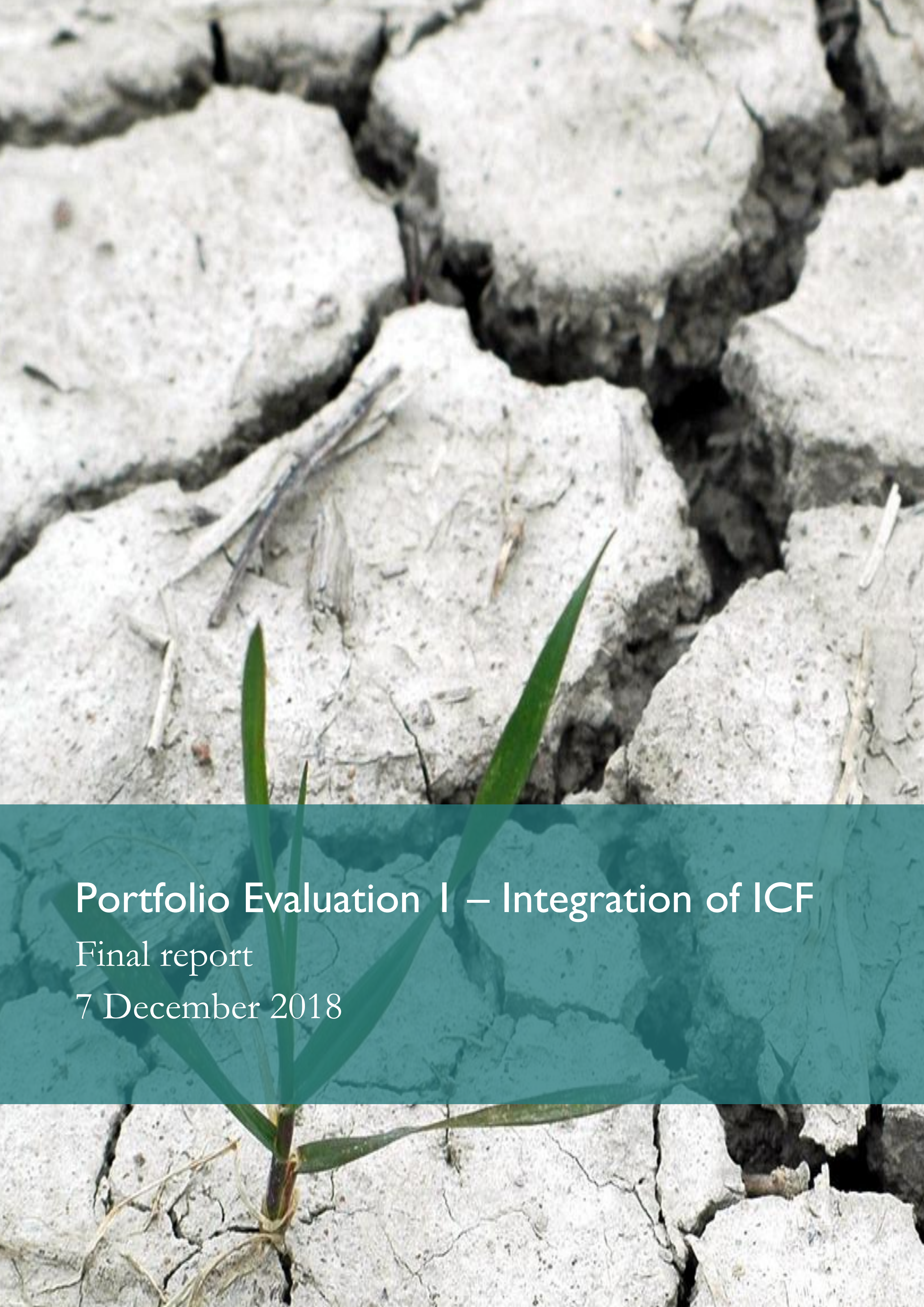

Portfolio Evaluation 1 – Integration of ICF

Final report

7 December 2018

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List of acronyms

BEIS Department for Business Energy and Industrial Strategy

Defra Department for Environment, Food and Rural Affairs

DFID Department for International Development

ESG Evaluation Steering Group

HMG Her Majesty's Government

ICF International Climate Finance

KPI Key Performance Indicator

ODA Official Development Assistance

SRO Senior Responsible Owner

TA Technical Assistance

WASH Water, Sanitation and Health

Executive summary

This evaluation addresses the following question:

In what circumstances and how has climate finance integration supported progress towards transformational change within the wider DFID portfolio, and towards more effective delivery of climate change outcomes than would have been achieved without integration?

Background to International Climate Finance

The UK has provided International Climate Finance (ICF) since 2011. In 2015, the UK committed to spend at least £5.8bn of ICF over the following 5 years with the aims of demonstrating that low-carbon, climate-resilient development is feasible and desirable, improving the international climate finance system to increase the scale, efficiency and value for money of climate spend and testing new approaches to delivering climate finance.

UK ICF now has a portfolio of over 300 current and complete programmes in over 50 countries working through private sector, multilateral and bilateral channels.

Since 2015 DFID has increasingly designed programmes to deliver climate outcomes alongside wider development impacts, e.g. by making new infrastructure more resilient to changes in climate. ICF funding was included in the overall budget allocations of departments and country offices on the understanding that programmes that they design and manage would include climate change activity of sufficient scale to deliver the DFID share of the UK's £5.8bn commitment. Funding for programmes has to be secured from within the overall budget for each department or country office.

Integration of ICF aims to support transformation within DFID; a "*systematic and sustained consideration of climate change risks and opportunities to address climate change across DFID's work. This would be characterised by the integration of action on climate change across a broad range of sectors and would ultimately influence partners and partner governments to be ambitious in addressing climate change."*

Since late 2017 programmes with integrated ICF have been required to use the Climate and Environment Smart Guide which requires the planned climate benefits to be captured in the logframe. Progress against indicators in logframes is then assessed as part of the Annual Review. This is intended to help ensure that the planned outcomes are delivered.

Evaluation approach

The evaluation used a realist, theory-based[1] approach to learn lessons that will help improve future UK climate finance policies and programmes. The evaluation drew on evidence from three sources:

- Analysis of data relating to DFID's 86 integrated ICF programmes since 2011
- In-depth review of documents relating to 25 of the 86 programmes that had integrated ICF and 9 programmes that did not
- Interviews with 14 Senior Responsible Owners (SROs) and 8 advisors.

[1] The accompanying technical annex has a description of the methodology in section 12. The separate Compass Evaluation Quality Framework describes the approach in detail.

Readers of this report should bear in mind that these results are intended to provide an insight into what works, in what circumstances, for whom and how rather than to draw general conclusions about DFID's programmes. It should also be noted that no interviews were conducted with DFID senior management or heads of office. The strength of evidence for each finding has been indicated in the main report and technical annex.

Findings

In what circumstances and how has climate finance integration supported progress towards transformational change within the wider DFID portfolio, and towards more effective delivery of climate change outcomes than would have been achieved without integration?

Where heads of office encourage, and/or set targets for, the integration of ICF this can stimulate programme teams to work with climate experts to explore how they can do more to address climate change risks and opportunities in their programmes. This appears to have supported DFID transformation in some sectors. For example, where programmes successfully adopted new approaches, these approaches have been adopted by more teams until they have become widespread in a sector. However, where there are established approaches to address climate change and where climate expertise is not used, programme teams may integrate ICF without including further actions to deliver additional climate benefits.

Since late 2017 the Smart Rules require programmes with integrated ICF to comply with the Climate and Environment Smart Guide and include planned climate benefits in the logframe. Where this requirement is complied with and the logframe indicators properly reflect the planned climate benefits it should be more likely that climate change outcomes will be delivered.

This is illustrated in Figure 1 below:

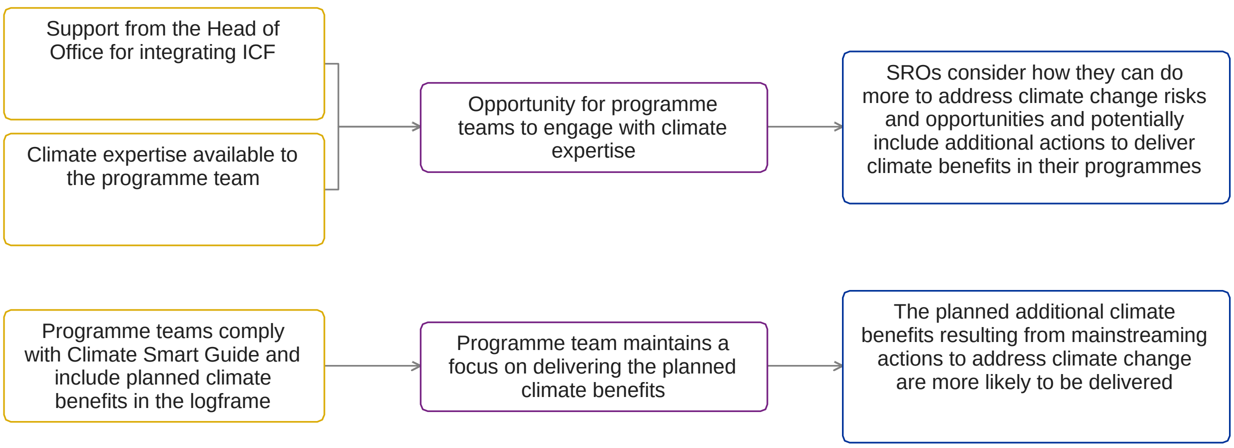

Figure 1: Overarching theory of change

The overarching question was investigated through 5 sub-questions which are addressed below:

1. How, and in what circumstances, has ICF been integrated into DFID programmes?

Almost all the integrated programmes in the in-depth document review used ICF to fund some form of technical assistance. This is often supplemented by other activities including cash transfers, green public works and infrastructure investment.

Between 2015 (when the current approach to integrating ICF was adopted) and 2017, 39 programmes that included £591million of ICF have been approved.

Integrated ICF investment has been focused on a few countries and sectors. 60% of integrated ICF investment since 2011 has been focused on five countries (Ethiopia, Kenya, Bangladesh, Tanzania and Nepal). 78% of integrated ICF investment has been focused on four sectors of activity (humanitarian, economic infrastructure and services, social infrastructure and services and production services).

The number of programmes which include ICF and the amount of funding committed has fluctuated between years. However, the overall trend appears to be that:

- The ICF budget (commitments) committed to ICF has fallen but integrated programmes have represented a larger share. In 2017 two thirds of DFID's ICF commitments by value were in integrated programmes; this has increased from a quarter in 2015. However, the value of commitments made to ICF programmes in 2017 was lower than any year since the start of ICF in 2011.[2]
- The average integrated ICF commitment has risen but fewer programmes are including integrated ICF. The average integrated ICF commitment has increased from £8m in 2015 to £22m in 2017 but the number of programmes that have integrated ICF has fallen from 13 in 2015 to 6 in 2017.

2. What are the reasons for ICF being designed into, or not being designed into, potentially climate-relevant programmes?

Actions to address climate change risks and opportunities are designed into programmes to provide benefits to poor and vulnerable people and to meet DFID's priorities. There is a perception among the interviewees for this study that the priority DFID places on climate change has reduced over the past two years, which has reduced the motivation to include climate change action in programmes.

ICF seems to be integrated into programmes in response to encouragement from heads of office or to help to meet country targets for the proportion of ICF included in programming. The current funding approach has led to a perception that ICF does not provide additional money for programmes which can discourage programme designers from integrating ICF.

The process of integrating ICF can lead to the delivery of additional adaptation and/or mitigation outcomes because teams think through how they will address climate change risks and opportunities, and this can stimulate new ideas or identify opportunities to replicate tested approaches.

Programme teams are more likely to include actions to address climate change risks and opportunities where there is trusted evidence from their sector about the benefits for poor and vulnerable people. They are more likely to integrate ICF where there is a climate advisor in the office to encourage them to consider new approaches and to support them in the ICF processes.

3. In what circumstances and how are integrated programmes likely to be delivered to achieve the anticipated benefits; in what circumstances are they not likely to do so?

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[2] HMG clarification - The level of programming committed (or approved) in any one year can vary significantly depending on a few relatively large programmes and does not necessarily reflect the planned profile of annual expenditure. The declining value of approvals year on year has still enabled climate finance expenditure to meet those levels agreed with HM Treasury and committed to publicly.

Integrated programmes are more likely to be delivered to achieve the anticipated benefits where the planned benefits have been included in the logframe and where the team has access to climate expertise (either through a climate advisor or the implementing partner).

Where logframe indicators have been adapted from other non-climate indicators they may not properly reflect the planned climate benefits. In these cases, there is a risk that the delivery of climate benefits will not be monitored effectively. It is possible that programmes will deliver climate related benefits regardless; however, the positive effect of monitoring performance will not be secured.

4. Does the integration of ICF support progress towards DFID transformation, in what ways and in what circumstances, why or why not?

In some sectors, integrated ICF has supported progress towards DFID transformation by providing funding for programmes to pilot new approaches which, when they proved successful, became widespread.

The current funding approach and the perception that there is no additional money available for integrated ICF can present an obstacle to integration and could slow progress towards DFID transformation.

5. What can be learned, by whom, from the experience of integrating ICF to help to improve future design and management of integrated climate finance programmes including ICF projects, programmes and the portfolio as a whole in order to improve outcomes?

Programmes would be more likely to integrate ICF to deliver additional benefits if:

- There was more clarity about the funding arrangements, so programme designers were confident that they were accessing additional funds dedicated to the delivery of climate benefits.
- All heads of office actively encouraged programme teams to mainstream action to address climate change and include ICF in their programming.
- The benefits to poor and vulnerable people of mainstreaming climate change in specific sectors are communicated more widely within DFID to encourage a greater take up in more sectors.
- Climate expertise is available to all programmes.

Transformation would be further supported if:

- DFID's senior management regularly and consistently communicate the importance of mainstreaming climate change across DFID's programming.
- A specific funding allocation outside the programme's home office or department budget is made available to pilot innovative approaches to mainstreaming actions to address climate change.
- The results of innovative approaches are communicated within and between sectors with encouragement to replicate successful approaches using ICF.

Conclusions and recommendations

The main conclusions arising from this report are shown below together with recommendations for actions that could be taken to increase the extent of integration and mainstreaming:

1. **Programme teams are motivated to integrate ICF when there are strong messages from the head of office, including targets. Although there were strong messages in the past this seems to have a lower priority now.**
   We recommend that the DFID ICF team should work with heads of office to encourage them to communicate the importance of integrating ICF within their programmes. The DFID ICF team should support heads of office in setting appropriate targets for the integration of ICF in their programming.

2. **Integration of ICF provides an opportunity to include additional actions in programmes to address climate change risks and opportunities.**
   To make the most of this opportunity we recommend that the requirement to follow the Climate and Environment Smart Guide should be checked during the approval process. Where programmes plan to include the adaptation or mitigation benefits in the logframe at a later date this should be followed up to check that it has been done.

3. **ICF integration helps to secure the delivery of adaptation and/or mitigation benefits through the inclusion of the planned benefits in the logframe; however, there are cases where the indicators do not accurately reflect the planned benefits.**
   We recommend that further guidance is given to programme teams on how indicators can be constructed to most effectively reflect the planned benefits. This should be reviewed by the climate advisor as part of the programme design process.

