

CLIMATE INVESTMENT FUNDS

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Agenda Item 3

INDEPENDENT EVALUATION OF THE CLIMATE INVESTMENT FUNDS: ANNEXES

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VOLUME 2: DRAFT ANNEXES

June 2014



Independent Evaluation of the
CLIMATE INVESTMENT FUNDS

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Annex A: Detailed Evaluation Questions and Main Evaluation Report Location

The following evaluation questions appear in Annex B of the Approach Paper approved by the Joint CTF-SCF Trust Fund Committee in September 2012, available at www.cifevaluation.org. The evaluation questions are illustrative of key formative and summative questions in relation to the purposes, objectives, and principles of the Climate Investment Funds, based on consultations during the preparation of the Approach Paper.

Given the breadth of the evaluation questions posed in the Approach Paper, the main evaluation report attempts to organize and prioritize around key issues that have been raised to date, as suggested by the International Reference Group (IRG) and Evaluation Oversight Committee (EOC). The location in the evaluation report where the question is addressed is indicated in the tables below.

A. Development Effectiveness

(1) RELEVANCE

Questions	Location in Main Report
<ul style="list-style-type: none"> To what extent are CIF purposes, objectives and investment criteria consistent with national plans dealing with low-carbon development or climate risk (including REDD plans, NAMAs, NAPAs, and national climate change strategies and action plans)? 	Considered at the country level; see Section 5.1
<ul style="list-style-type: none"> To what extent are the designs of national investment plans and projects plausibly transformational? To what extent do they seek to transform sectors, markets, or policies through barrier removal, demonstration, regulatory reform, etc., and to what extent are their approaches to doing so based on valid assumptions and plausible logic models? 	Chapter 4
<ul style="list-style-type: none"> What sectors and markets do the national investment plans and projects seek to transform, and who are the intended beneficiaries (e.g. middle income, poor, indigenous groups, women, children)? 	Chapter 4; information on beneficiaries also provided in Annex N.
<ul style="list-style-type: none"> To what extent are the scope of action and activities of the CIFs different from or similar to those of other climate-related funds, including the GEF, the Least Developed Countries Fund for Climate Change, the Special Climate Change Fund, the Adaptation Fund, carbon finance programs, and other climate-relevant development activities financed by the MDBs themselves? What is the comparative advantage, value added, or core competency of the CIFs relative to these other programs? 	Section 2.1
<ul style="list-style-type: none"> At the international and national levels, have complementarities been identified between the CIFs, the GEF, and the United Nations? Has effective cooperation been established to maximize synergies and avoid overlap — for example, between FIP, the Forest Carbon Partnership Facility and UN-REDD? To what extent are the CIFs effectively complementing other global environmental conventions and other forest-related agreements? 	Sections 2.1 and 5.1
<ul style="list-style-type: none"> To what extent and how have the CIFs promoted or hindered international cooperation on climate change, and supported or undermined progress toward the future of the climate change regime while adhering to their principle that —the MDBs should not preempt the 	Not specifically addressed in report.

results of climate change negotiations?	
<ul style="list-style-type: none"> What is the essential theory of change underlying each of the four programs? How do they conceptualize their approach to —transformation? To what extent are their strategic approaches and priority activities appropriate for achieving their objectives? 	Considered in discussions in Chapter 4

(2) EFFICACY

Questions	Location in Report
<ul style="list-style-type: none"> What is the likelihood that the CIFs will achieve their stated objectives? 	Various CIF objectives and likelihood of achieving them are addressed throughout the report, including sections 3.5, 5.2, 5.3, 5.4, and Chapter 4
<ul style="list-style-type: none"> To what extent are national investment plans and projects additional, in the sense of supporting public and private activities that likely would not otherwise have taken place? 	Section 5.3
<ul style="list-style-type: none"> For CTF projects under implementation, what are the preliminary indications of project efficacy — that is, the likely achievement of project outputs and outcomes in relation to project objectives? What design elements and practices have positively or negatively affected efficacy? 	Section 4.1
<ul style="list-style-type: none"> To what extent have the national investment plans and projects improved the enabling environment and incentives for private sector investment in climate-resilient, low-carbon development? If so, what types are private sector investments have been incentivized? What social benefits and costs have been associated with these investments? 	Section 5.2 (brief consideration)
<ul style="list-style-type: none"> What has been the CIFs' value-added (positive and negative) from the perspective of recipient countries? What opportunities and challenges have the CIFs presented to recipient countries? 	Not specifically addressed in report.
<ul style="list-style-type: none"> To what extent is CIF involvement informing the development of innovative, effective, coordinated, or transformational national adaptation and mitigation plans or strategies? 	Some discussion in section 5.1; fieldwork provided little evidence of CIF playing a significant role in informing the development of national strategies
<ul style="list-style-type: none"> What trade-offs, if any, are being observed among the objectives of rapid disbursement, measurable emissions reduction, and transformation? 	Implications considered in the context of early CTF programming in sections 3.3 and sections 4.1 and conclusions
<ul style="list-style-type: none"> How effectively are CIF projects promoting and achieving economic, environmental, social, and gender equality co-benefits? What positive or negative effects have CIF plans and projects had on social development, poverty reduction, and gender equality? What are the likely or observed impacts on women, poor and marginalized groups, and indigenous 	Section 5.4

