

CLIMATE INVESTMENT FUNDS

Joint CTF-SCF/TFC.21/4
May 15, 2019

Joint Meeting of the CTF and SCF Trust Fund Committees
Washington, DC
June 3, 2019

Agenda Item 7

EVALUATION AND LEARNING SPECIAL INITIATIVE:
FY19 ANNUAL REPORT AND FY20-22 BUSINESS PLAN

PROPOSED DECISION

The Joint Meeting of the CTF and SCF Trust Fund Committees reviewed the document Joint CTF-SCF/TFC.21/5, *“Evaluation and Learning Special Initiative: FY19 Annual Report and FY20-22 Business Plan”*. The Joint Meeting appreciates the results demonstrated by the Evaluation and Learning (E&L) Special Initiative over FY17-19, and the work undertaken by the E&L Advisory Group and CIF Administrative Unit in preparing the FY20-22 E&L Business Plan.

The Joint Meeting, acknowledging its previous decision in January 2019 to extend the E&L Initiative, approves the FY20-22 E&L Business Plan with a budget of USD 6 million (USD 4.8 million CTF: USD 1.2 million SCF) through FY22.

The Joint Meeting confirms and endorses the Business Plan’s three main objectives: 1) Application of learning in countries and institutions, 2) New evidence generated in priority areas, and 3) Collaboration and partnerships for climate finance impact; and its three priority learning themes:

1. Transformational change
2. Mobilizing private sector through concessional finance
3. Development impacts of climate finance

The Joint Meeting invites the CIF Administrative Unit, under the guidance of the E&L Advisory Group, to develop a more detailed FY20 work plan for implementing the activities identified in the FY20-22 E&L Business Plan. The Joint Meeting provided additional feedback and comments on the document, which will be incorporated into the FY20 work plan as it is developed for circulation by September 2019.

Introductory Memo from the CIF Evaluation and Learning Advisory Group

Dear Joint Meeting of the CTF-SCF Trust Fund Committees,

On behalf of the CIF Evaluation and Learning Advisory Group, we are delighted to support the FY19 Annual Report and FY20-22 Business Plan for the CIF Evaluation and Learning (E&L) Special Initiative for your consideration and decision.

The Advisory Group has provided strategic guidance to the E&L Initiative throughout its ambitious first phase of work (FY17-19) and worked together with the CIF Administrative Unit and others to develop the FY20-22 Business Plan. We believe the Initiative has demonstrated high value and produced strong results during its initial phase, as confirmed by many stakeholders in recent consultations and meetings. Furthermore, we are convinced that the Initiative and the broader CIF portfolio still have many important lessons to cultivate and share for the benefit of CIF and the wider climate finance efforts, including multilateral, regional and country-level initiatives.

The Advisory Group strongly endorses the new FY20-22 E&L Business Plan, including its key objectives related to application of learning, new evidence generation, and collaboration and partnership, as well as its three priority learning themes of transformational change, mobilizing private sector through concessional finance, and development impacts of climate finance. These focus areas came through as clear priorities in 41 consultative sessions with over 100 CIF and external stakeholders conducted as part of the business planning process. They express the demand for new evidence; in the CIF portfolio and the findings of the first E&L phase we see many opportunities for the second phase to meet this demand. The Advisory Group is committed to continuing to ensure strategic relevance and quality assurance regarding the overall direction of the Initiative and its related activities.

Thank you for the opportunity to extend the Evaluation and Learning Initiative into a new, exciting and very promising phase. We look forward to your discussion and decision, and to the implementation of the next phase of this important initiative.

With best regards,



Rob D. van den Berg
Chair, CIF Evaluation and Learning Advisory Group

CIF Evaluation and Learning Advisory Group:

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Diana Nacibe Chemor Salas, Recipient Country Representative (Mexico)
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1 Summary

1. This document provides an FY19 Annual Report on the activities of the Evaluation and Learning (E&L) Special Initiative and presents a new proposed FY20-22 E&L Business Plan. In January 2019, the Joint Meeting of the CTF-SCF Trust Fund Committees (the TFCs) discussed the [E&L Update and Extension Concept Note](#), recognizing the important contributions of the Initiative and approving an extension of activities. In considering various budget scenarios, it recommended the CIF Administrative Unit seek a higher-ambition scenario among these (e.g., USD 6 million or USD 9 million over three years) by exploring a higher proportional allocation to fund the Initiative from CTF relative to SCF and identification of broader cost savings in SCF.

2. During its first phase of activities from FY17-19, the E&L Initiative has implemented over 30 different studies and activities that are demand-driven, inclusive, and used to inform strategic learning and decisions. In FY19, it completed several activities analyzing the most pressing and relevant topics in CIF and climate finance more broadly. This includes:

- An [Independent Evaluation, Evidence Synthesis](#) and [Learning Partnership on Transformational Change in the CIF](#).
- Evaluations of the [CIF Programmatic Approach](#); the [role of concessional finance](#) in CTF; the [DGM for Indigenous Peoples and Local Communities](#) in the FIP; and effective [climate resilience approaches](#) in PPCR.
- A range of demand-driven studies funded through the Call for Proposals modality.
- Several examples of findings and lessons being used for various strategic and operational purposes, along with wider dissemination to promote use and uptake.

3. The proposed FY20-22 E&L Business Plan was developed with the Advisory Group and CIF Administrative Unit, based on 41 consultative interviews and discussions involving over 100 CIF and external stakeholders as well as Phase 1 experience. Three main objectives are proposed:

- 1) Application of learning in countries and institutions
- 2) New evidence generated in priority areas
- 3) Collaboration and partnerships for climate finance impact

4. Three priority learning themes emerged from the consultations as a focus for FY20-22, in addition to program or sector-specific topics. Proposed work includes learning from existing E&L studies as well as new strategic evaluations and learning studies in the following areas:

1. Transformational change
2. Mobilizing private sector through concessional finance
3. Development impacts of climate finance

5. The overall proposed budget for the FY20-22 E&L Business Plan is USD 6 million, pending approval of measures presented in the FY20 CIF Administrative Unit Business Plan. A more detailed FY20 work plan and budget will be circulated to the TFCs pending approval of the overarching three-year Business Plan. The FY20 work plan will be based on the TFCs' guidance and feedback as well as additional consultations as needed.

2 Introduction

6. The CIF were founded as a learning laboratory for scaled-up climate finance. In May 2015, the Joint Meeting of the CTF-SCF TFCs (the TFCs) endorsed a proposal to enhance the generation of knowledge from evaluation for learning (the E&L Initiative). The TFCs created a “special initiatives budget” (funded through the SCF Administrative Budget) to support this work, with resources of approximately USD 7.6 million¹ allocated over three years to support learning through evaluative and evidence-based activities. The purpose of this work was:

- To capture evidence and lessons on an ongoing basis to inform ongoing CIF activities within an actionable time horizon; and,
- To identify valuable evidence and lessons learned to inform current and future climate finance investments.

7. The TFCs 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. Together with the Senior Evaluation and Learning Specialist in the CIF Administrative Unit, the Advisory Group developed an initial [Business Plan](#)² for the Initiative, approved by the TFCs in June 2016. The Business Plan committed to undertaking evaluation and learning activities that are demand-driven, relevant and applied to decisions and strategies, emphasizing collaborative and user-centric approaches.

8. Building on this initial three-year Business Plan, annual work plans were subsequently endorsed by the Advisory Group and circulated or presented to the TFCs, including: the FY17 Work Plan in September 2016, the [FY17 Annual Report and FY18 Work Plan](#)³ in June 2017, and the [FY18 Annual Report and FY19 Work Plan](#)⁴ in June 2018. Finally, in January 2019, an [E&L Update and Extension Concept Note](#)⁵ was presented and endorsed by the TFCs.

9. This document provides an annual report on activities in FY19 and presents a new proposed Business Plan for a three-year extension of the E&L Initiative from FY20-22. It builds directly on the [E&L Update and Extension Concept Note](#) discussed in the January 2019 Joint Meeting of the CTF-SCF TFCs, as well as subsequent in-depth stakeholder consultations and strategic planning that have taken place over recent months. Additional details on the scope and content of stakeholder consultations, principles for evaluation and learning, the role of the Advisory Group and more detailed budget commitments over FY17-19 are provided in Annexes.

¹ Initial allocation of approximately USD 9 million was reduced to approximately USD 7.6 million due to UK currency exchange rate fluctuations.

² *Joint CTF-SCF/16/5 Evaluation and Learning Special Initiative: Business Plan*. May 2016.

³ *Joint CTF-SCF/17/5 Evaluation and Learning Special Initiative FY17 Annual Report and FY18 Work Plan* June 2017

⁴ *Joint CTF-SCF/TFC.19/5 Evaluation and Learning Special Initiative FY18 Annual Report and FY19 Work Plan*.2018.

⁵ *Joint CTF-SCF/TFC.20/4 Evaluation and Learning Special Initiative Update and Extension Concept Note*. Jan. 2019

3 FY19 E&L Annual Report

3.1 Background

10. In the FY19 E&L Work Plan, three strategic objectives were prioritized: i) Quality assurance on E&L evaluations and studies; ii) Coherence in terms of the overall E&L narrative and evidence on learning themes; and iii) Dissemination, engagement and uptake of learning.