4. **The benefits of indicators (identified above) are less likely to be secured because the current system of reporting ICF indicators is cumbersome and allows consideration of the adaptation and/or mitigation benefits to be "outsourced" to the climate advisor.**
   We recommend that the DFID ICF team considers whether reporting separately to the ICF Secretariat is necessary if planned benefits are included in the logframe and, if it is necessary, reviewing the system to reduce the reporting burden.

5. **Climate advisors (or other climate experts) are crucial to widespread integration of ICF and their influence is most effective when they are present in the local office. Some offices are choosing to dispense with climate advisors**.
   We recommend that the DFID ICF team works with the Head of the Climate and Environment Profession to make the case for all offices to have climate advisors in house.

6. **Where sectors have a relatively high level of integration of ICF and mainstreaming of climate change they draw on evidence of past successful programmes some of which received additional funding for mainstreaming from outside the office or department budget.**
   We recommend that consideration is given to providing funding in addition to office or department budgets to support innovative approaches to mainstreaming, particularly in sectors that have a relatively low level of integration of ICF.

7. **The perception that integrated ICF does not represent extra money for programmes is an obstacle to greater levels of integration.**
   We recommend that the position is communicated clearly throughout DFID. The DFID ICF team should provide guidance and support to heads of office and department to help them to ensure they contribute to the UK's commitments to include ICF within their programming.

8. **Suggestions were made by participants in this evaluation for changes to DFID's processes which would increase the extent of integration. These were: including a question about integration on the Business Case template, and having regular office meetings where planned programmes are presented to the whole team.**
   We recommend that these suggestions are considered and, if appropriate, implemented.

This evaluation has developed an insight into how the integration of ICF influences programmes to take action to address climate change risks and opportunities. This insight would be valuable to share with heads of office and climate advisors. The ESG will consider how the insights from this evaluation can be shared as part of developing the evaluation and use plan.

More information about this evaluation is available in the main evaluation report and technical annex.

1 Background

The UK's International Climate Finance (ICF) is managed jointly by the Department for International Development (DFID), Department for Business, Energy and Industrial Strategy (BEIS) and Department for Environment, Food and Rural Affairs (Defra). The UK invests in over 50 developing countries, working through diverse channels from private equity funds to small NGO grants. In 2015, the UK committed to spend at least £5.8bn of ICF over the following 5 years (2016-2021). ICF aims to:

- Change facts on the ground, delivering results that demonstrate that low-carbon, climate-resilient development is feasible and desirable.
- Improve the international climate architecture and finance system, to increase the scale, efficiency and value for money of climate spend.
- Test out new approaches to delivering climate finance that have the potential to achieve bigger and better results in the future.

UK ICF now has a portfolio of over 300 current and completed programmes with global reach working through private sector, multilateral and bilateral channels. HMG aims to achieve a balance in ICF funding with 50% spent on mitigation and 50% on adaptation.

In 2014/15 the DFID ICF portfolio consisted largely of standalone climate finance programmes, similar to BEIS' and Defra's ICF portfolio. Since then, DFID has increasingly integrated climate finance into its wider development activities. Integrated programmes aim to deliver climate outcomes alongside wider development impacts, e.g. by making new infrastructure more resilient to changes in climate. This builds on previous efforts to mainstream[3] climate and environment risks and opportunities into DFID's broader portfolio.

1.1 Purpose

The purpose of this evaluation is to enable the UK government and other donors and partners to learn about the effectiveness of integration across DFID to date in achieving the UK's international objectives on climate change and driving wider transformational change – both within programming environments and within DFID and its portfolio. The lessons learned from this evaluation can help improve future UK climate finance policies and programmes, and potentially influence the integration approaches of other major international partners including other large bilateral donors and the Multilateral Development Banks. In addition, there is a more general interest in understanding how these lessons could be applied to development and planning more broadly.

The principal audience for the evaluation is HMG officials across Whitehall, particularly those involved in integration and organisational change in DFID and also BEIS strategy and climate negotiators.

1.2 Integration of ICF

The approach to integration of ICF into DFID programmes has evolved over time.

- Integrated programmes approved prior to April 2015 fall into two categories:

[3] Clarification of terminology:
- 'Mainstreaming' as used here refers to awareness-raising of environmental trends and potential impacts (including by/on climate change) and the resultant behaviour change across a broadening sphere of activity to take advantage of related opportunities and to address related risks.
- 'Integration' refers specifically to the allocation of climate finance within programming which counts climate benefits as 'significant' rather than 'primary' objectives (please see ICF Integration Theory of Change).

- Some programmes had applied for funding from what was then the International Climate Fund, using a system of concept notes.
- Others were categorised as ICF retrospectively (after the programme was approved) and so the integration of ICF came after the programme had been designed.

- Programmes approved between April 2015 and March 2016 were mostly designed with integrated ICF but did not use the Climate and Environment Smart Guide which was not introduced until April 2016.

DFID has a ring-fenced ICF allocation within its overall Official Development Assistance (ODA) allocation for the current Spending Review period. This ring-fenced ICF funding is not held centrally but is included in the overall budget allocations of departments and country offices on the understanding that programmes that they design and manage would include climate change activity of sufficient scale to deliver the DFID commitment. Progress against the cumulative total is monitored centrally.

Integration of ICF can result in additional adaptation and/or mitigation outcomes when adaptation and/or mitigation impacts result from the consideration of climate risks and opportunities during the process of integrating ICF in the programme design, which would not have been achieved had ICF not been integrated.

SROs / programme managers seeking to allocate funding to address climate change risks and opportunities have to secure that funding from within the overall budget for their department or country office.

Programmes with integrated ICF and approved since late 2017 are required to use the Climate and Environment Smart Guide which requires programmes to capture the planned climate benefits in the logframe. Progress against indicators in logframes are then assessed as part of the Annual Review along with recommendations for follow-up action and an analysis of learning. This gives the planned climate indicators a high level of visibility and helps to ensure that the intended outcomes are delivered.

Programmes with integrated ICF have been expected to report against at least one of the ICF KPIs. These are submitted annually to the ICF secretariat using an online system.

2 Introduction to the evaluation

The purpose of this evaluation is to enable the UK government and other donors and partners to learn about the effectiveness of integration across DFID to date in achieving the UK's international objectives on climate change and potential to drive wider transformational change – both within programming environments and within DFID and its portfolio.

The overarching evaluation question is:

"In what circumstances and how has climate finance integration supported progress towards transformational change within the wider DFID portfolio, and towards more effective delivery of climate change outcomes than would have been achieved without integration? What can we learn from these different examples of integration to improve the approach taken in delivery of International Climate Finance more broadly?"

This over-arching question has been addressed through five evaluation sub-questions; these are based on an initial set of questions that was prepared by the ESG.

1. How, and in what circumstances, has ICF been integrated into DFID programmes? Are there any patterns or outliers?

2. What are the reasons for ICF being designed into, or not being designed into, potentially climate-relevant programmes? What additional[4] adaptation and/or mitigation impacts are expected to be delivered by integrated programmes, how, for whom and in what contexts?

3. In what circumstances and how are integrated programmes likely to be delivered to achieve the anticipated benefits, in what circumstances and why are they not likely to do so?

4. Does the integration of ICF support progress towards DFID transformation, in what ways and in what circumstances, why or why not? What else could be done, by whom and how to further support transformation across the DFID ODA portfolio?

5. What can be learned, by whom, from the experience of integrating ICF to help to improve future design and management of integrated climate finance programmes including ICF projects, programmes and the portfolio as a whole in order to improve outcomes?

For the purpose of this evaluation, transformational change within DFID was defined as:

"A systematic and sustained consideration of climate change risks and opportunities to address climate change across DFID's work. This would be characterised by the integration of action on climate change across a broad range of sectors and would ultimately influence partners and partner governments to be ambitious in addressing climate change."

[4] Defined as "*adaptation and/or mitigation impacts resulting from the consideration of climate risks and opportunities during the process of integrating ICF in the programme design, which would not have been achieved had ICF not been integrated".*

3 Methodology

3.1 Approach

The evaluation used a realist method. This is a theory-based approach and the evaluation questions have been investigated by developing and refining theories.

The process of theory building starts with the development of initial theories. HMG provided an overall theory of change which was developed further during the inception stage. Research was then conducted to test the theory of change and gather evidence to inform its refinement. This report presents refined theories of change which explain for whom, how, in what circumstances and why particular outcomes are achieved from the integration of ICF. The refined theories described in this report are largely based on evidence from an in-depth review of 25 programmes. They reflect all the relevant evidence that we have obtained, and we have not found any evidence that contradicts them. The existence of contradictory evidence would require further revision of the theories. The revised theories presented in this report were found to be valid in the specific contexts explored within a sample of programmes which were purposively selected. Therefore, whilst it is intended that the learning from this evaluation would be valuable for other contexts, care should be taken not to assume generalisability of the findings.

3.2 Summary of work conducted

The evaluation involved the following elements:

1. The Evaluation Steering Group (ESG) developed terms of reference (see Appendix 7 of the Technical Annex) for the evaluation including initial evaluation questions and a theory of change.
2. Compass worked with the ESG to refine the evaluation questions and develop an initial theory of change for investigation. The approach to be taken and the plan for the evaluation are set out in the inception report.
3. Compass conducted research to gather evidence to address the evaluation questions and to refine the theories of change. This involved:
    a. Quantitative analysis of data relating to DFID’s 86 integrated programmes approved between 2011 to 2017.
    b. Review of (mostly published) documents relating to 25 of the 86 programmes that had integrated ICF and 9 programmes that had not. Realist evaluation uses purposive sampling in which the research sample is selected to provide insight about specific aspects of the theory under investigation. The sample of programmes for this study was not intended to be representative of all programmes with integrated ICF.
    c. Interviews with 16 SROs and 8 advisors.
4. The document review and interviews together provided 830 individual items of evidence (or data ‘nuggets’). This evidence was aligned against the relevant element/s of the theories of change.
5. The theories of change were then refined and new theories developed to reflect the evidence.

The accompanying Technical Annex includes more details of the methodology and includes quotes from the documentation that we reviewed and the interviews we undertook.

3.3 Limitations

The reader should ‘bear in mind’ the following limitations:

- The ESG decided to focus the evaluation on gaining an in-depth understanding of integrated programmes. Therefore, most of the findings are based on a detailed investigation of 25 of the 86 programmes with integrated ICF. The programmes that we investigated were selected to provide insight into specific aspects of the theory of change rather than to be representative of all programmes with integrated ICF. Therefore, while the findings are valid for the contexts investigated by the study the results should be used with caution in other contexts.

- We reviewed 9 programmes without integrated ICF but which have similar purposes to the Integrated portfolio and which were approved since the introduction of the Climate and Environment Smart Guide in April 2016. This sample is too small to draw general conclusions about programmes without ICF but has provided some insight into how those programmes are designed, for comparison purposes.
- The programmes of particular interest for this evaluation were approved post-April 2016. However, documentary evidence for the most recent programmes is limited so we have focused on those where evidence is available. This may introduce bias into the results as programmes with documentation may be different from programmes without documentation.
- There have been five evaluations of programmes which have integrated ICF. All five programmes were initially included in the sample but subsequently excluded as the decision was made to focus on programmes approved after 2015. From a brief review of the evaluations they did not appear to contain relevant evidence for this work.
- It has not been possible to arrange interviews with all the programmes initially identified; some potential respondents were unavailable, and others have declined to be interviewed for other reasons. This could introduce bias as those who make themselves available for interview may be different in some respects from those who do not.
- It was difficult to arrange interviews with SROs for programmes that did not include integrated ICF. These proved hard to arrange and several potential interviewees were not willing to take part. We conducted 5 of the intended 6 interviews. It is possible that those respondents were not typical of SROs for programmes that do not have integrated ICF.
- The sample of interviews is relatively small and, for some findings, we have relied on one or two interviews. We have indicated the strength of the evidence for each finding through the report.
- We had originally intended to interview heads of office to understand more about the priority they place on mainstreaming and integrated ICF’s role in delivering that. However, DFID advised that it would be hard to engage heads of office with this project. Therefore, while we understand how SROs and climate advisors perceive the priorities of their heads of office, we don’t know whether that perception is correct or the reasons for those priorities.
- All interviews were limited to 45 minutes as it was agreed between Compass and DFID that any longer would reduce the willingness of respondents to take part. Since, even during a much longer interview, it would not have been possible to cover all aspects of the topic guide in-depth, we prioritised areas where our review of the documents relating to the respondent’s responsibilities indicated they would provide the most useful information. This is in keeping with the principles of realist interviewing.
- We had intended to use programmes where ICF had been retrospectively allocated as a comparison group to represent ‘business as usual’ (as these programmes were designed without ICF). However, this was not possible as DFID was not able to identify these programmes.
- Realist research specifically seeks evidence to test a theory and the theory is undermined where supporting evidence is not found. However, we cannot be sure that respondents to semi-structured interviews have mentioned all relevant evidence. Consequently, the absence of evidence cannot be used to definitively refute theories.
- We have not been able to establish the additional adaptation and/or mitigation impacts that are expected to be delivered by all the integrated programmes reviewed due to the stage of implementation and a lack of relevant evaluations.
- At this stage of the work, it has not been possible to address all evaluation questions fully. The ESG recognises this and will consider whether to commission further research following their review of this report. We have included our recommendations for areas for further investigation in section 10.

3.4 Findings

We have assessed the strength of our findings in the four categories described in Table 1 below. These are marked with icons in the text.

Category	Description	Icon
Strong	We are confident that the finding applies more widely than the sample of programmes we investigated	
Medium	We are confident that the finding applies to the sample of programmes we investigated	
Tentative	The finding applies to the sample of programmes we investigated to some extent and we do not have contradictory evidence	
Speculative	The finding is based on one or two comments but may merit further investigation	

Table 1: Strength of evidence

Each finding has been numbered (F1 – F42) to enable cross referencing.

Analysis and findings

This section details the analysis and findings for each of the evaluation questions shown in section 2.

4 How, and in what circumstances, has ICF been integrated into DFID programmes? Are there any patterns or outliers?

4.1 Evidence and analysis

This section draws on quantitative analysis of three samples of DFID's bilateral programming (it should be noted that these were drawn from DFID's internal systems and are not official statistics):

- 86 programmes with integrated ICF that were approved or had an operational start date after 1 April 2011. We have separated the 5 programmes where we know that the ICF investment arose from the concept note process on charts, these are labelled *pre-2015 C*.*
- 101 stand-alone (or full) bilateral ICF programmes that were approved or had an operational start date after 1 April 2011.
- 877 programmes approved between April 2011 and March 2017 and which did not have integrated ICF.

We have also included evidence from an in-depth review of documentation for 25 of the 86 programmes with integrated ICF.

4.2 Conclusions

Almost all the integrated programmes in the in-depth document review used ICF to fund some form of technical assistance. This is often supplemented by other activities including cash transfers, green public works and infrastructure investment (F1).

Between 2015 (when the current approach to integrating ICF was adopted) and 2017, 39 programmes that included £591million of ICF have been approved (F2).

