

# CLIMATE INVESTMENT FUNDS

CTF-SCF/TFC.7/Inf.3  
October 24, 2011

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Joint Meeting of the CTF and SCF Trust Fund Committees  
Washington, D.C.  
November 3, 2011

## **REPORT ON SURVEY OF CIF PILOT COUNTRIES**

## I. INTRODUCTION

1. The Global Support Program (GSP) was established to promote training, build a community of practice and share lessons learned among pilot countries and regions. With a view to establishing a demand-driven service that responds to the needs expressed by pilot countries and regions, a survey was developed and distributed to pilot country representatives at the June 2011 pilot country meetings in Cape Town, South Africa.
2. Representatives received the survey three weeks in advance of the meetings and were asked to reflect on the challenges faced in the preparation of their investment plans as well as to anticipate those that will be faced during implementation.

### Objectives and structure of the survey

3. The survey was structured around two objectives. The first was to get a snapshot of the collective needs for support as well as to gather specific ideas for products or activities that would help to fill those needs (reports and analyses, workshops and trainings, tools, on-line seminars, etc). The second was to gather information about their information and communications technology capabilities. As follows, the survey had two sections:
4. **Section I enquired about substantive issues.** Participants were invited to rate the need for support (from no need to very high need) on areas such as finance and economics, monitoring and evaluation, knowledge management and lessons learned, social aspects of CIF investments, the private sector, and adaptation and mitigation technologies. They were also invited to provide concrete examples of analyses or information reviews, methodologies, tools, trainings for each area.
5. **Section II enquired about information technology available to pilot countries.** Participants were invited to provide information on information technology at their disposal, including the speed of internet and the availability of cameras, microphones and speakers. The specific objective of this section was, first, to assess whether support through on-line channels would be a feasible option and, second, to prepare recommendations for investment in information technology required for the implementation of investment plans, communication and knowledge sharing.

### Objectives and structure of the report

6. The objective of this report is not to present a statistical analysis of the survey results, but to present some of the good and innovative ideas for support that pilot country representatives have identified and which could be delivered by MDBs and the CIF Administrative Unit as part of their work programs.
7. The report focuses on the results of Section I of the survey.<sup>1</sup> The results section provides an overview of the areas where support appears to be in high demand. Select examples of

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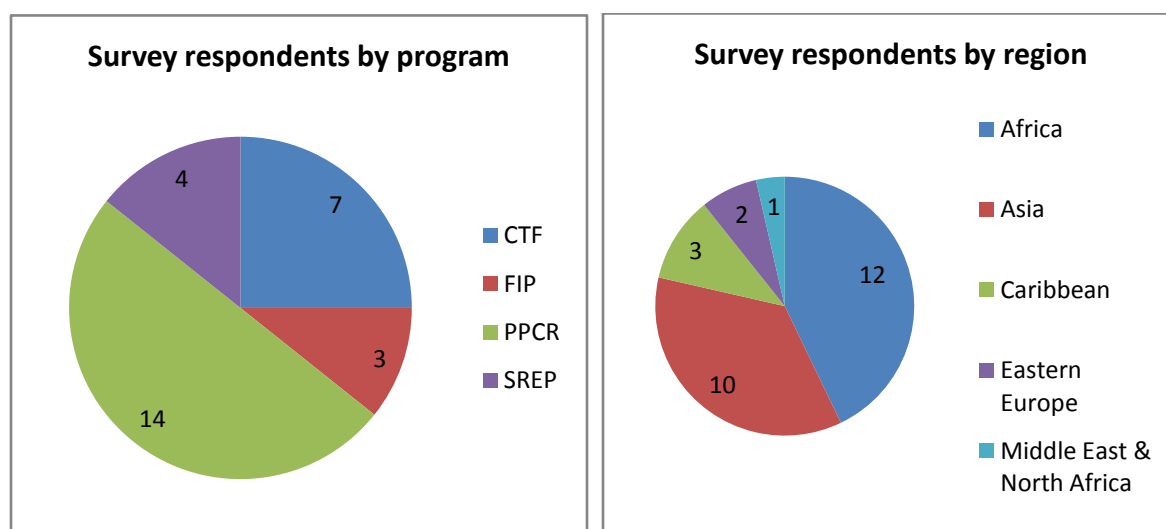
<sup>1</sup> A separate note will be prepared on Section II

products or activities that were suggested by respondents have been compiled and summarized as a basis for suggesting follow up actions.

