approaches are indeed necessary to take into account the initially mentioned complexity of problems.

A special case are the projects addressing health-related adaptation. All 7 projects are principally based on the same approach and proceed very similarly in the countries and were also successful in terms of the integrated approach.

A common problem is the necessity of longer project periods. With 55% of the projects having a project period of more than 3 years, an above-average number of projects in this area was already planned with a longer time frame or is only achievable through extensions.

Significant differences to other clusters in the evaluation of results are not recognisable.

Can differences in the appraisals between cluster and total sample be explained and, if so, how?

Higher requirements on planning & steering

It is not possible to statistically deduce verified reasons for the differences in the evaluation. However, adaptation projects seem to establish stricter requirements for planning and steering due to their complexity. This finding is also largely in accord with the analysis of capacity development measures in Cluster 1, which found that such projects have stricter requirements on the analysis of baseline conditions.

Which success factors / failure factors are the cluster's projects based on?

Critical factors and learning experiences

As in all other areas, critical factors are the thorough analysis of general conditions, a stringent project planning in terms of a coherent intervention logic, as well as the selection and involvement of the partners on the ground. However, some success factors apply particularly to the adaptation area:

- Only those implementing agencies with relevant previous experience with the topic and the country are able to ensure a good analysis of the complex framework conditions for ecological, socio-economic, and institutional adaptation.
- The ownership of the partners and the target groups on the ground is greatest where climate change is already visible and the target group is obviously affected.
- Special flexibility is required in planning and steering. Thus, the need for steering is usually great and the application of suitable planning and steering instruments is an absolute necessity.

Are there regional specifics which contribute to the success/failure of a project and should be considered in the planning?

The majority of projects in the adaptation area were implemented in the region Europe/Caucasus, though this is due to the regional approach that was pursued for the promotion of 7 similar projects in the area of health-related adaptation. Another focus is Asia with 7 projects. Only 2 projects were implemented in Africa, which can be regarded as very small number in light of the enormous challenges on the African continent. Regional common features and differences are certainly recognisable in the thematic focuses of the regions, but no significant regional differences are discernible in the evaluation result and the success factors.

What statements can be made with regard to the influence on international climate negotiations?

Besides the exemplary implementation of complex, integrated consultancy approaches in the adaptation area, it were particularly the global projects "CI-GRASP" (GIZ) with an Internet-based information platform and the "Analytical support for climate negotiations" implemented by PIK, which made a special contribution within the context of the international policy dialogue.

Which recommendations for the further development of the cluster and the ICI can be deduced?

The following points, which are common features of the promising approaches, emerge as important learning experiences and recommendations for the further development of the ICI in the adaptation area:

- The ICI's expectations with regard to objectives and impacts must be specified for the adaptation area in order to guarantee a measurable impact at the programme level.
- Particularly successful were approaches which are based on a secure information base and follow a sequential approach: analysis/prognosis - recommendation/consultancy - implementation. A particularly good combination seems to be a scientific analysis with applied processing of information and, on this basis, consultancy and implementation.

- Complex consultancy and implementation projects should necessarily be integrated into the framework of the respective national adaptation strategy and planning since, all too often, singular approaches in the adaptation area fail to take effect. Multi-sector approaches can only be successful in case of their integration into policies at a correspondingly high level.
- The skilful combination of policy consultancy and capacity development with components with an exemplary/pilot character is very promising with regard to local embedding. In case of exemplary/pilot projects, coherence with the overall project concept and a stringent project selection strategy must absolutely be ensured in order to achieve the desired demonstration effect and increase the potential for upscaling.
- The complexity of adaptation projects can only be taken into account with longer project periods, plannable right from the outset.

6 CLUSTER 5: REGIONAL CLUSTER

Cluster 5 is in line with the basic population of evaluated projects.

Minor regional differences

Only minor differences between the regional clusters are recognisable on the basis of the individual results. Projects in Africa, for instance, show rather poor results and projects in Asia rather good results.

