

# CLIMATE INVESTMENT FUNDS

Joint CTF-SCF/TFC.19/5  
May 2, 2018

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Joint Meeting of the CTF and SCF Trust Fund Committees  
Washington, DC  
June 5, 2018

Agenda Item 5

**Evaluation and Learning Special Initiative  
FY18 Annual Report and FY19 Work Plan**

## **PROPOSED DECISION**

The joint meeting of the CTF and SCF Trust Fund Committees reviewed the document Joint CTF-SCF.19/5, *Evaluation and Learning Special Initiative FY18 Annual Report and FY19 Work Plan*, and welcomes the progress on implementing the initiative in FY18 and plans for FY19.

The joint meeting provided feedback and comments on the document, which will be incorporated as the FY19 work plan is implemented. The joint meeting, taking into consideration the high interest and demand for this work, increasing levels of implementation results from the CIF portfolio, and importance of the transformational change learning theme, encourages potential contributors to consider contributing new resources to extend the work of the Evaluation and Learning Special Initiative beyond its initial mandate, to generate additional evaluation and learning on the theme of transformational change.

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## 1. Introduction and Background

1. The Climate Investment Funds (CIF) were founded in 2008 to serve as a learning laboratory for scaled-up climate finance. In May 2015, the Joint CTF-SCF Trust Fund Committee endorsed a proposal to enhance the generation of knowledge from evaluation for learning (hereafter referred to as “the E&L Initiative”) in the CIF. The Joint CTF-SCF Trust Fund Committee (TFC) created a “special initiatives budget” (funded through the SCF Administrative Budget) to support this work, with initial resources of approximately USD 9 million over three years to support learning through evaluative and evidence-based activities within the CIF. The purpose of this work is:
  - To capture evidence and lessons on an ongoing basis so they can inform ongoing CIF activities within an actionable time horizon, where adjustments are still possible; and,
  - To identify valuable evidence and lessons learned to inform current and future climate finance investments.
2. The TFC requested that a CIF-wide Advisory Group on Evaluation and Learning be formed to advise on the strategic direction of this work. The Advisory Group provides strategic advice on priorities and use of resources dedicated to this initiative to support evaluation and learning across the CIF. Together with the Senior Evaluation and Learning Specialist in the CIF Administrative Unit, the Advisory Group developed a [Business Plan](#)<sup>1</sup> for the three-year E&L Initiative, approved by the Joint CTF-SCF Trust Fund Committee (TFC) in June 2016.
3. The Business Plan commits to undertaking E&L activities that are demand-driven, relevant and applied to decisions and strategies, emphasizing collaborative and user-centric approaches. It identifies four broad priority learning themes for the initiative: transformational change; private sector investment; local stakeholder engagement and benefit; and CIF design and approach. Building upon the Business Plan, a Year One (FY17<sup>2</sup>) Work Plan was developed and endorsed by the Advisory Group and circulated to the TFC in September 2016. In June 2017 an [FY17 Annual Report and FY18 Work Plan](#)<sup>3</sup> was endorsed by the Advisory Group and presented to the TFC.
4. This document provides the second Annual Report of the E&L Initiative, highlighting progress and results to date on the FY18 Work Plan, as well as a Work Plan and budget for FY19. In FY18, the E&L Initiative scaled up implementation, with 32 different studies being carried out through a range of modalities and partners, analyzing various topics aligned to the priority learning themes. In FY19, the initiative will complete these studies and generate insights on transformational change to inform strategic discussions and decisions. In light of these achievements, the Advisory Group encourages potential contributors to consider contributing new resources to extend the work of the Evaluation and Learning

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<sup>1</sup> Joint CTF-SCF/16/5, *Evaluation and Learning Special Initiative: Business Plan*. May 2016.

<sup>2</sup> Fiscal Year (FY) refers to the period beginning July 1 each year to June 30 of the following year. This is in line with the World Bank fiscal year structure.

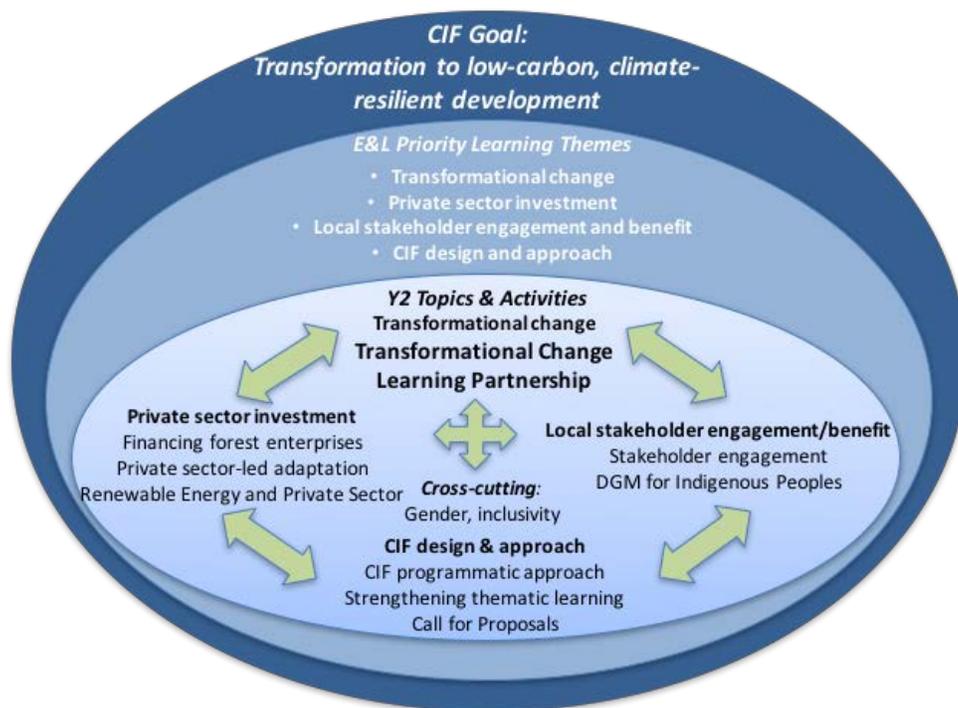
<sup>3</sup> Joint CTF-SCF/17/5, *Evaluation and Learning Special Initiative FY17 Annual Report and FY18 Work Plan*. May 2017.

Special Initiative beyond its initial mandate, so that additional evaluation and learning on the theme of transformational change can be pursued for the benefit of the wider climate finance architecture.

## 2. Summary of Priority Learning Themes

5. Highlights of progress related to each priority learning theme are presented in this section, with major topics covered shown in Figure 1. These priorities are based on consultations with a range of CIF stakeholders leading up to the Business Plan, and continue to be highly relevant. Most E&L activities align with multiple priority learning themes; therefore, while activity descriptions have been placed within their primary corresponding learning themes, linkages between these activities and other relevant themes are also important and are highlighted accordingly. Other select CIF knowledge and learning activities that fall outside of the E&L Initiative but are relevant to the learning themes are also highlighted.