## II. RESULTS

8. A total of 28 pilot country representatives responded to the survey. Participants were requested to return only one survey per country. Their distribution by program and region are as follows:

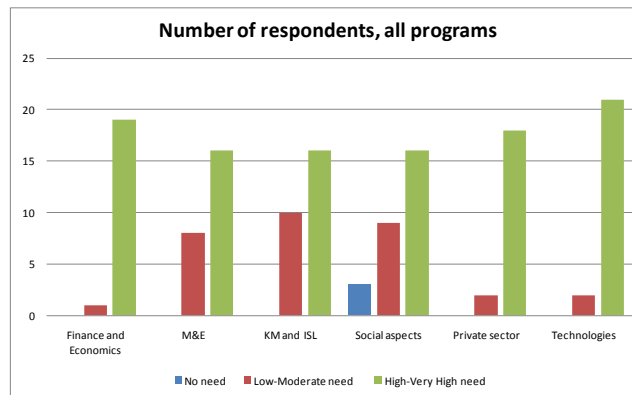
**Graph 1. Distribution of respondents by program and region**



### All programs:

9. Overall, responses to the survey showed that countries have strong needs for support on all cross-cutting issues identified in the survey. There were very consistent expressions of high need for support in the areas of finance and economics, adaptation and mitigation technologies, and the private sector (see Graph 2). It should be noted that there appears to have been some confusion with regards to what “finance and economics” meant in the survey, as some respondents interpreted this as enquiring their need for actual finance. Demand for support in monitoring and evaluation, knowledge management and lessons learning, and social aspects of CIF investments were less consistent, indicating that the need for support in these areas may vary more strongly by country, region, or program. Responses to the call for specific ideas on products that could be made available in each of these areas were naturally diverse, given the diversity of countries’ circumstances and needs, as well as the diversity of the professional responsibilities of the representatives themselves.

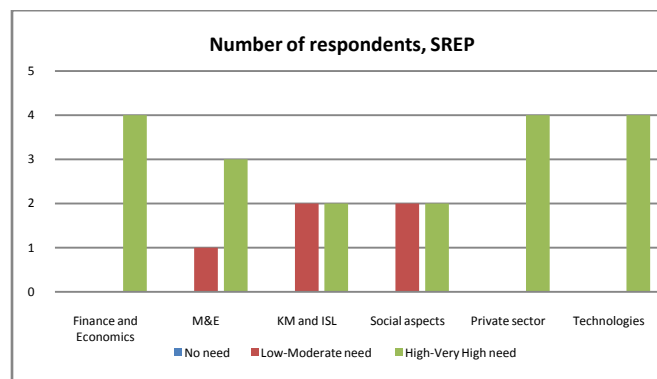
**Graph 2. Rating of need for support in different areas**



10. All responses are summarized in Annex I, including separate graphs for the distribution of responses by program and by region. The sub-sections below summarize responses on a program-by-program basis. MDBs interested in the answers provided for a specific region could refer to this Annex.

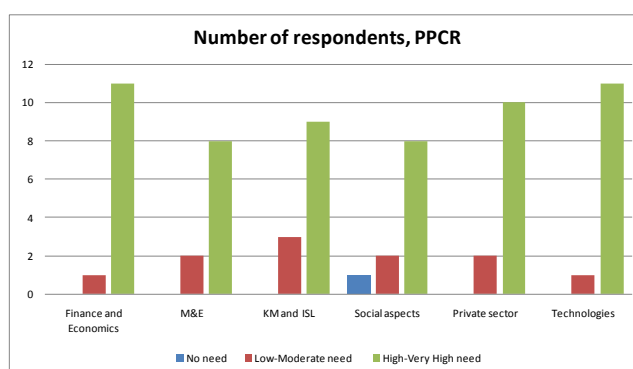
11. SREP: Graph 3 summarizes the responses by SREP pilot countries. Respondents conveyed a consistently strong interest in receiving further cross-cutting support in financial and economic tools, means to involve the private sector in scaling up renewable energy, and information on renewable energy technologies, including for adaptation. Several representatives also noted the need for support in the implementation of monitoring and evaluation systems.

**Graph 3. SREP rating of need for support in different areas**



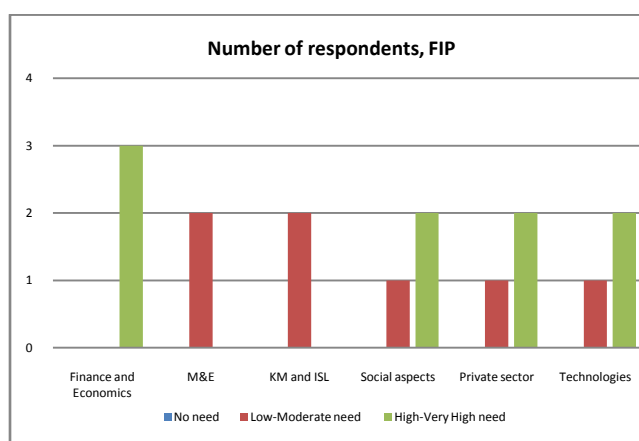
12. PPCR: Answers provided by representatives from the PPCR showed a strong need for support in a wide range of areas (see Graph 4). Most representatives noted a high to very high need for support in all evaluated areas including in economic and financial tools, means to involve the private sector in adaptation, information on adaptation technologies, implementation of monitoring and evaluation, implementation of knowledge management, and tools for social inclusion (though one respondent indicated there was no need for support on social issues).