Table 34: Results by Regions

| Criteria | Ø Africa | Ø Asia | Ø Europe / Caucasus / Central Asia | Ø Central & South America | Ø Total sample |
|--------------------------|-------------|-------------|------------------------------------|---------------------------|----------------|
| Relevance | 2.0 | 1.8 | 2.0 | 2.0 | 1.9 |
| Effectiveness | 3.1 | 2.7 | 2.7 | 2.8 | 2.7 |
| Efficiency | 2.9 | 2.5 | 2.5 | 2.6 | 2.6 |
| Impact | 2.7 | 2.4 | 2.5 | 2.6 | 2.5 |
| Sustainability | 3.2 | 2.8 | 2.8 | 2.8 | 2.8 |
| Coherence & coordination | 2.6 | 2.2 | 2.2 | 2.5 | 2.3 |
| Planning & steering | 3.1 | 2.8 | 2.7 | 2.7 | 2.8 |
| Total | 19.6 | 17.2 | 17.4 | 18.0 | 17.6 |

However, the differences are not so strong that one could draw any conclusions on their basis. The differences in the evaluation are rather attributable to the following reasons:

- The number of projects in Africa is relatively small (n=17)
- The positive results for the region Asia are strongly influenced by the very good average rating of project results in China, which account for a large share (14 out of 32 projects); without China, Asia would show an average result.
- For the most part, the reasons for positive / negative deviations from the average in Asia / Africa are not to be found in regional socio-economic particularities.
- The poor performance of projects in Africa is rather due to shortcomings in the project planning, which also results in rather poor results with regard to the effectiveness of these projects.
- The below-average evaluation of the criterion sustainability in Africa was mainly caused by a lack of or limited financial resources.

7 SUMMARY OF RESULTS AND CONCLUSIONS

7.1 Summary of Results

No differences between thematic clusters

No significant differences between the thematic clusters are recognisable on the basis of the individual results, as shown in the following table:

Table 35: Comparison of Cluster Results

| Criteria | Ø Cluster 1 | Ø Cluster 2 | Ø Cluster 3 | Ø Cluster 4 | Ø Cluster 6 | Ø Total sample |
|--------------------------|-------------|-------------|-------------|-------------|-------------|----------------|
| Relevance | 1.9 | 2.0 | 1.8 | 1.8 | 2.0 | 1.9 |
| Effectiveness | 2.7 | 2.7 | 2.7 | 2.6 | 2.6 | 2.7 |
| Efficiency | 2.6 | 2.6 | 2.4 | 2.5 | 2.6 | 2.6 |
| Impact | 2.5 | 2.5 | 2.4 | 2.3 | 2.4 | 2.5 |
| Sustainability | 2.8 | 2.8 | 2.7 | 2.8 | 2.8 | 2.8 |
| Coherence & coordination | 2.3 | 2.3 | 2.4 | 2.3 | 2.3 | 2.3 |
| Planning & Steering | 2.8 | 2.7 | 2.9 | 2.9 | 2.7 | 2.8 |
| Total | 17.6 | 17.6 | 17.3 | 17.2 | 17.4 | 17.6 |

The small differences in the evaluation results are due to the calculation of average values in the evaluation procedure. Moreover, it is observed that most success factors of international projects are generally applicable and neither cluster- nor ICI-specific. Accordingly, the common features, differences, and the potential to obtain successful approaches to specific difficulties are rather to be found in the generally applicable requirements of an effective and efficient project cycle management.

7.2 Cluster-Specific Recommendations

Cluster 1: Capacity development & policy consultancy

- If possible, **policy consultancy** within the context of a multi-level approach should **always also be a component of capacity development projects**, just as, vice versa, policy consultancy also improves the capacities of the respective target groups. "Mere" policy consultancy projects can achieve results with regard to international processes in a very target-oriented manner using smaller-scale projects.

Cluster 2: Climate-friendly economy & sustainable energy supply

- In the future, **studies, concepts and strategy developments** should be **complemented by an implementation component or an implementation phase** - with regard to a sustainable climate impact of ICI funds - if the results of the project are positive. Studies should not be funded, if they do not include coherent implementation concepts or the partner country / partner organisation does not show a clear intention to implement positive results of the study. An exception are preliminary studies that e.g. serve the preparation of climate-relevant projects within the context of phase-based projects.
- Also, **technical projects**, such as pilot and demonstration facilities, should be **complemented by a political component, if possible**, so that e.g. the framework conditions for the application of the technology are improved or created in the first place.

