

# CLIMATE INVESTMENT FUNDS

Joint CTF-SCF.17/6  
May 9, 2017

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Joint Meeting of the CTF and SCF Trust Fund Committees  
Washington, DC  
June 7, 2017

Agenda Item 6

**Evaluation and Learning Special Initiative  
FY17 Annual Report and FY18 Work Plan**

**PROPOSED DECISION**

The joint meeting of the CTF and SCF Trust Fund Committees reviewed the document Joint CTF-SCF.17/6, *Evaluation and Learning Special Initiative FY17 Annual Report and FY18 Work Plan*, and welcomes the progress on implementing the initiative in FY17 and plans for FY18.

The joint meeting provided feedback and comments on the work plan, which would be incorporated as the work plan is implemented.

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## 1. Introduction and Background

1. The Climate Investment Funds (CIF) were founded in 2008 to serve, in part, as a learning laboratory for scaled-up climate finance, with the ability to learn lessons that would inform both the CIF and the broader international climate finance architecture. The importance of the CIF's learning objectives has been widely acknowledged, and a number of activities aimed at generating and applying learning have been undertaken or are underway.
2. 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 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 at different levels, including the project, program, thematic, and portfolio/fund levels. The purpose of this work is:
  - To capture evidence and lessons on an ongoing basis so that 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.
3. 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 the 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 that was approved by the Joint CTF-SCF Trust Fund Committee (TFC) in June 2016.
4. 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.
5. This document provides the first Annual Report of the E&L Initiative, highlighting progress and results to date on the FY17 Work Plan, as well as a Work Plan and budget for FY18. In FY18, the initiative will seek to build upon the foundations laid in FY17 and immerse in full

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

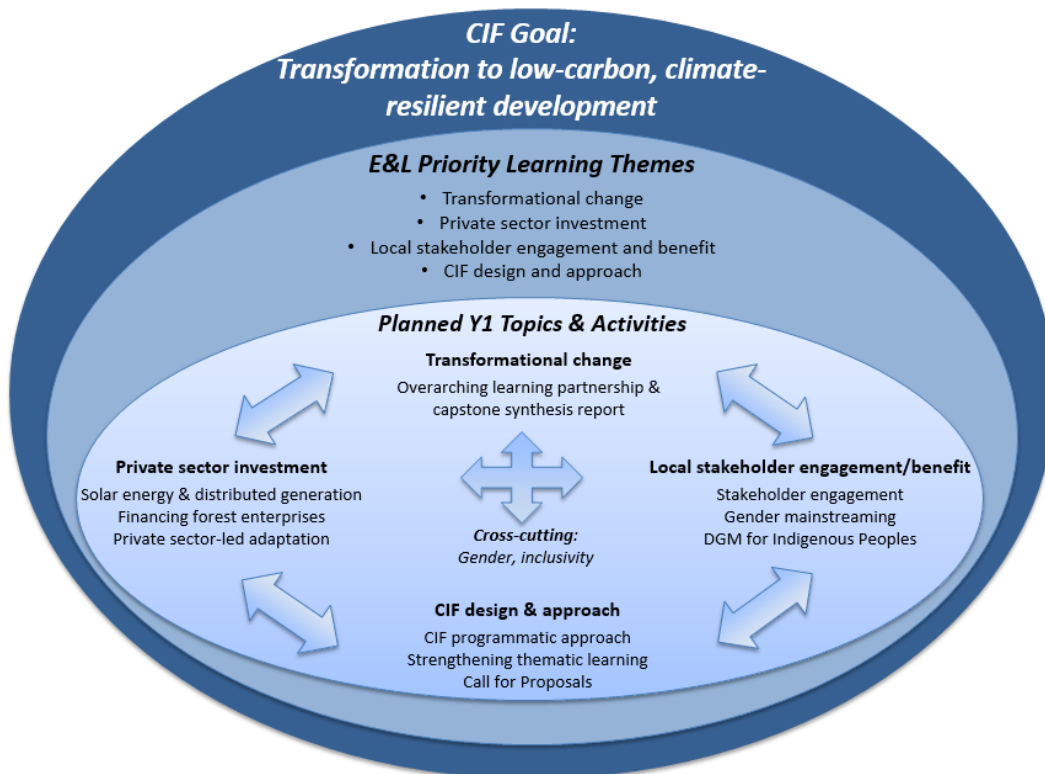
<sup>2</sup> Fiscal Year (FY) refers to the period beginning July 1 each year to June 30 of the following year. This is in line with the World Bank fiscal year structure.

implementation of a range of E&L activities, generating learning to inform strategic discussions. The initiative is also focused on further integrating with and building upon the wider CIF knowledge and learning approach and activities articulated in the CIF Administrative Unit FY18 Business Plan, highlighting the maturation of the CIF portfolio and further positioning the CIF as a learning and knowledge laboratory for scaled-up climate finance.

## 2. Summary of Priority Learning Themes

6. Highlights of progress in FY17 and plans for FY18 related to each priority learning theme are presented in Figure 1. These audience-driven topics emerged as learning priorities based on consultations with a range of CIF stakeholders leading up to the Business Plan, and remain highly relevant. Most E&L activities align with multiple, if not all, 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 knowledge and learning activities that fall outside of the E&L Initiative but are relevant to the learning themes are also highlighted, as synergizing collective efforts to address these themes is a focus in FY18.