groups?	
<ul style="list-style-type: none"> To what extent have the selection procedures for the 48 participating countries affected the ability of the CIFs to reach poor, vulnerable, and marginalized groups? 	Not specifically addressed; selection is discussed in Section 2.2
<ul style="list-style-type: none"> To what extent do the CIFs have a sufficiently elaborated learning strategy to discern, assemble, and disseminate lessons from the activities (global, regional, and country-level) that they support? 	Section 3.5
<ul style="list-style-type: none"> How effective are the CIFs in fostering and disseminating learning from the activities they are supporting? What kind of learning has been realized? To what extent are the CIFs having an impact on the MDBs approach to low-carbon and carbon-resilient development? 	Section 3.5

(3) EFFICIENCY, FINANCIAL ADDITIONALITY, AND LEVERAGE

Questions	Location in Report
<ul style="list-style-type: none"> To what extent have the programs' activities been conducted and its outputs achieved in a cost-effective way? 	Section 3.2 and 3.3
<ul style="list-style-type: none"> To what extent have the national investment plans and projects been cost-effective in design (and where observed, in execution)? 	Not specifically addressed in report.
<ul style="list-style-type: none"> How have the plans and projects handled tradeoffs or synergies among GHG reduction, poverty reduction, sustainable development, gender equality, transformational, and other goals? 	Section 5.4; conclusions
<ul style="list-style-type: none"> At the international level, to what extent does CIF funding represent the mobilization of additional funds (donor and otherwise) for low-emission and climate-resilient development consistent with the objectives of the CIFs? 	Section 2.4 (unable to answer)
<ul style="list-style-type: none"> At the country level, to what extent have CIF investment plans expanded the total envelope of resources — including development assistance, climate finance, and local resources — available to recipient countries to achieve CIF objectives? To what extent and how have CIF resources affected country decisions to use their MDB resource envelopes? 	Not specifically addressed in report. Fieldwork provided inconclusive evidence.
<ul style="list-style-type: none"> What determined the choices of financial instruments and terms for CIF financing? Were these choices justifiable in terms of recipient needs and capacities, and the efficient use of CIF and MDB funds? What has been the degree of concessionality of CIF loans? What has been their impact on recipient's transactions costs and debt burden? 	Not specifically addressed in report.
<ul style="list-style-type: none"> In terms of CIF support for private sector investments, how were the subsidy elements determined? Were these efficient choices from the viewpoint of CIF funds? 	Not specifically addressed in report. In principle, subsidy elements are determined on an individual project basis based on a principle of minimum concessionality.
<ul style="list-style-type: none"> To what extent has adequate due diligence been undertaken with respect to risks? 	Section 3.3
<ul style="list-style-type: none"> To what extent, and through what mechanisms, have CIF-supported investments causally crowded in (or crowded out) additional public or private funding, including MDB cofinancing? If funds were leveraged, from where and to whose benefit? 	Section 5.3

<ul style="list-style-type: none"> To what extent have CIF programs enabled larger-scale projects (in terms of energy produced or the overall financial package) than typical MDB interventions? 	Not addressed in comparison to MDBs but considered in comparison to the GEF; see section 2.1
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(4) SUSTAINABILITY