**Figure 1: Planned E&L Initiative Year Two (FY18) Work Plan priority themes and topics**

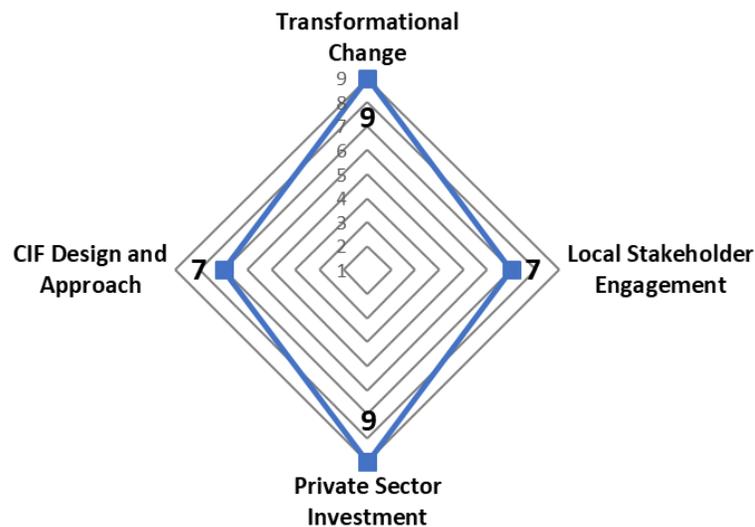


6. Broadly, E&L activities on these themes and sub-topics include:

- **Transformational Change:** Understanding and assessing CIF contributions to transformational change, across dimensions and funds, and using various approaches.
- **Private Sector Investment:** Investigating financing models within key CIF programs and sectors, the role of concessional finance, and market transformation.
- **Local Stakeholder Engagement and Benefit:** Exploring CIF local stakeholder engagement strategies, Indigenous Peoples (DGM), gender and other topics.

- **CIF Design and Approach:** Evaluating the effectiveness of the CIF Programmatic Approach as a delivery modality, as well as other CIF strategies and approaches.
7. The 32 total E&L activities are spread broadly across the four priority learning themes. These include larger, cross-cutting evaluations and more targeted activities implemented by CIF entities through the E&L Call for Proposals mechanism (see Section 3). The primary alignment of E&L studies to learning themes is illustrated in Figure 2, although in practice most E&L studies address multiple learning themes, which are not mutually exclusive. The connections of each E&L study to multiple priority learning themes is shown in Annex 1.

**Figure 2: Number of E&L studies aligning primarily with each learning theme<sup>4</sup>**



## 2.1. Transformational change

8. Transformational change is the overarching goal of the CIF and remains the main priority for the E&L Initiative. The E&L Initiative launched the Transformational Change Learning Partnership (TCLP) in June 2017, to better understand and assess transformational change in the CIF context. This includes a facilitated group learning process, an in-depth independent evaluation, and a capstone evidence synthesis report offering lessons and guidance on Transformational Change to be delivered by December 2018. This report and subsequent dialogue discussions are timed to directly inform strategic discussions on the future of the CIF taking place within TFC meetings in FY19.

<sup>4</sup> This figure demonstrates the number of E&L activities which relate most prominently to each learning theme. However, it is important to note that in practice most studies actually address multiple priority learning themes, as shown in Annex 1. A full list of all E&L activities is presented in Section 3, in Tables 1 and 2.

9. In FY18, the TCLP, consisting of approximately 35-40 CIF and non-CIF stakeholders learning alongside expert evaluation and learning teams, held two workshops and a series of webinars. TCLP participants include representatives from Recipient Countries, Contributor Countries, MDBs, Observer CSOs and the CIF Admin Unit, as well as external experts, NGOs, think tanks and representatives of other funds or initiatives, including the Green Climate Fund (GCF), Global Environment Facility (GEF), NAMA Facility and others.
10. The TCLP informed the development of a working definition (see Box 1), including dimensions, arenas of intervention and an overall CIF Theory of Transformational Change. A Phase 1 Transformational Change Portfolio Analysis (Box 2) was also completed and shared with the TCLP and wider CIF community. This is a desk-based review of design and results documentation for roughly half of the CIF portfolio of country programs and projects, seeking to assess design considerations and early signals relating to transformational change potential for further exploration and validation in the Phase 2 evaluation. Teams also began implementation of the Phase 2 evaluation and evidence synthesis, which includes in-depth data collection and analysis to be completed in FY19. A learning workshop in May 2018 engaged participants in evidence and learning to date, and helped to sharpen priorities for the Phase 2 evaluation and evidence synthesis.
11. Several other ongoing E&L activities are exploring themes relevant to transformational change. These findings and lessons were discussed in TCLP workshops and will be captured in the evidence synthesis report. For instance, the evaluation of the CIF Programmatic Approach assessed the potential of this delivery modality for supporting transformational changes in institutions, markets and other systems. Activities implemented through the E&L Call for Proposals mechanism are building on the TCLP framework to assess various dimensions and arenas related to transformational change. This includes, for example, generating lessons learned from the FIP portfolio from the perspective of transformational change (World Bank, see Box 2), assessing transformative institutional capacity for water resource management (IDB), gender transformative change through inclusion of women's groups (CSO Observer - WEDO), leveraging private sector for market transformation in renewable energy (World Bank), and effectiveness of project design tools and approaches used by MDBs for transformational change (IDB and ADB).
12. Other knowledge and learning activities implemented by the CIF Administrative Unit and MDBs – including case studies from the Global Delivery Initiative (GDI), impact evaluations, a report on energy efficiency, and South-South learning events such as the FIP and PPCR Pilot Country Meetings, regional exchanges and thematic dialogues – will also contribute to the overall body of evidence on transformational change captured in the synthesis report.

**Box 1: Transformational Change Working Definition**

*Strategic changes in targeted markets and other systems with large-scale, sustainable impacts that accelerate or shift the trajectory toward low-carbon and climate-resilient development.*

## **Box 2: Emerging findings on transformational change**

### ***From the desk-based Phase 1 Transformational Change Portfolio Analysis***

- CIF Investment Plans and project documents generally do an effective job of addressing transformational change concepts. CIF program investment criteria encourage applicant countries to take a systems perspective in country investment plans and project proposals.
- Early analysis of CIF results and progress reporting shows signs of systemic changes and scaling across CIF programs, particularly where implementation has been underway for several years. To date, the portfolio analysis is finding reporting information suggesting systemic change and scaling progress for 19 of the 32 country programs reviewed.
- CIF investment plans and project documents tend to more clearly describe how they will address the relevance and systemic change dimensions of transformational change, rather than scaling or sustainability. Many sustainability strategies seem to focus on advancing systemic changes in arenas such as policies, institutional capacity building, and information and knowledge, especially in FIP and PPCR.
- Scaling strategies and results are generally more rapid and pronounced in projects working to activate private sector investment and market activity. This is especially the case for renewable energy and energy efficiency in CTF and SREP.
- CIF documents do not include enough contextual information to assess the full extent to which CIF country programs and projects are likely to achieve transformational change, highlighting the limitations of a document-based review and early stage of many projects.
- Signals of transformational change or scaling progress can be seen in country programs at all levels of investment. There does not appear to be a correlation between the amount of investment and the degree of transformational progress seen, underscoring the importance of assessing transformational change within specific program and country contexts.

### ***From the FIP Lessons Learned analysis of early implementation, led by the World Bank***

- Each FIP country defines transformational change differently based on priorities, baselines, and constraints, and within the timeframe of FIP programming.
- Agents of change are a key factor for transformational change to catalyze processes and create buy-in within government at all levels. Placement of the FIP focal point in the proper government ministry has a crucial role in elevating the forest agenda and ensuring cross-sectoral ownership.
- Investment plans should actively promote policy dialogue to build an institutional coordination structure for a multi-sectoral approach. Addressing the direct drivers of deforestation without considering the underlying factors related to governance can lead to short-term fixes.
- Land tenure security is crucial to the success of FIP programming, especially the recognition and enforcement of local and indigenous communities land rights.
- Small scale investments have shown to be as transformational as large-scale projects.