**Figure 1: Planned E&L Initiative Year One (FY17) Work Plan activities**



## 2.1. Transformational change

7. Transformational change is the overarching goal of the CIF and the main priority for the E&L Initiative, based on the overwhelming focus on this topic through initial and ongoing stakeholder consultations. As such, it permeates all of the other priority learning themes and associated topics and activities. An extensive approach paper for this theme, including background literature and an evaluation and learning plan, was developed and presented at a side session to the TFC meeting in December 2016. This event also featured lessons from evaluating transformational engagements in the World Bank Group, presented by lead staff from the World Bank's Independent Evaluation Group (IEG).
8. A Transformational Change Learning Partnership was recently formed consisting of 20-30 CIF stakeholders and external actors (including senior staff from the Green Climate Fund (GCF) and Global Environment Facility (GEF)). It serves as a core learning community to co-develop and test definitions and theories of change for transformational change in the CIF context. This includes a first learning workshop in June 2017 in addition to virtual exchanges and follow up workshops. The group is also working with evaluators to co-design and inform a portfolio review and evaluative research, and will help interpret early findings and their relevance for the CIF and externally. This ensures that the activity is audience-driven and grounded in operational realities. Key deliverables from this activity in FY18 include additional learning workshops, theories of change on transformational change in the CIF, a portfolio review, deep dive research reports, and initiation of a capstone synthesis report summarizing the available evidence on transformational change and makes recommendations for future action. This report will be available by December 2018, with early learning dissemination and engagement planned throughout FY18.
9. The E&L Initiative engaged in a thorough and competitive selection process to partner with cutting-edge evaluation and learning experts to undertake the work on transformational change. The selected consortium of firms and experts represent several of the current global thought leaders in evaluation of complex systems change, as well as leading expertise in facilitation of group learning processes, theory-driven evaluation, and evaluation and learning in the international climate finance context. This consortium leads the facilitation of the learning partnership and is conducting the portfolio review and deep dive evaluative research.
10. Given the overarching, cross-cutting nature of the transformational change theme, several other E&L activities are helping to contribute learning on this topic. An evaluation of the CIF programmatic approach launched in FY17 will assess potentially transformative aspects of this primary delivery modality. Evaluations of forest financing, local stakeholder engagement, and the Dedicated Grant Mechanism for Indigenous Peoples and Local Communities (DGM) will help to assess potential for transformative impact in these areas. Finally, many of the activities emanating from the E&L Call for Proposals (explained in further detail in Section 3) – from measuring household resilience in the Pilot Program for

Climate Resilience (PPCR), to assessing effectiveness of various financial instruments in crowding in private sector resources for renewable energy in the Clean Technology Fund (CTF) and Scaling Up Renewable Energy in Low Income Countries Program (SREP), to documenting lessons from the first cohort of Forest Investment Plan (FIP) investment plans and projects – will contribute to the knowledge base on transformational change.

11. Other CIF Administrative Unit teams and MDBs are also planning knowledge and learning activities in FY18 that will complement E&L activities on transformational change. For example, the CIF Monitoring and Reporting team is overseeing impact evaluations on FIP and PPCR projects, in collaboration with the Development Impact Evaluation (DIME) team at the World Bank, as well as case studies and increased qualitative results reporting on potentially transformative processes and impacts. Pilot country meetings for the PPCR and FIP will increasingly focus on evidence and learning on transformational change in specific thematic or sector areas, building on evidence from the E&L Initiative and other efforts. ADB is planning an activity to document successes, challenges and lessons learned in CIF efforts to empower transformation to low-carbon technologies in Asia and the Pacific. The CTF is facilitating South-South learning exchanges on concentrated solar power (CSP), geothermal and energy efficiency which will help contribute to understanding of transformation in these areas. These activities will be discussed within, and in some cases informed by, the E&L Initiative's Transformational Change Learning Partnership, and will be reflected in the capstone synthesis report.

## **2.2. Private sector investment**

12. The extent to which CIF investments and approaches help to leverage additional private sector investment in climate change mitigation and adaptation activities is being explored in various ways. The Transformational Change Learning Partnership includes a strong focus on CIF contributions to market transformations – interpreted here as the creation of viable commercially-oriented markets – in key sector, country and regional contexts. Additional resources are allocated in FY18 for deep dive analyses of this kind in renewable energy markets and potentially other areas. An evaluation of models and approaches for financing forest-related enterprises in the FIP, with a particular focus on private sector enterprises of various types and sizes, was launched in FY17 and will deliver results throughout FY18.
13. The E&L Call for Proposals yielded several activities focusing on the private sector investment theme. For example, effective models and approaches for financing private sector adaptation in PPCR is being explored through an evaluation implemented by EBRD in Tajikistan. The World Bank Clean Energy Team is exploring the role of key financial instruments – including concessional loans, contingency grants and risk mitigation guarantees – in leveraging private sector resources for renewable energy. The World Bank FIP Focal Point Team is assessing the potential of incentive mechanisms for private sector investment in productive forests, building on lessons from FIP country experience. All of these evaluations will yield important learning on the private sector theme in FY18.

14. Additional activities within the CIF Administrative Unit and MDBs are helping to deliver learning in this area and complementing efforts in the E&L Initiative. For instance, a CIF-led knowledge product on private sector adaptation provided one of the first in-depth and comprehensive landscape analyses of this important area. The EBRD evaluation in Tajikistan funded under the Call for Proposals builds on this analysis with a country-specific case study. The CTF knowledge exchanges on CSP, geothermal and energy efficiency will also provide important learning on the private sector theme. Within the SREP, AfDB is studying innovative financial solutions to scale up clean cook stoves in Africa. These and other activities will help feed into the transformational change capstone synthesis report from a market transformation and private sector perspective.

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

15. Initial progress was made in FY17 on developing an approach paper for evaluating local stakeholder engagement in the CIF context, including a multi-pronged approach consisting of an overarching evaluation as well as smaller, more targeted E&L activities on specific related topics. This activity will be further developed and implemented in early FY18, ensuring the participation of a broad spectrum of stakeholders in its design and implementation in line with audience-driven E&L principles.

16. Several E&L activities initiated in FY17 and planned for FY18 are analyzing various dimensions of the local stakeholders theme. For example, the Transformational Change Learning Partnership is assessing potential CIF contributions towards transformative impacts for local stakeholders along a variety of dimensions, from institutional and policy change to livelihoods opportunities. The effectiveness of local stakeholder engagement processes will also be assessed within the context of the programmatic approach evaluation. In FY17 the initiative planned an important evaluation and learning activity with DGM country stakeholders, with the aim of generating lessons from this unique program for the FIP, Strategic Climate Fund (SCF) and other funds. This activity will yield early results and learning in FY18.