**Graph 4. PPCR rating of needs for support in different areas**



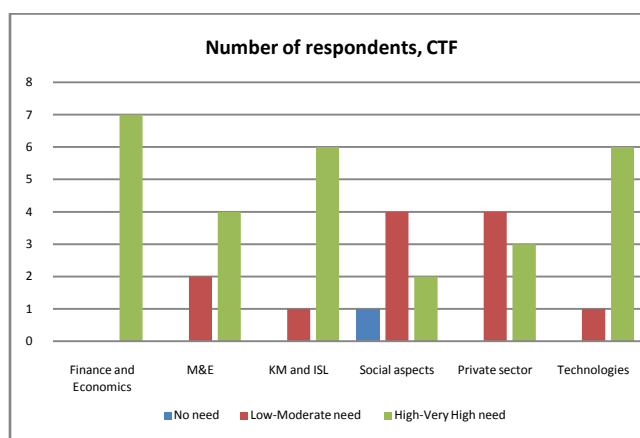
13. **FIP:** Overall FIP had the smallest number of respondents, as shown in Graph 1. Nonetheless, answers showed high demand for support on financial and economic tools (see Graph 5). The responses also indicated high demand in some countries for support on means to involve the private sector, information on adaptation and mitigation technologies, and tools for stakeholder participation. In each of those areas, some respondents indicated only a moderate need (not low). The respondents also indicated moderate need for support with the implementation of monitoring and evaluation and knowledge management framework and lessons learning.

**Graph 5. FIP rating of need for support in different areas**



14. **CTF:** Responses from CTF countries are summarized in Graph 6. A consistently high need was highlighted for support with financial and economic tools, information on mitigation technologies, and, interestingly, support in the implementation of knowledge management and lessons learning. Most respondents indicated a high need for support with the implementation of monitoring and evaluation, though some saw a moderate or low need for it. Most respondents indicated a high or moderate need for support with private sector issues, while few indicated a very high or low need. Most respondents expressed a moderate need for support on social issues, though two thought there was a high need and one saw no need for it.

**Graph 6. CTF rating of need for support in different areas**



### Suggestions for support products or activities

15. Representatives from countries were invited to provide ideas on products or activities which could address their needs. This exercise proved to be a very efficient way to enquire about support needs and also to identify interesting subjects on which targeted work could be undertaken. All the ideas proposed by the respondents have been compiled and harmonized and are presented in Annex II. Following is an overview of them:

16. Ideas for support on **finance and economics** were diverse, mostly program specific. Ideas applicable to all programs were limited to the use of cost benefit analysis techniques which account for positive and negative externalities, and best practices and mechanisms to leverage finance from the private sector. Representatives from PPCR countries suggested a wide range of topics including best practices in planning national and sectoral investment programs, decision making tools to support climate resilient investments, methods to evaluate climate risk of infrastructure and other investments, and various methods and toolkits for measuring and assessing the impact of adaptation actions. Representatives from the FIP suggested information on the development of template business plans for forestry and climate change investments, and for identifying and providing incentives and alternative livelihoods for communities that would be targeted in FIP interventions. Ideas from the CTF and the SREP included mechanisms to generate economies of scale for renewable energy deployment, avenues and plans for marketing renewable energy and energy efficiency technologies, and the development of databases with cost data for different renewable energy technologies based on actual project data.

17. On **monitoring and evaluation**, respondents across programs referred primarily to support for the establishment and implementation of results frameworks. Several ideas proposed related to the need to address gaps at the national level, for example, the establishment of systems and institutional arrangements to track performance of the different projects and how they contribute to achieving national results. There is interest in, for example, methods and best practices for evaluating the effectiveness of climate change policies as well as assessing the performance of projects vis-à-vis these policies. Respondents also identified concrete work on methods and methodologies to measure different indicators and establish baselines.

18. On **knowledge management and lessons learning**, ideas shared by country representatives related in most cases to the implementation of the knowledge management component of investment plans and strategies. Concrete examples included support in the establishment of knowledge management frameworks for the project and the investment plan levels as well as means and best practices to engage local, indigenous, and civil society stakeholders in the learning and knowledge sharing processes established under CIF investments.

19. Ideas on **social aspects** of CIF investments focused on the identification, engagement and continuous communication with stakeholders. These ideas were also mentioned during the pilot country meetings, where participants referred to their interest in continuing the national dialogue established during the design phase of investment plans throughout the implementation phase. Participants also noted the need for tools and methods to assess the positive and negative impacts of adaptation and mitigation activities as an input to developing investment plans with more robust social outcomes.

20. Answers provided on the **private sector** showed the great interests that pilot countries have in engaging more with this sector, with a view to leveraging and scaling-up climate change action. It is worth highlighting that a large number of ideas came from PPCR countries, who are interested in receiving support to identify opportunities for the private sector in adaptation. Specific suggestions focused on providing information and decision making tools to support private sector investment. Other concrete ideas included information on business opportunities and business models for both mitigation (both renewable energy and energy efficiency and through land use and land-use change), financial mechanisms and toolkits and, even more concrete, establishing micro-finance schemes for building the climate resilience of small farming households.