Questions	Location in Report
<ul style="list-style-type: none"> How do the CIFs expect the benefits arising from the projects they support to be sustained, scaled-up, and /or replicated in the future after the projects have been completed? To what extent are these expectations based on well-founded assumptions, logic, and observations? 	Chapter 4
<ul style="list-style-type: none"> To what extent have the project designs identified risks to the sustainability of the benefits and taken steps to mitigate these risks? 	Chapter 4
<ul style="list-style-type: none"> To what extent are the benefits arising from the projects likely to be sustained, taking into account the complementary activities of other development partners, and the institutional and human resource capacity of beneficiary countries? 	Considered for CTF, see section 4.1
<ul style="list-style-type: none"> How are the sunset clauses in the CIF Governance Frameworks being interpreted and addressed in practice? 	Section 2.3

B. Organizational Effectiveness

(5) CIF GOVERNANCE AND MANAGEMENT

Questions	Location in Report
<ul style="list-style-type: none"> To what extent have the programs' governance arrangements permitted and facilitated the effective participation and voice of different categories of stakeholders (especially non-state actors), taking into account their respective roles? How has the selection of members and observers on the Trust Fund Committees and Subcommittees affected the legitimacy of the programs? 	Section 3.1
<ul style="list-style-type: none"> What are the roles, responsibilities, and accountabilities of the MDBs in CIF governance? How well are they performing these roles? 	Section 3.2
<ul style="list-style-type: none"> To what extent have the programs' governance arrangements facilitated efficient decision making at the governance level? How do the governing bodies' scopes of decision making compare with those of other global funds, and what are the implications for efficiency? 	Section 3.1
<ul style="list-style-type: none"> How effective are the different institutional relationships within the CIF business model, including between the Administrative Unit and the MDBs, among the MDBs, between MDBs and recipient countries, and between the Administrative Unit and recipient countries? 	Partially addressed in Section 3.2
<ul style="list-style-type: none"> To what extent have the programs' decision-making and reporting been transparently available to the public (subject to legal confidentiality requirements)? What has been the impact, if any, of confidentiality requirements on CIF operations? 	Section 3.1
<ul style="list-style-type: none"> To what extent have real and perceived conflicts of interest been identified and managed transparently at all levels (global, regional, and country)? 	Section 3.3
<ul style="list-style-type: none"> What have been the advantages and disadvantages of locating the CIF Administrative Unit in the World Bank? 	Partially considered in section 2.1 and 3.2

(6) ADMINISTRATIVE EFFICIENCY

Questions	Location in Report
<ul style="list-style-type: none"> How effectively and efficiently have the CIF Administrative Unit and the MDB Committees carried out their administrative and management responsibilities as stated in the CTF and SCF Governance Frameworks? 	Section 3.2
<ul style="list-style-type: none"> The CIF Administrative Unit is relatively small compared to that of other global funds. What are the implications of this smaller size for efficiency and effectiveness? Are there administrative or secretarial functions that have been outsourced, or simply not supported? 	Section 3.2
<ul style="list-style-type: none"> To what extent has the CIF Trustee prepared transparent, accurate and timely financial reports that facilitate accountability and efficient decision-making by the Trust Fund Committees? 	Not discussed in report; in interviews, all TFC members reported that they received the financial information they needed from the Trustee.
<ul style="list-style-type: none"> To what extent has the CIF Administrative Unit effectively managed partnerships and external relations, including servicing the meetings of the CIF Trust Fund Committees and Subcommittees, the MDB Committees, and the Partnership Forum? 	Section 3.2 and 3.5
<ul style="list-style-type: none"> To what extent has coordination with and among MDBs been efficient? To what extent do the MDB committees function effectively? 	Section 3.2 and 5.1
<ul style="list-style-type: none"> Have MDBs' preparation and supervision fees been commensurate with MDB efforts and costs? 	Section 3.2
<ul style="list-style-type: none"> How does the preparation, approval time, and thoroughness of the review of national investment plans and projects compare with ex-ante CIF expectations and with the experience of comparator organizations (such as GEF and the MDBs themselves), taking into account differences among the organizations? What are the reasons for faster or slower progress across subprograms, projects, countries, and public vs. private sector execution? 	Section 3.3

(7) NATIONAL PLANNING AND CONSULTATION PROCESSES

The following questions may be applied to each of the investment plans supported under the CIF programs and subprograms, and/or to the investment plans as a group.