17. The Call for Proposals also yielded demand-driven E&L activities on the theme of local stakeholder engagement and benefit. For example, an activity submitted by Live and Learn Cambodia, a CSO Observer in SREP and a CSO implementing organization in PPCR Cambodia, is assessing the experience of CSO involvement in CIF programs and extracting relevant lessons for other country contexts. An activity led by the World Bank PPCR Focal Point Team is measuring changes in local household resilience as a result of a community adaptation project in Zambia. This team is also assessing the extent to which hydro-meteorological data and climate information services interventions can be strengthened to promote increased operational use by local governments and communities.



18. Gender analyses and considerations were mainstreamed in E&L activities launched in FY17, in line with the E&L Guiding Principles in the Business Plan. This includes focused studies – such as the EBRD-led analysis assessing gender mainstreaming in private sector adaptation activities in the PPCR in Tajikistan – as well as integration in larger activities, such as assessing how the CIF may have contributed to gender transformative change in institutions, policies, livelihoods and other dimensions through the Transformational Change Learning Partnership. This work will continue in FY18, helping to inform as well as learn from the wider analytical work program of the CIF Phase II Gender Action Plan. For example, a planned gender and forests learning event will contribute important lessons in areas such as women’s role in forest governance, value chains and enterprises. Similarly, the FY17 study on gender and renewable energy offers lessons that can be captured in the transformational change synthesis.
19. E&L activities will continue to build synergies with other CIF Administrative Unit and MDB activities on the local stakeholder engagement theme in FY18. For example, the E&L local stakeholder evaluation planned for FY18 will leverage planned stakeholder engagement meetings in the FIP and other programs. The initiative will also seek to engage with and learn from a World Bank Independent Evaluation Group (IEG) activity assessing citizen engagement in the World Bank Group context. The DIME impact studies will help to assess concrete changes and benefits at the local level. There are opportunities to leverage the expertise and activities of the newly created CIF Stakeholders Advisory Network (SAN) as it seeks to fulfill its mandate related to knowledge and learning. These opportunities will be explored, for example, through the E&L Call for Proposals and engagement in the wider stakeholder engagement evaluation.

#### **2.4. CIF design and approach**

20. The CIF programmatic approach – a unique, core facet of the CIF business model – emerged as a top priority for the E&L Initiative to evaluate in the context of assessing the CIF Design and Approach learning theme. An evaluation of the CIF programmatic approach was launched in FY17. A Terms of Reference for this key activity was developed with broad input from a range of CIF stakeholders, and a firm was selected to undertake the work. This activity is now in the inception phase and poised to deliver important learning by December 2017, with a final report in February 2018. It engages all four CIF programs and various contexts, exploring the progress, results, key lessons, opportunities and constraints posed by this unique facet of the CIF implementation model. The programmatic approach evaluation intersects with other learning themes by assessing how implementation of this approach helps (or potentially inhibits) contributions to transformational change, private sector investment, and local stakeholder engagement and benefit.
21. Facilitating South-South knowledge exchange is also a key component of the CIF model and approach. The E&L Initiative supported the evaluation and strengthening of regional PPCR knowledge exchange events in the Asia-Pacific and Africa through interviews with participants regarding their experiences and the extent to which they are applying lessons

learned through the exchanges in their daily work. This pilot approach will be applied to other CIF learning events in FY18. A PPCR learning partner is being contracted to continue this work in the lead-up to the PPCR Pilot Country Meeting in FY18, and expand it to include an online Community of Practice for country, MDB and other practitioners, as well as conduct rapid-response evaluations based on group learning priorities.

22. Demand-driven activities generated through the Call for Proposals also focus on the CIF design and approach theme as specific to each program. For example, the Government of Uganda PPCR Focal Point Team, with local partners in Makerere University, are evaluating how knowledge of climate variability impacts on health could be further integrated in national monitoring systems and mainstreamed in PPCR projects as key dimension of climate resilience, offering lessons for both Uganda and the PPCR approach in other pilot countries and MDBs. An assessment of lessons learned from implementation of the first cohort of FIP Investment Plans is being carried out by the World Bank FIP Focal Point Team. The choice and application of financing instruments critical to the CIF value proposition are being explored in the context of private sector 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 in different ways through Call for Proposal activities as well as through the Transformational Change Learning Partnership.
23. The CIF Administrative Unit and MDBs are also undertaking a variety of activities in FY18 that will leverage or complement E&L activities on the theme of CIF design and approach. Central to these is continued strategy and design work on CTF 2.0. Lessons from the transformational change and programmatic approach evaluations, among others, will explicitly feed into these design discussions and decisions. A strategic paper on financing for the FIP will draw upon evidence generated from the evaluation of financing forest enterprises and the Call for Proposals activities on incentive mechanisms and learning from FIP investment plans. The PPCR learning partner, along with evidence from several Call for Proposal activities, can help to inform discussions on scaling up effective strategies in PPCR. The E&L Initiative will continue to coordinate and build synergies with these and other efforts.

### **3. FY17 Progress and Results**

24. The Year One (FY17) Work Plan identified three primary objectives: i) Identify and carry out initial set of rapid-action opportunities; ii) Develop and implement strategic approaches for priority learning themes; and iii) Consolidate engagement strategies and implementation mechanisms. This section describes overall progress against these specific objectives, building upon the summary of priority learning themes in Section 2 with greater detail on processes and progress of implementation.

25. The initiative committed to fulfilling these objectives through two primary implementation mechanisms: i) a Call for Proposals to generate demand-driven E&L activities submitted and carried out by MDBs, recipient countries and Observers, and ii) a set of cross-cutting, strategic E&L activities focused on the priority learning themes. Activities carried out were to include evaluations of projects or clusters of projects; evaluations of programs or major themes; ongoing evaluation and learning partnerships; knowledge exchange activities; and smaller evaluative or support activities.