Integrated ICF investment has been focused on a few countries and sectors. 60% of integrated ICF investment since 2011 has been focused on five countries (Ethiopia, Kenya, Bangladesh, Tanzania and Nepal). 78% of integrated ICF investment has been focused on four sectors of activity (humanitarian, economic infrastructure and services, social infrastructure and services and production services) (F6, F7).

The number of programmes with ICF and the amount of funding committed has fluctuated between years. However, the overall trend appears to be that:

- **Although spending has been maintained, the budget newly committed to ICF in DFID's bilateral programmes fell in 2017 though integrated programmes represented a larger share.** In 2017 two thirds of DFID's ICF commitments by value were in integrated programmes; this has increased from a quarter in 2015. However, the commitment to ICF in 2017 was lower than any year since the start of ICF in 2011 (F3).
- **The average integrated ICF commitment has risen but fewer programmes are including integrated ICF.** The average integrated ICF commitment has increased from £8m in 2015 to £22m in 2017 (F4) but the number of new programmes that have integrated ICF has fallen from 13 in 2015 to 6 in 2017 (F2).

F1. ICF has been integrated through a range of approaches: the most common are: technical assistance, green public works, cash transfers and infrastructure investment.

We were able to identify how integrated ICF was used in 23 of the 25 programmes included in the in-depth document review. 21 of these used ICF to support some form of technical assistance. The assistance ranged from scientific and research-based knowledge sharing to training of farmers in climate smart practices. Examples include:

- Advising central and regional government departments as they plan, develop and mainstream their climate change policies and strategies.
- Providing experts to support local government to consult on and draw up resilience and climate adaptation and/or mitigation plans.
- Training and supporting government and implementing partner staff responsible for monitoring and evaluating climate change programmes.
- Providing technical expertise for calculations, target-setting, monitoring and evaluation
- Training farmers in climate smart practices.
- Specific sector support, e.g. agriculture, mining.

In addition to technical assistance:

- There were 5 examples of ICF funding green public works which bring climate change adaptation benefits. Some of these works are carried out by recipients of cash transfers under social protection programmes. Examples include construction of plinths for houses in flood zones, building latrines, wells and drains, improvements to roads and paths, work on community assets such as schools, clinics and village halls.
- 4 programmes in the social infrastructure and services sector have used ICF to improve resilience to climate change amongst the poorest people through the provision of direct support or conditional/unconditional cash transfers, which enable households to cope better with climate shocks, avoiding adverse coping strategies such as selling assets.
- There were 4 examples of ICF being used to invest in climate resilient infrastructure. This may be as part of investment in disaster recovery/resilience or WASH construction programmes, or through funding of infrastructure projects. Infrastructure investment has been included in reconstruction programmes, humanitarian support and building of schools, roads and bridges.
- ICF had also been used to support health services delivery in two cases and in two payment by results programmes.

We could not identify any relationship between the activity that ICF supported and the amount or proportion of ICF integrated in the programme.

F2. ICF has been integrated in 86 programmes since 2011 with a total committed budget of £1.32bn. Since 2015, when the current approach was adopted, 39 programmes have committed £591m to ICF. 6 programmes with integrated ICF were approved in 2017, this is the smallest number since 2011. The amount of new commitments to ICF integrated programmes fell from £350m in 2016 to £131m in 2017.[5]

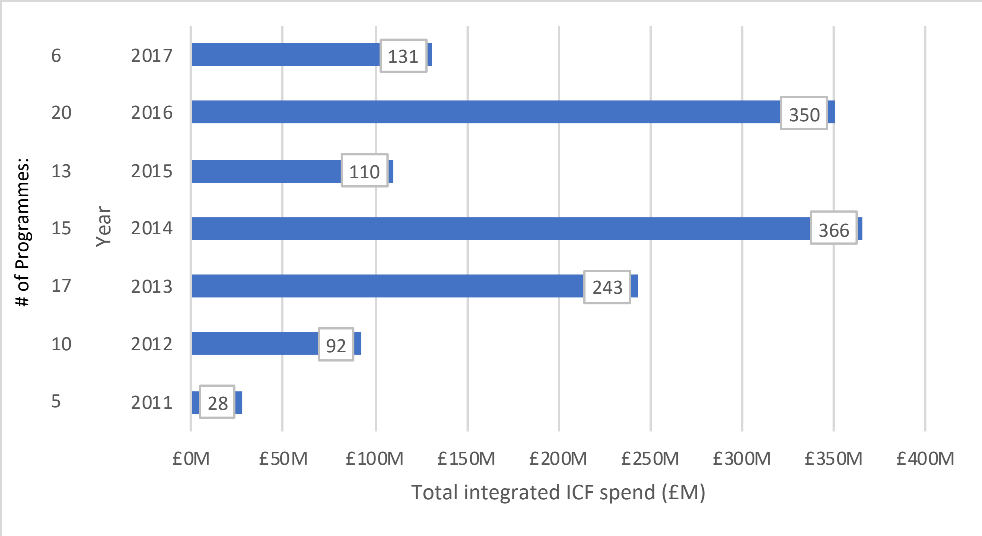

Figure 2: Total integrated ICF approved within DFID bilateral integrated programmes' budget by year of approval (n=86)

F3. The ICF budget approvals (commitments) committed to ICF has fallen but integrated programmes have represented a larger share. In 2017 two thirds of DFID's ICF commitments by value were in integrated programmes; this has increased from a quarter in 2015. However, the value of commitments made to ICF programmes in 2017 was lower than any year since the start of ICF in 2011.[6]

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[6] HMG clarification - Development programmes usually operate over several years and require their business cases to be approved prior to implementation, including their multi-year expenditure plans. In some cases, including contributions to climate multilaterals who operate on multi-year funding cycles, expenditure values can be very large over the programme lifetime. The level of programming committed (or approved) in any one year can therefore vary significantly depending on a few relatively large programmes and does not necessarily reflect the planned profile of annual expenditure.
UK ICF spending departments plan and manage delivery of these multi-year programmes within each year's UK Official Development Assistance (ODA) budget, monitoring carefully to ensure that climate change programming in each year is appropriate to deliver the UK's commitments on climate finance. The declining value of approvals year on year has still enabled climate finance expenditure to meet those levels agreed with HM Treasury and committed to publicly.

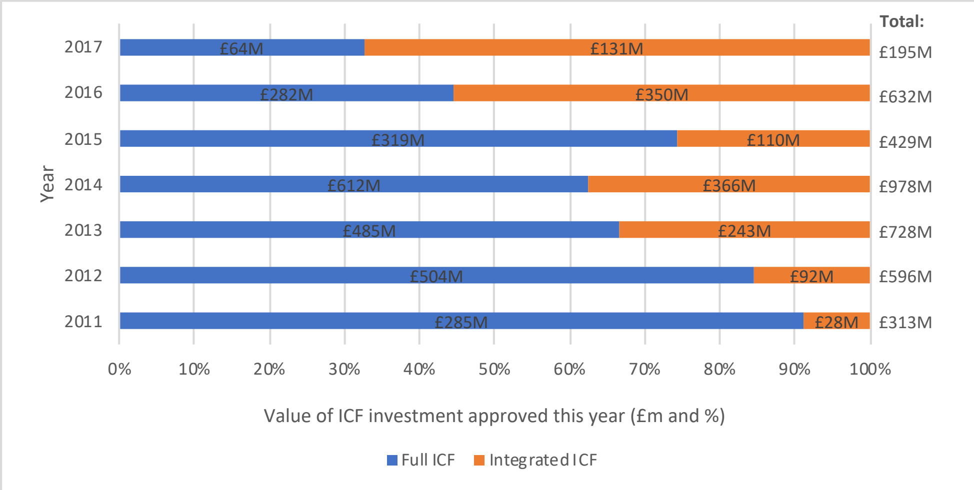

Figure 3: Split of ICF funding approval between bilateral integrated (n=86) and full ICF (n=101) by year

F4. Since 2015 when the current approach to integration of ICF was established the average value of ICF approved within integrated programmes has increased from £8m to £22m.

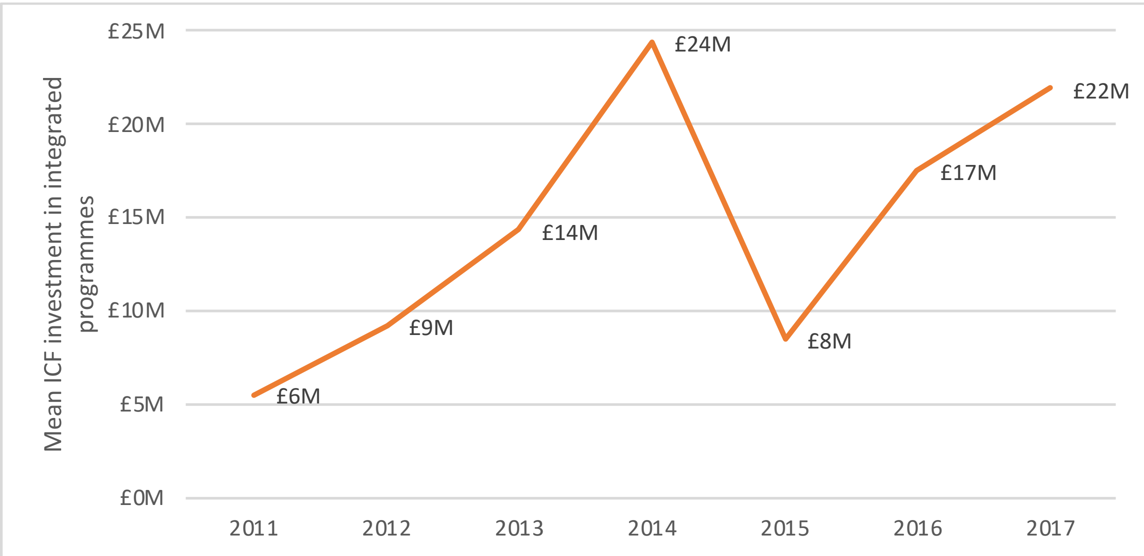

Figure 4: Mean value of ICF in bilateral integrated programmes by year (n=86)

One single very large programme commitment (£196m out of a total programme value of £276m) was made in 2014, which skewed the mean for that year. This programme, Productive Safety Net Programme Phase 4 in Ethiopia, was included in the sample for the in-depth review. It secured funding by applying to the International Climate Fund under the concept note system that operated before 2015.

F5. On average, ICF accounts for 17.5% of the budget of integrated programmes. ICF represents less than 20% of the programme budget in around half of programmes and more than 50% of the budget in 13% of programmes.

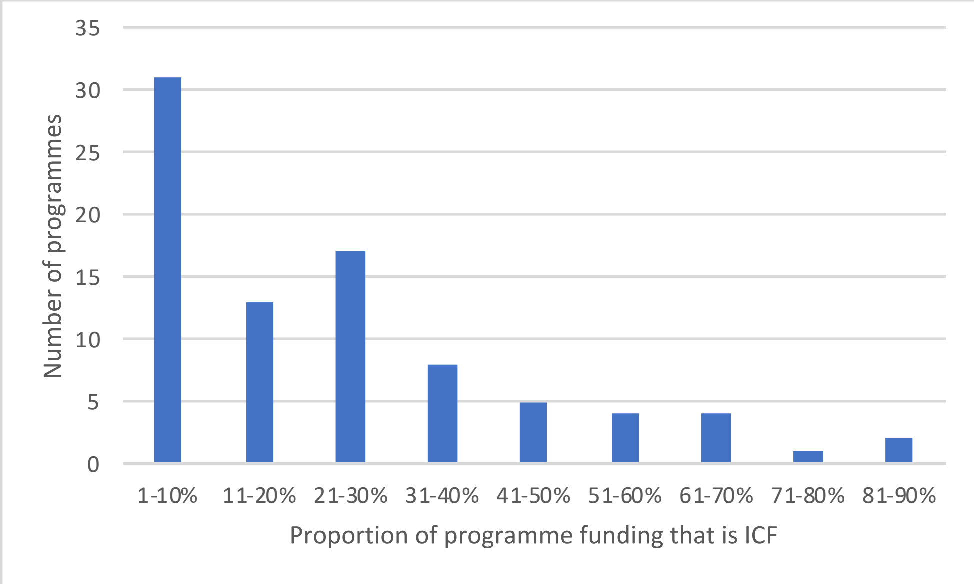

Figure 5: Proportion of bilateral integrated programme budget that is ICF (n=86)

F6. Integrated ICF budget commitments are concentrated in five countries which account for 60% of integrated ICF budget commitments. Those five countries account for a much smaller share of non-ICF commitments (22%). The five countries with the largest share of non-ICF commitments account for 42% of DFID's total commitment but only 25% of the ICF commitment.

Top 5 countries for Integrated ICF commitments		
	Proportion of total ICF commitment	Proportion of total non-ICF commitment
Bangladesh	10%	4%
Ethiopia	21%	10%
Kenya	14%	1%
Nepal	8%	2%
Tanzania	7%	5%
Total	**60%**	**22%**

Table 2: Top 5 countries for integrated ICF; proportion of total integrated ICF and non-ICF value 2011-2017 (Integrated ICF n=86, non-ICF n = 877)

Top 5 countries for non- ICF commitments		
	Proportion of total ICF commitment	Proportion of total non-ICF commitment
Syria	0%	11%
Ethiopia	21%	10%
Nigeria	<1%	9%
Pakistan	4%	6%
DRC	0%	6%
Total	**25%**	**42%**

Table 3: Top 5 countries for non-ICF; proportion of total integrated ICF and non-ICF value 2011-2017 (Integrated ICF n=86, non-ICF n = 877)

F7. 78% of the integrated ICF commitments between 2011 and 2017 were in four sectors; social infrastructure and services, humanitarian, production services and economic infrastructure and services.

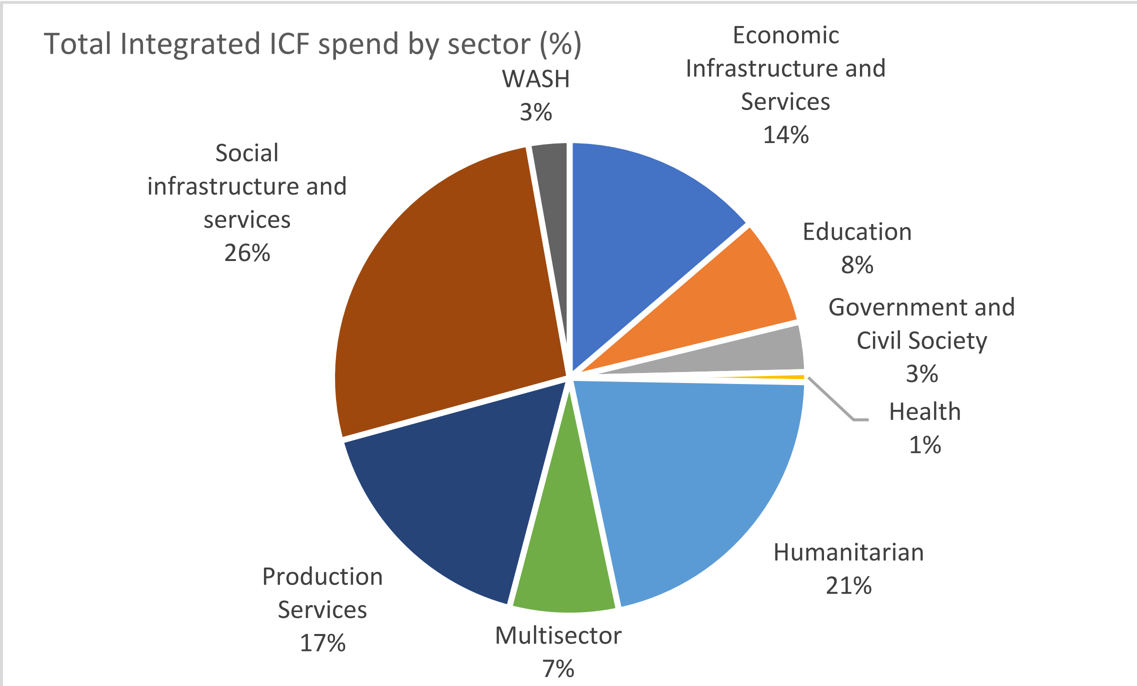

Figure 6: Analysis of DFID integrated ICF budget commitments by sector 2011-2017 (n=86)

F8. Programmes with integrated ICF accounted for 29% of DFID's total bilateral commitments between 2011 and 2017 (excluding full ICF). The proportion of the total commitment represented by programmes with integrated ICF varied from 4% in government and civil society to 73% in social infrastructure and services.