## 2.2. Private sector investment

13. Specific topics which have emerged as priorities within the private sector investment theme include, among others, models of financing private sector investment and market development activities in forests, renewable energy and resilience, and analyzing the uses and impact of concessional finance. These are described below and in Box 3.
14. The Transformational Change evaluation is analyzing models and pathways for crowding in private sector investment and enabling market development, particularly in various types of renewable energy and energy efficiency markets, as well as in adaptation finance. Similarly, the evaluation of the CIF Programmatic Approach includes a section devoted to private sector-related findings and implications for each CIF program.
15. The evaluation on Financing Forest Enterprises in the FIP assessed models and approaches for enabling increased private sector investment in sustainable forests, a traditionally challenging area. The PPCR learning partner produced a knowledge brief and held a BBL/webinar discussion highlighting country experiences and lessons learned in financing small and medium-sized enterprises (SMEs) for climate resilience activities.
16. These themes are also being explored through several activities within the E&L Call for Proposals mechanism. For example, models and approaches for financing private sector adaptation in PPCR are being explored through evaluations implemented by EBRD in Tajikistan and in collaboration with Government and World Bank focal point teams in St. Lucia. AfDB and the World Wildlife Fund (WWF), a CSO Observer, are evaluating alternative private sector investment models in the FIP for commercial forestry in Africa, and the World Bank FIP Focal Point Team is carrying out multiple studies assessing private sector engagement in the FIP portfolio, the potential of incentive mechanisms for private sector investment in productive forests, and FIP contributions to green growth strategies.
17. Within CTF and SREP, the World Bank Clean Energy Team is evaluating the role of concessional loans, contingency grants and risk mitigation guarantees in leveraging private sector resources for grid-connected solar projects. The CIF Administrative Unit is working with Bloomberg New Energy Finance to assess past uses of concessional finance in CTF and analyze markets with high potential for strategically-targeted concessional finance in the future. The E&L Initiative is also working with the World Bank Climate Change Group to use findings from the Phase 1 Transformational Change Portfolio Analysis to inform and pilot test the Bank's recently drafted concessional finance strategy.
18. Additional non-E&L activities within the CIF Administrative Unit and MDBs are also delivering important learning on the private sector theme, including the study on energy efficiency and continued thematic and regional exchanges addressing areas such as mini-grids and private sector in PPCR.

### **Box 3: Examples of Emerging Findings on Private Sector Investment**

- The Evaluation of the CIF Programmatic Approach found that this delivery modality allowed countries and MDBs to be more effective in linking public and private sector investments through a coordinated approach, particularly in CTF. The flexibility to reallocate resources to reflect changing market conditions is highly valued in the DPSPs and across CIF programs.
- The Financing Forest Enterprises evaluation in the FIP identified effective approaches for financing micro, small and medium forest enterprises (e.g., Mexico) as well as activities that feed larger supply chains (e.g., Laos and Mozambique). Further capacity support, de-risking concessional finance and continued investments in forest governance and the enabling environment are important for generating further private sector investment.
- The PPCR learning partner knowledge brief on small and medium enterprise (SME) finance for climate resilience found that using intermediated, concessionary finance to enable inclusive microfinance solutions allows communities vulnerable to climate change to adapt and build resilience by financing income-producing activities, building up their assets, stabilizing consumption and taking measures to protect themselves against climate risks.
- A survey implemented by the World Bank through an E&L study found that private investors prefer to finance the development and infrastructure costs of solar projects provided that payment risk is acceptable or adequately mitigated, rules of the game are transparent (e.g., a clear legal framework and/or bankable contracts), and capital can be raised in local currency or revenues indexed to an international currency to mitigate foreign exchange risk.

### **2.3. Local stakeholder engagement and benefit**

19. Priority topics that have emerged within the local stakeholders theme include exploring CIF stakeholder engagement practices and outcomes; learning from the DGM for Indigenous Peoples and Local Communities; analyzing gender-related issues, experiences and outcomes across CIF programs and projects; and evaluating household impacts, institutional strengthening, leadership and CSO engagement.
20. An evaluation of early experiences from the DGM for Indigenous Peoples and Local Communities was one of the first dedicated learning activities on this pioneering program, and yielded a final report in FY18 (see Box 4). An additional activity generated through the E&L Call for Proposals mechanism by an Indigenous Peoples CSO Observer will add an Indigenous lens and assessment methodology to analyzing the potentially transformative impacts of the DGM and its applicability to other programs or sectors.
21. Several E&L activities are evaluating the important cross-cutting issue of gender in the CIF context. This includes, for example, assessing gender-specific practices and impacts in private sector adaptation (EBRD) and forestry models (AfDB/WWF, World Bank), the inclusion of women's groups in CIF programming (CSO Observer – WEDO), and the influence

of CIF gender policies and practices in supporting gender transformative change at various levels (Transformational Change evaluation).

22. An E&L activity led by the World Bank in Zambia to rigorously assess the impacts on household-level resilience as a result of community-based PPCR programming is beginning to yield findings, and its pilot survey is being scaled to additional countries (see Box 4). Other E&L activities are analyzing institutional capacity for transformative change in water governance (IDB) and hydro-meteorological services (World Bank), the role of leadership in transformational change for climate resilience (CSO Observer – LEAD Pakistan), and CSO engagement in PPCR in Cambodia (CSO Observer – Live and Learn Cambodia).
23. An overarching evaluation of CIF local stakeholder engagement experiences and outcomes at the governance, country and project levels was also launched in FY18, and is poised to generate additional learning on this important issue in early FY19. This work will build upon other CIF knowledge, learning and exchanges on the local stakeholders theme, most notably the Stakeholder Advisory Network (SAN) as well as activities on gender and other topics.

**Box 4: Examples of Emerging Findings on Local Stakeholder Engagement and Benefit**

- The evaluation of the DGM for Indigenous Peoples and Local Communities in the FIP is finding an overwhelming demand for the small grants component and indications of capacity gains for IPLC organizations, in addition to greater inclusion and voice at a national level.
- In Zambia, an E&L activity led by the World Bank is finding early evidence that increased livelihood and income diversification at the household level due to community-based PPCR programming can lead to less vulnerability and increased resilience to droughts and other extreme weather events caused by climate change. The pilot survey approach is being scaled to nine African countries.
- An E&L activity led by the Mind, Behavior and Development Unit in the World Bank builds on prior evidence that social identity framing can be effective for targeting participation of rural women in natural resource management, and is testing this approach in the DGM in Mexico.
- The Evaluation of the CIF Programmatic Approach is finding that particularly extensive local stakeholder engagement occurred across SCF Investment Plans/SPCRs, often continuing into program and project implementation.
- The FIP Lessons Learned evaluation implemented by the World Bank found that stakeholder engagement has improved upon over the lifetime of FIP, and has resulted in more inclusive and representative FIP programming.