Cluster 3: Biodiversity & carbon sinks

- A **funding strategy** should be developed for this thematic cluster, which defines content-related and geographical funding priorities and common wider objectives of all projects. The funding priorities should be guided by the current international climate discussions (e.g. concerning REDD/REDD+) as well as the "Strategic Plan for Biodiversity" and the Aichi Objectives defined therein. First approaches to this are already stipulated in the currently valid new funding guidelines of the ICI.

Cluster 4: Adaptation to climate change

- The ICI's **expectations with regard to objectives and impacts** should be **specified** for the adaptation area in order to guarantee a measurable impact at the programme level.
- Particularly successful were approaches which are based on a secure information base and follow a sequential approach: analysis/prognosis - recommendation/consultancy - implementation. A particularly good **combination** seems to be a **scientific analysis with applied processing of information and, on this basis, consultancy and implementation**.
- Complex consultancy and implementation projects should necessarily be **integrated** into the framework of the respective national **adaptation strategy** and planning since, all too often, singular approaches in the adaptation area fail to take effect. Multi-sector approaches can only be successful in case of their integration into policies at a correspondingly high level.

Cluster 6: Technology cooperation

- In the future, projects in the area of technology cooperation should also target the promotion of innovation systems and technology clusters in the partner countries.
This support would **stronger increase the partner countries' capacities to institutionalise knowledge and processes and actively participate - on an equal footing - in the technology cooperation** or develop own contributions.
- If possible, the introduction of new technologies in partner countries, e.g. by means of pilot measures, should be accompanied by a **component for the improvement of the framework conditions for the application of technology**. In this way, the sustainable and large-scale application of new technologies can be substantially supported.
- In the technology cooperation area, universities, research institutes, associations, and private enterprises should be more closely involved, if possible. Particularly German **research institutes could make a contribution to strengthening innovation systems in the partner countries**.
- With regard to the **follow-up financing**, the **use of existing funding programmes** seems to be a particularly practicable solution for financing the continuation or upscaling of ICI projects. Further, the possibility to initiate new funding mechanisms / programmes of IFIs on the basis of positive results of an ICI project should also be taken into consideration.

7.3 General Recommendations

- The **requirements on the nature and scope of the proposal review** should be increased with regard to completeness, accuracy and reliability of the baseline and problem analysis, the intervention logic, the measures deduced from the latter which are to be funded, as well as the respective planning documents, including the plans for an evaluable impact monitoring.
- Introduction of a guiding question addressing the "**climate impact**" would be desirable. Here, one could define thresholds to steer the ICI project financing in the interest of a possibly high "climate efficiency". A stronger focus on the leitmotif "climate impact" could increase the ICI's recognisability in terms of unique features.
- As early as during project planning, the implementing agency should explain how a broad impact and sustainability of the projects is to be ensured or enhanced. This could be described within the context of a "**sustainability strategy**", explaining by whom and how the project results will be continued and used, where follow-up financing can be obtained, and how the implementing agency will end its activities after the project end.

- Within the context of the review of project applications, it should be taken into consideration to involve **independent experts** for the **evaluation and assessment** of submitted documents, who have the respective technical, sector-specific, geographical knowledge and experience in planning and implementation (methodological competence).
- In case of bigger, complex projects, **on-site reviews** should be implemented, as is common practice in TZ and FZ projects. This also applies to co-financing.
- ICI projects should focus more specifically on **one or at least few project goals**. Projects trying to cover numerous topics should be refrained from. Especially if the projects will implement regional or transnational activities.
- It would be conceivable to extend project periods through **phase-based projects with mandatory interim results / predetermined breaking points**, if necessary. In the planning phase, the main priority should be to secure the full participation of the partners and finalise the operational plan. The successful conclusion of the planning phase is to be defined as predetermined breaking point of the project.
- With regard to the international climate negotiations, it would be appropriate to **fund specific consultancy projects** - in the manner of global projects - **which are guided by the specific interest and issues of the international dialogue**. In this way, answers to existing questions can be prepared in a target-oriented manner and underpinned with data and information. However, within this context it is important to network with other protagonists and, if required, finance joint initiatives in order to avoid duplicities.
- To increase **project ownership** and the sustainability of measures, the partners must be much more closely involved in the project planning and implementation than has been the case to date. Only those projects should be funded, where the partners are actively involved in the planning and implementation. This must already be detailed in the project applications.