Questions	Location in Report
<ul style="list-style-type: none"> What program-level guidelines exist, if any, for the national planning and consultation processes in relation to the preparation of national investment plans and associated projects? To what extent are these being followed? 	Section 5.1
<ul style="list-style-type: none"> Whether or not guidelines exist, how have the national planning and consultation processes been governed, managed, and administered in each of the countries visited? 	Section 5.1
<ul style="list-style-type: none"> To what extent have the investment plan processes triggered institutional or procedural innovations at the national level? 	Partially addressed in Section 5.1
<ul style="list-style-type: none"> To what extent have country-level stakeholders (including government, civil society, academia, the private sector, women, indigenous peoples, and marginalized groups) been actively and effectively involved in the formulation of national adaptation and mitigation plans? To what extent have there been broad participation, responsibility, and power-sharing? Did the CIFs support capacity development of local groups to participate in consultations? 	Section 5.1

<ul style="list-style-type: none"> What financial support has been provided for country-level institutional and governance reforms, and for putting in place carbon measurement systems? 	Not specifically addressed in report.
<ul style="list-style-type: none"> How have issues in relation to conflicts of interest, potential trade-offs, and consideration of alternative proposals been resolved in the selection of project ideas and concepts? What has been the role of different stakeholders in resolving these issues? 	Role of stakeholders in broader decision-making process for developing investment plans discussed in Section 5.1
<ul style="list-style-type: none"> To what extent have the involved MDBs effectively coordinated with each other in the preparation of national investment plans, for example, in comparison with non-CIF situations? How have project preparation and supervision responsibilities been allocated among the involved MDBs? 	Section 5.1
<ul style="list-style-type: none"> What have been the role and the involvement of external partners (other multilateral organizations, international NGOs, etc.) in these processes? 	Section 5.1
<ul style="list-style-type: none"> To what extent are the resulting plans country-led and integrated into country-owned development strategies consistent with the 2005 Paris Declaration principles, including harmonization with other sources of climate finance? What have been the key ingredients in achieving, or failing to achieve this? How has the process combined country ownership with MDB provision of advice and capacity building on climate issues? To what extent has the process contributed to innovations in plans or strategies? 	Country ownership and integration into development strategies briefly addressed in Section 5.1
<ul style="list-style-type: none"> What has –country-owned and –country-led meant in practice in the CIFs? 	Section 5.1
<ul style="list-style-type: none"> To what extent have these national planning and consultation processes been coordinated with other climate-related initiatives such as NAPAs and NAMAs, and with other national development planning tools and activities? 	Section 5.1
<ul style="list-style-type: none"> Who implements CIF-supported projects, and who has responsibility for programmatic and fiduciary oversight? How well are these processes working? 	Section 5.1
<ul style="list-style-type: none"> To what extent do anti-corruption mechanisms exist within the CIFs, and how effectively are these being implemented and enforced? 	Not addressed

(8) MONITORING AND EVALUATION (M&E)

Questions	Location in Report
<ul style="list-style-type: none"> To what extent do the CIFs have a sufficiently elaborated evaluation strategy to assess the results achieved, to mitigate evidence gaps, to make mid-course corrections, and to learn lessons for future climate financing? What actions are being taken assemble lessons from M&E? 	Section 3.3
<ul style="list-style-type: none"> What has been the quality of the design, implementation, and utilization of project-level M&E? To what extent are adjustments being made to plans or projects to address concerns that arise during implementation? 	Not specifically addressed in report.
<ul style="list-style-type: none"> To what extent are the programs' M&E and results frameworks adequate for accurate and unbiased assessments of direct and indirect outputs and outcomes at the project, country, subprogram, and CIF-wide levels? 	Section 3.3
<ul style="list-style-type: none"> Are performance indicators built into a logical results chain of inputs, outputs, and outcomes? Do the indicators adequately reflect outputs, outcomes, and goals? Are they readily measurable? Have baselines been developed? Have indicators been operationalized and measured? 	Section 3.3
<ul style="list-style-type: none"> Is M&E sufficiently comprehensive of important aspects of CIF operations, including CIF processes and implementation of national investment plans? 	Section 3.3