11. FY19 was the third and final year of the first phase of the E&L Initiative, which has commissioned and implemented over 30 studies and activities on critical topics in climate finance. Several evaluations or studies which were initiated in previous years were completed, launched and disseminated in FY19. This year was also significant for the CIF, marking its 10-year anniversary with various events including a large conference and TFC meetings in Ouarzazate, Morocco. The E&L Initiative contributed strongly to these discussions through the publication of landmark studies on transformational change, the CIF programmatic approach, the use of concessional finance in CTF and others. With several reports only recently completed and others still to be finalized in the coming months, wider dissemination and application of learning continues to remain a priority for FY20.

12. Section 3.2 below provides an overview of activities and results by priority learning theme, as well as a comprehensive listing of the status of all E&L activities. Section 3.3 presents a summary of budget expenditures, with additional detail provided in Annex 4, while Section 3.4 provides additional information on management and implementation.

3.2 Summary of priority learning themes

13. The first phase of the E&L Initiative prioritized four key learning themes and related sub-topics, based on wide consultation in the lead-up to the initial Business Plan. These include the following, discussed in more detail below (a full list of activities is presented in Table 1)⁶:

- **Transformational change:** Understanding and assessing CIF contributions to transformational change, across programs and dimensions.
- **Private sector investment:** Investigating financing models and experiences in CIF programs and sectors, and the role of concessional finance.
- **Local stakeholder engagement and benefit:** Exploring CIF local stakeholder engagement strategies, Indigenous Peoples, gender and other related topics.
- **CIF design and approach:** Evaluating the effectiveness of the CIF Programmatic Approach as a delivery modality, and other program strategies and approaches.

Transformational change

14. The most important and highest profile work in FY19 relates to the [Independent Evaluation](#)⁷ and [Evidence Synthesis](#)⁸ of Transformational Change in the CIF. These two ambitious studies were finalized in early 2019, supported by two years of joint learning through Transformational Change Learning Partnership (TCLP) workshops with a broad range of climate finance stakeholders. The studies were delivered in time to inform strategic discussions about the future of the CIF in January and June 2019,

⁶ See [E&L Update and Extension Concept Note](#) for key lessons learned to date by priority learning theme.

⁷ [Independent Evaluation of Transformational Change in the Climate Investment Funds](#). Itad, 2019

⁸ [Transformational Change in the Climate Investment Funds: A Synthesis of the Evidence](#). ODI, 2019.

and continue to be widely referenced and disseminated. As noted by many TFC members, TCLP participants and others, this work has made a marked contribution towards increasing the collective understanding of transformational change in the CIF context – across programs, recipient countries and implementing institutions – and in climate finance more generally.

15. During FY19, the TCLP held two workshops, in October 2018 and April 2019, which involved over 70 stakeholders from recipient countries, donor countries, MDBs, civil society organizations, think tanks, other climate funds and external experts. Real-time learning and feedback strengthened the independent evaluation and evidence synthesis, while also adding value to participating institutions and individuals. This learning has already yielded several practical applications through the use of transformational change concepts and the findings of the studies. This includes lessons on the role of CIF and how others can learn from CIF experience, as well as how transformational change can be better incorporated into the planning, implementation, measurement and learning practices of climate funds and institutions. The innovative and successful TCLP model has been documented and disseminated in the new [Art of Knowledge Exchange](#)⁹ guidebook, as well as various [blogs](#) and presentations.

16. Concepts and lessons from the transformational change work are being disseminated and applied in a variety of ways. For example, the E&L Initiative through its Call for Proposals supported work by the Inter-American Development Bank (IDB) and the Asian Development Bank (ADB) to incorporate transformational change perspectives into MDB project design and implementation. A toolkit was developed with project managers and other stakeholders, prioritizing ten MDB tools, methods or approaches which can incorporate transformational change thinking and lessons, optimizing the likelihood of more transformational outcomes. This toolkit is currently being tested and disseminated in the CIF and wider MDB context. Similarly, transformational change concepts were incorporated into the recent World Bank [concessional climate finance framework](#)¹⁰, the NAMA Facility's screening and evaluation approaches, and other work in MDBs, donors and recipient countries.

17. Other E&L studies implemented through the Call for Proposals mechanism are building on transformational change concepts and findings. This includes a study by LEAD Pakistan, a CIF Observer organization, to assess and promote the role of leadership in transformational change in PPCR, and a study by IDB on building transformative adaptive capacity in water governance, based on experiences in Bolivia. A joint study in partnership with the Green Climate Fund's (GCF) Independent Evaluation Unit (IEU) is reviewing the broader global impact evaluation literature to assess drivers of transformational change outcomes across diverse sectors to inform design considerations in respective CIF and GCF portfolios. This study will be completed in FY20.

Private sector investment

18. The most prominent work related to this theme is the study by Bloomberg New Energy Finance (BNEF) on the [use of concessional finance in CTF](#)¹¹, launched in February 2019. Findings were also disseminated at the CIF@10 event in January, through a joint MDB webinar involving the World Bank, IFC, IDB and others, and through various media. This report demonstrates the role and impact of CTF financing in the development of several renewable energy markets, and assessed where concessional

⁹ [Art of Knowledge Exchange: A Results-Focused Planning Guide for Climate Change Practitioners](#). CIF, 2019.

¹⁰ [Strategic Use of Climate Finance to Maximize Climate Action: A Guiding Framework](#). World Bank, 2018.

¹¹ [The Clean Technology Fund and Concessional Finance: Lessons Learned and Strategies Moving Forward](#). Bloomberg New Energy Finance, 2019.

finance could be deployed in the future and its potential impacts. The report was very positively received within the CIF community and beyond, with many stakeholders noting that it has impacted views on effective use of concessional resources.

19. The transformational change studies also focused significantly on the private sector theme. They corroborated the BNEF study regarding the success of CTF in leveraging private finance and contributing to transformational market change in several countries. They also noted challenges and identified potentially promising models in engaging private sector in PPCR, FIP and SREP, including a brief dedicated section on intermediated finance.

20. A study on financing forest-related enterprises in FIP was also completed and launched, in May 2019. It notes challenges and opportunities for financing and supporting Small and Medium Enterprises (SMEs) in the FIP and broader forestry context. This study engaged many CIF stakeholders, including MDB counterparts, recipient countries and others, through webinars and briefings, and informed FIP-related findings on this topic in the transformational change reports. In PPCR, knowledge briefs co-created through a participatory process by an E&L-supported learning partner, working alongside recipient country and MDB focal point teams, were finalized in FY19 and include lessons on [resilience microfinance](#) as a way to reach small businesses and households.

21. Various work funded through the E&L Call for Proposals are also making an impact. For example, a study analyzing key lessons and potential opportunities for [rooftop solar in the SME sector in India](#)¹² was launched in March 2019, at a major workshop with senior policy-makers, financiers and others in New Delhi. This report provides actionable insights that are relevant to further develop this important and under-served sector in India and beyond. Another study is focusing on the critically important area of private sector finance in climate change adaptation and resilience, using experience in St. Lucia to provide broader lessons for Small Island Developing States (SIDS). The study was initially proposed by the St. Lucia PPCR focal point team, and early findings were shared at a workshop with government and private sector stakeholders. This report and others, including additional work on private sector in forests and resilience, will be finalized and launched in early FY20.

Local Stakeholder Engagement

22. A [learning review of the Dedicated Grant Mechanism \(DGM\)](#)¹³ for Indigenous Peoples and Local Communities in the FIP, the first systematic attempt to document the key lessons from design and early implementation, was formally launched in January 2019 at the CIF@10 event by leaders from Indigenous Peoples groups, governments and the World Bank. The study demonstrates promising early results related to both enabling and substantive outcomes. It is being actively used in strategies and discussions within the World Bank, among Indigenous Peoples organizations and elsewhere on the potential continuation, mainstreaming and scale-up of this innovative mechanism.

23. Other studies within this theme are already having an impact in recipient countries and MDBs. For example, a workshop was held in Cambodia in May 2019 to engage stakeholders on early findings from an E&L study by Live and Learn Cambodia, a CIF Observer, on experiences, challenges and opportunities in stakeholder engagement in PPCR and SREP in Cambodia. A broader evaluation of local stakeholder

¹² [Scaling up of rooftop solar for the SME sector in India](#). Deloitte, 2019.

¹³ [A Learning Review of the Dedicated Grant Mechanism for Indigenous Peoples and Local Communities in the Forest Investment Program \(FIP\) of the Climate Investment Funds](#). Itad, 2019.

engagement in the CIF is also making good progress. Initiated late in FY18, this study will be completed in early FY20 and provide important insights from CIF experiences in this area.

24. Gender is also an important theme being explored in several E&L studies. For example, a study on rural women’s participation in natural resource management activities in the DGM in Mexico, being conducted by the World Bank in partnership with the Mexican National Forestry Commission (CONAFOR), held a well-attended workshop in Mexico City to disseminate early findings. It also presented results at the World Bank’s Land and Poverty conference. This study has generated high interest in Mexico and across the sector, applying insights from behavioral economics to improve outreach to rural women and enhance their participation in programs. Similarly, a study being implemented by EBRD on gender and private sector adaptation in Tajikistan has strongly informed similar projects throughout the region and will be fully launched and disseminated more widely in the coming months.