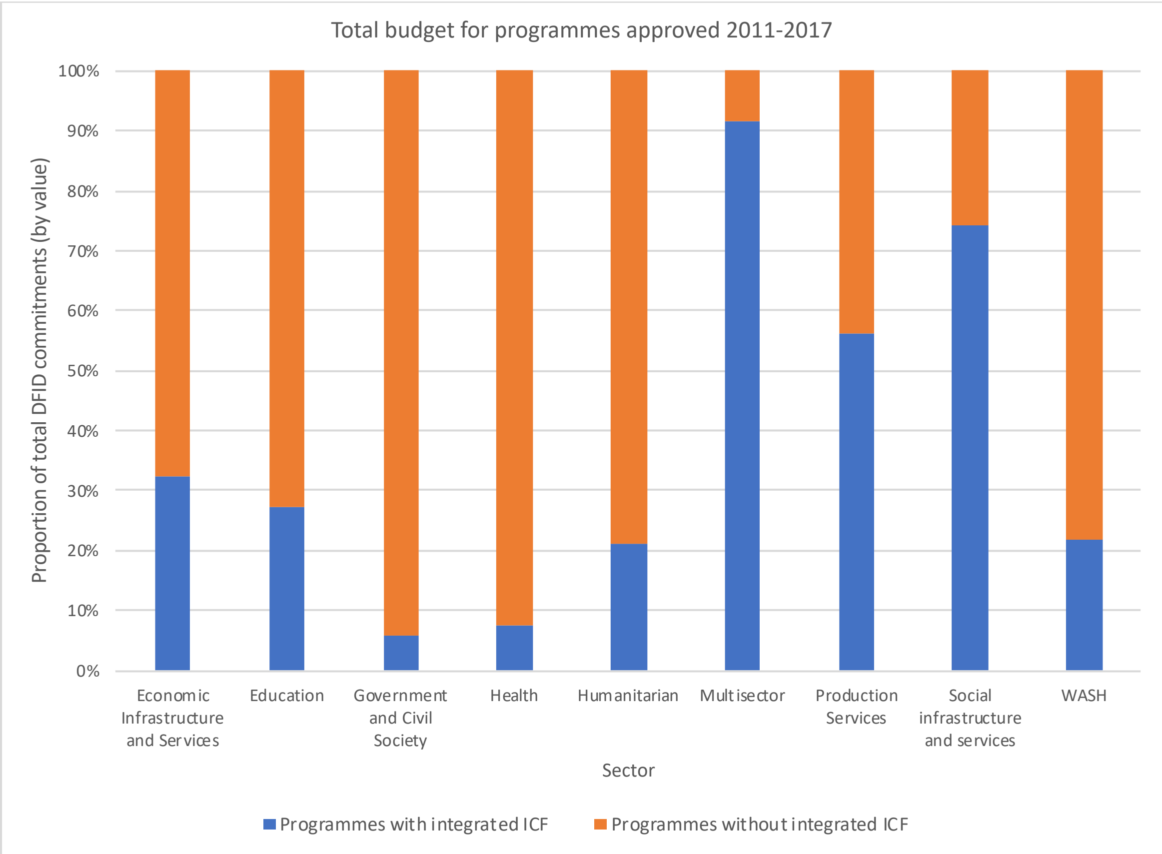

Figure 7: Analysis of DFID bilateral budget commitments by sector 2011-2017 (integrated ICF n=86, non-ICF n = 877)

F9. Where ICF has been integrated, it represents the largest share of programme commitment in the social infrastructure and services, production services and government and civil society sectors. ICF in health and education represents the smallest proportion of commitments.

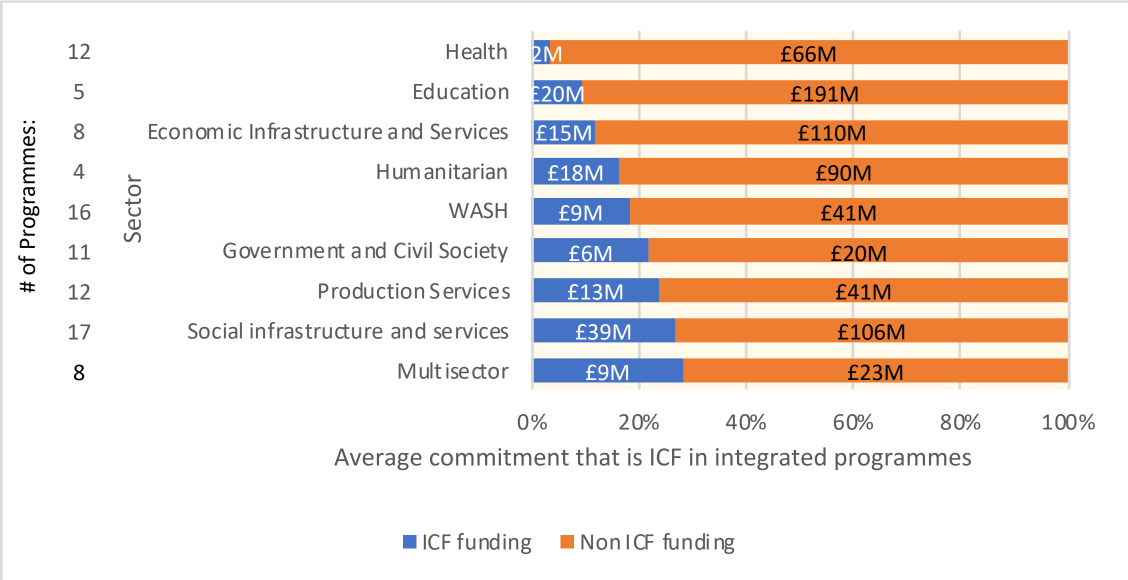

Figure 8: Proportion of bilateral integrated programme budgets that is ICF by sector (n=85)[7]

F10. We estimate that around half of integrated programmes had components scored as ICF after the programme had begun. More economic infrastructure and humanitarian programmes and fewer health, production services and WASH programmes have integrated ICF under the current approach adopted in 2015.

The approach to integration of ICF into DFID programmes has evolved over time.

- Integrated programmes approved prior to April 2015 fall into two categories:
  - Programmes had applied for funding from what was then the International Climate Fund, using a system of concept notes. DFID provided the concept notes and 5 integrated programmes were identified as having used this system. We cannot be certain that none of the other integrated programmes applied for funding using a concept note.
  - Others were categorised as ICF retrospectively (after the programme was approved) and so the integration of ICF did not have an effect on programme design. We have not been able to identify with confidence which integrated programmes have had components scored as ICF after the programme had begun. However, it is probable that programmes approved before 2015, and which were not identified as applying separately for ICF funding through a concept note, had components that were scored as ICF after the programme had begun. There were 42 of these; representing half the number of programmes with integrated ICF.

[7] The social infrastructure and services sector includes an outlier; when this is removed, ICF accounts for 14% of the commitment to integrated programmes in the sector. This programme, Productive Safety Net Programme Phase 4 in Ethiopia, was included in the sample for the in-depth review. It secured funding by applying to the International Climate Fund under the concept note system that operated before 2015.

- 39 programmes approved since April 2015 were mostly designed with integrated ICF and are unlikely to have had components scored as ICF after the programme had begun.

Programmes that had components retrospectively categorised as ICF could be considered to reflect the extent of mainstreaming before the current approach to integration.

Figure 9 below compares the number of programmes in each sector approved after 2015 with programmes approved before 2015 and which were not identified as applying for ICF funding through a concept note (i.e. those most likely to have had components retrospectively scored as ICF).

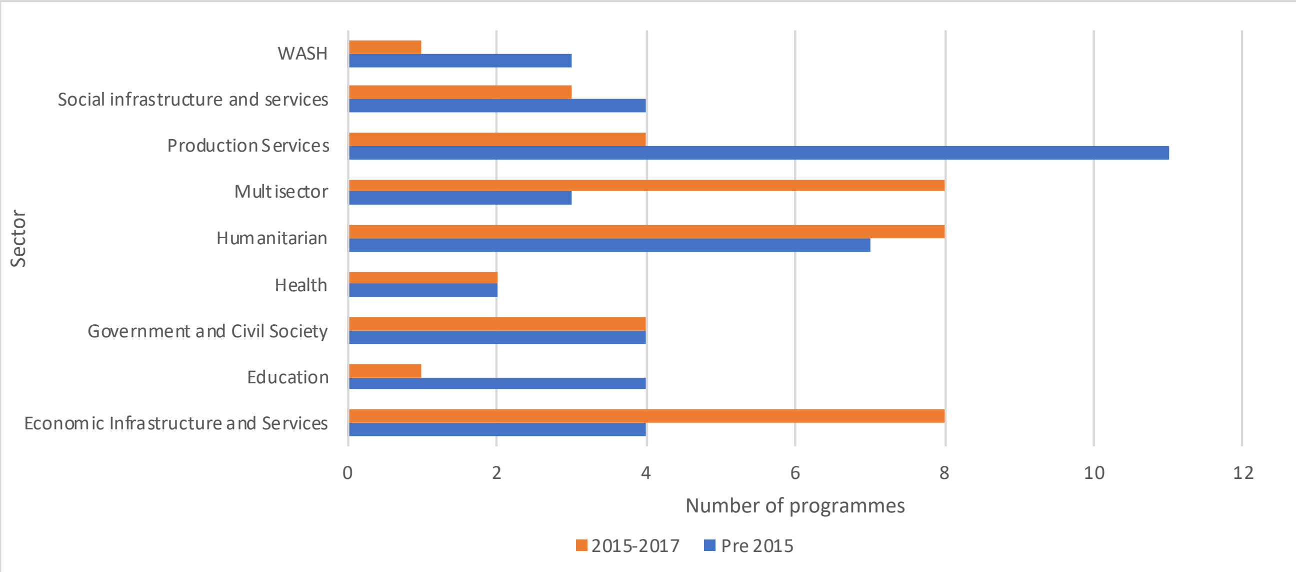

Figure 9: Number of bilateral integrated ICF programmes by period and sector (pre-2015, n=42; 2015-2107, n =39)

F11. In most cases, the ICF element of integrated programmes appears to be spent slightly later than the overall programme budget. This may be because many programmes with integrated ICF do not design the climate change related activities until the inception stage of the programme.

For almost all programmes where commitments were made after 2015 (where integrated ICF is thought to have been designed in from the start), the ICF component of the budget is spent in line with, or later than, the budget overall. There does not appear to be a difference in the rate of spending in different sectors. This may be because many integrated programmes have not fully determined what they will do to address climate risks and opportunities at the start of the programme and spend the inception stage researching the most appropriate measures to take.

5 What are the reasons for ICF being designed into, or not being designed into, potentially climate-relevant programmes? What additional adaptation and/or mitigation impacts are expected to be delivered by integrated programmes, how, for whom and in what contexts?

This section reports on the second evaluation question. Sections 5.2, 5.3, 5.4 and 5.5 below detail our findings relating to the key elements of the initial theory of change.

5.1 Conclusions

What are the reasons for ICF being designed into, or not being designed into, potentially climate-relevant programmes?

1. The reasons for ICF being designed into relevant programmes are different from the reasons for actions to address climate change risks and opportunities being designed into climate-relevant programmes.
    - Actions to address climate change risks and opportunities are normally designed into programmes to provide benefits to poor and vulnerable people (F13) and to meet DFID's priorities (F12).
    - ICF is generally integrated into programmes in response to encouragement from heads of office or to help to meet country targets for the proportion of ICF included in programming (F16).

2. The current approach to integrating ICF can discourage programme teams from integrating ICF in their programmes for additional action to address climate change risks and opportunities because there is perceived to be no additional money to pay for those actions (F18).

3. Programme teams can be less motivated to include actions to address climate change risks and opportunities in their programmes as there is a widespread perception that the priority DFID places on addressing climate change has reduced (F19).

4. Where there is a climate advisor in the office they can help to motivate programme teams to include additional actions to address climate change risks and opportunities (F22) and can assist them to integrate ICF (F20).

5. Programme teams are more likely to include actions to address climate change risks and opportunities where there is evidence about the benefits for poor and vulnerable people of actions to address climate change (F21).

What additional adaptation and/or mitigation impacts are expected to be delivered by integrated programmes, how, for whom and in what contexts?

6. The process of integrating ICF can lead to the delivery of additional adaptation and/or mitigation outcomes if it:
    - Stimulates teams to consider how they will address climate change risks and opportunities; this can generate new ideas or identify opportunities to replicate tested approaches (F22).
    - Results in the inclusion of indicators of the planned benefits in the logframe (F24).

7. This is most likely to be effective if there is a climate advisor on the team and where the SRO is open to new ideas for how to address climate change risks and opportunities (F25).

5.2 Why ICF is designed into, or not designed into climate relevant programmes

We found that:

- ***Programme teams include action to address climate change risks and opportunities because they believe it will deliver benefits to poor and vulnerable people (F13) and to support DFID's priorities (F12) and those of partner governments (F14). They integrate ICF within their programmes in response to encouragement from the head of office (F15) and, where they are present, to help to meet targets for their office (F16).***
- ***The integration of ICF has encouraged some teams to explore how they can do more to address climate change, often when they have worked with a climate expert (F16). In other cases, programmes have integrated ICF to finance actions they would have taken anyway (F17).***
- ***The approach to allocating ICF within country and departmental budgets introduced in 2015 can act as a barrier to integration of ICF because programme teams do not perceive it as being additional money (F18).***
- ***The perception that climate change is a lower priority for DFID senior management than it was in the past appears to have reduced the motivation of SROs and climate advisors to include actions to address climate change risks and opportunities in their programmes (F19).***

Our detailed findings are below.

F12. SROs of programmes with integrated ICF are aware of DFID's strategic priority to address climate change. A desire to support the Department's priorities helps to motivate SROs to include actions to address climate change risks and opportunities in their programmes.