**Objective 1: Identify and carry out initial set of rapid-action opportunities (Call for Proposals)**

26. Among the first actions implemented in FY17 was a Call for Proposals to identify demand-driven, rapid-action opportunities that align with E&L priority learning themes and guiding principles. The initial Call for Proposals window was opened from September to December 2016. It successfully engaged a range of CIF implementing entities and stakeholder groups, generating 11 evaluation and learning proposals from MDBs, recipient countries and Observers. Proposals covered all four CIF programs and addressed various topics relating to the four priority learning themes, and often included significant levels of co-financing. Advisory Group members reviewed all proposals against established criteria, including the extent to which they met the learning priorities, strategic relevance criteria and cross-cutting principles articulated in the Business Plan. Nine proposals were designated to receive funding, highlighted in Table 1. These activities are now under implementation and are poised to deliver important learning throughout FY18 and beyond.

**Table 1: Approved E&L proposals from MDBs, recipient countries and CSOs**

<b>Evaluation &amp; Learning Proposal Name</b>	<b>Submitting Entity</b>
Exploring Methodologies to Measure Household Climate Resilience in Vulnerable Countries and Communities	World Bank PPCR Focal Point Team
Climate Change and Health in Sub-Saharan Africa (CHASA): the Case of Uganda	Government of Uganda PPCR Focal Point Team
Local Stakeholder Engagement and Benefits under CIF Investment in Cambodia: Case studies of PPCR and SREP	Live and Learn Cambodia, FIP CSO Observer and PPCR Cambodia Implementing CSO
How do grants, concessional funding and guarantee instruments help leverage private sector financing for renewable energy projects	World Bank CTF and SREP Focal Point Team
Building an Evidence Base on Private Sector Investments Supporting Gender-sensitive Climate Resilience Development	EBRD PPCR Focal Point Team
Evaluating operational pathways used for modernizing National Hydrological and Meteorological organizations and delivering weather, water and climate services in Mozambique, Nepal and Uruguay	World Bank PPCR Focal Point Team
FIP - Lessons Learned from Country Investment Plans	World Bank FIP Focal Point Team

Pathway for Designing a Mechanism to Incentivize Deforestation Free Landscapes and Value Chains for Green Growth – Experience from FIP and Beyond	World Bank FIP Focal Point Team
Evaluation of Sustainable Land Management (SLM) and innovative financing to enhance climate resilience and food security.	Government of Bhutan PPCR Focal Point Team

27. A second Call for Proposals window is being launched in late FY17, building upon the experience and lessons learned from the first round. In this round, the initiative will place increased emphasis on proposals which integrate with and contribute to the wider work on transformational change. It will also emphasize collaborative proposals engaging multiple CIF entities and stakeholder groups, as well as ensuring increased use of evaluative approaches and expertise and more proactive linking to wider strategic initiatives within MDB, recipient country and external contexts and networks.

**Objective 2: Develop and implement strategic approaches for priority learning themes**

28. Strategic, cross-cutting evaluations and learning partnerships were developed and initiated, as per the Year One Work Plan, related to the four priority learning themes. These include evaluations of transformational change, the CIF programmatic approach, financing forest-related enterprises, and the DGM in the FIP (see Section 2). Evaluation firms and think tanks have been contracted and are working with teams to plan and begin implementation of these evaluations. A summary of the status of these and other activities, with approximate timing of key deliverables, are reflected in Table 2.

**Table 2: Status of cross-cutting, strategic E&L activities**

Evaluation and Learning Topic/Activity	CIF Program	Current Status	Approximate Timing of Key Deliverables*
<u>Transformational change</u> : Evaluation and learning partnership, including theory of change, portfolio review, deep dive evaluative research and capstone synthesis report	PPCR, CTF, SREP, FIP	Inception phase: Approach paper and ToR finalized; evaluation firm contracted; learning partnership underway	Learning workshops: June 2017, Nov 2017, May 2018 Portfolio review summary: Dec 2017; Deep dive reports: May 2018; Capstone report: Dec 2018
<u>Programmatic approach</u> : Evaluation of the CIF programmatic approach in select countries and programs	PPCR, CTF, SREP, FIP	Inception phase: ToR finalized; evaluation firm contracted; evaluation underway	Initial findings: Dec 2017 Final report: Feb 2018
<u>Financing forest enterprises</u> : Evaluations of financing models for sustainable forest-related enterprises	FIP	Inception phase: ToR finalized; evaluation firm contracted; learning partnership underway	Initial findings: Dec 2017 Final report: Feb 2018
<u>DGM for Indigenous Peoples and Local Communities</u> : Lessons for FIP, SCF, and wider climate sector	FIP; PPCR, SREP	Firm selection: ToR finalized; selection of evaluation firm underway	Initial findings: Feb 2018 Final report: Jun 2018

<u>Strengthening thematic learning events and networks:</u> Evaluating and strengthening regional exchanges and South-South learning	PPCR; All	Activities underway: Consultant supporting PPCR events; selection of learning partner underway	Findings integrated into learning events in October 2016, March 2017 and September 2017.
<u>Local stakeholder engagement:</u> Evaluation of local stakeholder engagement and country coordination/ownership	PPCR, CTF, SREP, FIP	Scoping phase: Approach paper and ToR under development	Initial findings: June 2018 Final report: Dec 2018

\*Timing of deliverables may change based on Inception Phase. Smaller deliverables, including ongoing communications and early learning/summary briefs, will be delivered throughout the activities.

29. The Advisory Group reviewed Terms of Reference and Approach Papers for these activities, and engaged in scoping discussions with CIF stakeholders at the Advisory Group meetings in December. This advisory role will continue into implementation, with Advisory Group members actively involved in associated learning partnerships and reference groups, reviewing inception reports and draft findings, attending relevant events related to E&L activities, and continuing to guide high-level strategy.