21. Proposed support topics on **adaptation and mitigation technologies** depended primarily on the country providing the answer. Overall, countries would like to receive support for the identification and assessment of the best technologies for a given country or locality, including comparisons of the costs and benefits of these technologies. Otherwise, proposals were as specific as a review of information on electric vehicles, large scale roof-top solar, efficient wood and biomass energy, climate resilient energy technologies and data management technologies.

### Key messages

22. As already noted, a complete list of the ideas and topics suggested by pilot country representatives is contained in Annex II. The previous section provides a snap shot of the ideas proposed by country representatives.

23. Proposals on monitoring and evaluation, knowledge management and, to some extent, social issues, indicate a perceived gap by countries with regards to coordinating the implementation of investment plans at the national level. National level implementation would include institutional arrangements, tools and financial resources linked to the activities selected by each country to keep track of their investment plans, maintain a national dialogue with stakeholders and gather and share lessons learned from experience.

24. The idea of country-level coordination of investment programs was discussed among MDBs prior to the pilot country meetings. A follow up conversation with countries was suggested to understand their needs and discuss their interest in this regard. At the all pilot country meeting, representatives from countries discussed in detail the role of governments and national institutions during the implementation phase of their plans, given the focus on projects and projects teams during this phase. These discussions revealed the great interest of countries in exploiting the capacity building opportunities emerging from active national institutions during implementation. It was generally agreed that this would enable public and private actors to better plan, prepare, implement and monitor investment plans and programs. In concrete terms, this could be made possible if MDBs liaise with countries to look at national level responsibilities such as coordination of progress, monitoring and evaluation, lessons learning and the continuation of a national dialogue around the investment plan or program. Some investment plans already include a coordination component, a number of them broad in nature, others restricted to a particular activity such as monitoring and evaluation or lessons learning. Nonetheless, there are further opportunities for support within investment plans and programs under preparation, as well as those that have already been approved but lack such elements.

25. A second message emerging from the surveys is the desire by countries to take ownership and gain expertise in the various analyses and assessments underlying their investment plans. National capacity could be strengthened if different actors (public and private) gain expertise in understanding the return on investments from the private and public perspectives. This would be achieved through the provision of access and training in the use of methodologies, models, and other tools for planning and for assessing the costs and benefits of alternative investments, together with the underlying data required. These activities could be synergistic with those described in the previous paragraphs given the governments' interest in evaluating the effects of the decisions taken at the level of the investment plan, including the objectives, projects, technologies and financial instruments.

26. A third message concerns information on available adaptation and mitigation technologies. Pilot country representatives stressed the desire to increase the knowledge base of public, private and other actors in their countries on available mitigation and adaptation technologies. They would generally like to enhance understanding of the factors that deem different technologies adequate and appropriate for national and local circumstances, and more specifically to increase their capacity to compare the indirect and direct costs and benefits of adopting them.

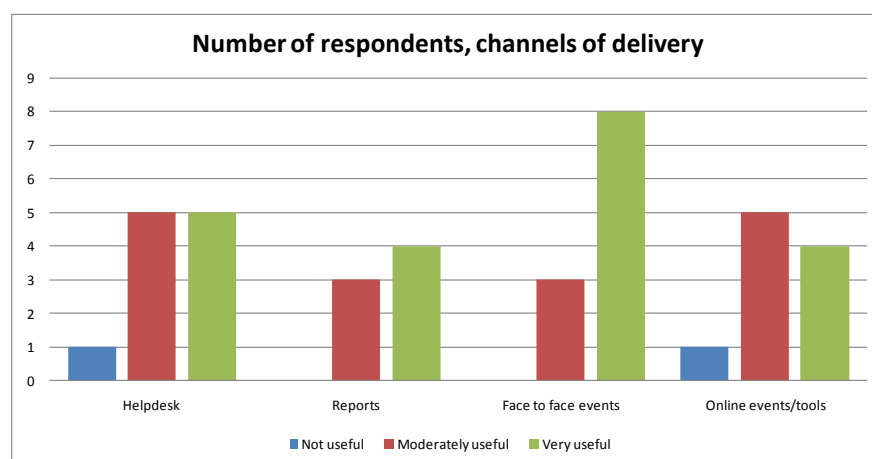
27. A final message concerns data access and management. Most country representatives noted the great gaps that their countries have with regards to data, the limited technologies to access and manage it, and the low level of human capacity to manage and analyze it. Countries from the PPCR have long voiced interest in receiving support with accessing climate and social data required for planning adaptation, and, lately, with communicating that information to private sector actors in order to incentivize their engagement in adaptation planning and investment. Other programs also see benefits in open access to data, for example on the costs of different technologies.



### Channels to deliver support

28. With the objective of understanding the most effective way to deliver support to countries, representatives from pilot countries were invited to rate the preference for different channels of delivery including a help desk service, reports and written documents, face to face events, including pilot country meetings and workshops, and online events and tools. A quick overview of responses revealed a preference for face-to-face events, followed by helpdesk services, written reports, and online tools and events (see Graph 6).