SROs' perceptions of DFID's priorities are a key factor in their motivation to include action to address climate change risks and opportunities in their programmes. This is reflected in several Business Cases which refer to the UK Aid Strategy[8] (which incorporates "support for efforts to mitigate and adapt to climate change" as one of its four objectives) and the Single Departmental Plan[9] (objective 2.3 is "support for efforts to mitigate and adapt to climate change and prevent environmental degradation").

Interview respondents also gave these priorities as a reason for incorporating action to address climate change risks and opportunities in their programmes:

> *"… this programme aligns with Operational Plan objectives to make UK humanitarian response more effective and to drive action to tackle climate change through adaptation."* SRO interview

The SROs for programmes without integrated ICF who we interviewed were also aware of DFID's priority to address climate change. Two of these had included actions to address climate change risks and opportunities but had not integrated ICF, one planned to do so and also to integrate ICF. Therefore, awareness of DFID's priority to address climate change cannot be considered sufficient on its own to motivate SROs to integrate ICF.

F13. Where the programme team believes that addressing climate change risks and opportunities will benefit poor and vulnerable people they are motivated to include actions to address those risks and opportunities in their programme.

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[8] https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/478834/ODA_strategy_final_web_0905.pdf

[9] https://www.gov.uk/government/publications/department-for-international-development-single-departmental-plan/department-for-international-development-single-departmental-plan-december-2018

All the SROs that we interviewed who managed programmes that included actions to address climate change risks and opportunities considered that those actions enhanced the primary purpose of the programme by benefiting poor and vulnerable people.

Some of the SROs who were interviewed take a personal interest in climate change. They have a good knowledge and understanding of the climate change risks and opportunities that affect the beneficiaries of their programmes and regard it as routine good practice to include action to address climate change. The result is that it is they would have designed programmes to incorporate consideration of climate change, irrespective of whether they integrated ICF. Interviews and Business Cases demonstrated a strong sense of the importance of climate change and its impact on beneficiaries:

> *"It's essential to think about climate change adaptation in agriculture and especially in projects with a long-time frame, this project is 18 years"* Interview SRO
>
> *"…poor people are the most vulnerable to climate"* Interview: SRO
>
> *"Climate change is likely to intensify hydro-meteorological hazards, including droughts and floods."* Business Case: HARP
>
> *"If not addressed, climate change will hamper progress towards the MDGs and disproportionately impact vulnerable groups"* Business Case: Deepening Democracy Programme

F14. In addition to being motivated by DFID's priorities and the value to beneficiaries, some programme teams can also be motivated to include actions to address climate change risks and opportunities by the priorities of partner governments and achieving the Sustainable Development Goals.

Interviews and documentary evidence confirmed that, in addition to being motivated by DFID's strategic priorities, some programme teams were motivated to address climate change risks and opportunities by other factors including:

- Compliance with laws and policies in partner countries and a recognition that DFID wants to support partner governments to adopt policies to address climate change.
- Awareness of the Sustainable Development Goals and a desire to support progress towards them.

A few respondents mentioned that the value of ICF is subject to scrutiny from partner governments and as a result, they are conscious that it is important to demonstrate that ICF represents additional action to address climate change risks and opportunities.

> *"[The government] is fully aware of what the international negotiations say. They will challenge donors if you just randomly re-badge a load of stuff as climate*." Interview advisor

F15. Where the head of office provides consistent, visible support and encouragement for the mainstreaming of actions to address climate change risks and opportunities, SROs report that they are more motivated to include those actions in their programmes because they understand that it supports the office priorities.

The head of office is responsible for the portfolio in their country and formally approves all Business Cases up to £5m as well as formally approving all Business Cases that need to be submitted to the QAU and/or ministers. The SROs and advisors that we interviewed cited support from heads of office as a very important factor in encouraging programme teams to incorporate actions to address climate change risks and opportunities.

“For me the big thing is, if the head of office says, "We need to see more action on this”. Then people will take more action on it.” Interview advisor

“I think a factor in successful mainstreaming is … having a deputy director who is really clued in and touted [climate change] as the forefront of the office agenda”. Interview advisor

F16. Many programme teams integrated ICF in their programmes in response to targets set by the head of office for the proportion of ICF to be integrated in their programming. In some cases, this has encouraged teams to explore how they can do more to address climate change risks and opportunities.

In some cases, country offices have had targets for the amount or proportion of ICF within their programming; this was cited in interviews and Business Cases:

“DFID Zambia has taken an ambitious stance to make its portfolio climate smart including having 20% climate finance in 2019/20” Business Case, Zambia Health Systems Strengthening Programme

“We really had to hit our targets, our ICF spending targets. It was really something that was important for the office.” Interview advisor

Some teams responded to the targets for integrating ICF by seeking out opportunities to do more to address climate change risks and opportunities, often working with climate advisors or other climate experts.

“As the programme develops, we will consider the potential for the programme to contribute to international climate fund targets as appropriate.” Business Case, Zambia Health Systems Strengthening Programme

Where an office has targets to increase the extent of integrated ICF, climate advisors reported that this provides an opportunity for them to engage with programme teams and to encourage them to include (more) action to address climate change risks and opportunities.

A few respondents mentioned that the value of ICF is subject to scrutiny from partner governments and as a result, they are conscious that it is important to demonstrate that ICF represents additional action to address climate change risks and opportunities.

F17. In some cases the integration of ICF does not seem to have influenced the content of the programme, in which case it will not have supported additional action to address climate change risks and opportunities.

Some interviewees reported that integration of ICF did not influence the content of the programme and they would have acted to address climate change risks and opportunities regardless. This was most often seen in cases where the SRO considered the climate-relevant actions they were taking to be normal good practice and where they had not felt the need to work with a climate expert.

In other cases, though, integration of ICF seemed to be more of an incidental factor that did not influence the content of the programme.

"The whole programme was designed with climate change in mind, not with climate finance in mind." Interview SRO

F18. The perception that ICF does not represent additional funding and the work involved in integrating ICF can act as barriers to integration. Integrating ICF was seen as more relevant to some sectors (e.g. infrastructure or agriculture) than others (e.g. health or education).

DFID has a ring-fenced ICF allocation within its overall ODA allocation for the current Spending Review period. This ring-fenced ICF funding is not held centrally but is included in the overall budget allocations of departments and country offices on the understanding that the programmes that they design and manage would include climate change activity of sufficient scale to deliver the DFID commitment. Progress against the cumulative total is monitored centrally.

SROs / programme managers seeking to allocate funding to address climate change risks and opportunities have to secure that funding from within the overall budget for their department or country office. This appears to have given rise to a perception among some SROs, programme managers and climate advisers that the ICF funding is not additional.

> *"People have told me that they don't want to integrate as they have to divert effort from other priorities."* Interview advisor

Several climate advisors cited the number of different issues that SROs have to consider when developing a programme and one suggested there should be stronger incentives for integrating ICF.

> *"they're quite reasonably weak incentives relative to all the other issues that people have to deal with when they're developing a project."* Interview advisor

Some climate advisors and SROs felt that there was a size level below which it was not worthwhile to integrate ICF.

> *"I wouldn't encourage ICF integration if it's less than 10% as it's not worth the hassle. However, it's really rare that the ICF proportion is that low."* Interview advisor

However, others clearly are willing to integrate a smaller percentage of ICF as over one third of integrated programmes have ICF of less than 10% of the total budget (F5).

Some SROs told us that it was hard to see how their programme could be adapted to address climate change risks and opportunities and that some sectors are more of a "*natural fit*" for climate change than others. They also want to see "*tangible examples*" which may be more available in some sectors than others. The difference in the proportion of ICF in different sectors (F7, F8, F9) may reflect this

Others feel that there are more urgent problems which their programmes should be addressing; for example, a disaster relief programme had not integrated ICF because they had other priorities. However, on further investigation this programme had ensured that reconstruction work was designed to be resilient to climate change and solar energy was used to provide temporary power to homeless people. The SRO considered these adaptation and mitigation measures to be normal good practice and therefore not to be suitable for ICF.

F19. There is a perception that climate change is a lower priority for senior management currently than it was in recent years. This reduces the motivation of SROs and climate advisors to include actions to address climate change risks and opportunities and results in fewer opportunities to integrate ICF.

There is evidence from interviews that the priority attached by senior management to addressing climate change risks and opportunities has declined over the last two years. As a result, while programme teams are not likely to ignore climate change, they are less inclined to devote extra time and effort to considering how they could be doing more.

In the past some offices had targets for the amount of integrated ICF which encouraged programme teams to seek out opportunities to integrate ICF. Where these are no longer in place this has created a sense that the priority was lower.

This perception was widespread across SROs and climate advisors; many interviewees talked about it and none of the interviewees felt the priority was higher. We don't understand the reason for this change, particularly since there have been no changes in the formal priorities. However, some respondents attributed it to a change in personnel or to other policy priorities becoming more visible.

> *"they had other things come and go around different policy priorities, youth and disability and fragility in a whole host of areas. I know because climate is long-running, long-standing, it means that it doesn't maybe get as much attention as some of the shorter-term hot topics."* Interview SRO

> *"The current head of office…doesn't show consistent support; the result will be a much lower level of ICF."* Interview advisor

> *"[climate change] having been very much what everybody was talking about … was fading into the background"* Interview SRO

5.3 Understanding of how to deliver additional adaptation and/or mitigation outcomes

We found that:

- ***Climate advisors on the team or in the office appear to be important in supporting programme teams to identify actions they could take to deliver additional climate benefits (F22). Where there is an advisor on the team, programmes are more likely to integrate ICF (F20).***
- ***Programme teams particularly value evidence from their sector in deciding how they can most effectively address climate change risks and opportunities (F21).***

Our detailed findings are below:

F20. Where there is a climate advisor in the office and they have time available they tend to use a combination of evidence and influencing skills to provide programme teams with the understanding they need to include actions to address climate change risks and opportunities in their programmes.

Most of the climate advisors interviewed see it as part of their role to encourage and help SROs to integrate ICF in their programmes. They use evidence about the effectiveness of actions to address climate change risks and opportunities to improve the lives of poor and vulnerable people, rather than using evidence of the effectiveness of integration within DFID.

In addition to evidence, advisors told us they need influencing skills and the ability to secure support across the office.

> *"It's about convincing people that this is something they need to do. And also, something that they want to do. The second of those is about relationships, it's about proving your arguments. The first of those is about having the evidence but also the institutional levers to … make people consider it."* Interview advisor

Where they are included in a programme team, climate advisors may research potential actions to address climate change risks and opportunities and evaluate their suitability for inclusion in programmes.

Some country offices have one or more climate advisors located in the office working alongside programme teams, while others share advisors with several other countries. In other country offices there is no climate advisor. The decision whether the office will have a climate advisor is made by the office senior management, but we don’t know how those decisions are made.

Where a programme has no climate advisor on the team, the ESG advised us that advice is available from DFID locally and/or from the central policy department or advisers elsewhere in DFID. However, we only found one example of this advice being used (see F36).

F21. Evidence from programmes that the SRO has worked on in the past, or in a similar sector, has been used to convince programme teams of the value of including action to address climate change risks and opportunities. A perceived lack of evidence for approaches that work in the sector concerned can be an obstacle for climate advisors in persuading programme teams to incorporate actions to address climate change risks and opportunities.

Programme teams use evidence from past programmes to support the mainstreaming of action to address climate change risks and opportunities in their programmes rather than to convince them of the value of integrating ICF.

SROs are particularly confident in replicating successful activities to deliver adaptation and/or mitigation benefits where they have access to evidence from past programmes. Most of the evidence quoted comes from programmes in which they have been personally involved or other programmes in their sector. Further investigation of the reason for this would be valuable and could be included in the case study approach suggested in point 5 of section 10.

> *“Through a previous programme, DFID has been providing support to the CDB [Caribbean Development Bank] to improve its capacity to commission and interrogate climate risk assessment.”* (Business Case UKCIF)

> *“The programme ended …a year back. We had a lot of lessons from that programme, which helped in the design of the [programme]”* Interview SRO

Lack of evidence from the sector about the benefits to programme beneficiaries of action to address climate change risks and opportunities can be an obstacle to mainstreaming.

> *“Where you've also got a dearth of evidence…it's much harder. You've got to put more effort in, to justify spending more money on climate change.”* Interview advisor

Members of the evaluation team attended two cadre events in 2016 which brought together climate advisors with health, infrastructure and livelihoods advisors. One of the aims of the events was to improve understanding of how climate change could be mainstreamed.

We have identified evidence of mainly informal learning about approaches to addressing climate change risks and opportunities between phases of a programme and within sectors. However, apart from the cadre events, we have not identified any examples of systematic learning about mainstreaming or integration of ICF.

F22. Where there is a climate advisor on the team and in the relevant country office, programmes seem to be more likely to adopt ambitious or innovative approaches to addressing climate change risks and opportunities.

Climate advisors and SROs interviewed told us that climate advisors have helped programme teams to incorporate action to address climate risks and opportunities in programme design in a number of ways ranging from informal support, awareness raising, conducting feasibility studies or research and developing strategies.

> *"A climate advisor could take a deeper look into programmes... there is a big piece of work there, looking strategically at climate risk being handled in the region*." Interview SRO

> *"I picked her brain a little bit more about what we could do in terms of forecasting and getting better prepared"* Interview SRO

> *"We had a very good C&E advisor [in 2012/13] .really improved the level of knowledge and understanding throughout the office"* Interview SRO

Interviewees who work or have worked closely with an advisor based in the same office and/or department report that this is of great value in raising the profile of climate change, in helping them to identify risks and opportunities, and in spreading the message widely amongst all staff. In the absence of an advisor in the same office, interviewees said that an advisor on the team working remotely is valuable, though the informal suggestions and profile-raising role could be lost.

> *"I think certainly having a climate change advisor based in the office helped…those sorts of exchanges helped tremendously to define something that we had already decided would be an area we could possibly intervene on."* Interview SRO

> *"They were thinking about having shared advisers between offices, for example, like regionalising climate support... It sounds in theory like a good idea but in practice I'm not convinced. ... And the challenges of trying to work across two offices were actually really big. Because a lot of what I'm describing is face to face. Being there, being involved."* Interview advisor

Some programmes have used climate advice from their implementing partners where there wasn't sufficient climate advice in their office or where more specialist advice was needed.

> *"I think the most help has just been actually working with technical people and our implementing team and with the evaluation team as well because they've just had more understanding what it means for the sector, it's just quite niche."* Interview SRO

> *"We generally derive a lot of our climate advice from [our partners] who are more directly working on [country]."* Interview SRO

Where a programme team is planning to implement tried and tested approaches and feels that they have sufficient knowledge of the climate change risks and opportunities relevant to their programme and how to address them, they may not see the need for the help of a climate advisor in designing their approach.

> *We haven't actively gone out to get [the climate advisor] involved. [they are] very involved with other programmes within the office*…. Interview SRO

There is evidence that where offices have a full-time climate advisor they programme more ICF than where they do not.