ANNEX 1: CLUSTER DEFINITION

| CLUSTER |
|---|
| <p>CLUSTER 1: Capacity development & policy consultancy</p> <p>Projects that place the main emphasis on capacity development & policy consultancy.</p> |
| <p>CLUSTER 2: Climate-friendly economy & sustainable energy supply</p> <p>Projects that have the goal to support partner countries in the development of an economy which avoids to the greatest possible degree the emission of hostile greenhouse gases. Improvement of energy efficiency, increase of renewable energy and reduction of greenhouse gases are supported both through investment measures as well as know-how transfer and policy consultancy in the partner country.</p> |
| <p>CLUSTER 3: Biodiversity & carbon sinks</p> <p>In the area „carbon sinks / REDD“, projects are supported that aim at the preservation of carbon sinks, especially forests and other ecosystems such as wetlands. Activities in these areas are meant to improve synergies between climate protection and biodiversity protection.</p> |
| <p>CLUSTER 4: Adaptation to climate change</p> <p>In the area "adaptation to climate change", parts of suitable national programmes for the adaptation to climate change (on the basis of the national or regional strategies, NAPAs) are implemented in selected partner countries which are particularly vulnerable to climate change. Ideally, an integrated approach is to be chosen in order to target more than one aspect of adaptation, such as water resource management, optimised land use planning, sustainable biomass production, health, but also disaster risk management and migration.</p> |
| <p>CLUSTER 5: Regional cluster</p> <p>All projects are included in this cluster.</p> |
| <p>CLUSTER 6: Technology cooperation</p> <p>Projects that bear sufficient reference to technology, within the meaning of technical facilities (e.g. physical installation of facilities, technological standard setting, improvement of technical systems, improvement of technical information management, adaptation of technology to local specifications, technology-relevant software and manuals, technical knowledge transfer, capacity development for the direct use of technology, research in the area of technology, financing of technology) and/or projects that strengthen technology innovation systems and technology clusters. In particular, the latter includes systemic, integrated approaches that combine different forms of technology cooperation (networking, institutionalisation, institution building, broad research platforms).</p> |

ANNEX 2: PROJECT DISTRIBUTION BY CLUSTER

| SIGNATURE | Cluster 1 Capacity development & policy consultancy | Cluster 2 Climate-friendly economy & sustainable energy supply | Cluster 3 Biodiversity & carbon sinks | Cluster 4 Adaptation to climate change | Cluster 5 Regional cluster | Cluster 6 Technology cooperation |
|--|--|---|--|---|-------------------------------|-------------------------------------|
| 08_I_002_NUS-G-KLIMA UND ENERGIEPOLITIK | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_008_IN_A_ENERGIEKAMPAGNE GASTGEWERBE | ✓ | ✓ | | | ✓ | |
| 08_I_030_JO_G_WASSERPUMPSTATIONEN | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_035_SRB_A_BIOGAS | ✓ | ✓ | | | ✓ | ✓ |
| 09_I_036_VNM_A_BIOGAS | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_066_CN_G_CHINESE STERN REPORT | ✓ | ✓ | | | ✓ | |
| 08_I_074_MEDA_G_FILM | ✓ | ✓ | | | ✓ | |
| 09_I_067_MEX_M_BANKING SECTOR ENGAGEMENT | ✓ | ✓ | | | ✓ | |
| 09_I_087_UKR_K_VERKEHRSMODERNISIERUNG LEMBERG | ✓ | ✓ | | | ✓ | |
| 08_I_088_GLOBAL_A_WISSENSTRANSFER EE | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_044_KARIB_A_BIOGAS | ✓ | ✓ | | | ✓ | ✓ |
| 08_II_023_GHA_A_BIOGAS SOLAR | | ✓ | | | ✓ | ✓ |
| 08_II_017_ASIA_A_MARINESCHUTZGEBIETE | ✓ | | | ✓ | ✓ | |
| 08_II_018_ASIA_A_TNC SCHUTZGEBIETE | ✓ | | | ✓ | ✓ | |
| 08_II_037_ZA_M_FEUCHTGEBIETE | ✓ | | ✓ | | ✓ | |
| 09_II_021_IND_K_KLIMASCHUTZ | ✓ | | ✓ | | ✓ | |
| 08_II_046_GLOBAL_G_GSAI | ✓ | | | ✓ | ✓ | |
| 08_II_049_PHL_G_ANPASSUNGSSTRATEGIE UND BIODIV FONDS | ✓ | | | ✓ | ✓ | |
| 09_II_022_PER_A_REGENWALDSCHUTZ | ✓ | | ✓ | | ✓ | |
| 08_I_001_CN_G_WINDENERGIE PLATTFORM | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_005_CN_G_SAUGRÜSSEL | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_021_CL_G_STANDORTBESTIMMUNG RE | ✓ | ✓ | | | ✓ | ✓ |