25. Additional studies within this theme – including on gender, Indigenous Peoples, climate change and health, FIP contributions to welfare benefits, and local household resilience – are in the final data analysis or review stages and will be launched in early FY20.

CIF design and approach

26. The [Independent Evaluation of the CIF Programmatic Approach](#)¹⁴, the first holistic and systematic evaluation of the unique CIF delivery model for climate finance, was launched in October 2018. This in-depth review provides key lessons demonstrating the advantages, constraints and success factors regarding the effectiveness of this approach in different contexts. It has been used to inform climate finance strategies for CIF, in the World Bank and other MDBs, and with GCF, among others. It was disseminated widely, including a session with key leaders at COP24 in Katowice, Poland, in December 2018, a webinar to share and discuss findings with over 30 staff from the GCF Secretariat, also in December 2018, and a featured session at the CIF@10 event. It was also a key input to the transformational change studies, and was featured in the World Bank’s new [Adaptation and Resilience Action Plan](#)¹⁵.

27. Other program and sector-specific approaches have been analyzed in E&L studies and are producing important results. For example, PPCR knowledge briefs on [water resources management](#) and other approaches, co-created with countries and MDBs, were published and shared widely. A study evaluating pathways for modernizing national hydro-met services, led by the World Bank, has held several in-country workshops and data collection activities. Similarly, a study on sustainable land management and innovative financing conducted in partnership with the Bhutan PPCR government focal point team shared early findings through in-country workshops and held a South-South exchange visit with Tajikistan to engage in dialogue on promising practices and lessons learned. Finally, a study being implemented in conjunction with the GCF Secretariat is documenting lessons on enhancing synergies and complementarities of funding from different international climate funds at the country level, using a sample of specific country cases, to inform future recommendations. This study is expected to be completed within the next several months.

¹⁴ [Independent Evaluation of the Climate Investment Funds’ Programmatic Approach](#). ICF, 2018.

¹⁵ [The World Bank Group’s Action Plan on Climate Change Adaptation and Resilience](#), World Bank, 2019.

28. A list of all E&L activities, organized by priority learning theme and including implementing organization and current status, is provided in Table 1 below. Notwithstanding the achievements noted above, not all studies were able to be completed within the timelines originally envisioned. This was primarily due to the overall high ambition and volume of work, and the complexity of multi-stakeholder processes for design, implementation, review, and final publication of studies. As noted in Section 4, the high volume and inclusive stakeholder engagement sometimes led to tradeoffs related to timeliness, stakeholder fatigue, and depth of dissemination and learning uptake activities. The proposed FY20-22 E&L Business Plan reflects on these lessons and calibrates activities accordingly. It also highlights important remaining work to more fully leverage existing E&L studies for maximum learning and impact.

Table 1: List and current status of E&L activities, by learning theme

E&L activity and organization(s)	Completion
<i>Transformational Change</i>	
Transformational Change Learning Partnership (TCLP) <i>Itad, Overseas Development Institute (ODI), Consensus Building Institute (CBI)</i>	May 2019
Evaluation of Transformational Change in the Climate Investment Funds <i>Itad</i>	January 2019
Evidence Synthesis of Transformational Change in the Climate Investment Funds <i>Overseas Development Institute (ODI)</i>	January 2019
Assessment of approaches, methods, and tools for program and project design that facilitate transformational change <i>Asian Development Bank (ADB) and Inter-American Development Bank (IDB)</i>	May 2019
Building transformative adaptive capacity: Assessing the potential contribution of PPCR to build a climate-resilient water governance framework in Bolivia <i>Inter-American Development Bank (IDB)</i>	June 2019
Evaluating role of leadership in transformational change in PPCR in Asia-Pacific region <i>LEAD Pakistan</i>	July 2019
Evidence gap map and systematic review of transformational change (literature-based) <i>Center for Evaluation and Development (C4ED), with GCF Independent Evaluation Unit</i>	December 2019
<i>Private Sector Investment</i>	
Private Sector and Concessional Finance in Renewable Energy	
Effectiveness of public finance in attracting private capital in grid-connected solar <i>World Bank</i>	June 2019
The role of concessional financing provided through Clean Technology Fund to overcome investments barriers and help scale-up low carbon technologies <i>Bloomberg New Energy Finance (BNEF)</i>	March 2019
Scaling up rooftop solar in the SME sector in India <i>CIF AU/Deloitte</i>	April 2019
Private Sector in Forests	
Learning Review on Financing Forest-related Enterprises <i>International Institute for Environment and Development (IIED)/ LTS International</i>	May 2019
Evaluation of private sector investment models for commercial forestry in Africa <i>African Development Bank (AfDB)/World Wildlife Fund (WWF)</i>	June 2019
Fiscal Incentives for Decreasing Deforestation <i>World Bank</i>	October 2019

E&L activity and organizations (cont.)	Completion
Private Sector in Climate Resilience	
Saint Lucia's experience: private sector participation in response to climate change <i>Gov't of St. Lucia, Environmental Governance Consulting</i>	July 2019
Local Stakeholder Engagement & Benefit	
Participation and Impact	
Evaluation of Local Stakeholder Engagement in the CIF <i>Consensus Building Institute (CBI)</i>	September 2019
Local stakeholder engagement and benefit in Cambodia: Case studies of PPCR and SREP <i>Live and Learn Cambodia</i>	June 2019
Exploring methodologies to measure household climate resilience in vulnerable countries and communities - Zambia <i>World Bank</i>	September 2019
Bringing evidence of FIP contribution to welfare improvements <i>World Bank</i>	August 2019
Indigenous Peoples	
Learning Review of the Dedicated Grant Mechanism (DGM) for Indigenous Peoples and Local Communities in the Forest Investment Program (FIP) <i>Itad</i>	January 2019
Achieving transformational change through the DGM – an Indigenous lens <i>Maori and Indigenous Governance Centre, University of Waikato</i>	July 2019
Gender	
Building an evidence base on private sector investments supporting gender-sensitive climate resilience development in Tajikistan <i>European Bank for Reconstruction and Development (EBRD)</i>	June 2019
Social identity framing to get Mexican Rural Women 'REDDY' for participation in natural resource management <i>World Bank, CONAFOR</i>	August 2019
Evaluation of the inclusion of women and gender-related groups, organizations and beneficiaries in the design and implementation of CIF investments <i>Women and Environment Development Organization (WEDO)</i>	July 2019
Climate Change and Health	
Climate change and health in Sub-Saharan Africa: The case of Uganda <i>Gov't of Uganda, Climate Change Adaptation and Innovation</i>	June 2019
CIF Design and Approach	
CIF Programmatic Approach	
Evaluation of the CIF Programmatic Approach <i>ICF International</i>	October 2018
Forest Investment Approaches	
The Story of the FIP – Taking Root in International Climate Finance and Branching out to Sustainable Development <i>World Bank</i>	June 2019

E&L activity and organizations (cont.)	Completion
Climate Resilience Approaches	
PPCR knowledge briefs on resilience microfinance and water resources management <i>Oxford Policy Management</i>	November 2018
Evaluating operational pathways used for modernizing National Hydrological and Meteorological Organizations for weather, water and climate services <i>World Bank</i>	September 2019
Evaluation of sustainable land management and innovative financing to enhance climate resilience and food security in Bhutan <i>Bhutan Trust Fund for Environmental Conservation</i>	June 2019
Complementarity of Climate Funds	
Maximizing synergy and complementary among International Climate Funds: Evidence, challenges and opportunities <i>CIF AU, GCF and Arepo Consult</i>	July 2019

3.3 Budget

29. The initial E&L Business Plan set out an overall implementation and budgeting strategy based on 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 activities while focusing on completion and dissemination in year three (FY19). This spending trajectory has been maintained in FY19. It is important to note that due to previous UK currency exchange rate fluctuations, an initial estimated USD 9 million allocation for the three-year E&L Initiative was reduced to a total of approximately USD 7.6 million. Overall budget commitments from FY17-19 are presented in Table 2 below. Please see Annex 4 for a more detailed reporting of budget commitments for all major E&L activities in FY17-19.

Table 2. Budget commitments FY17-19¹⁶

Year	Budget commitments (USD)
FY17	\$3,100,000
FY18	\$3,700,000
FY19	\$800,000
Total	\$7,600,000¹⁷

30. In FY19, many budget commitments and contracts initiated in FY18 or earlier continued to be carried out or were completed. New planned FY19 commitments were articulated in the FY19 Work Plan and are presented in Table 3 below in comparison with actual FY19 spending commitments. These focused primarily on the transformational change work, as well as implementation, dissemination and learning related to other studies.

¹⁶ The term “budget commitments” refers to funds which have been committed to activities and contracts with vendors for specified E&L services over a particular duration (often 6-18 months).

¹⁷ 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.