## 2.4. CIF design and approach

24. The initiative is evaluating various elements of CIF design and implementation approaches. The most significant of these is the Evaluation of the CIF Programmatic Approach, an important part of the CIF design and prioritized by stakeholders as an area for deeper learning and assessment. Other areas of the CIF approach being analyzed include practices and outcomes related to local stakeholders and gender (referenced above), institutional change in governments and MDBs (part of Transformational Change and Programmatic Approach evaluations, among others), and program-specific strategies or approaches.
25. A comprehensive evaluation of CIF programmatic approach – a unique, core facet of the CIF business model – was completed in FY18 (see Box 5)<sup>5</sup>. This evaluation comprised the first holistic and systematic assessment of this important CIF delivery modality. It included field data collection in eight countries alongside a wider survey, dozens of interviews and document review. An evaluation reference group, which is representative of CIF stakeholder groups and includes the Green Climate Fund (GCF), helped to input on the evaluation design and implementation, and reviewed draft findings along with MDBs and recipient countries. Findings and lessons were disseminated at the PPCR Pilot Country Meeting and CIF Trust Fund Committee meetings. Separate briefings will also occur with senior staff and stakeholders in the GCF and with other funds, MDBs and climate finance practitioners. Emerging findings are also being used to support analyses in other E&L activities, including on transformational change and other topics.
26. Demand-driven activities generated through the Call for Proposals have also explored the CIF design and approach theme as specific to each program. For example, an assessment of lessons learned from implementation of the first cohort of FIP Investment Plans was completed by the World Bank and discussed in detail at the FIP Pilot Countries Meeting. The choice and application of financing instruments critical to the CIF value proposition are being explored in the context of renewable energy investments in CTF and SREP. Various other CIF approaches – from local stakeholder engagement to institutional coordination and strengthening to gender mainstreaming – are being assessed through various E&L activities.
27. Facilitating South-South knowledge exchange is also a key component of the CIF model and approach, for example as evidenced in the series of regional exchanges in PPCR. The E&L-funded PPCR learning partner has co-created a series of knowledge briefs on topics prioritized by PPCR country participants at the exchanges – such as water resources management and SME financing for resilience – to further their ability to learn from one another’s experiences. They are also assessing participants’ experiences in the exchanges and the extent to which they are applying lessons learned in their ongoing work.

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<sup>5</sup> This report is still undergoing final stages of review and validation at the current time, and will be shared in full once finalized. Emerging findings listed in Box 5 may be subject to change based on these triangulation processes.

#### **Box 5: Emerging Findings from the Evaluation of the CIF Programmatic Approach**

- Overall, the evaluation is finding that the CIF's programmatic approach can lead to strong outcomes that support broader program objectives, although the approach's potential has not been fully realized in all programs and countries.
- The use of a programmatic approach has had important advantages and outcomes. It offered an organized and consultative way to prioritize investments, a platform for MDB cooperation, and the certainty of available scaled-up resources. Across all programs, these programmatic features contributed to increased ownership and awareness in governments.
- In the CTF, these features helped to facilitate the design of innovative MDB projects and better linkages between private and public-sector actors. Across CIF programs, but especially in the CTF and the DPSPs, the flexibility to reallocate resources to reflect changing conditions has been highly valued by stakeholders.
- In the PPCR, the programmatic approach helped to establish a common multi-sectoral vision for climate resilience that aligned with national development priorities, particularly where climate adaptation efforts were just emerging in the early 2010s. This led to innovative projects that reflected programmatic objectives, taking both horizontal and vertical approaches to mainstreaming climate resilience. In several PPCR countries, programmatic M&R helped to mainstream climate change indicators into national systems.
- The FIP programmatic approach was seen as relevant for facilitating cross-sectoral cooperation and starting a national dialogue on reducing deforestation and degradation in some countries. In SREP, providing a predictable resource envelope alongside the strategic investment planning exercise was seen as a main advantage of the programmatic approach.
- In many countries, lower capacity and commitment to maintain the programmatic approach through to project implementation – coupled with limited institutional and resource support for these functions after IP/SPCR endorsement – has contributed to lower achievement of programmatic goals. In other areas, such as crowding in other donors and in-country collaboration or sharing of knowledge and learning, the use of a programmatic approach appears to not have been as influential as hoped.
- Factors which can influence the effectiveness of the programmatic approach include i) the context of climate change engagement in countries; ii) the leadership of and commitment to a programmatic approach, particularly by government partners and MDBs; and iii) the extent of support for implementation of the programmatic approach in terms of guidance, mechanisms and resources.
- Early recommendations include: i) continue to use a programmatic approach, which is a distinctive and valuable feature of the CIF's overall approach to climate finance; ii) consider measures to further strengthen its relevance and effectiveness, including enhanced clarity and support mechanisms for implementation, integration with national frameworks, and program or sector-specific measures; and iii) continue dialogue with others to share experience on programmatic approaches and align such approaches, as appropriate.

### 3. FY18 Progress and Results

28. This section reports on progress against specific FY18 Work Plan objectives. As shown above, in FY18 the E&L Initiative scaled up its work with the design and implementation of a diverse and strategically-aligned portfolio that is beginning to generate a wealth of learning. In total, 32 different studies<sup>6</sup> are being carried out through a range of modalities and partners, analyzing various topics relating to the priority learning themes as outlined in the previous section. FY18 also included the delivery of several major cross-cutting evaluations and continued implementation of activities generated through the Call for Proposals to CIF implementing entities and stakeholders.

29. The FY18 Work Plan identified three primary objectives: i) Implement demand-driven activities through the E&L Call for Proposals; ii) Deliver strategic, cross-cutting evaluations on priority learning themes; and iii) Ensure value creation through effective engagement, dissemination and uptake.

#### **Box 6: Feedback on potential use and uptake of E&L studies**

*“These will prove very useful in the future design of programs, within the CIF and for other financing sources.”*

- Recipient Country representative on transformational change

*“We are using the CIF transformational change portfolio analysis to help test our draft concessional finance strategy.”*

- MDB Senior Climate Change Specialist

*“I will find the transformational theories of change for CIF programmes useful when considering assessments of transformational change in all our programming.”*

- Donor representative on transformational change

*“Eight additional countries will benefit from our resilience study, as we collected Living Standards data for these countries and started cleaning the data for further analysis.”*

- MDB Focal Point Team staff

*“This is very good. What are you doing to share with GCF?”*

- CIF Trust Fund Committee Member on the Programmatic Approach evaluation briefing

#### **Objective 1: Implement demand-driven activities through the E&L Call for Proposals**

30. A second E&L Call for Proposals was launched in FY18 to MDBs, Recipient Countries, CSO Observers, and CIF Administrative Unit teams for demand-driven E&L activities assessing dimensions of transformational change and related themes. Eleven new activities were approved and funded (out of a total of 14 submitted and reviewed by Advisory Group members), representing all major CIF stakeholder groups and a wide variety of topics relating to transformational change. An additional revised submission from the first round in FY17 was also approved. Key overarching themes include private sector and market development in forests and resilience, the role of concessional finance, gender in forest investments and in CIF planning and implementation, Indigenous Peoples, institutional

<sup>6</sup> The total number of 32 E&L studies takes into account the fact that some cross-cutting activities, specifically Transformational Change and the PPCR Learning Partner, are producing multiple studies.

strengthening, and the role of leadership in transformational change, among others (see Section 2 and Table 1).

31. There was a marked increase in both strategic alignment and technical quality in this Call for Proposals as compared to FY17, as well as increased collaboration. For example, many submissions explicitly referenced the ongoing E&L work on transformational change and are exploring specific dimensions related to their work, using the working definition and dimensions as a guiding framework. Increased collaboration was also noted, including partnerships among MDBs, such as the IDB-ADB collaboration evaluating MDB project design tools and approaches for transformational change, and amongst MDBs and CSO Observers, as seen in the AfDB-WWF collaboration on alternative forestry models.
32. E&L activities from previous Calls for Proposals yielded results in FY18 and were widely sensitized at FIP and PPCR Pilot Countries Meetings, and at the CIF Trust Fund Committee meetings in June 2018. Results will be captured in the transformational change capstone synthesis report and continue to be widely disseminated.
33. Overall, a total of 21 different studies are being implemented through the E&L Call for Proposals mechanism, reflecting high levels of buy-in and participation amongst stakeholders. Important lessons have been learned with regard to planning, procurement and capacity building which are resulting in accelerated progress and enhanced results. A full list of E&L activities being implemented through the Calls for Proposals mechanism, with implementing entities and expected final deliverable dates, is presented in Table 1.