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|---|--|---|--|---|-------------------------------|-------------------------------------|
| 08_I_024_CN_G_STANDARDS FÜR KÄLTEMITTEL | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_032_KZ_M_SEFF | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_043_UA_A_GÄRUNG AUS RESTSTOFFEN | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_061_GLOBAL_A_GOLD STANDARD | ✓ | | | | ✓ | |
| 08_I_065_GLOBAL_G_DIALOGFORUM | ✓ | ✓ | | | ✓ | ✓ |
| 08_II_007_UZB_M_GESUNDHEITLICHE ANPASSUNG | ✓ | | | ✓ | ✓ | ✓ |
| 08_II_009_BRA_A_CENTRO KLIMA | ✓ | | | ✓ | ✓ | |
| 08_II_013_CHN_G_KOOPERATIONSPLATTFORM ÖKOSYSTEME | ✓ | | ✓ | | ✓ | |
| 08_II_020_CHN_G_WETTERVERSICHERUNG | ✓ | | | ✓ | ✓ | |
| 08_II_025_BRA_K_FUNBIO WALDSCHUTZ | | | ✓ | | ✓ | |
| 08_II_031_PNG_K_CI YUS | ✓ | | ✓ | | ✓ | |
| 08_II_033_RUS_K_WALDSCHUTZ | | | ✓ | | ✓ | |
| 08_II_035_PER_K_WALD-ÖKOSYSTEME | ✓ | | ✓ | | ✓ | |
| 08_II_036_ZMB_M_TROCKENWALDSCHUTZ | | | ✓ | | ✓ | |
| 08_II_041_TZA_M_BERGWALDSCHUTZ | ✓ | | ✓ | | ✓ | |
| 08_II_047_IND_A_KATASTROPHENPRÄVENTION HIMALAJA | ✓ | | | ✓ | ✓ | |
| 09_II_053_TJK_G_FLUßAUENWÄLDER_THERMOISOLIERUNG WOHNHÄUSER | | | ✓ | | ✓ | |
| 08_II_055_GLOBAL_A_LIFE WEB | ✓ | | ✓ | | ✓ | |
| 08_II_060_MEX_G_SCHUTZMAßNAHMEN ÖKOSYSTEME | | | ✓ | | ✓ | |
| 09_I_049_DZ_A_SOLARTUMKRAFTWERK | ✓ | ✓ | | | ✓ | ✓ |
| 09_I_126_GLOBAL_A_NACHHALTIG-TV | ✓ | ✓ | | | ✓ | |
| 09_II_038_RUS_M_ALTAI | | | ✓ | | ✓ | |
| 09_II_008_IDN_M_REGENWALDSCHUTZ | | | ✓ | | ✓ | |
| 08_II_034_TKM_G_WALDBEWIRTSCHAFTUNG | ✓ | | ✓ | | ✓ | |