Table 3. FY19 planned and actual budget commitments

Activity	Estimated budget (USD)	Actual budget (USD)	Explanation
<u>Transformational change</u> : Resources for continued Phase 2 support, potential additional analyses or workshops, and opportunistic dissemination and uptake activities.	\$350,000	\$400,000	Additional resources prioritized for this work (e.g., additional analyses, TCLP workshops, etc.).
<u>Learning dissemination and uptake</u> : Communications, uptake and dissemination for other E&L activities.	\$200,000	\$150,000	Includes support for communications, uptake and learning.
<u>External engagement</u> : Collaboration with GCF, GEF and others on joint activities, learning events and networks.	\$50,000	\$50,000	Joint study with GCF IEU analyzing literature on transformational change.
<u>Other implementation support</u> : Short-term consultants to assist implementation.	\$200,000	\$200,000	Continued support for E&L implementation.
Total	\$800,000	\$800,000	

3.4 Management, implementation and collaboration

31. The Advisory Group was especially active in FY19, providing strategic guidance during an important year which included several high-profile studies and planning for Phase 2. Three Advisory Group meetings were held, in August and October 2018, and April 2019. In these meetings, along with the participation of several Advisors in TCLP workshops and in several conference calls and virtual exchanges, Advisors helped guide the transformational change work and other studies, develop strategies for learning and uptake, and provide quality assurance for the wider portfolio of E&L activities. The Advisory Group also played a major role in developing the FY20-22 E&L Business Plan.

32. The Initiative continued its collaborative, partnership-based approach in FY19 by engaging the CIF community and wider climate finance architecture in its activities. Collaboration with GCF continued to be a priority, including the webinar with GCF Secretariat staff on results from the Evaluation of the CIF Programmatic Approach, GCF participation in TCLP workshops, and partnerships on two small, pending studies relating to transformational change literature and country-level synergies of international climate funds. Collaboration with the GEF Independent Evaluation Office also continued, including participation in TCLP workshops, the joint drafting of a book chapter along with GCF on evaluating transformational change, and collaboration for the upcoming International Development Evaluation Association (IDEAS) Global Assembly. An open, joint workshop co-organized with the NAMA Facility on transformational change, including prospective GCF and GEF participation, was planned for June 2019 alongside the COP technical working group sessions (SB week) in Bonn, Germany. Finally, several review meetings, briefings, BBLs, country-level workshops and other activities were held with MDBs, donors and recipient countries to engage in learning from E&L studies.

4 FY20-22 E&L Business Plan

4.1 Background and context

33. In January 2019, the Joint Meeting of the CTF-SCF TFCs discussed and provided feedback on the [E&L Update and Extension Concept Note](#). It recognized the important contributions of the E&L Initiative to fulfilling the CIF mandate as a climate finance learning laboratory – with over 30 studies and activities providing demand-driven learning for strategic and operational decision-making – and approved an extension of the Initiative consistent with the broad directions articulated in the concept note. In considering various budget scenarios, it recommended that the CIF Administrative Unit seek a higher-ambition scenario among those presented (e.g., USD 6 million or USD 9 million), including through higher proportional allocations to fund the E&L Initiative by CTF relative to SCF and identification of broader cost savings in SCF.¹⁸

34. The TFCs requested the CIF Administrative Unit to develop a more detailed proposal for the extension of the Initiative to be presented in June 2019. This FY20-22 E&L Business Plan, developed together with the Advisory Group and CIF Administrative Unit in consultation with a range of CIF stakeholders, responds to this request. In line with established processes, a more detailed FY20 work plan and budget will be circulated to the TFCs subsequent to the approval of the overarching Business Plan and based on the TFCs' feedback on the Business Plan.

35. Recent discussions and results highlight the distinct nature and value of the E&L Initiative as critical vehicle for generating evidence and learning on the most prescient topics in climate finance today, for the benefit of CIF and the wider climate finance architecture. Over the past three years, a strong track record has been established and learning about key challenges in climate finance remains as relevant and urgent as ever. The E&L Initiative fulfills a unique role by using evaluation as a tool to generate evidence-based learning to inform strategies and decisions. Given the size, mandate and maturity of the CIF portfolio, with its 10 years of implementation experience, the Initiative provides unparalleled opportunities capture insights, generate evidence and identify lessons to inform future climate finance investments. Its placement within the CIF Administrative Unit enables it to leverage a broad range of networks and institutions to provide learning to the wider climate finance community.

36. The Initiative has recently undertaken an intensive set of stakeholder consultations to further identify priorities to inform the development of the FY20-22 Business Plan and eventual FY20 work plan. To date, 41 consultative interviews and workshop sessions have been held with over 100 CIF and external stakeholders, representing all major stakeholder groups (see Annex 1 for a summary of the consultations). In the consultations, both CIF and external stakeholders, including the GCF, underscored the value of the E&L Initiative and expressed strong demand for a second phase to continue generating useful evidence and learning to inform strategic and operational decisions. The Initiative will continue consulting stakeholders as it further develops and implements the FY20 work plan.

37. The consultations identified success factors as well as areas for improvement from the E&L Phase 1 experience. Success factors include: the collaborative and inclusive approach of extensive stakeholder engagement, the timing and strategic relevance of cross-cutting evaluations and Call for Proposal

¹⁸ See [Joint CTF-SCF/TFC.20/4 Evaluation and Learning Special Initiative Update and Extension Concept Note](#), CIF 2019. The concept note presents various budget scenarios; based on the TFCs' guidance and measures identified in the FY20 CIF Administrative Unit Business Plan, the FY20-22 E&L Business Plan is calibrated to a USD 6 million scenario for three years through FY22. See Section 4.6 for more details.

studies, and the independent and high quality work of the Advisory Group and evaluation teams, leading to relevant, credible findings. Areas for improvement include: the high volume of Phase 1 activities which at times resulted in tradeoffs and stakeholder fatigue, the high level of findings in some cross-cutting reports, and a desire for increased dissemination and learning uptake related to key reports and related findings. Stakeholders also identified priority themes, topics and activities for Phase 2, as well as preferred approaches and ways of working. These are reflected in the sections below.

4.2 Guiding concepts and principles

38. A set of ten guiding principles for evaluation and learning were developed by the Advisory Group and elaborated upon in the previous E&L Business Plan. These principles remain highly relevant to Phase 2 of the Initiative. They are presented in full in Annex 2. In summary, the principles underscore that the Initiative strives to undertake work that is:

- Strategic, timely and applied to decisions and strategies.
- Collaborative and inclusive, using learning-oriented approaches.
- Ethical, cost-effective and supportive of local knowledge and capacity.

39. The guiding principles also include a commitment to using professional standards and best practices in evaluation, deploying innovative approaches to further explore and promote the evaluation-learning nexus, and ensuring responsiveness to gender and inclusivity considerations, including issues affecting vulnerable or marginalized populations.

40. To assist in prioritizing topics and activities, four criteria for assessing opportunities were also developed in the Phase 1 Business Plan and are slightly updated here. These criteria and principles will continue to be used to assess, prioritize and design activities. Any E&L activity supported or undertaken should be demand-driven and entail a clear value proposition. Prioritized topics and activities should therefore exhibit one or more of the following criteria:

- Provides strategic and/or operational value to the CIF community by informing future decisions on critical areas of work.
- Provides important learning for the wider climate finance sector.
- Has potential for catalytic influence in a program, sector, technology, market, region or institution; and
- Has sufficient CIF experience or broader sector experience base to draw upon.

4.3 Key objectives

41. Through consultations with CIF stakeholders and the Advisory Group, and building on the experience in Phase 1, three main **objectives** have emerged for FY20-22:

- 1) Application of learning in countries and institutions
- 2) New evidence generated in priority areas
- 3) Collaboration and partnerships for climate finance impact

42. The first objective highlights the need to prioritize dissemination and uptake of lessons from existing E&L studies in MDBs, countries and others in climate finance. Activities include: developing practical tools, guidance and thematic syntheses based on findings from the transformational change reports and

other studies to enable more operational application; systematically sharing knowledge generated by E&L reports through a variety of online and in-person modalities, reaching broader and more diverse audiences; and developing deeper strategic learning engagements with countries and institutions to contextualize findings to specific challenges or opportunities, and help shape new initiatives, programs and policies.

43. The second objective involves undertaking new evaluations and learning studies to be commissioned as part of Phase 2, covering select priority themes and topics (see below). These studies aim to generate new evidence that is relevant and timely for climate finance practitioners and decision-makers, both in the CIF and externally. The anticipated activities distinguish between larger, independent evaluations and smaller learning reviews, both encompassing a variety of approaches and methods. The focus throughout will be on producing forward-looking learning that is applicable to new strategies and investments. Based on learning from Phase 1, fewer and more strategic studies will be prioritized to allow for deeper levels of engagement and quality assurance, and less stakeholder fatigue.

44. The third objective encompasses a range of inclusive and collaborative partnership approaches that will be applied across all activities. These build on a current foundation of strong collaboration and include partnering with CIF entities and others to build joint learning and apply lessons, including strategic use of a Call for Proposals modality for some new studies or demand-driven learning uptake activities; facilitating learning partnerships, communities or working groups building on the TCLP experience; and partnering with external organizations or initiatives to leverage ongoing work and engage in key networks. Specific activities within each objective are referred to below in Sections 4.4 and 4.5.