30. Many of these activities and topics are inter-related, and the initiative will seek to build synergies with one another as well as with activities funded under the Call for Proposals. This will occur through, for example, cross-coordination meetings with the various evaluation teams and reference groups for each evaluation that share participating members. The transformational change capstone synthesis report will both inform and draw upon evidence from all E&L activities in its final report.

31. Three activities initially planned to commence in FY17 were put on hold for various reasons. It was decided that a potential evaluation of market transformation in solar and distributed energy should wait until the wider transformational change learning partnership was underway to ensure alignment and synergies with that effort. In particular, the planned portfolio review will help to identify and confirm areas for further in-depth evaluation with regards to market transformation in renewable energy and/or other sectors. Likewise, an evaluation of gender transformative change and institutional impact was postponed and instead will be built into and directly complement the wider work on transformational change. Finally, an evaluation of private sector adaptation activities was postponed to avoid duplication with an existing CIF knowledge product on this topic published in 2016. The Call for Proposals activities are also poised to generate learning on these topics, including through the activity led by EBRD in Tajikistan.

### **Objective 3: Consolidate engagement strategies and implementation mechanisms**

32. In the first year of the initiative, it was especially critical to engage CIF stakeholders in E&L activities to generate buy-in and set the foundation for evaluation and learning that is participatory, relevant and applied. It was similarly important to build integration and synergies among existing CIF units and initiatives. External engagement, in particular with the GCF, was also a high priority. Finally, the initiative worked to set up internal

implementation and coordination mechanisms to facilitate timely and quality delivery on an ambitious Work Plan. Several FY17 activities focused on achieving these aims.

33. The Advisory Group, consisting of representatives from all major CIF entities and stakeholder groups as well as external experts, continued to play a critical advisory and oversight role for the initiative. It held one in-person meeting alongside the TFC meetings in December 2016, in addition to bi-monthly conference calls and virtual reviews of key planning documents. It was particularly active in informing the initiative's Year One Work Plan, the E&L Call for Proposals (including review criteria and approval processes), providing feedback on Terms of Reference and Approach Papers, and participating in inception events and processes for E&L activities, including transformational change.
34. Various efforts were undertaken to ensure a demand-driven learning agenda. This included over 50 individual stakeholder consultations in the run-up to the Business Plan and Work Plan, as well as consultative workshops and side sessions at major CIF events. The Call for Proposals was an effort to recognize and leverage the experience, expertise and initiative present in CIF implementing institutions, empowering them to design and lead their own E&L activities responding to both institutional and CIF-wide learning needs. Consultations occurred on all of the strategic, cross-cutting evaluations with a range of CIF stakeholders. Ongoing engagement is being formalized through reference groups and learning partnerships consisting of representatives of key CIF stakeholder groups as well as external experts and practitioners. This is important for ensuring operationally-relevant and applied learning.
35. Within the CIF Administrative Unit, the initiative pursued high levels of coordination with program, Knowledge Management, Monitoring and Evaluation and thematic teams, building collaboration on key activities such as the programmatic approach evaluation and pilot country meetings. A more integrated knowledge and learning approach and strategy, building on these synergies, is articulated in the FY18 Business Plan.
36. An important mandate of the E&L Initiative is to build collaboration and share learning with the GCF, GEF and other relevant funds and practitioners. The CIF Senior Evaluation and Learning Specialist visited the GCF offices in Songdo, Korea in October 2016 to meet with all GCF departments and levels on strengthening collaboration on evaluation and learning. Relationships were built and commitments forged regarding the engagement of key GCF staff in the design and implementation of key E&L activities, including those on transformational change, the programmatic approach, and financing forest investments, among others. GCF staff will serve on learning partnerships and reference groups for these activities, so that learning questions and evaluation scope are designed from the beginning to inform GCF learning needs.
37. Multiple in-person and phone meetings occurred between the CIF Senior Evaluation and Learning Specialist and the newly appointed Head of the Independent Evaluation Unit at the GCF. Key lessons and approaches were shared as well as the CIF E&L priority learning themes and planned activities. Commitments to engage in shared learning through GCF

participation in CIF E&L activities were reinforced. A joint panel session with the GCF Head of Evaluation, GEF evaluation staff and a CIF Advisory Group member at the African Evaluation Association (AfrEA) conference in March 2017 also facilitated lessons sharing and openings for collaboration.

38. The initiative is also collaborating with the GEF Independent Evaluation Office (IEO) to undertake joint learning on common themes, including transformational change, private sector investment, local stakeholder engagement and gender as related to climate change mitigation and adaptation. For example, the CIF E&L Initiative and the GEF IEO jointly contributed to the first climate change evaluation strand at the AfrEA conference in March 2017, with two joint panel sessions including GCF, the Rockefeller Foundation and others. The E&L Initiative is likewise partnering with the GEF IEO to revitalize of the Climate-Eval Community of Practice through joint webinars, blogs and sharing and curating of knowledge content on these topics. GEF IEO representatives are also participating in the transformational change learning partnership.
39. Internal implementation mechanisms and related support were successfully piloted and consolidated in FY17. This includes structuring and rolling out the mechanisms cited, specifically the E&L Call for Proposals, strategic cross-cutting evaluations, and engagement efforts. Internal consultants were hired or extended to support these various implementation processes, including assistance with quality assurance and ongoing monitoring of Call for Proposals activities, evaluation background reviews and scoping, and various project management, outreach and coordination duties.

#### **4. FY18 Work Plan**

40. The FY18 Work Plan will build upon the first year's objectives and progress, focusing on the quality implementation of key activities as well as the generation, dissemination and application of early learning. This includes the following key objectives:

- Implement demand-driven activities through the E&L Call for Proposals;
- Deliver strategic, cross-cutting evaluations on priority learning themes; and
- Ensure value creation through effective engagement, dissemination and uptake.

Alongside these objectives, the initiative will continue to focus on stakeholder participation, effective management and communication processes, and increased synergies with other CIF knowledge and learning activities.