**Table 1: Status of E&L Call for Proposals activities**

<b>Evaluation and Learning Topic/Activity</b>	<b>Implementing Entities</b>	<b>Timing of Deliverables</b>
<b><i>Transformational Change in program design and implementation</i></b>		
Assessment of approaches, methods, and tools for program and project design that facilitate transformational change	IDB and ADB	December 2018
Building transformative institutional capacity: Assessing contribution of PPCR to building climate-resilient water governance in Bolivia	IDB	December 2018
Evaluation of transformative change resulting from inclusion of women's organizations and groups in CIF policies and implementation	CSO Observer (WEDO)	December 2018
Evaluating the role of leadership in transformational change across PPCR in Asia-Pacific region	CSO Observer (LEAD Pakistan)	January 2019
<b><i>Private Sector Investment in forests, resilience and clean energy</i></b>		
Evaluation of alternative private sector investment models for commercial forestry in Africa	AfDB and CSO Observer (WWF)	November 2018
Pathways for designing mechanism to incentivize deforestation free landscapes and value chain for green growth	World Bank	December 2018
Building an evidence base on private sector investments supporting gender-sensitive climate resilience development in Tajikistan	EBRD	November 2018
Saint Lucia's experience: private sector participation in response to climate change	Government of St. Lucia	December 2018
How do grants, concessional funding and guarantee instruments help leverage private sector financing for renewable energy projects	World Bank	June 2018
The role of concessional financing provided through the CTF to overcome investments barriers and help scale-up low carbon technologies	CIF AU/BNEF	October 2018
Scaling up rooftop solar in the SME sector in India	CIF AU	December 2018
<b><i>Local Stakeholder Engagement and Benefit, including gender and IPs</i></b>		
Exploring methodologies to measure household climate resilience in vulnerable countries and communities in Zambia	World Bank	October 2018
Local stakeholder engagement and benefits under CIF Investment in Cambodia: Case studies of PPCR and SREP	CSO Observer, Live and Learn	October 2018
Filling the data gap: FIP contribution to poverty alleviation and green growth	World Bank	January 2019
Social identity framing to get Mexican Rural Women REDDy for the participation in natural resource management (WB and CONAFOR)	World Bank	January 2019
Achieving transformational change through the Dedicated Grant Mechanism – an Indigenous Lens	CSO Observer, Univ. of Waikato	January 2019
<b><i>CIF Design and Approach, including program and project strategies and approaches</i></b>		
FIP – Lessons learned from Country Investment Plans (WB)	World Bank	May 2018
Maximizing synergy and complementarity among International Climate Funds: evidence, challenges and opportunities (CIF AU)	CIF AU	January 2019
Evaluation of Sustainable Land Management and innovative financing to enhance climate resilience and food security in Bhutan	Government of Bhutan	September 2018
Climate change and Health in Sub-Saharan Africa: the case of Uganda	Government of Uganda	October 2018
Evaluating operational pathways used for modernizing National Hydrological and Meteorological Organizations for weather, water and climate services	World Bank	November 2018

## **Objective 2: Deliver strategic, cross-cutting evaluations on priority learning themes**

34. FY18 marked the delivery of several major cross-cutting evaluations, managed by the E&L Initiative team within the CIF Administrative Unit (in contrast to the Call for Proposal activities, which are largely managed by CIF implementing entities). These include the evaluation of the CIF Programmatic Approach, the Transformational Change Phase 1 Portfolio Analysis, the Financing Forest Enterprises evaluation, and the evaluation of the DGM for Indigenous Peoples and Local Communities in the FIP (see Section 2). Findings and lessons from these evaluations are being discussed at key CIF events and learning dialogues, with plans to disseminate more broadly in FY19. A summary of the status of these activities, with approximate timing of final deliverables, are reflected in Table 2.
35. Implementation and delivery of these cross-cutting evaluations remains largely on track. Activities in FY18 focused on in-depth data collection and analysis, including field visits and wide-ranging consultations with CIF stakeholders at various levels and stages in the evaluation process. Notably, each evaluation has a specially constituted reference group or learning partnership comprising of representatives of major CIF stakeholder groups and key external actors, providing guidance and inputs on the design, implementation and deliverables. This helps to ensure that findings, lessons and conclusions are well-grounded and relevant, and can be useful in ongoing strategy and investment decisions.
36. Evaluations on transformational change and local stakeholders are in full implementation and poised to yield final deliverables in FY19, despite some initial delays and course corrections. For example, the transformational change teams were adjusted and realigned for the implementation phase of the evaluation and evidence synthesis, in order to ensure deep knowledge and familiarity with the CIF and climate finance context as well as to build more explicit linkages and synergies with related E&L activities. In other cases, planned FY18 funding allocations for a potential second phase of evaluations, including on Financing Forest Enterprises, the DGM and PPCR, was not needed or prioritized in FY18, as these evaluations are only recently completing their initially planned final deliverables.

**Table 2: Status of strategic, cross-cutting E&L activities<sup>7</sup>**

<b>Evaluation and Learning Activity</b>	<b>Timing of Final Deliverables</b>
Transformational Change Learning Partnership <sup>8</sup> , Evaluation, and Capstone Evidence Synthesis Report	December 2018
Evaluation of the CIF Programmatic Approach	June 2018
Evaluation of Financing Forest-related Enterprises	June 2018
Evaluation of Dedicated Grant Mechanism (DGM) for Indigenous Peoples and Local Communities in the FIP	June 2018
Evaluation of Local Stakeholder Engagement in the CIF	December 2018
PPCR Learning Partner Knowledge Briefs <sup>9</sup>	June 2018

**Objective 3: Ensure value creation through effective engagement, dissemination and uptake**

37. A wide range of CIF stakeholders and external groups were engaged substantively at various stages of E&L activities. Using collaborative approaches to engage stakeholders in learning throughout the evaluation process to inform ongoing strategies and decisions is a core principle of the E&L Initiative, and an important precursor to enhanced use and uptake of evaluation findings. For example, stakeholders participated in evaluation reference groups, learning partnerships, Calls for Proposals activities and various dissemination and dialogue events. This helped shape the design and implementation of E&L activities to increase relevance to stakeholder needs and priorities, as well as to mainstream resulting findings and learning across the CIF community.
38. Multi-stakeholder workshops of the Transformational Change Learning Partnership informed the evaluative frameworks and engaged in learning on findings from the portfolio review and other E&L activities relevant to transformational change. Early findings from the Programmatic Approach and Transformational Change evaluations were discussed at the December TFC meetings and deliverables shared in the June TFC meetings, which also includes an interactive CIF Learning Café featuring learning from multiple E&L studies. Active and dynamic dialogue based on E&L studies also took place at the FIP and PPCR Pilot Countries Meetings, in October and May 2018, respectively, including use of technology for real-time audience interaction and engagement on findings.
39. Several virtual events and collaborations also engaged participants in various ways. For example, the Financing Forest Enterprises evaluation in the FIP held two successful webinars sharing early results and discussing implications with practitioners, and the DGM

<sup>7</sup> Activities on Transformational Change and the PPCR Learning Partner will each produce four and three separate studies, respectively, described in footnotes below. The total number of cross-cutting studies is thus 11. Added to the 21 Call for Proposal activities in Table 1, there is a total of 32 studies being implemented by the E&L Initiative.

<sup>8</sup> This includes the planned joint CIF-GCF study on drivers of transformational change mentioned in Section 2, as well as the Phase 1 Portfolio Analysis delivered in FY18, in addition to the evaluation and capstone synthesis.