"... analysis of various country offices (Rwanda, Tanzania, Zambia, Malawi, Mozambique and Zimbabwe) finds that those offices with full time dedicated climate advisor have programmed much more ICF than those with part time advisors or regional advisors only." Practical Support on Climate Information, ICF Integration and Decision Making Under Uncertainty for DFID and the CCKE Unit: Paul Watkiss Associates

"…it's a really obvious link in having someone in a country office, who is there for long enough to mobilise people, to raise awareness, to get that shift happening. Those countries where there is not climate input. It just doesn't necessarily happen...Where you have a country office, that had a climate advisor. You would see a greater proportion of spend on ICF, than those offices where there wasn't a climate advisor." Interview advisor

5.4 Confidence that ICF integration is likely to deliver adaptation and/or mitigation benefits

We found that:

- ***DFID's Smart Rules and Climate and Environment Smart Guide should ensure that programmes approved since late 2017 with integrated ICF include the planned climate benefits in the logframe which would provide confidence that expected benefits would be delivered (F23).***
- ***Many of the 2017 programmes reviewed do not appear to be complying with the Guide (F24) although these were potentially approved before the Smart Rules required compliance.***

Our detailed findings are below:

F23. Where ICF is integrated in a programme, DFID's Smart Rules require (from late 2017) that the Climate and Environment Smart Guide is followed. Where this is done, specific climate objectives are included in the Business Case and indicators to assess the planned benefits are included in the logframe. This can provide more confidence that the intended adaptation and/or mitigation outcomes will be delivered.

In theory this approach is embedded in DFID's systems because the Climate and Environment Smart Guide from late 2017 requires programmes to capture the planned climate benefits in the logframe. Progress against indicators in logframes will then be assessed as part of the Annual Review along with recommendations for follow-up action and an analysis of learning. This gives the planned climate indicators a high level of visibility and helps to ensure that the intended outcomes are delivered.

F24. The Climate and Environment Smart Guide appears not to have been followed in many of the cases where it could be expected to have been applied.

We investigated use of the Guide in interviews and by examining the 6 programmes with integrated ICF that were approved in 2017 (though potentially before the Smart Rule required compliance).

Only one of the six programmes had documentary evidence that the Climate and Environment Smart Guide had been followed. The other programmes did not have specific climate or environment objectives in the strategic case or indicators in the logframe (which they would have done if they were following the guidance). This suggests that the Climate and Environment Smart Guide is not being used widely by programme teams. As these six programmes were not included in the interview sample we don't know whether there is additional documentary evidence or the reasons why the Guide was not followed.

One respondent suggested that the Guide had not been used by some programme teams because it was adopted too late to be used in the normal DFID planning cycle. It is possible that use of the guidance will increase in future years.

"The issue is that a lot of the guidance came late on in the day in relation to the request to identify ICF spend related to the broader DFID planning cycles. As a result, the guidance wasn't followed by all" Email advisor.

One climate advisor reported that they don't follow the guidance.

*"Personally, I have not used it (*the Guide*) very much, but it's a tool that we need to learn how to use and make our climate change programmes more effective.* Interview Advisor

Some respondents described the requirements of the Climate and Environment Smart Guide as burdensome; this could also be a disincentive to compliance. Although the Smart Guide is now referenced in the Smart Rules, some programme teams may not be aware of it when they are designing programmes.

F25. The Climate and Environment Smart Guide is more likely to be followed when there is a climate advisor on the team because they provide the skills and time to do so.

In the 25 cases included in the in-depth sample, any work to comply with the Climate and Environment Smart Guide was done by a climate advisor or implementing partner with expertise in climate change. Thus, it is possible that where there isn't climate expertise on the team, the programme is less likely to follow the guidance.

One SRO felt that the Climate and Environment Smart Guide was useful to provide an understanding of potential actions to address climate change risks and opportunities:

"The Climate and Environment Smart Guide is useful, it's good to dive into the topic and see what's happening". Interview SRO

Another SRO was grateful to have the support of a climate advisor to help them to understand and interpret all the guidance.

"I think for somebody who's running a programme for which climate is maybe one aspect of many, it can feel a little bit overwhelming to sometimes have to digest what is coming out … [climate advisor's] role is also helping us make sense of all the guidance and see how it applies to us and how we should respond to it more sensibly." SRO interview

The Climate and Environment Smart Guide suggests that programme teams conduct analysis to identify actions to address climate risks and opportunities and to ascertain the appropriate amount of ICF to be allocated to the programme. We requested this analysis for all the programmes reviewed in-depth and were able to obtain it for three of them. In these three cases the analysis had been conducted by the climate advisor.

***F26.* The SRO is responsible for considering whether implementing partners have capacity and capability to deliver integrated programmes effectively and sets out the characteristics they are looking for in the Business Case.**

Several Business Cases set out the process for selecting implementing partners and identify that the capability required to deliver actions to address climate change risks and opportunities will be considered. For example:

"PKSF has substantial experience working on climate change – having managed the civil society programmes of the Comprehensive Disaster Management Programme (CDMP), BCCRF and the GoB

Trust Fund. They will be asked to draw on that experience to support (a) mainstreaming across the range of actions being undertaken and (b) monitoring during implementation. Business Case PPEPP

F27. We have not found evidence of programmes estimating the additional adaptation and/or mitigation impacts that will be delivered as a result of the additional actions to address climate change risks and opportunities financed by ICF investment.

Some programmes (we have seen evidence from 3) conduct an analysis as recommended by the Climate and Environment Smart Guide to assess the share of the programme budget that can be considered ICF; i.e. what additional activities the ICF investment is going to be spent on. However, we have not found any evidence of programmes estimating the additional climate related benefits that will be achieved as a result of those activities (other than where another outcome is used as a proxy for the climate benefit see F33).

5.5 Together, understanding, motivation and confidence lead to programmes intended to deliver additional adaptation and/or mitigation outcomes

We found that:

- ***The process of integrating ICF can stimulate programme teams to think about how they can do more to address climate change risks and opportunities which can lead them either to include actions in programmes to deliver additional adaptation and/or mitigation outcomes or to commission research at the inception stage to assess the climate change risks and opportunities and recommend actions that could be taken (F28).***
- ***The process of integrating ICF can support the delivery of planned climate benefits where it results in their inclusion in the logframe (F23).***

Our detailed findings are below:

F28. The process of integrating ICF can lead to the delivery of additional adaptation and/or mitigation outcomes because teams think through how they will address climate change risks and opportunities, and this can stimulate new ideas or identify opportunities to replicate tested approaches.

SROs make decisions about whether and how they will include actions to address climate risks and opportunities and whether to integrate climate finance in a programme. Where the team includes a climate advisor they are involved in the decision. Implementing partners may also be involved in the decision where they have relevant skills. Senior leaders, heads of office and partner governments are important influencers.

SROs weigh up a range of factors in designing programmes and their decision to integrate action to address climate change risks and opportunities depends on whether there is good evidence for the benefits to participants. It is also often dependent on their personal perception of climate change as a pressing issue for beneficiaries of their programme.

Where the programme team does not have established approaches to follow and is open to designing new actions they can be prompted by encouragement, particularly from climate advisors, to use ICF to consider approaches which are more ambitious.

Where a case for ICF is developed in the Business Case, interviewees reported that this concentrated their minds and obliged those involved to think about what more they could be doing to improve climate outcomes.

"A study was conducted as part of the inception stage, that identified areas where [the activity] would be at risk from climate change, so the programme has changed the areas it will work in. There were also additional adaptation measures identified […]." Interview SRO

One climate advisor explained that the process of integrating ICF is an opportunity to recognise the climate-relevant work that programmes are doing already and then to encourage them to go further.

"There's kind of the bit of recognizing work that you're already doing that's climate-relevant and then there's the bit beyond that, which is how ... should we be doing more here and how do we do more and what does that look like." Interview advisor

An SRO viewed the process of integration as a way to mainstream environment and sustainability throughout the programme and also to ensure that the programme did no harm.

"…having the environment and sustainability mainstream throughout the programme was just really key for us, both in terms of living up to … that sustainability, economic, and environmental, but also just in terms of risk mitigation for [DFID] and making sure that in terms of our safe guarding and do no harm." Interview SRO

In many cases, money is set aside to invest in further work on developing the climate component to be carried out after the Business Case is approved.

"More detailed mapping of the areas earmarked for development is needed to more accurately determine the amount of planned tea cultivation by different levels of altitude, rain fall and other growing conditions. More information is also needed to assess the vulnerability to climate change and variability of existing crops being grown to support a relative assessment of climate related risks associated with the growing of tea." Business Case; Sustainable Inclusive Livelihoods through Tea Production in Rwanda

Where programme teams are already planning to implement tried and tested approaches to address the climate change risks and opportunities relevant to their programme, integration of ICF may not encourage them to do more. However, the integration of ICF can provide recognition of the climate change aspect of their programme and, through the incorporation of the planned benefits in the logframe, can help to keep a focus on the delivery of adaptation and/or mitigation benefits. Climate advisors have an important role in supporting these teams to use and report on ICF KPIs.

"the ICF aspect of it just means that it's far more intentional and far more systematic about how we've gone about approaching it... I think it's at least helped us keep our eye on the ball and keep focusing on the climate aspects." Interview SRO

"*it [having an ICF indicator in the log frame] certainly does have an impact on how we approach that, or at least it makes sure that nothing drops off the agenda…It's the only way to actually do this sensibly and pragmatically here. But I do think it does, having it there, keeps everybody honest, and also provides a very clear way ... A way that everyone buys into"* Interview SRO

F29. There is some evidence of a potential risk that reducing the number of standalone climate programmes in favour of integrated programming could inadvertently send the wrong messages to partner governments and funding partners. However, in one case the SRO saw integration as helping to engage partner governments.

A few advisors reported being challenged by partner governments who saw the reduction of dedicated climate programmes as an indicator of reduced priorities. There was a suggestion that this could be communicated more effectively.

> *"[partner government official would] say, "I see you've closed your climate programmes. Do you not care about climate?"* Interview advisor

One SRO felt that mainstreaming could reduce the visibility of DFID's climate change activities which could, in turn, reduce DFID's influence. They also suggested more efforts to communicate what was being done.

> *"Mainstreaming generally could reduce your influence… what would help us is to step up the visibility of what we are doing…where we can."* Interview SRO

However, another SRO saw integration as helping to engage partner governments and encourage integrated programming:

> *"We had started working with the Planning Ministry and also some little work with the National Treasury. But, then we realized that the best way to get climate change work mainstreamed is to do integrated programming."* Interview SRO

5.6 Revised theory of change for the design of programmes to deliver additional climate benefits

Drawing on the findings and conclusions above we have refined the initial theory of how the integration of ICF supports the design of programmes to deliver additional adaptation and/or mitigation outcomes so that it reflects the four outcomes that we have identified and the understanding of how those outcomes were generated.

1. **Integration of ICF supports the delivery of additional climate benefits through replication or innovation**
   - **Where** SROs are open to exploring ways in which their programmes can deliver additional adaptation and/or mitigation outcomes and where climate expertise is available to the team (from a climate advisor or implementation partner)
   - **Then** integration of ICF can provide an *opportunity* to use evidence to develop an understanding of how additional adaptation and/or mitigation outcomes can be delivered
   - **Which results in** programmes identifying opportunities to *replicate* successful approaches that have been implemented elsewhere **or** deciding to allocate resources to explore potential *innovative* approaches to addressing climate change risks and opportunities.
2. **Climate benefits that would have been achieved anyway can be counted as ICF**
   - **Where** SROs have past experience of implementing actions to address climate change risks and opportunities or are aware of other successful approaches within their sector and they don't feel the need to seek additional support from experts
   - **Then** they feel they can support DFID's priorities by integrating ICF for actions that would have been implemented anyway
   - **Which results in** the programme including a budget allocation for ICF relating to activities to address climate change risks and opportunities that would have been implemented anyway.
3. **Climate benefits are included but it's not worthwhile to integrate ICF**
   - **Where** SROs have past experience of implementing actions to address climate change risks and opportunities or are aware of other successful approaches within their sector, they don't feel the need to seek additional support from experts and where there is a perception that integrating ICF does not provide any extra money, the programme is too small or where the amount of ICF would be small

- **Then** the work to integrate ICF is not considered worthwhile
- **Which results in** the programme including activities to address climate change risks and opportunities that would have been implemented anyway but not integrating ICF.

4. **There is no opportunity to address climate change risks and opportunities**
    - **Where** SROs do not perceive climate change to be relevant for their programme and don't feel the need to seek additional support from experts
    - **Then** there is perceived to be *no opportunity* to integrate ICF
    - **Which results in** the programme not including activities to address climate change risks and opportunities.

The development of this theory of change is discussed in more detail in the accompanying Technical Annex.

6 In what circumstances and how are integrated programmes likely to be delivered to achieve the anticipated benefits, in what circumstances and why are they not likely to do so?

This section reports on the third evaluation question. Sections 6.2 and 6.3 below detail our findings relating to the key elements of the initial theory of change.

6.1 Conclusions

In what circumstances and how are integrated programmes likely to be delivered to achieve the anticipated benefits?

Integrated programmes are more likely to be delivered to achieve the anticipated benefits where the planned benefits have been included in the logframe (F23) and where the team has access to climate expertise (either through a climate advisor or the implementing partner) (F35 and F36).

In what circumstances and why are they not likely to do so?

Where logframe indicators have been adapted from other non-climate indicators they may not properly reflect the planned climate benefits (F33). In these cases, there is a risk that the delivery of climate benefits will not be monitored effectively. It is possible that programmes will deliver climate related benefits regardless; however, the positive effect of monitoring performance will not be secured.

The anticipated benefits may not be achieved if partner governments' priorities change during the life of a programme to reduce the priority placed on climate change (F30).

6.2 The focus on delivering the additional benefits of integration is retained through the implementation phase

We found that:

- ***The integration of ICF can, where effective indicators (F32) are used and teams comply with the Climate and Environment Smart Guide (F32), help to ensure that the planned benefits are included in the logframe.***
- ***Programme teams are motivated to deliver climate benefits to poor and vulnerable people (F13); where indicators are included in the logframe (F23) this helps to maintain the team's focus on delivering those benefits.***

Our detailed findings are below:

F30. Partner governments may affect delivery if their priorities change during the lifetime of the programme, for example by heightening or reducing their climate focus and thus the level of resources they are prepared to devote to the programme

In some cases, the level of priority devoted to climate change by partner governments has changed during the programme's implementation. This can result from a change of government or a new minister. New priorities can increase or reduce the commitment to climate change of a partner government.

> "*The new State Minister in charge of the programme appears highly committed."* Annual Review PSNP4

There are instances where programmes have been delayed because a promised budget change did not materialise, or the publication of a strategy was delayed.

Some SROs reported that partner governments' commitment can be affected by a recognition that the country is suffering from the effects of climate change.

> *" [country] has perennially suffered the effects of climate change and I think a point was reached where there was recognition of the fact it's time to put policies in place."* Interview SRO

However, in other cases, partner governments' attention to climate change can be adversely affected by natural disasters or other crises which are considered to present a more pressing need for resources.

We have seen no evidence of other funding partners influencing delivery directly once the funding has been agreed at design stage.

F31. Implementing partners with climate expertise can provide valuable support and advice through the design and delivery of a programme

Implementing partners have a key role in delivering the adaptation and/or mitigation outcomes of a programme and are contractually obliged to conduct the work which is expected to deliver those outcomes.