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

41. Activities developed through the initial Call for Proposals in FY17, presented in Table 2, will be further implemented and closely monitored throughout FY18, and will begin to yield important learnings for the CIF community and wider sector. All activities will have some form of early learning reported on through deliverables in FY18, and most will deliver final reports and learning events. Robust communications, dialogue and engagement

opportunities will accompany these early deliverables. Learning from these activities will be disseminated and discussed at relevant CIF events, including Trust Fund Committee and Sub-Committee meetings, pilot country meetings, and others, as well as at external forums. Importantly, they will complement the wider, cross-cutting evaluations by providing in-depth analyses of topics or case studies related to the broader priority learning themes. As such, findings will be integrated into these wider analyses and resulting synthesis products wherever feasible. Table 3 shows approved E&L activities with approximate deliverable timelines.

**Table 3: E&L activities from FY17 Call for Proposals with approximate FY18 deliverable timelines**

<b>Evaluation &amp; Learning Proposal Name</b>	<b>Submitting Entity</b>	<b>Approx. Timing of Deliverables</b>
Exploring Methodologies to Measure Household Climate Resilience in Vulnerable Countries and Communities	World Bank PPCR Focal Point Team	June 2018
Climate Change and Health in Sub-Saharan Africa (CHASA): the Case of Uganda	Government of Uganda PPCR Focal Point Team	December 2018
Local Stakeholder Engagement and Benefits under CIF Investment in Cambodia: Case studies of PPCR and SREP	Live and Learn Cambodia, FIP CSO Observer and PPCR Implementing CSO	June 2018
How do grants, concessional funding and guarantee instruments help leverage private sector financing for renewable energy projects	World Bank CTF and SREP Focal Point Team	January 2018
Building an Evidence Base on Private Sector Investments Supporting Gender-sensitive Climate Resilience Development	EBRD PPCR Focal Point Team	December 2017
Evaluating operational pathways used for modernizing National Hydrological and Meteorological organizations and delivering weather, water and climate services in Mozambique, Nepal and Uruguay	World Bank PPCR Focal Point Team	December 2017
FIP - Lessons Learned from Country Investment Plans	World Bank FIP Focal Point Team	September 2017
Pathway for Designing a Mechanism to Incentivize Deforestation Free Landscapes and Value Chains for Green Growth – Experience from FIP and Beyond	World Bank FIP Focal Point Team	June 2018
Evaluation of Sustainable Land Management (SLM) and innovative financing to enhance climate resilience and food security.	Government of Bhutan PPCR Focal Point Team	January 2018

42. A second Call for Proposals window, initiated in late FY17, will undergo review and approval processes for E&L activities to be funded and carried out in FY18. This will build on the successes and lessons from the initial round, providing additional opportunities for CIF implementing entities (and potentially others) to undertake strategic E&L activities that



meet the established criteria and align with the priority learning themes. Key points of emphasis in the new Call for Proposals window include:

- a. Ensure increased strategic alignment and integration with the wider work on transformational change, in addition to complementarities with work on other themes, through a portfolio management approach and coordination with evaluation teams.
- b. Incentivize greater collaboration amongst CIF entities and stakeholder groups in the submission of joint E&L proposals, through higher overall funding amounts provided to proposals which demonstrate such collaboration.
- c. More proactively engage evaluation and learning expertise in MDBs and recipient countries, to ensure quality and methodological rigor and expertise.
- d. Open the Call for Proposals to submissions from CIF focal point teams in implementing MDBs, recipient countries, Observers, and CIF Administrative Unit.
- e. Accelerate the review, feedback and approval process by involving the Advisory Group earlier to comment on the overall concept and design on the proposed E&L activities.

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

43. The implementation of strategic, cross-cutting evaluation and learning activities will ramp up during FY18. After completing the scoping, contracting and Inception Phase, evaluations and learning partnerships on the themes of Transformational Change in the CIF, the CIF Programmatic Approach, Financing Forest-related Enterprises, the DGM in the FIP, Strengthening Learning Networks and Events, and Local Stakeholder Engagement (see Table 2) will experience full implementation during FY18 and begin to yield important learning. This will include data collection and field work, the development of initial findings and final reports, and ongoing communications as well as learning events and dialogues to promote the dissemination and application of key lessons emanating from these efforts.
44. Additional smaller evaluations will be commissioned in FY18 to support the above activities through deeper topical, country or sector analyses. For example, additional, more specific work on market transformation in renewable energy, as well as gender transformative change, will be further developed to reinforce the wider transformational change learning partnership. Similarly, the work on local stakeholder engagement will include multiple E&L activities to assess and engage with this topic in different ways. The priority learning theme of CIF Design and Approach will also be further supported through in-depth case studies in partnership with the World Bank's Global Delivery Initiative and other evaluative activities. Finally, the second round of Call for Proposals will more explicitly link to and complement the wider work on transformational change and other themes. As noted in Section 2, the initiative will build synergies among E&L activities addressing the priority learning themes and other CIF knowledge, learning and strategy activities which can contribute to or be informed by E&L work. The full list of E&L activities and associated budgets planned for FY18 is presented in Section 3.