**Graph 5: Rating different channels of support**



29. It must be noted, however, that the level of response to this question was low. Answers from the few respondents that provided their views showed that representatives from the CTF and the FIP countries may have a preference for help desk services, while the SREP representatives may prefer face-to-face events and reports, and the PPCR representatives may prefer face to face events (see Annex III).

### **III. PROPOSALS FOR ACTION**

30. Information contained in the surveys and in this assessment will be used as an input to the Global Support Program's planning process. MDBs may also wish to make use of the information contained in this report to respond to the needs identified by some countries or regions.

31. On the basis of the summary of responses on the survey and building on some of the main issues discussed at the pilot country meetings, the following action is suggested:

- a) Focus upcoming pilot country meetings on national level implementation of investment plans, with an emphasis on monitoring and evaluation and knowledge management. It is further proposed that these meetings are turned into workshops where countries meet to receive input and exchange views on:

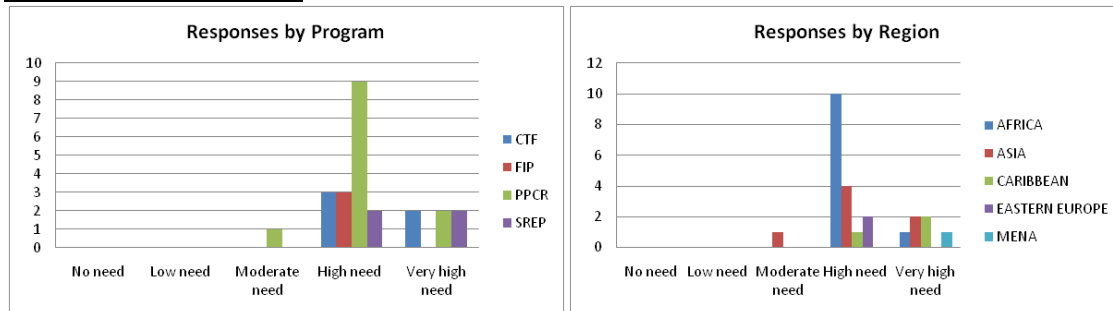
- i. institutional arrangements for national monitoring and evaluation as well as lessons learning;
  - ii. methods and methodologies for measuring results and reporting; and
  - iii. indicators at the project and national levels and linkages between them.
- b) Continue work to enhance the role of national institutions in the implementation of investment plans. Such work may, if appropriate, lead to the incorporation of a “country level component” which provides financial resources and technical assistance to governments to identify and implement activities such as general coordination and promotion of progress, national level monitoring and evaluation as well as lessons learning, and the continuation of the national dialogue on the investment plan. As appropriate, this component would become an integral part of an investment plan.
- c) Organize regular webinars focusing on the planning and development of investment plans and programs, to specifically share experiences and knowledge on the use and application of methods and methodologies underlying the different economic and financial analyses performed for these investment plans. The structure for these webinars would allow for case examples from each of the funds and programs.
- d) Incorporate into the existing website a place where different tools and methodologies could be linked, uploaded, and shared, including:
  - i. the sourcebook for implementing results frameworks which would include methodologies to measure and report different indicators
  - ii. financial management and analysis tools
  - iii. economic analysis tools
  - iv. social analysis, including gender
- e) Launch initiatives to share information and lessons learned using the country platform (CIFnet). The platform could be used in several ways to meet this objective by working directly with country teams to start providing content; inviting different people to blog on a particular topic and many others. In the shorter term, the use of the platform should be focused on adding the descriptive content of investment plans and projects. In the medium term, MDB partners should seek to work with country actors to generate lessons learned and use the platform for sharing all information generated.
- f) Explore alternatives, including linkages to existing sites, to support countries with data access and management focusing on two issues:
  - i. Climate data (past and current trends and future projections).
  - ii. A technology portal which compiles information on technologies for [adaptation and] mitigation, including costs.
- g) Develop a series of reports and background papers targeting specific needs. Some possible themes are listed below:

- i. Climate resilience:
  - 1. Assessment of available financial instruments for climate resilience applicable to the provincial and local levels.
  - 2. Review of climate resilient technologies for the energy sector.
  - 3. Review of methods to assess climate risk of infrastructure and other investments.
  - 4. Applicable micro-finance schemes to support small farmers in climate resilience.
- ii. Private sector:
  - 1. Mechanisms for scaling up the engagement of the private sector in adaptation.
  - 2. Review/analysis of business models for investments in forestry and climate change.
  - 3. Review/analysis of business models for investments in small scale renewable energy technologies.
  - 4. Avenues and plans for marketing renewable energy and energy efficiency technologies.
  - 5. Review of case studies on public-private partnerships to promote research and development of climate change technologies.
- iii. Other:
  - 1. Assessment of available financial instruments for mitigation applicable to the provincial and local levels.
  - 2. Analysis of incentives for various stakeholders to actively participate in the conservation and sustainable use of forests.
  - 3. A review of the positive externalities of investments in mitigation and adaptation.
  - 4. Review of specific technologies (wood/biomass energy, electric vehicles, roof top solar).