4.4 Priority learning themes, topics and activities

45. The following three **priority learning themes** for Phase 2 emerged from stakeholder consultations and the work of the Advisory Group, as well as Phase 1 experience:

1. Transformational change
2. Mobilizing private sector through concessional finance
3. Development impacts of climate finance

46. These themes are inherently interrelated, and new program or sector-specific studies may include elements of multiple themes. Within all themes, the focus will first be on the dissemination and practical application of existing learning in these areas from current E&L studies. The implementation of new studies will be based on a clear value proposition and ability to inform strategic and operational decisions. Gender and inclusivity considerations will be integrated as cross-cutting principles across all activities, in addition to receiving specific attention under the third theme below. Each theme is discussed briefly below, with indicative FY20 activities presented in Section 4.5.

1. Transformational change

47. Transformational change is central to CIF's mission and wider goals to support developing countries to adapt to climate change and contribute to global mitigation efforts. The work of the TCLP, and related studies completed in 2019, advanced understanding and knowledge on this important topic, delivered a dynamic multi-stakeholder learning platform, and informed the broader field of climate finance. The theme remains highly relevant, with stakeholders interested in advancing the analytical and conceptual work on transformational change and systems perspectives, broader dissemination of lessons to wider

audiences, and converting existing knowledge into more practical and operational tools and guidance. Enhanced country or thematic analyses, with increased use of quantitative data where feasible, will also be prioritized. Current momentum will be leveraged to continue joint learning and knowledge co-creation, building on the successful TCLP model.

Specific topics and activities prioritized within this theme include:

- Wider dissemination of findings from existing transformational change studies for broader learning across the climate and international development community.
- Development of tools and guidance to inform the design, tracking and assessment of projects or programs from a transformational change perspective.
- Deeper country and/or sector case studies and strategic engagements with institutions to advance knowledge and application of learning on transformational change.
- Clarification and refinement of the current transformational change concepts so that they are easily communicated in a user-friendly, accessible format for broader use.
- Establishing connections between transformational change learning and related efforts to support Nationally Determined Contributions (NDCs) and Paris Agreement targets.

2. Mobilizing private sector through concessional finance

48. Increased learning from CIF and MDB experience in mobilizing private capital through strategic use of concessional finance and other mechanisms is a high priority for stakeholders. This work will analyze more deeply the ways in which private finance was mobilized (or not) in CIF programs using various concessional tools, instruments and approaches, and in different contexts, with implications for future deployment. This includes analyzing various experiences and strategies for maximizing leverage ratios and wider market impact and minimizing crowding-out or other adverse effects. The BNEF study on concessional finance in CTF was one of the most impactful studies completed during Phase 1, and follow-on work which further analyze the effectiveness of different concessional tools and approaches in different types of renewable energy markets and sectors will be prioritized. The topic of private sector investment in adaptation and resilience is also a high priority area, and efforts will be made to learn from CIF experience in deploying various concessional tools and approaches for increased private sector resilience finance. Private sector investment in sustainable forests also remains a principle challenge, and a focus in Phase 2 will be to launch, disseminate and learn from existing E&L studies within this area that were initiated in Phase 1.¹⁹

Specific topics and activities prioritized within this theme include:

- Dissemination and application of lessons from existing E&L studies on private sector mobilization, including in the clean energy, forestry and climate resilience sectors.
- New study on the effectiveness of specific concessional tools, instruments, conditions and delivery models in CTF and SREP, with future implications, following on BNEF work.

¹⁹ This includes, for example, studies on financing forest enterprises in FIP (launched in May 2019), alternative financing models for private sector forestry in Africa (led by AfDB, due in June 2019) and fiscal incentives for attracting investment in forests (led by World Bank, due in October 2019).

- Analysis of private sector mobilization in adaptation and resilience, focusing on specific sub-sectors, regions or themes, to be determined with PPCR and other stakeholders.
- Assessing experience in leveraging private sector finance in challenging areas or regions, such as off-grid energy access and sustainable transport.

3. Development impacts of climate finance

49. This new priority theme surfaced strongly in stakeholder consultations and current studies, bringing together topics related to development outcomes supported by climate finance – such as jobs, poverty and gender equality – and related outcomes on social inclusion, equity and institutional strengthening. A deeper analysis of the socio-economic development contributions of CIF-supported climate finance projects and their relevance to wider national and global development agendas, including NDCs and the SDGs, will be prioritized. This builds on findings from the transformational change studies on anchoring climate programs within a broader narrative of development outcomes to garner support and enhance scale and sustainability. There is also high interest in analyzing CIF-supported technical assistance and institutional capacity-strengthening efforts, including strengthening national and sub-national institutional engagement, policy and regulatory work related to the enabling environment of investments, and local beneficiary group and community capacity strengthening. Analyzing innovation and collaboration within and among MDBs through climate finance has also been highlighted.

Specific topics and activities prioritized within this theme include:

- Completion and dissemination of current E&L studies on local stakeholder engagement, household resilience, forestry and welfare, gender, Indigenous Peoples and other areas linking climate vulnerability to poverty and development outcomes.
- Assessment of how CIF-provided climate finance contributes to national development objectives (jobs, poverty, growth, gender, etc.).
- Assessing and learning from CIF-supported technical assistance, policy support and institutional capacity-strengthening efforts across projects and at various levels.
- Analyzing specific climate/development links, such as poverty alleviation and ecological biodiversity in forests, energy access, and social inclusion, equity and engagement, including concepts related to a “just transition” and distribution of benefits.
- Analyses to assist MDBs in supporting country NDCs and wider Paris Agreement goals, and highlighting the connections to national development objectives and SDGs.

Program and sector-specific priority themes and topics

50. Several important sector-specific areas were also raised by stakeholders, which may be integrated in the above themes and activities, as feasible and relevant, or analyzed separately in subsequent Phase 2 work plans. As with other topics, the Initiative will be guided by the TFCs, Advisory Group, MDBs and others on which specific activities to pursue. Topics that can inform both future CIF programming directions and wider sector learning will be prioritized.

Specific topics and activities prioritized in this area include:

- A learning review on financing for sustainable transport, drawing on CIF and external experiences, including challenges and opportunities.
- A learning-oriented evaluation of SREP, assessing early implementation experience and emerging results, with potential analysis of specific areas such as mini-grids or private sector. This would likely take place in FY21; decisions on timing, scope and other areas will be based on further guidance and direction from the SREP Sub-committee.
- Targeted learning on the forests-agriculture nexus within a landscapes approach, drawing lessons from FIP, PPCR and others' work in these and other interrelated areas associated with various mitigation, resilience, land use and eco-systems goals.
- Pending confirmation of new programming directions, other areas may include urban climate change programming, renewable energy integration and energy storage systems, and/or other topics.

4.5 Indicative FY20 activities

51. The above overall priority themes, topics and approaches will be operationalized through annual work plans for the Initiative. This includes an initial FY20 work plan to be circulated subsequent to the TFCs' discussion and approval of this FY20-22 E&L Business Plan.

52. Table 4 below presents potential activities which may be prioritized within the FY20 work plan, building on the objectives and themes articulated in Sections 4.3 and 4.4. Overall in FY20, the Initiative is committed to undertaking at least 8-10 specific activities to promote application of learning (Objective 1), designing and initiating at least 3-4 new studies on priority themes (Objective 2), and engaging in 4-6 new collaborations and partnerships (Objective 3). These activities will be carried out together with MDBs and countries, including by engaging knowledge management, communications and operational teams within countries and institutions for broad dissemination and uptake, and through collaboration with other climate funds. The specific FY20 activities are illustrative or indicative at this time, to be confirmed and further scoped or elaborated upon according to guidance from the TFCs and additional consultations with relevant stakeholders.