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|--|--|---|--|---|-------------------------------|-------------------------------------|
| 09_II_012_MLI_G_KLIMAWANDEL | ✓ | | | ✓ | ✓ | |
| 08_I_052_SZ_G_KÄLTEMITTEL | | ✓ | | | ✓ | ✓ |
| 08_I_073_RUS_A_KONZEPT WINTEROLYMPIADE | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_006_IN_G_ECO INDUSTRIEPARKS | | ✓ | | | ✓ | ✓ |
| 09_II_011_COMIFAC_G_KLIMAWANDE | ✓ | | | ✓ | ✓ | |
| 08_II_001_KAZ_M_GESUNDHEITLICHE ANPASSUNG | ✓ | | | ✓ | ✓ | |
| 09_III_011_IDN_G_TORFWALDGEBIET MERANG | ✓ | | ✓ | | ✓ | |
| 08_II_015_THA_G_NATURBEZOGENER TOURISMUS | ✓ | | | ✓ | ✓ | |
| 08_I_013_GLOBAL_A_GENDER GREENHOUSE | ✓ | | | | ✓ | |
| 08_I_053_ZA_G_KÄLTEMITTEL | | ✓ | | | ✓ | ✓ |
| 08_I_062_BF_A_LÄNDLICHE ELEKTRIFIZIERUNG | | ✓ | | | ✓ | ✓ |
| 08_I_003_GLOBAL_A_KNOWHOW TRANSFER | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_019_CN_A_LOW CARBON ZONE | ✓ | ✓ | | | ✓ | |
| 08_I_020_CN_A_CCS | ✓ | ✓ | | | ✓ | |
| 08_II_014_GLOBAL_G_CD-REDD | ✓ | | ✓ | | ✓ | |
| 08_II_057_VNM_G_FEUCHTGEBIETE BAC LIEU | ✓ | | | ✓ | ✓ | |
| 08_II_028_COG_K_LAC TUMBA | ✓ | | ✓ | | ✓ | |
| 10_I_078_RUS_A_KOROLEV_MUSTERSTADT | ✓ | ✓ | | | ✓ | |
| 08_I_009_BR_A_BIOGAS RIO GRANDE | ✓ | ✓ | | | ✓ | |
| 09_I_108_NUS_A_EE CAPACITY BUILDING | ✓ | ✓ | | | ✓ | |
| 08_II_061_BRA_G/K_NATURSCHUTZGEBIETE | | | ✓ | | ✓ | |
| 09_I_031_RUS_M_SECFF | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_010_ZAS_A_EE | ✓ | ✓ | | | ✓ | ✓ |
| 08_II_063_CMR_K_TRINATIONALES WALDSCHUTZGEBIET | ✓ | | ✓ | | ✓ | |

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|---|--|---|--|---|-------------------------------|-------------------------------------|
| 08_II_003_KGZ_M_GESUNDHEITLICHE ANPASSUNG | ✓ | | | ✓ | ✓ | |
| 08_II_026_BLR, UKR_K_RSPB TORFMOORE | | | ✓ | | ✓ | |
| 08_II_052_LDCS_A_ANALYT UNTERSTÜTZUNG FÜR LDCS | ✓ | | | ✓ | ✓ | |
| 08_I_017_BR_A_POA EE BAUEN | ✓ | ✓ | | | ✓ | |
| 08_I_018_NA_A_STUDIE ENERGIEKONZEPT | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_022_GLOBAL_G_KLIMASCHUTZ UND DEZENTRALE ENERGIEVERSORGUNG | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_026_MU_G_KÄLTEMITTEL | | ✓ | | | ✓ | ✓ |
| 08_I_028_CN_G_XPS | | ✓ | | | ✓ | ✓ |
| 08_I_037_IN_G_TRIGENERATION UND KWK | | ✓ | | | ✓ | ✓ |
| 08_I_038_ID_G_SELF-SUFFICIENT VILLAGE | ✓ | ✓ | | | ✓ | |
| 08_I_040_BR_G_1000 DÄCHER | ✓ | ✓ | | | ✓ | |
| 08_I_042_ZA_G_BECCAP | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_051_TH_A_ENERGIE | ✓ | ✓ | | | ✓ | |
| 08_I_054_CN_G_KÄLTEMITTEL | | ✓ | | | ✓ | ✓ |
| 08_I_057_EC_A_BIOKRAFTSTOFFE | ✓ | ✓ | | | ✓ | ✓ |
| 08_I_059_IN_G_LÄNDLICHE ENERGIEVERSORGUNG | ✓ | ✓ | | | ✓ | |
| 08_I_063_ZA_M_SONNEN- UND WINDENERGIE | ✓ | ✓ | | | ✓ | |
| 08_I_068_GLOBAL_M_WORKSHOP BALI ROADMAP | ✓ | ✓ | | | ✓ | |
| 08_I_081_LATEINAMERIKA UND KARIBIK_M_SUSTAINABLE ENERGY ADVISORY FACILITY | ✓ | ✓ | | | ✓ | |
| 09_I_011_HR_G_KOMMUNALER KLIMASCHUTZ | ✓ | ✓ | | | ✓ | |
| 09_I_029_BR_A_KLÄRANLAGE | | ✓ | | | ✓ | |
| 09_I_069_AFIKA_M_CARBON ASSET DEVELOPMENT FACILITY | ✓ | ✓ | | | ✓ | |
| 09_I_070_GLOBAL_M_CDMWATCH | ✓ | ✓ | | | ✓ | |