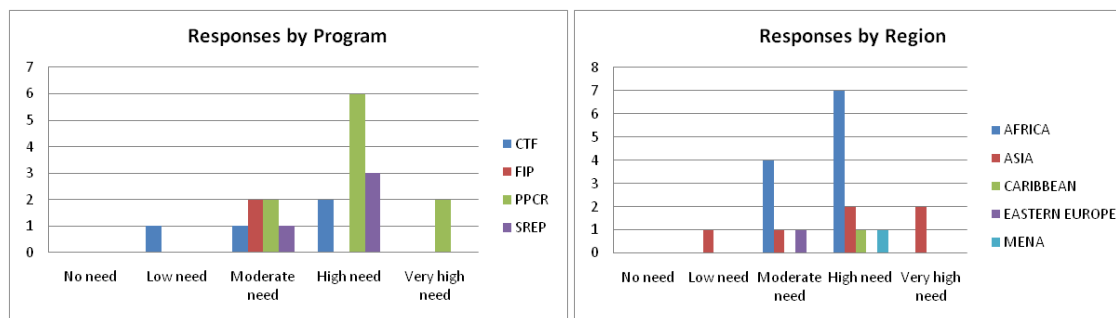
## Annex I: Rating the need for technical support

1. The following graphs summarize the answers provided by pilot country representatives on the rating of the need for support in different areas:

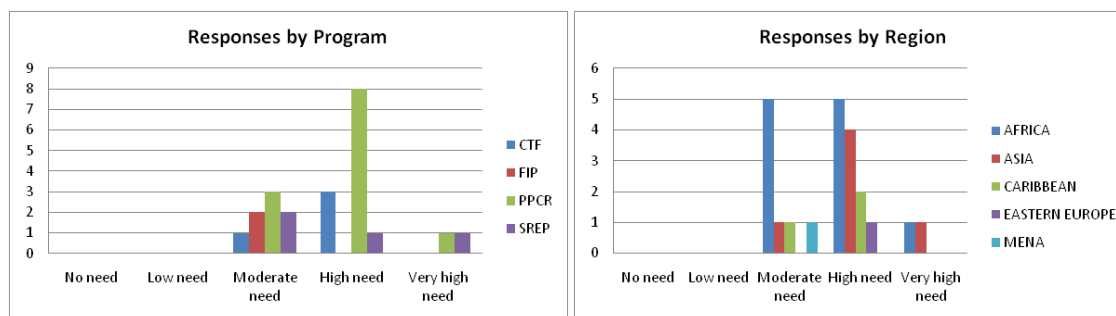
### Finance & Economics



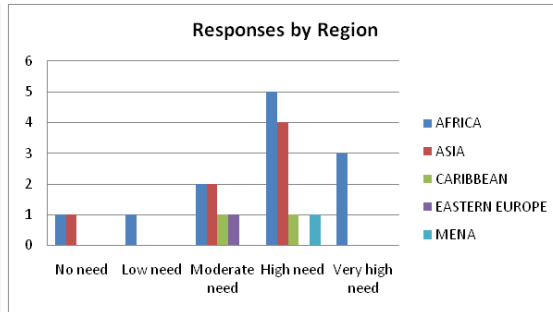
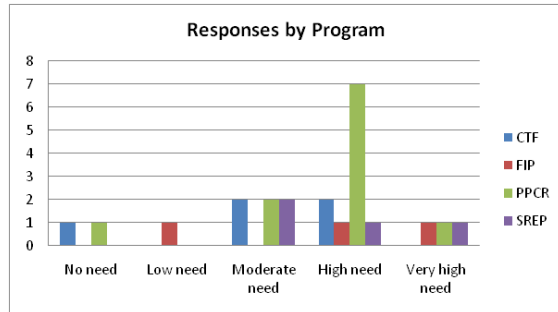
### Monitoring & Evaluation



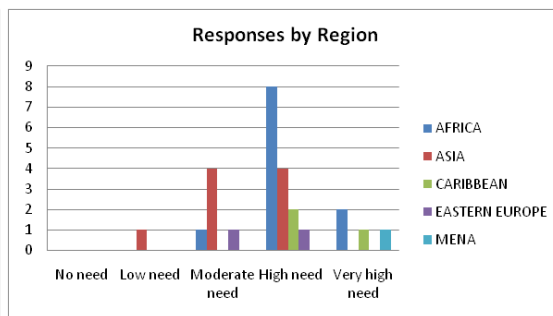
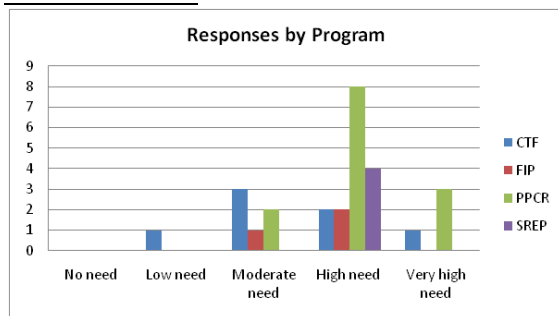
### Knowledge Management & Lessons Learned