In some of the cases reviewed we found that implementing partners brought strong expertise in climate change and drove many of the innovations required to deliver the planned benefits.

> *It's really been our implementing team that's come up with the ideas of what it actually means and what it means to look at the [programme] through a climate lens, an environment lens.* Interview SRO

Implementing partners may have a particularly key role where there is not a climate advisor on the team or where they bring specialist skills or expertise. Some SROs felt that, because implementing partners had more specialist expertise in the sector or country, they may be able to provide more effective support than climate advisors.

> *"We generally derive a lot of our climate advice from [our partners] who are more directly working on [country]."* Interview SRO

F32. Where indicators of adaptation and/or mitigation benefits are included in the logframe for a programme, they ensure that a strong focus is maintained on delivering those benefits

Where effective indicators of the planned adaptation and/or mitigation outcomes are included in the logframe they encourage the delivery of those planned benefits.

> *"delivery against every single indicator there is on the log frame…certainly does have an impact on how we approach that… it makes sure that nothing drops off the agenda"* Interview SRO

DFID's systems ensure that they are reported in the Annual Reviews and the programme's performance against those indicators is monitored closely.

> *"In terms of mainstreaming ICF into climate change indicators into programme, the best way to ensure cooperation and compliance is to put this in the log frame and have this being collected at every Annual Review."* Interview SRO

F33. Programme teams do not always include accurate indicators of the planned adaptation and/or mitigation benefits in the logframe. In some cases, it is because the activities to address climate change risks and opportunities are not sufficiently well defined. In other cases, it is because it is hard to design effective indicators.

Programme teams choose how to reflect the planned adaptation and/or mitigation benefits in their logframes. Only one of the 6 programmes approved during 2017 had included indicators of the planned adaptation and/or mitigation benefits in the logframe (F24).

We know that some programme teams intend to add appropriate indicators to the logframe at a later stage, for example because they plan to design the activities to address climate change risks and opportunities during the inception phase of the programme.

Some programme teams include the intention to adopt indicators in the logframe itself; this should ensure that indicators of the adaptation and/or mitigation benefits are included in the logframe in due course. However, we are not aware of a system to ensure that this is done in all cases.

We found evidence that some integrated programmes have constructed logframe indicators that explicitly reflect the intended adaptation and/or mitigation benefits while others have used indicators of other benefits to reflect the planned climate benefits. In some cases, these indicators of other benefits do not explicitly recognise climate benefits. For example, some integrated programmes report the total number of beneficiaries against an indicator rather than disaggregating to show clearly those beneficiaries that have been directly supported against the effects of climate change. This risks diluting the focus of the logframe indicator in ensuring the delivery of the intended adaptation and/or mitigation outcomes and could, inadvertently, overstate the impact of the programme on climate change (see F34 below).

F34. Programme teams do not always report against the ICF KPIs and where they do report against ICF KPIs these do not always provide an accurate reflection of the adaptation and/or mitigation benefits.

41 of the 86 programmes with integrated ICF report in their logframe against at least one of the ICF KPIs. We do not have a full understanding of the reasons why all the other 45 programmes do not do so. However, the barriers include:

- Indicators may not be selected until some time after the programme has been approved and so may not be in place at the time of this evaluation.
- Some programme teams find the process of developing indicators that align with the ICF KPIs challenging.

- The ICF indicators can be seen as a reporting requirement rather than providing useful management information to the programme team.
- The task of reporting against the ICF KPIs can be seen as onerous and some find the reporting system hard to use.
- Some felt that the guidance was too technical for people without a climate background to understand.

SROs work with advisors and partners to identify indicators that provide useful performance information and are practical to collect. Some programmes do not select indicators until the scope of the climate relevant work has been fully defined which may be a year or more after the programme starts.

However, in other cases, teams have found the process of developing the indicators challenging.

> "*How do you make sure that the indicator is one that fits nicely with the project and can be collected without too much difficulty*" Interview SRO

Many programmes use results which would already be collected in the logframe to report against an ICF KPI. This can be a good indicator of the adaptation and/or mitigation outcomes or could have weaknesses (see F33 above).

Respondents reported that a common approach is to count up the number of beneficiaries of the programme and report that against ICF KPI1, the number of people supported to cope with the effects of climate change[10].

Several climate advisors felt that this approach to constructing ICF KPIs was inadequate and some felt that the guidance was too technical for people without a climate background to understand which meant that programme teams found a solution that was easy for them to deliver.

> "*My biggest enemy is KPI 1 in the sense that people just count the number of beneficiaries in their programme and think that that is a way of counting the number of people helped to cope with the impact of climate change. And the guidance is maybe a bit too technical for some advisors."* Interview advisor

> "*people will report on the ones that they think are the easiest to report on"* Interview advisor

This risks inadvertently overstating the impact of the programme on climate change. However, the central ICF results team explained that their quality assurance process seeks to understand the underlying data that has been submitted by programmes and correct any over-statement of climate benefits. For example, when reviewing KPI 1 results data, the ICF central results team has focused on checking whether results reported are 'directly' constituting targeted support that intends to help people to adapt to the effects of climate change. Experience with several annual ICF results collections has typically led to a revising down of KPI 1 'direct' results which either get counted as KPI 1 'indirect' beneficiaries, or not counted against KPI 1 at all.

The programme team often consider the ICF indicators to be a reporting requirement rather than providing useful management information.

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[10] The guidance for KPI1 explains that "*supporting people to cope with the effects of climate change requires the effects of climate change to be explicitly recognised and targeted by the programme in question*". This could be expected to involve some analysis to establish the number of beneficiaries of the programme that were vulnerable to the effects of climate change and the number that had been helped to cope with those effects by the programme. We have not seen evidence of such activity.

During delivery, programmes with integrated ICF report ICF KPI results to the ICF Secretariat in a separate system to DFID's SDP results. We don't know why the systems are separate. Those involved described the ICF system as "*clunky*" and "*rather hard work*".

> *The ICF reporting is a bit cumbersome so usually it's a rough estimate.* Interview SRO

> *Some of those indicators for the ICF, are very complex, they're very specific. They need people who are comfortable, and confident to explain the full [inaudible 00:52:31] approach to resilience, et cetera, et cetera. Who have got that breadth of understanding as to other countries, who are reporting on the same things. How they tackled some of the problems.* Interview, climate advisor

ICF reporting can be seen as a task for the climate advisor who may not be closely involved with the programme delivery.

> *I think the ICF platforms can only give access to the climate advisor[11], so you end up being the one putting it into that platform and that is a lot of work.* Interview advisor

6.3 The programme team has the capacity skills and knowledge to deliver the additional benefits of integration effectively

We found that:

- ***Having a climate advisor on the team can make a difference to the delivery of climate benefits as they are able to help programme teams through briefing implementing partners and dealing with queries as they arise (F35).***
- ***Climate advisors are short of time and are not available in all offices; this presents a risk to the delivery of planned climate benefits (F39).***

Our detailed findings are below.

F35. The implementing partner will often bring the expertise necessary for the delivery of the climate change elements of integrated programmes. Climate advisors can support SROs in the delivery of programmes by helping them to brief the implementing partners. When they are based in the office, climate advisors also provide ad hoc advice and support to programme teams.

During delivery it is often implementing partners which are responsible for achieving outcomes and for resolving difficulties. They are frequently selected on the basis of their commitment to and experience in delivering climate change related work, so programme teams rely on their knowledge and expertise. Implementing partners supply the data and information which are used to report to funders and partner governments. The climate advisor can help to brief the implementing partner and ensure they understand the climate change requirements of the programme.

> *We had our climate advisor meet with our implementing partner team to discuss what it meant to include ICF KPI's … bringing the big picture to them and then the technical team go in and work on the actual nitty gritty of what it means for our particular programme*. Interview SRO

If the climate advisor is part of the team and/or in the office, they are able to help with any issues which may arise during delivery of climate related work. This is often through informal, 'water-cooler type' conversations,

[11] This perception is incorrect; access to the ICF platform can be provided to any designated individual

during which an advisor may pick up on how a programme is progressing and hear about problems with which they might be able to offer help.

> *"I think certainly having a climate change advisor based in the office helped…. to define [the] area we could possibly intervene on*." Interview SRO

All advisors are expected to provide 10% of their time to work on programmes that are not part of their core responsibilities. One programme team described taking advantage of this to secure the support of climate advisors during delivery to review and provide quality assurance for individual reports.

> *We would look at trying to procure some of that 10% advice from other climate change advisors with DFID, to look at the individual climate vulnerability assessments once they come in.* Interview SRO

F36. Climate advisors can support programme teams in monitoring the delivery of the climate change related activities and in reporting the ICF KPIs to the ICF secretariat.

There are three elements to the ICF reporting role, which the climate advisor normally carries out: inclusion and calculation of ICF at Business Case stage, encouraging teams to supply data for indicators during delivery, and submitting data to the Secretariat.

> *"…whenever there are any ICF updates or anything like that [the climate advisor] will go round and make sure that all the SROs who have got ICF funding are aware of what's going on and are keeping up to date."* Interview SRO

The process for including or not including a climate advisor on the team is also not clear. It appears, from interviews with SROs, that it is up to the SRO whether to consult an advisor at all, to use him or her on an *ad hoc* basis, or to involve him or her as part of the programme team.

Where an advisor is available and has the capacity to get involved, he or she can maintain the focus on climate outcomes and help with climate-related issues which may arise. There was also an example of a visit to a country office from a UK based climate advisor, who was able to spread the climate message and keep attention on climate outcomes, which encourages learning.

> *"We had [a UK climate advisor] come out recently, s/he has been able to give some quite clear messages to the head of office, who was very engaged."* Interview climate advisor

F37. The central DFID ICF team produced the Climate and Environment Smart Guide, they attend cadre events, encourage sharing of information and provide general guidance and support. They do not normally get involved with programmes directly.

Aside from receiving the submission of ICF KPIs, the central DFID ICF team does not seem to be involved with individual programmes. We found no evidence of feedback being provided to programme teams based on their reports to the ICF Secretariat.

> *"my contact [with the central DFID ICF team] really has just been around reporting results"* Interview SRO

F38. ICF budgets have been changed during the lifetime of a programme. In some cases this reflected changes in the resources devoted to actions designed to deliver adaptation and/or mitigation benefits. In other cases, the amount of ICF has been changed because it was not confirmed or was incorrectly estimated at the start, so the change had no effect on the scope

of the work being delivered.

It is quite common for the amount of ICF allocated to the programme not to be determined until after the Business Case is approved. The budget for ICF may be indicated as a likely range, for example 25-40%. The final amount of ICF may not be decided until much later, though it is not clear how such decisions are made. Calculations are normally done by the climate advisors, who seem confident in following the guidance. Where there is no climate advisor, SROs usually work out the figures, but documents indicate that calculations may be rather crude and the resultant figures may be quite rough estimates, as is the nature of the budgeting process.

There are examples of changes in the ICF amount, percentage and weighting, made during delivery, which reflect changes in the programme. The process for making these changes is not explained in the documents, although the SRO is ultimately responsible for all actions on the programme so would sign off any changes. It is not clear whether a climate advisor or the ICF Secretariat is involved or informed.

F39. Climate advisors have limited time available to them and are not able to support all the programmes that they would like to. In some cases, implementing partners and other members of the programme team can provide climate expertise

Most of the climate advisors that we interviewed felt that they did not have enough time to provide as much support as they would have liked to integrated programmes. Some had extensive responsibilities on full ICF programmes and all felt the need to prioritise their input.

As noted above, programme teams can secure expertise from implementing partners, so they may be able to address this potential gap in other ways. Often non-climate members of programme teams bring valuable experience (from past programmes) and professional expertise which helps to ensure the effective delivery of actions to address climate change.

We also found that some SROs took a personal interest in climate change and had a good understanding of the climate change risks and opportunities that affect the beneficiaries of their programmes (F13).

Some interviewees told us that integration can lead to the perception that there is less need for climate advisors as they will no longer have dedicated climate programmes to manage. One advisor told us that they will be leaving their post next year and will not be replaced. It should be noted that advisors in other cadres (e.g. infrastructure, livelihoods, etc.) are also engaged on climate programming, so, even in the absence of a climate and environment advisor, there is likely to be some access to support.

> *"The head of office decides on whether there will be a climate advisor in the office. They match advisory capacity to the types of programmes but integration changes this because there are fewer climate programmes and more programmes in other areas that have climate integrated into them. Way too many heads of office conclude that they will just draw in the expertise when required rather than having a dedicated resource. This leads to less and less demand for climate advisors in country as the role is diffuse."* Interview advisor

Climate advisors also support programme teams in accessing the ICF systems (for example calculating the proportion of ICF or reporting against ICF KPIs). Where there is not a climate advisor on the team we have not seen a detailed assessment of the proportion of ICF.

6.4 Revised theory of delivery of additional climate benefits

Drawing on the findings above we have refined the initial theory of how the integration of ICF supports the delivery of additional climate benefits as follows:

- **Where** programme teams remain motivated to deliver additional adaptation and/or mitigation benefits to poor and vulnerable people, implementing partners share that motivation, and the support of partner governments is maintained
- **Then** the whole programme team is motivated to deliver the additional adaptation and/or mitigation benefits.

And…

- **Where** there is an advisor or implementing partner with climate expertise on the team
- **Then** the team has the capability to deliver the planned benefits.

And…

- **Where** indicators that accurately reflect the adaptation and/or mitigation benefits have been included in the logframe
- **Then** the team's focus on delivering the planned benefits is maintained.

Together these three elements result in programme teams being more likely to deliver quality integrated programmes that provide additional adaptation and/or mitigation outcomes.

The development of this theory of change is discussed in more detail in the accompanying Technical Annex.

7 Does the integration of ICF support progress towards DFID transformation, in what ways and in what circumstances, why or why not? What else could be done, by whom, and how to further support transformation across the DFID ODA portfolio?[12]

This section reports on the fourth evaluation question. Sections 7.2, 7.3 and 7.4 below detail our findings relating to the key elements of the initial theory of change. Transformation was expected to involve both bottom-up and top-down change within DFID which then reinforced each other. Findings relating to both aspects and their interaction are reported below.

Transformation was defined as:

A systematic and sustained consideration of climate change risks and opportunities to address climate change across DFID's work. This would be characterised by the integration of action on climate change across a broad range of sectors and would ultimately influence partners and partner governments to be ambitious in addressing climate change.

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[12] The initial theory of change relating to DFID transformation included two elements; a bottom-up transformation and a top-down transformation. The theory suggested that these changes would support each other and that both were required for DFID transformation.

7.1 Conclusions

Does the integration of ICF support progress towards DFID transformation, in what ways and in what circumstances, why or why not?

In some sectors, integrated ICF has supported progress towards DFID transformation by providing funding for programmes to pilot new approaches which, when they proved successful, became widespread. (F41).

The current funding approach and the perception that there is no additional money available for integrated ICF can present an obstacle to integration and could slow progress towards DFID transformation (F18).

What else could be done, by whom and how to further support transformation across the DFID ODA portfolio?