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

45. The initiative will continue to pursue multiple strategies for generating wide engagement of CIF stakeholders in E&L activities, from the co-design stage through implementation and interpretation of results. This includes implementing participatory learning partnerships and reference groups as highlighted above, with representation from all major CIF stakeholder groups, in addition to the Call for Proposals. The initiative will also maintain a visible presence at key CIF events to engage a wider group of stakeholders and disseminate learning. Alignment with wider CIF learning priorities and strategies, overall and within each program, will be maintained through close collaboration with CIF AU program and thematic teams as well as MDB and country focal points.
46. As noted in the CIF Administrative Unit FY18 Business Plan, implementation of E&L activities will unfold within a wider CIF knowledge and learning approach to help streamline complementarities and coherency around planning, engagement and implementation. Communications will also be increasingly coordinated and synchronized, including through a revamped CIF website providing a central portal and repository for all CIF knowledge and learning emanating from E&L and other activities.
47. Strong collaboration with GCF, GEF and others will continue, including engagement of staff from both funds in the strategic, cross-cutting evaluation and learning activities as well as joint efforts to share learning within respective funds and institutions, and with the wider sector through platforms such as the Climate-Eval Community of Practice and others. Potential joint activities and events are also being explored on topics of shared interest, particularly regarding measurement and learning on the priority theme of transformational change.
48. As E&L activities begin to yield early learning and results throughout FY18, dynamic communications, dissemination and uptake activities will be critical to fulfilling the mandate of producing learning that is relevant and applied. Both the Call for Proposals activities and the cross-cutting evaluations will deploy multiple strategies for communicating early learning, including blogs, summary briefs, webinars and social media outreach, in coordination with the CIF Administrative Unit's communications, knowledge management, program and thematic teams. CIF pilot country meetings, TFC meetings, thematic workshops, cross-visits, regional exchanges and other CIF events will be leveraged to engage a range of CIF stakeholders in evaluative findings and interpretation of results. The initiative will also participate in external networks and events relevant to specific thematic work. Evidence syntheses capturing preliminary findings for each learning theme will also be explored.
49. Beyond knowledge sharing, the initiative will work to turn knowledge creation into value addition through heightened engagement with CIF teams as learning is being produced. This entails working with select teams or entities, on a demand-driven basis, to deepen the

understanding of how knowledge and learning created via E&L activities can be practically applied to particular contexts. While this important follow-on work will be built into core E&L and CIF activities and budgets wherever possible, the initiative is also reserving specific funding allocations in the FY18 budget for this purpose in order to be able to respond appropriately when needs or opportunities of this nature arise. The initiative, in collaboration with CIF Knowledge Management staff, will use a portfolio management approach to track deliverables and outcomes, particularly the extent to which the initiative and other activities are achieving uptake and value addition through learning that is relevant and applied.

50. Additional collaborations will be pursued that have the potential to further leverage and spread knowledge produced by the E&L Initiative in the form of both smaller, bite-sized knowledge materials (e.g., short videos or knowledge notes) as well as more in-depth formats such as online courses and MOOCs. For example, a partnership with the World Bank Group's Open Learning Campus (OLC), an open-source learning and collaboration tool offering a range of learner-centric modalities with an effective track record of reaching recipient country stakeholders and other practitioners, will be explored in FY18. The CIF 10-year anniversary in 2018 also presents important opportunities for wide dissemination of learning emanating from the E&L Initiative in these and other formats.
51. The Advisory Group will continue to play a prominent role in overseeing and strategically advising the initiative in FY18. This will include at least one in-person meeting of the full group and bi-monthly conference calls to track progress and ensure overall strategic direction. Advisory Group members will also engage directly in select E&L activities, including reviewing Call for Proposals submissions for quality assurance and strategic alignment, participating in the transformational change learning partnership, serving as reference group members for key evaluations, and representing the initiative at key events.
52. Effective management and implementation of the range of E&L activities, particularly as they grow in size and scope in FY18, will require a robust team to continue to ensure quality design, implementation and monitoring of activities. An additional full time staff member in the CIF Administrative Unit, to support the wider CIF knowledge and learning work including the E&L Initiative, is being requested through the FY18 CIF AU Business Plan. Well-qualified short-term consultants will also continue to be leveraged to help with the implementation of the various activities of the initiative.

## **5. Budget**

53. The Year One (FY17) Work Plan denoted an overall implementation and budgeting strategy based on setting up and piloting partnerships and approaches in Year One, ramping up spending to scale successful approaches and major initiatives in Year Two, and maintaining these efforts while focusing on dissemination in Year Three (recognizing that the E&L Initiative is planned as a three-year initiative). This overall spending forecast is maintained in the FY18 Work Plan. However, it is important to note that due to UK currency exchange

rate fluctuations, an estimated USD 9 million allocation for the three-year E&L Initiative has been reduced to approximately USD 8 million at present. An updated three-year forecast is presented in Table 4.

**Table 4. Actual and Planned Estimated Budget Commitments and Disbursements Y1-Y3<sup>3</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) Estimated Budget	\$4,500,000	\$4,000,000
Y3 (FY19) Estimated Budget	\$400,000	\$2,000,000
	<b>\$8,000,000</b>	<b>\$8,000,000</b>

### 5.1. FY17 Budget commitments

54. In FY17, actual budget commitments broadly corresponded to what was planned in the Year One 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 general, the allocations reflect implementation of the three 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 FY17 are presented in Table 5, including explanation of variance.

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<sup>3</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.

**Table 5. Planned and actual FY17 budget commitments**

<b>Activity</b>	<b>Planned commitments (USD)</b>	<b>Actual commitments (USD)</b>	<b>Explanation of variance</b>
<u>Call for Proposals</u> : Activities generated through FY17 E&L Call for Proposals window (see Table 1)	\$1,000,000	\$1,250,000	Covers nine approved proposals from MDBs, recipient countries and CSO Observers.
<u>Transformational change</u> : Learning partnership including theory of change, portfolio review, deep dive evaluative research and capstone synthesis report	\$400,000	\$600,000	First phase expanded given prominence and importance of this work within the initiative.
<u>Programmatic approach</u> : Evaluation of the CIF programmatic approach in select countries and programs	\$250,000	\$400,000	Expanded to ensure coverage of all four CIF programs and multiple country contexts
<u>Financing forest enterprises</u> : Evaluations of financing models for sustainable forest-related enterprises	\$250,000	\$250,000	Initial budget maintained.
<u>DGM for Indigenous Peoples and Local Communities</u> : Lessons for FIP, SCF, and wider climate sector	\$150,000	\$200,000	Increased to include DGM country-level learning processes.
<u>Strengthening thematic learning events and networks</u> : Evaluating and strengthening regional exchanges and South-South learning	\$250,000	\$175,000	Evaluated and strengthened PPCR regional exchanges and learning platforms.
<u>Local stakeholder engagement</u> : Evaluation of local stakeholder engagement and country coordination/ownership	\$250,000	N/A	Initial scoping in FY17, will procure the work in FY18.
<u>Gender</u> : Evaluation of gender transformative change and institutional impact	\$150,000	N/A	Initial scoping in FY17, will integrate in transformational change work in FY18.
Evaluations and learning on market transformation in solar energy and distributed generation	\$350,000	N/A	Integrated into transformational change, with deep dives in FY18.
Evaluations of models for enhancing private sector engagement in climate adaptation	\$150,000	N/A	Postponed due to existing CIF AU knowledge product on this topic.
Small projects/events	\$150,000	\$35,000	Collaboration with GEF and GCF on Climate-Eval and AfrEA
Short-term consultants	\$150,000	\$190,000	Support for E&L implementation
<b>Total</b>	<b>\$3,500,000</b>	<b>\$3,100,000</b>	