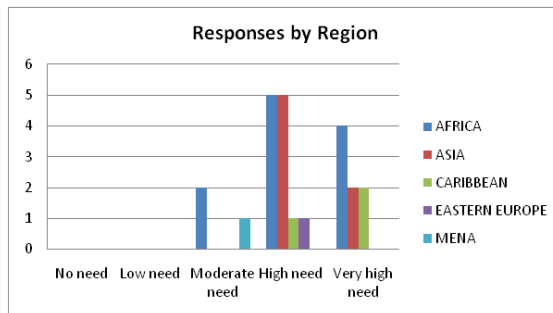
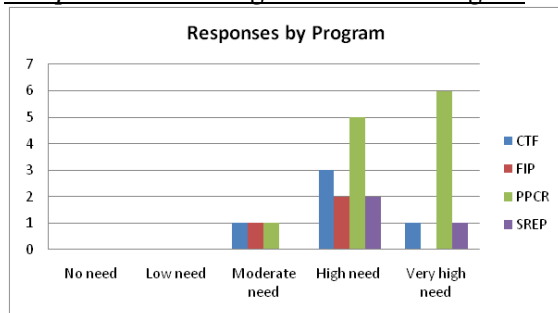
## Social Aspects of CIF Investments



## Private Sector



## Adaptation & Mitigation Technologies



## Annex II: List of examples for support on different areas

1. This annex compiles concrete ideas for support as identified by representatives of pilot countries at the June 2011 meetings. Representatives were requested to provide examples of topics on which they would like to receive support in different forms. The following lists include all of their suggestions, with some changes made to harmonize their responses and group similar topics. Some answers included information on the form on which the support could be delivered (e.g. literature reviews, toolkits, trainings and others). This information has been used to further specify the form in which each of the proposals can be delivered, including training or courses, reviews and analyses, methods and toolkits and compilation of best practices.

Identified need	Training/ course	Review/ analysis	Methods toolkits	Best practices
<b>1. Finance and economics</b>				
Achieving efficient and equitable multi sectoral policies and programs on climate resilience		✓		✓
Developing tools to support decision making on climate resilience for businesses (and other stakeholders)			✓	
Assessing the climate risk for, and climate proofing, infrastructure and other investments			✓	✓
Applying best practices for financial management of climate resilience programs	✓			✓
Leveraging private sector finance for mitigation and climate resilience investments			✓	✓
Applying an ecosystem-based approach to climate resilience and assessing its economics		✓	✓	
Undertaking cost benefit analysis on climate change investments including positive and negative externalities			✓	
Identifying and providing incentives and alternative livelihoods to forest and forest-adjacent communities		✓		
Developing business plans and financial toolkits for forestry projects		✓		
Identifying avenues and developing plans for marketing renewable energy and energy efficiency technologies		✓		
Establishing microfinance schemes for increasing the participation of small scale farming households in climate resilience activities		✓		
Designing financial tools for mitigation and climate resilience at the provincial and local levels				
Developing and managing databases on typical” costs for different renewable energy technologies, based on actual project data		✓	✓	
Using the clean development mechanism and carbon markets for supporting climate resilience		✓		
<b>2. Monitoring and evaluation</b>				
Establishing institutional arrangements and model frameworks for implementing results frameworks at	✓		✓	

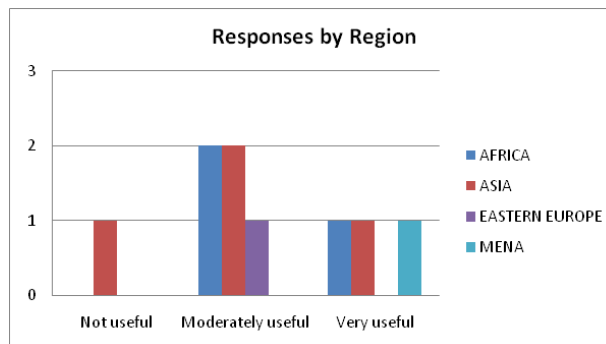
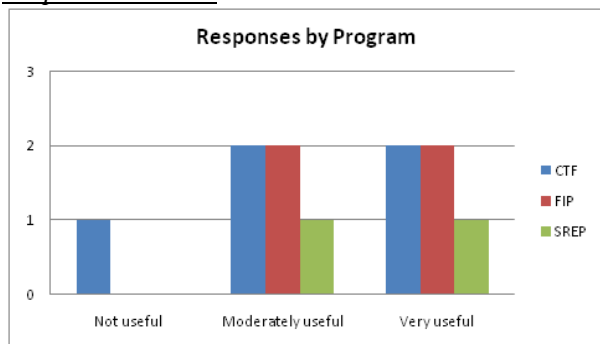
the national level				
Establishing and adopting systems and technologies for monitoring and evaluating performance at the national level	✓		✓	
Measuring performance indicators at the project and program levels and assessing uncertainty levels			✓	
Tracking, monitoring and auditing results at the project level	✓		✓	
Calculating and monitoring baseline scenarios	✓		✓	
Assessing the economic benefits of climate resilience projects at the community or household level			✓	
Evaluating the effectiveness of climate resilience policies		✓		
<b>3. Knowledge management and lessons learning</b>				
Implementing knowledge management and lessons learning at the project, investment plan, and country level, including institutional arrangements		✓		✓
Engaging stakeholders in knowledge management and lessons learning including indigenous peoples and local communities, private sector, women and youth.				✓
Incorporating indigenous knowledge in the design of climate resilience programs and projects		✓		
Establishing systems and technologies for knowledge sharing and networking		✓		
Establishing national and sub-national programs for research and development on climate resilience		✓		
<b>4. Social aspects of CIF investments</b>				
Communicating and engaging with project beneficiaries, including indigenous peoples, local communities, women, youth, and minorities.				✓
Identifying the most climate vulnerable areas and social groups.			✓	✓
Reviewing social, economic, and environmental benefits and risks of investments in renewable energy and energy efficiency			✓	✓
Assessing and communicating the positive impacts of climate change projects for local communities and civil society				✓
<b>5. Private sector</b>				
Understanding and promoting the opportunities of climate resilience for the private sector		✓		✓
Understanding and addressing information needs to support business decision making on investments in climate resilience		✓		
Identifying and promoting business opportunities in climate resilience, renewable energy, energy efficiency, and forestry through investment plans		✓		✓
Developing financial toolkits for private sector involvement in the Forest Investment Program.	✓		✓	
Designing public-private partnerships for scaled-up investments in climate resilience				
<b>6. Adaptation and mitigation technologies</b>				
Assessing the adequacy of energy efficiency, renewable energy and adaptation technologies for		✓		