Table 4: Indicative FY20 work plan activities

Objective	Learning Theme ²⁰
<i>Objective 1: Application of learning in countries and institutions</i>	
1. Disseminate relevant E&L lessons at regional program events, South-South exchanges and M&R workshops; deliver BBLs and other learning events in MDBs and countries.	All
2. Develop a set of deeper strategic engagements with countries or MDBs to integrate CIF/E&L lessons into new climate change action plans, strategies or financing facilities.	All
3. Share findings at major and/or sector-specific climate and development conferences.	All
4. Enable increased accessibility of E&L lessons through CIF website enhancements, interactive webinars, virtual communities/networks and other online modalities.	All
5. Develop, pilot and mainstream tools and guidance to further integrate transformational change perspectives in MDB/country project and program design and implementation.	TC
6. Explore integration of transformational change signals into optional, qualitative aspects of select CIF M&R toolkits, results reports and/or related analyses and learning activities.	TC
<i>Objective 2: New evidence generated on priority topics</i>	
1. Conduct deeper country/topical analyses on transformational change.	TC
2. Implement study on specific concessional finance approaches, tools and instruments used in key CTF and SREP markets, with a focus on relevance to future strategies and markets.	PS
3. Design and scope new study on private sector mobilization for adaptation and resilience in specific sub-sectors, thematic areas and/or regions.	PS
4. Initiate learning-focused evaluation of development outcomes in the CIF context, including jobs, growth, poverty, gender, youth, etc., and distribution of benefits.	DI
5. Design learning review documenting experiences with institutional strengthening approaches, such as technical assistance and capacity building, in select CIF programs.	DI
6. Conduct small learning review on financing for sustainable transport, analyzing CIF and external experiences including challenges and opportunities.	All
<i>Objective 3: Partnerships and collaboration for climate finance impact</i>	
1. Build on and establish new collaborations and partnerships with countries, MDBs and external stakeholders to apply learning and engage in new studies on priority topics.	All
2. Develop and test new tools, guidance or concepts on transformational change and other topics through TCLP and related multi-stakeholder communities of practice/working groups.	All
3. Engage with GCF Secretariat and IEU to share relevant E&L lessons with senior staff and specific operational teams and identify new areas for collaboration.	All
4. Engage in country-level and regional events or policy dialogues to share learning with key decision-makers in recipient and contributor countries (including possible Wilton Park event).	All
5. Co-organize an open conference/workshop on transformational change with NAMA Facility, GCF and GEF at the COP SB week in Bonn, Germany.	TC
6. Jointly develop learning products and facilitate sessions on transformational change at the Int'l Development Evaluation Association (IDEAS) conference with GCF, GEF and others.	TC

²⁰ This relates to themes in Section 4.4: TC=transformational change; PS=private sector/concessional finance; DI=development impacts. Many activities address multiple themes, which are interrelated. TC has more activities in FY20 to apply existing learning, however in later FYs activities on DI and PS themes will increase relative to TC.

4.6 Budget

54. An indicative budget for the proposed next three years of the Initiative, organized by main objective and year through FY22, is provided in Table 5 below. A more detailed FY20 budget will be provided in the FY20 work plan document, which will be circulated subsequent to the TFCs approval of this Business Plan.

Table 5: Indicative budget allocations, by objective and year²¹

Objective	FY20 (USD)	FY21 (USD)	FY22 (USD)	Total
1. Application of learning	\$600,000	\$600,000	\$400,000	\$1,600,000
2. New evidence on priority themes	\$1,200,000	\$1,200,000	\$200,000	\$2,600,000
3. Collaboration and partnerships	\$500,000	\$500,000	\$200,000	\$1,200,000
Other implementation support ²²	\$200,000	\$200,000	\$200,000	\$600,000
<i>Total</i>	\$2,500,000	\$2,500,000	\$1,000,000	\$6,000,000

55. This indicative budget assumes an overall resource allocation scenario of USD 6 million over three years (FY20-22), pending the TFCs' approval of this Business Plan and measures presented in the FY20 CIF Administrative Unit Business Plan. A lower or higher overall resource allocation scenario – for example, a change to USD 3 million or USD 9 million over three years – would result in significantly reduced or expanded activities, respectively, with proportional reductions or increases in budget allocations across each objective and year.

56. Generating new evidence on priority themes through new strategic evaluations and studies can be particularly costly, especially when country-level data collection and broader analysis are needed to adequately cover cross-cutting themes, topics and programs. Activities within Objective 2 are thus a cost driver in the budget. The ability to conduct additional new studies of sufficient breadth and depth would be greatly reduced in lower resource scenarios, and significantly expanded in higher resource scenarios. The development of new tools, guidance and customized strategic engagements for application of learning (Objective 1), and engagement in collaborative learning partnerships (Objective 3), also require significant resources. These activities would be similarly diminished or enhanced in lower or higher resourcing scenarios. Other implementation support consists of logistics and consultants for additional cross-cutting substantive and administrative work required to implement the activities of the Initiative.

4.7 Role of Advisory Group

57. The Advisory Group will continue to provide strategic guidance and oversight to the E&L Initiative throughout the duration of this Business Plan, building on the effectiveness of the current model. It will

²¹ The allocations in this table reflect indicative budget commitments in each fiscal year (FY). Due to the multi-year nature of many evaluation and learning contracts and activities, commitments allocated within one FY often result in activities which are sustained and completed in subsequent fiscal years. This leads to higher resource commitments in earlier years, when new studies or activities are initiated, and lower commitments in later years.

²² Costs to implement activities under Objectives 1-3, including individual consultants, implementing organizations and logistical costs, are included in yearly costs per objective. "Other implementation support" includes additional cross-cutting management, implementation, administrative and/or logistical support costs.

retain its representational nature by maintaining its current structure, which includes proportional representation of all major CIF stakeholder groups represented in the CIF governance structure²³.

58. Advisory Group members will continue to serve a two-year term with an option for renewal, subject to review and validation by their associated stakeholder groups as relevant. New nomination and selection processes will be held in FY20 as relevant. The Chair of the Advisory Group serves on a rotating basis, elected by members. More details on the role and scope of the Advisory Group are in the Advisory Group Terms of Reference (ToR) provided in Annex 3, which is largely consistent with the original ToR in the Phase 1 E&L Business Plan.

4.8 Management and reporting

59. The E&L Initiative will continue to be led by the Senior Evaluation and Learning Specialist in the CIF Administrative Unit. The Specialist will work together with the Advisory Group as well as colleagues in the CIF Administrative Unit and broader CIF community to coordinate and implement the Initiative, including the development and presentation of an annual work plan to the Joint Meeting of the CTF-SCF TFCs.

60. The CIF Administrative Unit will continue to provide annual reporting on the E&L Initiative to the TFCs on the delivery of each annual work plan in conjunction with the CIF Administrative Unit overall annual reporting and business planning process. Additional feedback will be gathered through ongoing stakeholder consultations and during the TFC meetings to inform and adapt the annual work plan approaches and activities. The Initiative is committed to continuing a practice of ongoing reflective learning, with the Advisory Group and other stakeholders, to ensure continued relevance, quality and impact of activities.

²³ The E&L Advisory Group consists of two representatives from recipient countries and one representative each from contributor countries, MDBs, Observers and CIF Administrative Unit, in addition to three external experts in evaluation, learning, climate change and/or climate finance.

5 Annexes

5.1 Annex 1: Summary of Stakeholder Consultations

This Annex summarizes the main takeaways from 41 E&L Phase 2 consultation interviews and workshop sessions, covering all major CIF stakeholder groups and over 100 individuals.

Table 1: Summary of Consulted Stakeholders

Type	Number of consultations	Institution/Country
Donor	6	Germany, Norway, Netherlands, Switzerland, UK BEIS, UK DfID
Recipient Country	8	Bangladesh, Brazil, India, Mexico, Niger, South Africa, Turkey, Zambia
MDB	12	AfDB, ADB, ADB Operations, EBRD, IDB, IDB Invest, IFC, World Bank Energy, World Bank FIP, World Bank PPCR, World Bank KM; joint MDB call
Observer	4	Transparency International, LEAD Pakistan, Live and Learn Cambodia; additional CIF Observers, Climate Action Network and Stakeholder Advisory Network committee members consulted at Asia regional event
Other Climate Funds	3	GCF Secretariat, GCF Independent Evaluation Unit (EIU), GEF Independent Evaluation Office (IEO)
CIF AU	6	CIF PPCR and FIP, CIF Energy, CIF Governance, CIF Comms, CIF Knowledge Cluster, Head of CIF
Multiple	2	Multiple institutions and countries consulted at TCLP workshop sessions and Advisory Group (AG) meeting
TOTAL	41 consultations completed involving 100+ individuals.	

1. Phase 1 (FY17-19): Reflecting on Successes and Challenges

What worked well

The success and influence of the E&L Initiative was evident to stakeholders. Three features were noted most widely as key to this success:

- A **collaborative, inclusive approach that featured extensive stakeholder engagement** (cited in at least 15 consultations²⁴), from determining priority themes to ongoing engagement in implementation. The uptake of the findings was found to be highly correlated with engagement of target audiences in design and implementation of studies.
- The **timing and strategic relevance of studies**, including cross-cutting thematic studies and Call for Proposals activities (cited in at least 12 consultations). The topics chosen addressed core knowledge gaps at various levels – local, regional, global. Questions answered through studies and the strategic timing of their release allowed them to inform critical decisions.

²⁴ These numbers are conservative approximations, as categorizing stakeholder inputs by theme can be qualitative and subjective, and themes are interrelated. Therefore, the phrase “at least” is used since inputs often related to multiple themes or questions in the consultations, however were not always captured quantitatively in the analysis.

- The guidance provided by the independent Advisory Group and the independence and quality of consultants conducting the evaluations led to **high quality and credibility of findings and reports** (cited in at least 8 consultations).

What could be improved

Three takeaways emerged with the highest frequency:

- **High volume of E&L activities created trade-offs**, as workloads had to be balanced by those managing, implementing or facilitating the activities (cited in at least 15 consultations). Fewer yet more strategic activities need to be pursued going forward.
- **Dissemination of studies could be more thorough**, including through implementation of the E&L engagement and uptake strategy (cited in at least 14 consultations).
- **High-level of findings in major cross cutting thematic reports** – transformational change and programmatic approach – made them difficult to inform sector or operational decisions (cited in 12 consultations). Conceptual frameworks developed were strong, but more emphasis is needed on practical guidance aimed at operationalizing learning.