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|---|--|---|--|---|-------------------------------|-------------------------------------|
| 09_I_077_CHN_A_METHAN-MINIMIERTE ABFALLBEHANDLUNG | | ✓ | | | ✓ | ✓ |
| 09_I_082_CHL_A_ABFALLBEHANDLUNGSZENTRUM MARGA MARGA | | ✓ | | | ✓ | ✓ |
| 09_I_095_NUS_G_CAPACITY DEVELOPMENT | ✓ | ✓ | | | ✓ | |
| 09_I_100_CHN_A_SECTORAL CDM | ✓ | ✓ | | | ✓ | |
| 09_I_102_AZE_A_SOCAR | ✓ | ✓ | | | ✓ | |
| 09_I_106_GLOBAL_A_TREE | ✓ | ✓ | | | ✓ | ✓ |
| 09_I_110_UKR_M_TAM UKRAINE | ✓ | ✓ | | | ✓ | |
| 09_I_111_RUS_M_TAM RUSSIA | ✓ | ✓ | | | ✓ | |
| 09_I_114_CHN_G_FOBI FÜHRUNGSKRÄFTE | ✓ | ✓ | | | ✓ | |
| 09_I_116_CHN_G_KLIMA ÖKONOMIE | ✓ | ✓ | | | ✓ | |
| 09_I_127_RUS_A_MODERNISIERUNGSPARTNERSCHAFT | ✓ | ✓ | | | ✓ | ✓ |
| 09_I_050_TH_A_SOLARLITE TREFFERT | | ✓ | | | ✓ | ✓ |
| 08_II_002_ALB_M_GESUNDHEITLICHE ANPASSUNG | ✓ | | | ✓ | ✓ | ✓ |
| 08_II_004_MKD_M_GESUNDHEITLICHE ANPASSUNG | ✓ | | | ✓ | ✓ | ✓ |
| 08_II_005_RUS_M_GESUNDHEITLICHE ANPASSUNG | ✓ | | | ✓ | ✓ | |
| 08_II_006_TJK_M_GESUNDHEITLICHE ANPASSUNG | ✓ | | | ✓ | ✓ | |
| 08_II_010_GEO_G_REHABILITIERUNG DEGRADierter LANDSCHAFTEN | ✓ | | | | ✓ | |
| 08_II_030_KAUKAS_K_WIEDERHERSTELLUNG VON WÄLDERN | ✓ | | ✓ | | ✓ | |
| 08_II_039_KZZ_M_ALTAI | ✓ | | ✓ | | ✓ | |
| 09_II_019_TUR_G_FEUCHTGEBIETE | ✓ | | ✓ | | ✓ | |
| 09_II_032_AZE_K_WIEDERHERSTELLUNG VON WÄLDERN | | | ✓ | | ✓ | |
| 09_II_059_GUY_K/A_GUIANA SCHILD INITIATIVE | ✓ | | ✓ | | ✓ | |

ANNEX 3: GUIDING QUESTIONS

- In what way do the projects summarised under the cluster contribute to the programme objectives of the ICI?
- What are the common features and differences between the projects of the cluster?
- Can differences in the appraisals between cluster and total sample be explained and, if so, how?
- Which success factors / failure factors are the cluster's projects based on?
- Are there regional specifics which contribute to the success/failure of a project and should be considered in the planning?
- What statements can be made with regard to the influence on international climate negotiations?
- Which recommendations for the further development of the cluster can be deduced?
- Which recommendations for the further development of the ICI can be made for the cluster?