different countries and localities				
Designing land-use and land-use change projects that contribute to enhancing resilience and mitigating climate change		✓		✓
Identifying technologies and planning tools for a resilient energy sector		✓		
Assessing the adequacy and applicability of electric vehicles		✓		
Identifying and evaluating the opportunities for large-scale rooftop solar generation in middle-income countries		✓		
Compiling technical information on wood and biomass energy technologies				
Establishing and adopting systems and technologies for data storage and management		✓		

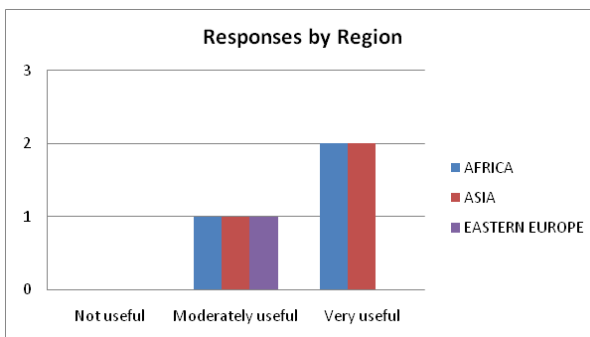
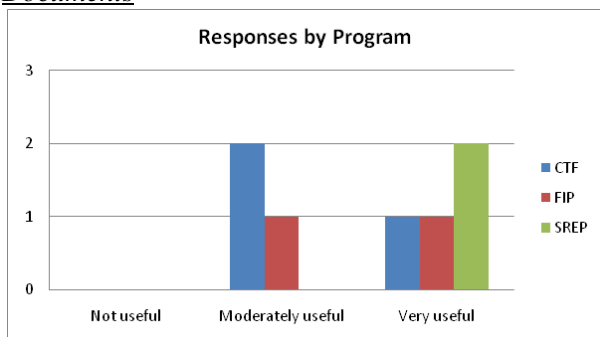


## Annex III: Channels of delivery

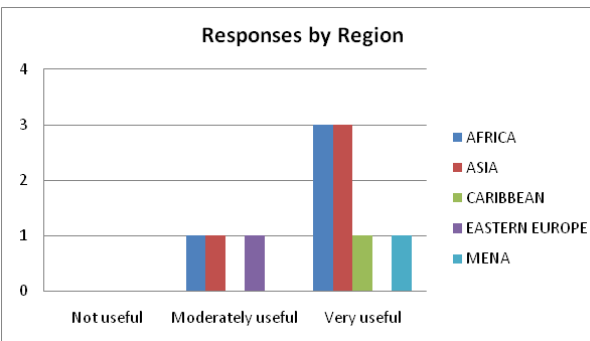
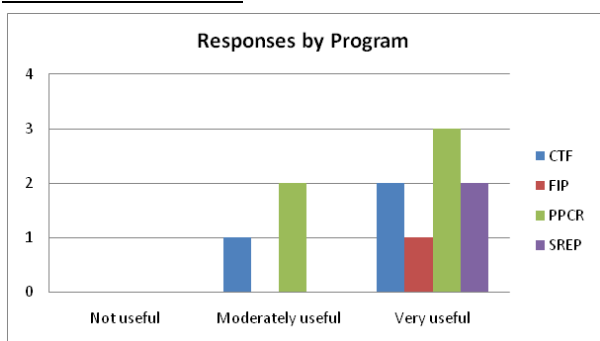
### Helpdesk Services



### Documents



### Face to Face Events



### On-line Events