<sup>9</sup> Includes three knowledge products on SME financing for resilience, water resources management and lessons learned and applied from PPCR regional exchanges.

evaluation in the FIP also held successful webinars with country teams. The PPCR learning partner held a brown-bag lunch (BBL) and webinar on SME financing for climate resilience which included high levels of participation and dialogue, and formed a key part of the knowledge co-creation process culminating in a knowledge brief on this topic. The Transformational Change Learning Partnership held a series of webinars to inform Theories of Transformational Change for CIF programs, discuss early results related to the Phase 1 Portfolio Analysis, and gain input on plans for the evaluation and evidence synthesis.

40. In February 2018 a briefing on CIF E&L activities and early results was held with the World Bank Climate Change Group Leadership Team, resulting in high interest amongst senior leaders in the range of topics and activities being undertaken. A similar briefing took place with ADB senior staff in May 2018, and are planned with senior leaders in other MDBs and other institutions throughout FY19. These collaborations will help amplify dissemination and uptake of learning from E&L activities.
41. High engagement and sharing of learning between the GCF, GEF and CIF also continued. This includes, for example, through participation of GCF and GEF representatives in the Transformational Change Learning Partnership workshops, inclusion of senior GCF staff on the Programmatic Approach evaluation reference group, planning a joint study mapping evidence of drivers of transformational change across sectors with the GCF Independent Evaluation Unit<sup>10</sup>, and a collaborative study led by the CIF Administrative Unit with GCF and GEF counterparts exploring lessons and country examples of complementarity and synergies among international climate funds. A joint session on approaches to evaluating transformational change in the CIF, GEF and GCF was held at the International Development Evaluation Association (IDEAS) conference in December 2017, helping to share lessons across funds and with the wider sector, and spurring deeper collaboration among the funds' evaluation teams.
42. The Advisory Group continued to play an important strategic oversight role for the initiative. It held a successful in-person meeting alongside the TFC meetings in December 2017, in addition to bi-monthly conference calls and virtual reviews of key planning documents. Advisory Group members were particularly active in informing the FY19 Work Plan, the FY18 Call for Proposals (including review and approval processes), and participating in workshops and webinars and providing feedback on draft plans and deliverables in the Transformational Change Learning Partnership.
43. The Advisory Group, TCLP members and other stakeholders have noted the difficulty in fully capturing lessons on transformational change given the relatively nascent status of many CIF-funded projects, and the generally long-term nature of achieving and assessing transformational change. As implementation results of CIF-supported projects continue to

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<sup>10</sup> This joint CIF-GCF study will conduct an Evidence Gap Map and Systematic Review analyzing drivers of the scale and sustainability dimensions of transformational change from both climate and non-climate related sectors. The study is expected to be launched in late FY18 or early FY19.

become available within a maturing portfolio, the potential for undertaking additional evaluations to generate strategic learning on this critically important theme is increased.

44. In this context and in light of the progress and achievements of the initiative to date, the Advisory Group encourages potential contributors to consider contributing new resources to extend the work of the Evaluation and Learning Special Initiative beyond its initial mandate.<sup>11</sup> This will enable additional strategic evaluation and learning on the priority theme of transformational change, for the benefit of the wider climate finance architecture. Specifically, additional time and resources, within a maturing CIF portfolio, would allow for the implementation of follow-up studies and enhanced interactive dialogue, learning and uptake activities – following on the current model of the TCLP and directly engaging and benefitting a wide array of climate finance institutions and practitioners – that would collectively help to generate more transformative climate finance investments in the future.

#### 4. FY19 Work Plan

45. The primary goal of the E&L Initiative in FY19 is to generate insights and guidance on transformational change and other learning priorities, in order to inform decisions and strategies in the CIF and wider climate finance sector. This includes a particular focus on delivering an evaluation and capstone evidence synthesis report on transformational change in the CIF context by December 2018, to inform strategic Trust Fund Committee discussions and decisions throughout FY19 as well as to help inform and optimize others in the climate finance system towards the achievement of transformational change.

46. Key objectives and intended outcomes to support the overall FY19 goal include:

- **Quality Assurance:** Evaluations are implemented efficiently and produce high quality deliverables that meet expectations and generate opportunities for learning.
- **Coherence:** The initiative presents a strategic and coherent approach and narrative, based on the priority learning themes.
- **Dissemination and Uptake:** Well-targeted and executed dissemination events, products and uptake activities, with clear and concise key messages and actions to support use, effectively engage stakeholders in learning and uptake of lessons.

##### Objective 1: Quality Assurance

47. A primary priority will be ensuring timely and quality delivery of key activities, including in particular the Transformational Change Learning Partnership, evaluation and evidence synthesis capstone report, as well as other ongoing evaluations. As part of this objective, the initiative will continue to focus on guiding and monitoring implementation of evaluations for quality assurance; ensuring wide participation of CIF and other stakeholders;

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<sup>11</sup> This is consistent with an earlier recommendation made by the CIF Administrative Unit to the SCF TFC in its Intersessional meeting on March 8<sup>th</sup>, 2018. (See [Long-term SCF Administrative Costs and Funding Options](#). SCF/TFC.IS.1/2, pg. 18. February 2018).

and developing robust, relevant, high quality deliverables and associated knowledge products. See Sections 2 and 3 for a full list of E&L activities under implementation in FY19.

48. The Advisory Group will continue to be involved in quality assurance, especially in the Transformational Change work through high engagement and active participation the TCLP and targeted feedback and review sessions with TCLP evaluators. Advisory Group members will also help to continuously advise other select cross-cutting evaluations and Call for Proposal activities. Wider CIF stakeholder participation in reference groups, learning partnerships and other mechanisms as well as standard review and input processes for key final deliverables and published documents will also help to ensure the quality, relevance and usefulness of E&L activities and deliverables.
49. An important risk to quality assurance in FY19 includes implementation delays for some evaluations, particularly studies implemented through the Call for Proposals mechanism which are intended to inform the transformational change capstone synthesis report, as well as any potential delays in the transformational change evaluation itself. In some cases, procurement and capacity issues have resulted in activities being initiated later than anticipated, with final delivery for many activities now planned between October 2018 and January 2019. The initiative will seek to mitigate this risk by actively monitoring and supporting activities for timely implementation, and working closely with implementing teams to extract and share early learnings on an ongoing basis. The Advisory Group will take stock of progress and results during meetings in August and October 2018, and inform any further mitigation efforts or course corrections needed for timely and quality delivery.

## **Objective 2: Coherence**

50. Linking and framing the diverse portfolio of E&L activities, as well as other CIF knowledge and results activities where relevant, within a coherent narrative tied to the priority learning themes and dimensions of transformational change, as well as ongoing CIF@10 events, is also an important focus area for FY19. The Advisory Group will have an important role in maintaining strategic oversight in this regard, and supporting this objective will increasingly be the focus of E&L and Knowledge Management teams within the CIF Administrative Unit in FY19.
51. Meetings of the Advisory Group, Transformational Change teams and others in early FY19 will work to assess and distill overarching findings and lessons from across the E&L portfolio, and begin to consider the formulation of key messages in preparation for synthesis work later in the year. A second meeting of the Advisory Group planned for October 2018 will further analyze the transformational change work and broader portfolio-level findings, and start the process of consolidating and refining key messages for TFC discussions as well as broader dissemination efforts.
52. Activities supporting this objective will also include ensuring coordination and synergies amongst E&L and wider CIF knowledge and results activities, and reporting on and engaging

in learning in ways that deliver consolidated messages differentiated by key stakeholder groups and relevant thematic areas.