Other areas identified included higher emphasis on country and institutional level learning, more clarity on the distinction between evaluations and learning studies, and greater use of quantitative information where feasible to supplement qualitative case study analysis.

2. Phase 2 (FY20-22): Summary of Suggested Themes, Principles and Approaches

Through the consultations three main **Phase 2 objectives** emerged, discussed further below:

- 1) Application of learning in countries and institutions**
- 2) New evidence generated in priority areas**
- 3) Collaboration and partnerships for climate finance impact**

The consultations coalesced around three main **Phase 2 learning themes** and topics:

Mobilizing private sector through concessional finance: This theme was widely stressed (cited in at least 28 consultations). The BNEF work on concessional finance was cited as one of the most useful studies in Phase 1; many would like to see related or follow-on analyses of this kind. More specific topics include:

- Effectiveness of specific concessional instruments, tools, policies, terms, conditions, or modalities (such as DPSPs), and how they address various risks and bottlenecks
- Current/future private finance flows and best use of concessional resources in markets
- Leveraging private sector in adaptation and resilience, by sectors, regions or themes
- Private sector finance in challenging areas (off-grid energy access, sustainable transport).

Transformational change: This theme was cited by many, in particular taking forward and building on work conducted in Phase 1 (cited in at least 14 consultations). This includes requests to disseminate and engage on findings; convert lessons into practical tools and guidance; deepen analyses at the country-

level for practical, operational-level learning; and further test or enrich the conceptual framework. Specific topics or activities include:

- Tools and guidance to inform design, tracking and assessment of projects or programs
- Deeper country-level case studies, with increased quantitative evidence
- Synthesis of relevance to specific sectors, such as urban, landscapes or infrastructure
- Further exploring the sustainability dimension, and systems change vs. scale models
- Application to MDB and country strategies to support NDCs and links to Paris Agreement

Development impacts of climate finance: This theme surfaced strongly (cited in at least 15 consultations), with topics related to development co-benefits and social inclusion, equity and “just transition”. Institutional capacity was also stressed, including analyses of technical assistance and capacity-building for institutional strengthening, policy and regulatory work, and local beneficiary/community capacity. Innovation in MDBs and experience with collaborative climate finance platforms was also raised. Specific topics include:

- Analyzing development co-benefits of CIF projects (jobs, poverty, growth, gender, etc.)
- Linking support to NDCs and Paris goals to national development objectives and SDGs
- Specific climate/development linkages, such as poverty-forests and energy access
- Deepened exploration of social inclusion and engagement, such as gender and youth
- Citizen and CSO productive engagement in climate agenda, including a “just transition”
- Assessing technical assistance, policy and capacity-building efforts across projects

Other program or sector-specific topic areas: Several other topics relating to specific programs or sectors were mentioned by multiple stakeholders. These topics include: lessons on sustainable transport; evaluation of SREP; mini-grids lessons to date; evaluation of geothermal sector support; landscapes and agriculture-forestry nexus; forest governance and land tenure; urban climate programming; and energy storage and grid integration.

Key principles and approaches that emerged through the consultations include:

- **Collaborate for success:** be strategic, opportunistic and timely. Leverage existing partnership opportunities, platforms and events (cited in at least 18 consultations). Create synergies with ongoing MDB, country and multilateral initiatives.
- **Customize and contextualize around specific themes to make more ‘practical’:** Greater granularity per sectoral and geographical contexts is needed to ensure that learning is operationally relevant (cited in at least 17 consultations). Development of guidelines, checklists, country case studies, thematic synthesis, interactive tools, etc., would make frameworks or recommendations easier to apply to projects and programs.
- **Focus on the future:** Prioritize topics based on potential future programming areas of the CIF and future of climate finance more broadly (cited in at least 14 consultations). Situate and contextualize the findings in broader market context, including future trajectories.
- **Clarify and distinguish independent evaluations from learning studies** as these are different in scope, purpose and implementation (cited in at least 8 consultations).
- **Time engagements to pivotal future decisions**, where possible, to make studies and activities operational relevant (cited in at least 6 consultations).

- **Engage with additional stakeholders** including more operational teams and country or institutional leadership where possible to ensure uptake (cited in at least 5 consultations).

Specific suggested activities and tools by objective

Objective 1: Application of learning in countries and institutions

- **Systematically share knowledge:** Share findings and lessons more widely (cited in at least 19 consultations), leveraging existing South-South exchanges, regional meetings on specific issues/themes, and global climate finance events, in partnership with other stakeholders.
- **Develop deeper strategic engagements:** Deeper engagements on specific themes will allow targeted audiences to delve deeper into concepts and enhance the ability of converting knowledge into practice (cited in at least 11 consultations).
- **Develop practical tools and thematic syntheses:** Resonating strongly with stakeholders (cited in at least 10 consultations), these include operational guidance notes, checklists, learning modules, or thematic/country-level syntheses briefs and other resources for decision-makers and practitioners to help translate evidence and lessons into action.

Objective 2: New evidence generated in priority areas (themes and activities noted above)

Objective 3: Collaboration and partnership for climate finance impact

- **Develop partnerships that are co-led with others and have a broader focus than CIF:** These include with MDBs, countries and other climate funds, and leveraging and aligning with existing partnerships, programs, and events, such as at the UNFCCC COPs, MDB events and others. Partnering with broader networks including private sector conveners; well-known academics; CSOs; and different public sector actors was also raised.
- **Increase country-level engagement in learning partnerships** to focus on highly relevant strategic issues and practical operational issues related to country priorities.
- **Explore in-person and virtual options.** Learning partnerships are typically effective when they involve meaningful in-person collaboration. However, virtual outreach and engagement activities can have rapid global reach at lower cost. Both should be explored.
- **Use partnerships to develop and test tools and guidance:** An additional idea was to use learning partnerships or working groups for development of new tools and guidance.

5.2 Annex 2: Guiding Principles for Evaluation and Learning

- 1) **Strategic:** Responds to priority learning areas and knowledge gaps as articulated by users, addressing areas with strong potential for evidence-based learning and catalytic influence.
- 2) **Fit-for-purpose:** Approaches and methods are driven by users and intended uses, respond to learning questions and needs, and are tailored to unique evaluation and learning contexts.
- 3) **Learning-oriented:** Learning activities build on established research and best practices for effective individual and organizational learning; evaluation approaches emphasize learning.
- 4) **Applied:** Practical orientation and applied focus to inform actions and decisions; learning is shared widely in targeted and dynamic ways to stimulate dialogue and inform action.
- 5) **Collaborative and participatory:** Participatory approaches and collaborative partnerships are pursued to facilitate relevance and adoption of lessons among priority users;
- 6) **Inclusive and gender-responsive:** Evaluation and learning activities include analysis of gender dimensions and issues affecting vulnerable or marginalized populations.²⁵
- 7) **Innovative:** Utilizes and explores both established and innovative approaches and methods; quality and rigor are pursued in both quantitative and qualitative approaches.
- 8) **Timely and cost-effective:** Produces early results and learning within a reasonable timeframe (e.g., 6-18 months); demonstrates cost-effectiveness and resource efficiency.
- 9) **Ethical:** High ethical standards and practices are planned and carried out, including cultural sensitivity and respect for the dignity, privacy, and agency of individuals and groups.
- 10) **Supports local knowledge and capacity:** Local stakeholders, knowledge, and expertise are engaged, supported, and leveraged.

²⁵ This includes “human rights, the right to health, the rights of indigenous peoples, local communities, migrants, children, persons with disabilities and people in vulnerable situations and the right to development, as well as gender equality, empowerment of women and intergenerational equity.” UNFCCC/CP/2015/L.9. December 2015.

5.3 Annex 3: Terms of Reference for E&L Advisory Group

<p>Purpose:</p>	<ul style="list-style-type: none"> ▪ To advise the Senior Evaluation and Learning Specialist in the CIF Administrative Unit, CIF management, and the CIF Core MDB Committee on priorities and allocation of funds for evidence-based learning. ▪ To develop a business plan for evidence-based learning activities and provide on-going strategic advice and quality assurance for the work plan and strategy. ▪ To review and advise on specific proposed strands of work and to advice on funding priorities. ▪ To ensure that activities are strategic and support the achievement of the aims and objectives of the CIF. ▪ To enhance the quality and relevance of the work on evidence-based learning. ▪ To engage CIF Administrative Unit, MDB and Recipient Country teams on integrating evidence-based learning activities into the CIF portfolio of work, thereby promoting collaboration, learning and knowledge exchange amongst the MDBs, but also with other parties.
<p>Scope</p>	<ul style="list-style-type: none"> ▪ CIF-wide, covering evaluation and learning activities related to all four CIF programs, including related sub-programs.
<p>Audience</p>	<ul style="list-style-type: none"> ▪ CIF Senior Evaluation and Learning Specialist ▪ CIF Administrative Unit management and program/thematic teams ▪ Core MDB Committee and focal point teams ▪ Recipient country focal point teams and stakeholders ▪ CTF and SCF Trust Fund Committee and Sub-committee members
<p>Structure</p>	<ul style="list-style-type: none"> ▪ Advisory Group members will be nominated and approved by constituent groups, as applicable, for an initial two-year term and an option to renew for a third year; ▪ Advisory Group members represent their own perspectives and do not purport to represent the views of the full set of stakeholders within their constituent groups; however at times they may be requested to communicate or consult with others on the activities of the Advisory Group and E&L Initiative. ▪ The Advisory Group will be chaired by a member of the Group nominated by the other Group members. The Senior Evaluation and Learning Specialist is not eligible to chair the Group; ▪ Independent experts are compensated for their participation; other members receive travel and subsistence only. ▪ The Senior Evaluation and Learning Specialist, with additional support from CIF Administrative Unit, will act as the secretariat of the Advisory Group.