## 5.2. FY18 Planned Estimated Budget Commitments

55. After focusing on the establishment of several key partnerships and implementation modalities in FY17, planned budget commitments are poised to ramp up further in FY18 as these approaches are scaled up. Estimated FY18 budget commitments are indicated in Table 6.

**Table 6. FY18 activities and planned estimated budget commitments**

<b>Activity</b>	<b>Estimated budget (USD)</b>	<b>Explanation</b>
<u>Call for Proposals</u> : New window open from May 2017, providing in-depth analyses to complement larger studies	\$1,400,000	Builds on lessons and successful experience of FY17 Call for Proposals to strategically complement cross-cutting evaluations
<u>Transformational change</u> : Learning partnership including theory of change, portfolio review, deep dive evaluative research and capstone synthesis report	\$1,500,000	Implementation and completion of deep dive evaluative research and capstone evidence synthesis report, including publication and dissemination.
<u>Financing forest enterprises</u> : Evaluations of financing models for sustainable forest-related enterprises	\$150,000	Second phase of this partnership to explore additional case studies and thematic areas, and dissemination.
<u>DGM for Indigenous Peoples and Local Communities</u> : Lessons for FIP, SCF, and wider climate sector	\$150,000	Continuation of DGM global and country-level evaluation and learning processes.
<u>Strengthening thematic learning events and networks</u> : Learning partner(s) to enhance South-South learning	\$150,000	Continuation of efforts to strengthen South-South exchanges and learning platforms in PPCR and other programs.
<u>Local stakeholder engagement</u> : Evaluation of local stakeholder engagement and country coordination/ownership	\$250,000	Builds on initial scoping in FY17, including overall study and various deep dives.
<u>Market transformation</u> : Select deep dive evaluations on market transformation in renewable energy and/or related topics	\$150,000	Analyses will either integrate with work on transformational change or be conducted as separate complementary deep dives.
<u>Gender</u> : Additional analyses and deep dives on gender transformative change	\$100,000	This will integrate with or complement the transformational change work.
<u>CIF design and approach</u> : Case studies to document innovative CIF approaches and delivery models in different contexts	\$70,000	Build on CIF AU partnership with Global Delivery Initiative (GDI) and/or others to document CIF approaches and experiences.
<u>Learning dissemination and uptake</u> : Communications, uptake and dissemination opportunities	\$280,000	Support for additional uptake activities, communications, and potential partnership with Open Learning Campus and/or others.
<u>External engagement</u> : Collaboration with GCF, GEF and others on joint activities, learning events and networks	\$150,000	Collaboration with GCF, GEF and others on potential joint activities, learning events and networks
<u>Implementation support</u> : Short-term consultants and small projects/events	\$150,000	Support for E&L implementation and small supporting activities or events
<b>Total</b>	<b>\$4,500,000</b>	

## **6. Reporting and Review**

56. 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, as well as a FY19 work plan, in conjunction with annual reporting and business planning process. Progress on the Year One 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: Criteria for Prioritizing Activities**

The following criteria, further described in the Business Plan<sup>4</sup>, were used to assess and prioritize activities in FY17 and will continue to be used in this fashion in FY18. All funded E&L activities must align with one or more priority learning theme, as well as integrating or mainstreaming others to the extent possible. Cross-cutting dimensions of gender, inclusivity, and other areas cited below will be included in all relevant activity designs and analyses.

### **1. Alignment with one or more of the four priority learning themes:**

- Transformational change;
- Private sector investment;
- Local stakeholder engagement and benefit;
- CIF design and approach.

As described in the Business Plan, there are significant interrelationships between these themes. These will be considered and explored in the respective activities, in addition to cross-cutting dimensions of gender and inclusivity.

### **2. Alignment with criteria for assessing opportunities:**

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

### **3. Alignment with cross-cutting principles:**

*Guiding Principles for Evaluation and Learning:*

- 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.
- 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.

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<sup>4</sup> See [Business Plan](#) pp. 11-16 on priority learning themes, pp. 16-17 on criteria for assessing opportunities, and pp. 8-9 on cross-cutting principles.



- iii. Learning-oriented: Learning activities build on established research and best practices for effective individual and organizational learning; evaluation approaches emphasize learning.
- iv. 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.
- v. Collaborative and participatory: Participatory approaches and collaborative partnerships are pursued to facilitate relevance and adoption of lessons among priority users;
- vi. Inclusive and gender-responsive: E&L activities include analysis of gender dimensions and issues affecting vulnerable or marginalized populations.<sup>5</sup>
- vii. Innovative: Utilizes and explores both established and innovative approaches and methods; quality and rigor are pursued in both quantitative and qualitative approaches.
- viii. Timely and cost-effective: Produces early results and learning within a reasonable timeframe (e.g., 6-18 months); demonstrates cost-effectiveness and resource efficiency.
- ix. 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.
- x. Supports local knowledge and capacity: Local stakeholders, knowledge, and expertise are engaged, supported, and leveraged.

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<sup>5</sup> 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.