### **Objective 3: Dissemination and Uptake**

53. FY19 is the third year of the E&L Initiative, with several activities offering rich ongoing learning opportunities and yielding final deliverables. As such, an elevated focus on action learning, dissemination and uptake is critically important. This is particularly the case in FY19 in light of the strategic discussions taking place in TFC meetings and wider CIF@10 activities. The initiative is focused on ensuring that multiple, well-coordinated and executed approaches to dissemination and support for uptake are undertaken to amplify the ability of this work to impact CIF strategies and the improved provision of climate finance investments in the future. Importantly, the initiative will continue to focus on ensuring ongoing learning and engagement opportunities throughout the process of evaluations to inform strategies on an ongoing basis and as findings become available.
54. Transformational Change workshops will be opportunities for a wide range of stakeholders to engage in early and ongoing findings from this important evaluation process, and help to identify approaches and options for applying learning to decisions and strategies. For example, TCLP members have expressed interest in using best practices and lessons learned identified in the evaluation to develop guidelines and tools to more practically assist with investment decisions. This is currently being done in the context of the World Bank's draft concessional climate finance strategy, and the initiative will explore other options and modalities relevant to other institutions and stakeholder groups. Similarly, reference groups and key audiences for other evaluations will continue to guide and inform opportunities for turning learning into action based on the findings from evaluations.
55. The Advisory Group encourages CIF Trust Fund Committee and Sub-committee members and delegations, MDB focal point teams and senior management, Recipient Country focal point teams and ministerial counterparts, and others in the CIF community to assist in identifying strategic opportunities to use results and learning from E&L activities to help inform decisions and strategies. The initiative will conduct active outreach and seek input and suggestions for sharing learning with different teams and stakeholder groups, in order to help leverage the findings and lessons from E&L activities for maximum impact.
56. A comprehensive dissemination and learning uptake plan will be prepared in early FY19 to help guide the sensitization of learning from E&L activities through various products, modalities, engagements and events. This will include a diversified and targeted approach to communications products resulting from E&L evaluations. It will also include continuing to share learning and generate dialogue at CIF Trust Fund Committee meetings and CIF@10 events, including targeted sessions with program-specific Committees and Sub-committees, as well as externally at major conferences or events such as the COP 24 in December 2018.
57. Specific briefings and dissemination activities will also occur with GCF, MDB and country teams, and other key stakeholders as relevant to engage in dialogue and opportunities to

apply learning to strategies and operations. This builds on successful briefings to senior management, and resulting follow-on activities, with World Bank and ADB in FY18, and planned activities with GCF and other MDBs in early FY19. Teams implementing CIF evaluations will be supported to engage in briefings and follow-on activities that can help CIF focal point teams or other relevant actors to build on and integrate findings and lessons into their strategies and investments as relevant.

## 5. Budget

58. The E&L Business Plan denotes an overall implementation and budgeting strategy based on setting up and piloting partnerships and approaches in Year One (FY17), ramping up spending to scale successful approaches and major E&L activities in Year Two (FY18), and maintaining these efforts while focusing on dissemination in Year Three (FY19), recognizing that the E&L Initiative is planned as a three-year initiative. This overall spending forecast has been maintained in FY18 and in the planned FY19 Work Plan and Budget. However, it is important to note that due to UK currency exchange rate fluctuations, an initial estimated USD 9 million allocation for the three-year E&L Initiative has been reduced to a total of approximately USD 7.6 million at present, and this figure is reflected below. An updated three-year forecast is presented in Table 3.

**Table 3. Actual and Planned Estimated Budget Commitments and Disbursements Y1-Y3<sup>12</sup>**

<b>Year</b>	<b>Budget commitments (USD)</b>	<b>Budget disbursements (USD)</b>
Y1 (FY17) Actual Budget	\$3,100,000	\$2,000,000
Y2 (FY18) Actual Budget	\$3,700,000	\$3,000,000
Y3 (FY19) Estimated Budget	\$800,000	\$2,600,000
<b>Total</b>	<b>\$7,600,000<sup>13</sup></b>	<b>\$7,600,000</b>

<sup>12</sup> The term “budget commitments” refers to funds which have been or will be committed to contracts with vendors for specified E&L services over a particular duration. The term “budget disbursements” refers to funds that have been or will be disbursed as part of the payment schedules in these contracts. As contracts are generally for 6-18 months, with payment upon deliverables, the full disbursements paid out over the course of a contract will generally lag behind the total commitment allocations which are determined upfront upon contract signing.

<sup>13</sup> This is the total amount of funding in USD for the three-year E&L Initiative (FY17-FY19), reflecting a lower amount than the initially-estimated USD 9 million due to UK currency exchange rate fluctuations.

## 5.1. FY18 Budget Commitments

59. After focusing on the establishment of partnerships and implementation modalities in FY17, planned and actual budget commitments ramped up significantly in FY18 as approaches and partnerships were scaled up. Actual budget commitments broadly corresponded to what was planned in the FY18 Work Plan in terms of estimated allocations, although in some cases plans were adjusted over the course of the year with associated budgeting implications. In particular, planned funding allocations for a potential second phase of a few cross-cutting evaluations was not needed or deemed a priority in FY18, as these evaluations are only recently completing their initially planned final deliverables. Other planned deep dives on gender and market transformation were integrated into the transformational change evaluation.
60. In general, the planned and actual budget commitments in FY18 reflect implementation of the three FY18 Work Plan objectives – namely, implementing the Call for Proposals, initiating cross-cutting evaluations on priority learning themes, and support for engagement and implementation. The planned and actual budget commitments made in FY18 are presented in Table 4, including explanation of variance.

**Table 4. Planned and actual FY18 budget commitments<sup>14</sup>**

<b>Planned FY18 Activity</b>	<b>Planned commitments (USD)</b>	<b>Actual commitments (USD)<sup>15</sup></b>	<b>Explanation of variance</b>
<u>Call for Proposals</u> : New round to CIF entities for E&L activities analyzing areas of transformational change.	\$1,400,000	\$1,420,000	Covers 12 approved proposals, including one from FY17.
<u>Transformational change</u> : Phase 2 including portfolio analysis, learning workshops, evaluation and synthesis.	\$1,500,000	\$1,650,000	Includes core funding and additional support for Phase 2, and joint CIF-GCF study.
<u>Financing forest enterprises</u> : Potential second phase extension to explore additional cases and thematic areas.	\$150,000	N/A	First phase of evaluation recently completed; second phase extension not likely.
<u>DGM for Indigenous Peoples and Local Communities</u> : Potential extension of evaluation and learning processes.	\$150,000	\$30,000	Evaluation completed with added funds; full extension not currently envisioned.
<u>Strengthening thematic learning in PPCR</u> : Potential extension of partnership for additional South-South learning.	\$150,000	\$20,000	Knowledge briefs recently completed; potential second phase extension is unclear.
<u>Local stakeholder engagement</u> : Evaluation of local stakeholder engagement in the CIF.	\$250,000	\$230,000	Evaluation initiated and under implementation as planned.
<u>Market transformation</u> : Select deep dive evaluations on market transformation in renewable energy and/or related topics.	\$150,000	N/A	Deep dives are integrated into the evaluation on transformational change.
<u>Gender</u> : Additional analyses and deep dives on gender transformative change.	\$100,000	N/A	Gender-focused deep dives included in other E&L work.
<u>CIF design and approach</u> : Case studies to document CIF approaches and delivery models in different contexts.	\$70,000	N/A	GDI case studies funded under M&R; other studies through Call for Proposals.
<u>Learning dissemination and uptake</u> : Communications, uptake and dissemination opportunities.	\$280,000	\$120,000	Includes dissemination and follow-on activities for key evaluations.
<u>External engagement</u> : Collaboration with GCF, GEF and others on joint activities, learning events and networks.	\$150,000	\$45,000	Helped support sessions on transformational change and other topics.
<u>Implementation support</u> : Short-term consultants and small projects/events	\$150,000	\$185,000	Support for implementation and coordination activities.
<b>Total</b>	<b>\$4,500,000</b>	<b>\$3,700,000<sup>16</sup></b>	

<sup>14</sup> Several E&L activities referenced in Sections 2, 3 and 4 were launched in FY17 and thus included in the FY17 Budget. Please see the [FY17 Annual Report and FY18 Work Plan](#) for further detail.