- Transformation would be further supported if DFID's senior management regularly and consistently communicated the importance of mainstreaming climate change across DFID's programming (F43).
- Heads of office could play a part in encouraging programme teams to mainstream action to deliver additional climate benefits (F15).
- Transformation would be further supported if there were climate advisors in each office with sufficient time to support programme teams to mainstream actions to address climate change risks and opportunities and to integrate ICF (F22).
- Consideration of climate change risks and opportunities could be embedded in office management and Business Case development processes (F42).

7.2 Integration becomes widespread in specific DFID programmes (bottom up)

We found that integrated ICF has supported transformation within individual sectors by providing funding for new approaches which, when they proved successful, became widespread (F41).

Our detailed findings are below.

F40. Professionally and personally, programme teams with integrated ICF are proud of the benefits they are delivering and more strongly motivated to mainstream actions to address climate change risks and opportunities in future programmes.

The SROs that we interviewed were enthusiastic about the potential for their programmes to provide adaptation and/or mitigation benefits to poor and vulnerable people (it should be borne in mind that most interviewees had included actions to address climate change risks and opportunities).

> *"It's a very good story…having a program that has long term development funding and then your humanitarian budget is covered by climate funding because we're responding to weather and climate shocks."* Interview SRO

One climate advisor reported that, after initial reluctance, programme teams communicated the benefits of integrated programmes enthusiastically.

> *"They really enjoyed getting out there, and talking more about the work they've been doing, and how it's been contributing to this global challenge."* Interview advisor

Alignment with the Climate and Environment Smart Guide is normally promoted by the climate advisor, although since the Smart Rules were changed in late 2017 the SRO is ultimately responsible. In these cases, although integration of ICF could have been seen as burdensome, it has little effect on the SRO or on the core programme team, many of whom perceive themselves as being motivated to mainstream climate change regardless of ICF integration.

F41. Where teams have successfully integrated ICF they have learned from their experience and have mainstreamed actions to address climate change risks and opportunities into future programmes in their sector.

The most powerful examples of learning from the experience of mainstreaming have been from one iteration of a programme to another; Business Cases cite evidence from earlier phases of a programme to support continued, or increasing, actions to address climate change risks and opportunities:

> *PSNP 4 public works will build on the significant achievements seen under PSNP 3, while incorporating changes to address those areas where the suitability or quality of works need improvement. These changes include modifications designed to further increase the contribution of public works to climate change adaptation* Business Case, PSNP4 Ethiopia

In one sector there is an example of ICF integration supporting transformation within a sector; using additional funding from the International Climate Fund:

- The programme secured additional funding from the International Climate Fund to integrate innovative and ambitious actions to address climate change risks and opportunities within their programme. This was demonstrated to have made a positive contribution to the work of the programme to provide benefits to poor and vulnerable people.
- Professionally and personally, the programme team was proud of what they had achieved, and others were interested in what they had done. This motivated them to communicate the results through DFID's cadre system and more widely in the development community.
- As a result, the approach piloted in the integrated programme has been replicated many times within the sector and is now seen as standard practice.

There are also examples of integrated ICF being used to support technical assistance to assist partner governments to build their capacity to address climate change risks. This has the potential to support transformation in those partner governments:

> *"One of the things was distinct that the ICF were able to do was the mainstreaming of climate change and disaster relief management into national policy. Through our partnership with [partner], we were able to have climate change and disaster relief management mainstreamed right into the medium-term plan of the government. I think that was one of the major things that you could say was different."* Interview SRO

Before 2015, when ICF was a separate fund to which programmes had to apply, the money was "extra" and could be seen to be making it possible to achieve more adaptation and/or mitigation benefits. Now that there is no separate access to ICF, the general perception is that the money is no longer extra. Integrating ICF is instead seen by many as an accounting activity designed to meet targets, both international and internal to DFID. There are few incentives to integrate ICF, and the process can be viewed as optional.

> *"I think before, when it was additional I think it did make a difference. Country officers were desperately trying to tick the climate change box to be able to access the funds so there was a different incentive. I think the incentive now is very much on the communications of your program."* Interview SRO

7.3 Senior managers support systemic change to deliver mainstreaming across DFID's activities and partners (top down)

No interviews could be conducted with senior managers for this study and there was no documentary evidence of their motivation for supporting mainstreaming or why interviewees felt that it had diminished over the last few years. Therefore, we have no evidence to help us to address this question.

F42. There could be opportunities to embed mainstreaming in DFID's processes.

Interviewees suggested that mainstreaming could be integrated in management processes; for example, by including mainstreaming in the agenda for country office team meetings. One office has regular meetings for all staff where programmes at the design stage are presented; this provides an opportunity for advisors to suggest integrating ICF.

> *"it would be great to see heads of office saying to their advisers, "Look, climate is a cross-cutting issue. We're going to have this as a standing item on SMT every three months to assess how we're doing on climate-relevance,".* Interview climate advisor

We have seen that where the Business Case template requires programme teams to answer a specific question, the matter is given attention. A specific question in the Business Case template on addressing climate change risks and opportunities could be an effective way to support transformation.

> *"....the old policy of having an obligatory set of sections on climate [and] environment to respond to* [in the Business Case template], *perhaps would have been the lever, you know, to that kind of conversation because people are forced to write something.* Interview SRO

7.4 The top down and bottom up outcomes support each other resulting in DFID transformation

The initial theory for this aspect of DFID transformation was not fully developed at the inception stage. We don't have any evidence about whether and how bottom up outcomes support top down transformation, but we do have evidence that top down outcomes can support bottom up transformation.

We found that consistent, sustained communication from top management of the importance of addressing climate change risks and opportunities is essential for DFID transformation because programme teams pay close attention to those communications and are sensitive to changes in apparent priorities (F43).

F43. Programme teams pay attention to the public statements of senior managers and set their own priorities accordingly.

Many of the SROs and advisors that we interviewed spoke about paying close attention to the priorities as expressed by DFID ministers and directors. When the Secretary of State or other ministers and members of the top management group of DFID civil servants talk about climate priorities, ask questions on climate change related subjects during visits, or deliver strong encouragement to engage with climate change, this has a powerful effect on programme teams' enthusiasm and commitment towards achieving more adaptation and/or mitigation benefits.

> *"I guess it would be interesting to give some thought to what DFID more centrally, is thinking about in terms of the whole kind of climate change and so on. I'm not sure at the moment what kind of level of priority it's being accorded*." SRO interview

When heads of office and other senior management give sustained attention and high priority to addressing climate risks and opportunities (F15) and integrating ICF (such as by setting country targets) (F16), it is more likely that SROs will mainstream climate and/or integrate ICF.

7.5 Revised theory of DFID transformation

Drawing on the findings above we have refined the bottom-up element of the initial theory of DFID transformation as follows:

- **Where** programme managers have evidence that mainstreaming delivers better outcomes for beneficiaries in their sectors, senior management regularly communicate the importance of addressing climate change risks and opportunities and they (or their colleagues) have had a good experience with mainstreaming in the past
- **Then** programme managers are motivated to integrate ICF in more programmes
- **With the result that** mainstreaming becomes widespread in specific DFID sectors (bottom up).

7.6 What can be learned, by whom, from the experience of integrating ICF to help to improve future design and management of integrated climate finance programmes including ICF projects, programmes and the portfolio as a whole in order to improve outcomes?

Because integrating ICF is a fairly new approach and people are still learning what works, the planned engagement and use strategy for this work will be important to share learning and engage more widely within DFID to increase the level and quality of ICF integration. Key audiences include:

- The ICF team within DFID to understand more about how the integration of ICF could be improved.
- Heads of office so that they understand that they have a key role in supporting the mainstreaming of climate change activities and the integration of ICF.
- Climate advisors to understand more about the motivations of teams to mainstream actions to address climate change risks and opportunities and how they can use the integration of ICF to secure additional climate benefits.

Programmes would be more likely to integrate ICF to deliver additional benefits if:

- There is more clarity about the funding arrangements, so programme designers were confident that they were accessing funds dedicated to the delivery of climate benefits.
- All heads of office actively encourage programme teams to mainstream action to address climate change and include ICF in their programming.
- The benefits to poor and vulnerable people of mainstreaming climate change in specific sectors are communicated more widely within DFID to encourage a greater take up in more sectors.
- Climate expertise is available to all programmes

Transformation would be further supported if:

- DFID’s senior management regularly and consistently communicate the importance of mainstreaming climate change across DFID’s programming.
- A specific funding allocation is made available to programmes to pilot innovative approaches to mainstreaming actions to address climate change.
- The results of innovative approaches are communicated within and between sectors with encouragement to replicate successful approaches using ICF.

8 Overarching question

The overarching evaluation question is:

"In what circumstances and how has climate finance integration supported progress towards transformational change within the wider DFID portfolio, and towards more effective delivery of climate change outcomes than would have been achieved without integration?

We found that:

- **The process of integrating ICF provides an opportunity for programme teams and climate experts to work together to consider how they can design their programmes to deliver additional adaptation and/or mitigation outcomes.**
- **Programme teams are more likely to integrate ICF in their programmes where the Head of Office provides strong support for mainstreaming and integration (for example in the form of targets for the amount of ICF).**
- **Where there is a climate advisor in the office, programme teams are more likely to integrate ICF and the process of integrating ICF is likely to result in more impact. Integration provides an opportunity for a climate advisor (or other climate expert) to engage with the programme team which could enable them to influence how the programme is delivered and potentially support the delivery of additional climate benefits.**
- **Integration appears to have supported DFID transformation in some sectors as, where programmes successfully adopted new approaches, these approaches have been adopted by more teams until they have become widespread in a sector. However, where there are established approaches to address climate change and where climate expertise was not used, programme teams may integrate ICF without including actions to deliver additional climate benefits.**
- **Integration is not, in itself, a motivation for delivery of climate benefits but, through the process of including benefits in the logframe, integration can support the delivery of those benefits.**
- **The Smart Rules require programmes with integrated ICF to comply with the Climate and Environment Smart Guide (from late 2017) and include planned climate benefits in the logframe. Where this requirement is complied with and the logframe indicators properly reflect the planned climate benefits, programme teams will be more motivated to deliver those benefits.**

We have revised the overarching theory with two elements:

1. **Integration of ICF results in some programmes including action intended to deliver additional adaptation and/or mitigation outcomes.**
    - **Where** there is support from the Head of Office for integrating ICF and there is climate expertise available to support programme teams
    - **Then** the process of integrating ICF provides an opportunity for programme teams to engage with climate expertise
    - **Which results in** SROs considering how they can do more to address climate change risks and opportunities and potentially including additional actions to deliver climate benefits in their programmes.

2. **Integration of ICF supports the delivery of additional adaptation and/or mitigation outcomes**
    - **Where** programme teams comply with the Climate and Environment Smart Guide and include the planned climate benefits in the logframe
    - **Then** the programme team maintains a focus on delivering the planned benefits

- **With the result that** the planned benefits of mainstreaming action to address climate change are more likely to be delivered.

9 Key conclusions and recommendations

The main conclusions arising from this report are shown below together with recommendations for actions that could be taken to increase the extent of integration and mainstreaming:

1. **Programme teams are motivated to integrate ICF when there are strong messages from the head of office, including targets. Although there were strong messages in the past this seems to have a lower priority now.**

   We recommend that the DFID ICF team should work with heads of office to encourage them to communicate the importance of integrating ICF within their programmes. The DFID ICF team should support heads of office in setting appropriate targets for the integration of ICF in their programming.

2. **Integration of ICF provides an opportunity to include additional actions in programmes to address climate change risks and opportunities.**

   To make the most of this opportunity we recommend that the requirement to follow the Climate and Environment Smart Guide should be checked during the approval process. Where programmes plan to include the adaptation or mitigation benefits in the logframe at a later date this should be followed up to check that it has been done.

3. **ICF integration helps to secure the delivery of adaptation and/or mitigation benefits through the inclusion of the planned benefits in the logframe; however, there are cases where the indicators do not accurately reflect the planned benefits.**

   We recommend that further guidance is given to programme teams on how indicators can be constructed to most effectively reflect the planned benefits. This should be reviewed by the climate advisor as part of the programme design process.

4. **The benefits of indicators (identified above) are less likely to be secured because the current system of reporting ICF indicators is cumbersome and allows consideration of the adaptation and/or mitigation benefits to be "outsourced" to the climate advisor.**

   We recommend that the DFID ICF team considers whether separate reporting to the ICF Secretariat is necessary if planned benefits are included in the logframe and, if it is necessary, reviewing the system to reduce the reporting burden.

5. **Climate advisors (or other climate experts) are crucial to widespread integration of ICF and their influence is most effective when they are present in the local office. Some offices are choosing to dispense with climate advisors**.

   We recommend that the DFID ICF team works with the Head of the Climate and Environment Profession to make the case for all offices to have climate advisors in house.

6. **Where sectors have a relatively high level of integration of ICF and mainstreaming of climate change they draw on evidence of past successful programmes some of which received additional funding for mainstreaming from outside the office or department budget.**

   We recommend that consideration is given to providing funding in addition to office or department budgets to support innovative approaches to mainstreaming, particularly in sectors that have a relatively low level of integration of ICF.

7. **The perception that integrated ICF does not represent extra money for programmes is an obstacle to greater levels of integration.**

   We recommend that the position is communicated clearly throughout DFID. The DFID ICF team should provide guidance and support to heads of office and department to help them to ensure they contribute to the UK's commitments to include ICF within their programming.

8. **Suggestions were made by participants in this evaluation for changes to DFID's processes which would increase the extent of integration. These were: including a question about integration on the Business Case template, and having regular office meetings where planned programmes are presented to the whole team.**

   We recommend that these suggestions are considered and, if appropriate, implemented.

This evaluation has developed an insight into how the integration of ICF influences programmes to take action to address climate change risks and opportunities. It would be valuable to share this insight with heads of office and climate advisors. The ESG will consider how this can be done, as part of developing the evaluation and use plan.

10 Outstanding questions

There are five areas where additional research could be useful to develop further understanding of the integration of ICF:

1. As we have not interviewed heads of office for this evaluation we do not have an understanding of what motivates them to support integration of ICF or not. Nor do we understand what could be done to encourage them to do more.
2. We have reviewed a very small sample of programmes without ICF and do not have a high level of confidence in our understanding of:
    a. Whether programmes that have not integrated ICF have mainstreamed action to address climate change risks and opportunities and, if not, why not.
    b. Why programmes which have mainstreamed climate change actions have not integrated ICF.
3. We do not understand why some programme teams do not follow the Climate and Environment Smart Guide, why compliance is not enforced and what would make it easier to comply with the guidance and integrate ICF.
4. It is unclear whether the perception that there is no additional money for programmes with integrated ICF is simply a deterrent to integrating ICF or whether it deters SROs from mainstreaming actions to address climate change risks and opportunities. It would be useful to learn more about how this is perceived and the effect this has on SRO behaviour. It would also be valuable to learn about how country offices allocate their budgets for integrated ICF.
5. The current approach to integration is new and much of the evidence relates to programmes approved before it was in place. Our research for this evaluation provided the perspective of the SRO and in some cases the climate advisor. An in-depth examination of how programmes are designed now from multiple perspectives (SRO, head of office, climate advisor, partners, or other key members of the programme team) would provide a much richer understanding of how integration operates in practice. This could take the form of a small number of rich case studies.