<p>Frequency and organization of meetings</p>	<ul style="list-style-type: none"> ▪ At least two in-person, full-day meetings per year; the remaining work will be done virtually. ▪ The Advisory Group may be requested to provide inputs in electronic format.
<p>Membership</p>	<ul style="list-style-type: none"> ▪ Nine individuals with expertise in learning, evaluation, and/or program implementation in CIF or related climate finance context; they should also have the stature to provide peer-level insights. Specific membership includes: <ul style="list-style-type: none"> ▪ Two members from recipient countries; ▪ One member from a donor country; ▪ One member from an MDB; ▪ One member from the CIF observers, ▪ One member from the CIF Administrative Unit (the Senior Evaluation and Learning Specialist); ▪ Three external experts in the fields of climate change, climate finance, evaluation, and/or learning who are not affiliated with the CIF or the MDB independent evaluation offices.
<p>Conflict of interest policy</p>	<ul style="list-style-type: none"> ▪ Independent experts cannot be considered as a consultant to or a grantee of the CIF as this would potentially bias their advice.
<p>Decision making</p>	<ul style="list-style-type: none"> ▪ The Advisory Group will work very closely with the Senior Evaluation and Learning Specialist and, in consultation with the CIF Administrative Unit and Core MDB committee, develop a two-to-three year strategic business plan and provide guidance on subsequent annual work plans and budgets. ▪ The Senior Evaluation and Learning Specialist, supported by the Advisory Group, will present and propose this business plan to the Trust Fund Committee and subsequently develop a corresponding work plan and budget consistent with the approved business plan. ▪ Once the overarching strategic business plan and work plan are approved by the Trust Fund Committee, the Senior Evaluation and Learning Specialist, supported by the CIF Administrative Unit and Core MDB committee, would be responsible for delivering the work plan. ▪ The Advisory Group will continue to inform the strategic direction of the annual work plans and quality-assure key deliverables. The group will work collaboratively with the CIF Administrative Unit and Core MDB Committee.

5.4 Annex 4: Detailed Budget Reporting on FY17-19

Table 7: Budget commitments for Phase 1 (FY17-19) E&L activities

E&L studies/activities and implementing organization(s)	Budget	Completion
<i>Transformational Change</i>	(USD)	
Transformational Change Learning Partnership (TCLP) ²⁶ Phase 1 (2017) <i>Community Science with Ross Strategic and Emerald Network</i>	\$800,000	December 2017
Transformational Change Learning Partnership (TCLP) Phase 2 (2018-2019) <i>Consensus Building Institute (CBI - lead), with participation from Itad and ODI</i>	\$764,000	May 2019
Evaluation of Transformational Change in the Climate Investment Funds <i>Itad</i>	\$722,500	January 2019
Evidence Synthesis of Transformational Change in the Climate Investment Funds <i>Overseas Development Institute (ODI)</i>	\$354,250	January 2019
Assessment of approaches, methods, and tools for program and project design that facilitate transformational change <i>Asian Development Bank (ADB) and Inter-American Development Bank (IDB)</i>	\$195,000	May 2019
Building transformative adaptive capacity: Assessing the potential contribution of PPCR to build a climate-resilient water governance framework in Bolivia <i>Inter-American Development Bank (IDB)</i>	\$100,000	June 2019
Evaluating role of leadership in transformational change in PPCR in Asia-Pacific region <i>LEAD Pakistan</i>	\$135,000	July 2019
Evidence gap map and systematic review of transformational change (literature-based) <i>Center for Evaluation and Development (C4ED), with GCF Independent Evaluation Unit</i>	\$50,000	December 2019
<i>Private Sector Investment</i>		
Private Sector and Concessional Finance in Renewable Energy		
Effectiveness of public finance in attracting private capital in grid-connected solar <i>World Bank</i>	\$150,000	June 2019
The role of concessional financing provided through Clean Technology Fund to overcome investments barriers and help scale-up low carbon technologies <i>Bloomberg New Energy Finance (BNEF)</i>	\$130,000	March 2019
Scaling up rooftop solar in the SME sector in India <i>CIF AU/Deloitte</i>	\$100,000	April 2019
Private Sector in Forests		
Learning Review on Financing Forest-related Enterprises <i>International Institute for Environment and Development (IIED)/ LTS International</i>	\$285,000	May 2019
Evaluation of private sector investment models for commercial forestry in Africa <i>African Development Bank (AfDB)/World Wildlife Fund (WWF)</i>	\$130,000	June 2019
Fiscal Incentives for Decreasing Deforestation <i>World Bank</i>	\$150,000	October 2019

²⁶ TCLP costs in Phase 1 and 2 include contracts with implementing organizations and individual consultants, participation by recipient countries and Observers in 5 TCLP workshops, and other administrative/logistical costs. In Phase 1, costs included analytical work (conceptual framework, portfolio review and evaluation design). In Phase 2, analytical work was mostly conducted through separate contracts for the evaluation and evidence synthesis.

E&L studies/activities and implementing organizations (cont.)	Budget	Completion
Private Sector in Climate Resilience	(USD)	
Saint Lucia's experience: private sector participation in response to climate change <i>Gov't of St. Lucia, Environmental Governance Consulting</i>	\$70,200	July 2019
Local Stakeholder Engagement & Benefit		
Participation and Impact		
Evaluation of Local Stakeholder Engagement in the CIF <i>Consensus Building Institute (CBI)</i>	\$256,750	September 2019
Local stakeholder engagement and benefit in Cambodia: Case studies of PPCR and SREP <i>Live and Learn Cambodia</i>	\$150,000	June 2019
Exploring methodologies to measure household climate resilience in vulnerable countries and communities - Zambia <i>World Bank</i>	\$150,000	September 2019
Bringing evidence of FIP contribution to welfare improvements <i>World Bank</i>	\$150,000	August 2019
Indigenous Peoples		
Learning Review of the Dedicated Grant Mechanism (DGM) for Indigenous Peoples and Local Communities in the Forest Investment Program (FIP) <i>Itad</i>	\$230,000	January 2019
Achieving transformational change through the DGM – an Indigenous lens <i>Maori and Indigenous Governance Centre, University of Waikato</i>	\$120,000	July 2019
Gender		
Building an evidence base on private sector investments supporting gender-sensitive climate resilience development in Tajikistan <i>European Bank for Reconstruction and Development (EBRD)</i>	\$150,000	June 2019
Social identity framing to get Mexican Rural Women 'REDDY' for participation in natural resource management <i>World Bank, CONAFOR</i>	\$110,000	August 2019
Evaluation of the inclusion of women and gender-related groups, organizations and beneficiaries in the design and implementation of CIF investments <i>Women and Environment Development Organization (WEDO)</i>	\$120,000	July 2019
Climate Change and Health		
Climate change and health in Sub-Saharan Africa: The case of Uganda <i>Gov't of Uganda, Climate Change Adaptation and Innovation</i>	\$50,000	June 2019
CIF Design and Approach		
CIF Programmatic Approach		
Evaluation of the CIF Programmatic Approach <i>ICF International</i>	\$454,000	October 2018
Forest Investment Approaches		
The Story of the FIP – Taking Root in International Climate Finance and Branching out to Sustainable Development <i>World Bank</i>	\$50,000	June 2019
Climate Resilience Approaches		
PPCR knowledge briefs on resilience microfinance and water resources management <i>Oxford Policy Management</i>	\$200,000	November 2018

E&L studies/activities and implementing organizations (cont.)	Budget	Completion
Evaluating operational pathways used for modernizing National Hydrological and Meteorological Organizations for weather, water and climate services <i>World Bank</i>	\$150,000	September 2019
Evaluation of sustainable land management and innovative financing to enhance climate resilience and food security in Bhutan <i>Bhutan Trust Fund for Environmental Conservation</i>	\$150,000	June 2019
Complementarity of Climate Funds		
Maximizing synergy and complementary among International Climate Funds: Evidence, challenges and opportunities <i>CIF AU, GCF and Arepo Consult</i>	\$135,000	July 2019
Other implementation costs		
Advisory Group meetings and engagements	\$90,000	
Additional implementation support for studies and activities	\$403,130	
Communications, dissemination and learning uptake	\$270,000	
Travel for field visits, meetings, workshops, etc.	\$77,300	
Total	\$7,602,130	