<sup>15</sup> N/A = Not Applicable. These are areas where priorities changed, as explained in the table.

<sup>16</sup> The lower than anticipated budget commitments in FY18 reflect several factors, including i) total budget for the three-year E&L Initiative was less than expected due to UK currency exchange rate fluctuations (see footnote 9); and ii) many evaluations were initiated with funding commitments in FY17 and potential second phases or complementary studies were not prioritized for various reasons (see “Explanations of Variance” column in Table 4).

## 5.2. FY19 Planned Estimated Budget Commitments

61. The majority of the funding that will support ongoing E&L activities in FY19, such as the Transformational Change Learning Partnership, evaluation and evidence synthesis/capstone report, the Local Stakeholders evaluation, and implementation of the myriad of E&L Call for Proposal activities, was already allocated in FY18 (or in some cases FY17) as part of existing contracts or commitments that span multiple fiscal years. Many of these activities were reflected in previous budgets. Estimated new commitments in FY19 are therefore comparatively much lower, reflecting the overall budget forecasting strategy noted above.
62. The FY19 budget reflects support for the three Work Plan objectives, including monitoring the implementation of existing, ongoing commitments (Quality Assurance), internal coordination for ensuring strategic synthesis of findings (Coherence), and a communications and dissemination to support the uptake of learning from E&L activities (Dissemination and Uptake). Estimated FY19 budget commitments are indicated in Table 5.

**Table 5. New FY19 activities and planned estimated budget commitments<sup>17</sup>**

<b>Activity</b>	<b>Estimated budget (USD)</b>
<u>Transformational change</u> : Resources for continued Phase 2 support, potential additional analyses or workshops, and opportunistic dissemination and uptake activities.	\$350,000
<u>Learning dissemination and uptake</u> : Communications, uptake and dissemination for other E&L activities.	\$200,000
<u>External engagement</u> : Collaboration with GCF, GEF and others on joint activities, learning events and networks.	\$50,000
<u>Implementation support</u> : Short-term consultants to assist implementation.	\$200,000
<b>Total</b>	<b>\$800,000</b>

<sup>17</sup> Many activities listed in the FY18 Budget Commitments in Table 4, and some in the FY17 Budget and Work Plan, will still be under contract and continuing implementation in FY19, necessitating ongoing support for quality assurance and dissemination of deliverables.

## **6. Reporting and Review**

63. The CIF Administrative Unit will provide annual reporting on the initiative to the joint meeting of the CTF and SCF Trust Fund Committees on the delivery of this work plan in conjunction with annual reporting and business planning process. Progress on the FY19 Work Plan will be reviewed midway through the year in consultation with key stakeholders and the Advisory Group, and any needed adjustments will be made. Additional feedback will be gathered through ongoing stakeholder consultations and the CTF and SCF Trust Fund Committee meetings to inform and adapt work plan approaches and activities.

## Annex I: Alignment of evaluations with multiple priority learning themes

While Section 2 and Table 1 above summarize E&L activities by the priority learning theme that most aligns with that particular activity, the learning themes by their broad nature are cross-cutting and not mutually exclusive, and most E&L activities address multiple priority learning themes and sub-topics. Table 6 below demonstrates the multiple learning themes that relate to each E&L activity.

**Table 6: Primary and secondary alignment of E&L activities with priority learning themes<sup>18</sup>**

Evaluation and Learning Topic/Activity	Learning Themes <sup>19</sup>			
	TC	PS	LSE	CDA
<b><i>Strategic, cross-cutting evaluations</i></b>				
Transformational Change Learning Partnership <sup>20</sup> , Evaluation, and Capstone Evidence Synthesis Report	<b>X</b>	X	X	X
Evaluation of the CIF Programmatic Approach	X	X	X	<b>X</b>
Evaluation of Financing Forest-related Enterprises	X	<b>X</b>	X	X
Evaluation of Dedicated Grant Mechanism (DGM) for Indigenous Peoples and Local Communities in the FIP	X		<b>X</b>	X
Evaluation of Local Stakeholder Engagement in the CIF	X		<b>X</b>	X
PPCR Learning Partner Knowledge Briefs <sup>21</sup>	<b>X</b>	X		X
<b><i>Call for Proposal activities</i></b>				
Assessment of approaches, methods, and tools for program and project design that facilitate transformational change	<b>X</b>	X		X
Building transformative institutional capacity: Assessing contribution of PPCR to building climate-resilient water governance in Bolivia	<b>X</b>			X
Evaluation of transformative change resulting from inclusion of women's organizations and groups in CIF policies and implementation	<b>X</b>		X	X
Evaluating the role of leadership in transformational change across PPCR in Asia-Pacific region	<b>X</b>		X	
Evaluation of alternative private sector investment models for commercial forestry in Africa	X	<b>X</b>	X	X
Pathways for designing mechanism to incentivize deforestation free landscapes and value chain for green growth	X	<b>X</b>		
Building an evidence base on private sector investments supporting gender-sensitive climate resilience development in Tajikistan	X	<b>X</b>	X	X
Saint Lucia's experience: private sector participation in response to climate change	X	<b>X</b>	X	X
How do grants, concessional funding and guarantee instruments help leverage private sector financing for renewable energy projects	X	<b>X</b>		X
The role of concessional financing provided through the CTF to overcome investments barriers and help scale-up low carbon technologies	X	<b>X</b>		X
Scaling up rooftop solar in the SME sector in India	X	<b>X</b>	X	X
<b>Evaluation and Learning Topic/Activity (continued)</b>	<b>Learning Themes</b>			

<sup>18</sup> The learning theme of primary alignment for each evaluation is in bold ("X"), with other secondary aligning themes marked in normal font ("X").

<sup>19</sup> TC = Transformational Change; PS = Private Sector Investment; LSE = Local Stakeholder Engagement; CDA = CIF Design and Approach.

<sup>20</sup> This includes the planned joint CIF-GCF study on drivers of transformational change, mentioned in Section 2.

<sup>21</sup> Includes three knowledge products on SME financing for resilience, water resources management and lessons learned and applied from PPCR regional exchanges.

	<b>TC</b>	<b>PS</b>	<b>LSE</b>	<b>CDA</b>
Exploring methodologies to measure household climate resilience in vulnerable countries and communities in Zambia	X		<b>X</b>	X
Local stakeholder engagement and benefits under CIF Investment in Cambodia: Case studies of PPCR and SREP	X		<b>X</b>	X
Filling the data gap: FIP contribution to poverty alleviation and green growth	X	X	<b>X</b>	X
Social identity framing to get Mexican Rural Women REDDy for the participation in natural resource management (WB and CONAFOR)	X		<b>X</b>	X
Achieving transformational change through the Dedicated Grant Mechanism – an Indigenous Lens	X		<b>X</b>	X
FIP – Lessons learned from Country Investment Plans (WB)	X	X	X	<b>X</b>
Maximizing synergy and complementarity among International Climate Funds: evidence, challenges and opportunities (CIF AU)	X	X		<b>X</b>
Evaluation of Sustainable Land Management and innovative financing to enhance climate resilience and food security in Bhutan	X	X	X	<b>X</b>
Climate change and Health in Sub-Saharan Africa: the case of Uganda	X		X	<b>X</b>
Evaluating operational pathways used for modernizing National Hydrological and Meteorological Organizations for weather, water and climate services	X		X	<b>X</b>