<ul style="list-style-type: none"> To what extent are the monitoring systems effectively assessing impacts on poor, vulnerable and disadvantaged groups such as indigenous groups and women? 	Not specifically addressed in the report; the CIF AU intends that all person-level data will be disaggregated by sex and vulnerable groups, as defined at the country level
<ul style="list-style-type: none"> Who is responsible for different aspects of project and country-level M&E — the implementing agencies, the countries, the MDBs? Are these responsibilities being fulfilled? To what extent is data collection coordinated with other development partners and with national systems? 	Section 3.3
<ul style="list-style-type: none"> What has been the degree of consistency in emissions reductions measurements across implementing agencies? 	Section 3.3. and 4.1
<ul style="list-style-type: none"> To what extent are the programs' M&E systems integrated into national statistical and information systems? 	Too early to report; fieldwork provided insufficient evidence
<ul style="list-style-type: none"> To what extent are the MDBs and other development partners providing support, as necessary, for building up country M&E systems? 	Too early to report; fieldwork provided insufficient evidence
<ul style="list-style-type: none"> How effectively are the MDBs managing the inherent tensions that exist between building up country M&E systems and utilizing their own organizations' systems in order to demonstrate accountability to taxpayers? 	Too early to report; fieldwork provided insufficient evidence

(9) SAFEGUARD MECHANISMS

Questions	Location in Report
<ul style="list-style-type: none"> Are safeguard objectives being met? To what extent are environmental and social risks being efficiently identified and effectively mitigated? 	Section 3.3
<ul style="list-style-type: none"> To what extent are the MDB safeguard procedures consistent with each other and with CIF requirements, and what are the consequences of inconsistencies, if any? 	Section 3.3
<ul style="list-style-type: none"> To what extent are CIF projects in compliance with existing international conventions, standards and obligations on human rights, women's rights, indigenous peoples, the environment, and labor? 	Partially addressed in Section 3.3
<ul style="list-style-type: none"> To what extent have the MDBs provided detailed information on their application of their safeguards to each project? 	Not answered in the main report; a review of MDB websites for approved CIF projects revealed significant variability in the public availability of safeguard-related documents online both across and within MDBs

Annex B: Global Role and Horizontal Relevance

Annex B.1: Complementarity to Other Funds and International Efforts

Table 1: Other Global Programs Active in CIF Participating Countries

CIF Countries	Least Developed Countries Fund	Special Climate Change Fund	GEF-4 Focal Area Strategies	GEF-5 Focal Area Strategies	Adaptation Fund	UN-REDD	FCPF	CIF Countries	Least Developed Countries Fund	Special Climate Change Fund	GEF-4 Focal Area Strategies	GEF-5 Focal Area Strategies	Adaptation Fund	UN-REDD	FCPF
Bangladesh	✓		✓	✓		✓		Mali	✓						
Bolivia						✓		Mexico		✓	✓	✓		✓	
Brazil			✓	✓				Morocco		✓	✓			✓	
Burkina Faso	✓		✓					Mozambique	✓	✓					✓
Cambodia	✓				✓	✓		Nepal	✓		✓	✓		✓	✓
Chile			✓			✓		Niger	✓						
Colombia		✓	✓	✓	✓	✓	✓	Nigeria			✓	✓		✓	
DRC	✓					✓	✓	Papua New Guinea			✓		✓	✓	
Dominica								Peru			✓	✓		✓	
Egypt, Arab Rep.		✓	✓		✓			Philippines		✓	✓			✓	
Ethiopia	✓	✓				✓	✓	Saint Lucia							
Ghana		✓	✓			✓	✓	Saint Vincent and the Grenadines							
Grenada								Samoa	✓				✓		
Haiti	✓		✓					South Africa		✓	✓	✓			
Honduras		✓			✓	✓		Tajikistan		✓	✓	✓			
India		✓	✓	✓				Tanzania	✓	✓	✓	✓	✓	✓	
Indonesia		✓	✓	✓		✓	✓	Thailand		✓	✓				✓
Jamaica			✓		✓			Tonga							
Jordan		✓	✓					Tunisia							
Kazakhstan			✓	✓				Turkey			✓	✓			
Kenya		✓	✓			✓	✓	Ukraine			✓	✓			
Lao PDR	✓					✓	✓	Vietnam		✓	✓			✓	
Liberia	✓		✓	✓			✓	Yemen	✓						
Maldives	✓			✓	✓			Zambia	✓		✓			✓	

Source: Table developed based on data from Climate Funds Update. Accessed February 1, 2013. Available at: <http://www.climatefundsupdate.org/>.

Annex B.2: FIP Complementarity

While the objectives and scopes of work for FIP and GEF's SFM are similar, and while there is significant overlap between FCPF and UN-REDD, these funds and mechanisms also have complementary features. FIP's intended role and potential comparative advantages might be seen as:

Focus on bridging financing and building on completed readiness work. When the FIP was designed, the FCPF and UN-REDD had both recently been launched. These two programs were primarily targeted at capacity building for REDD+ readiness in developing countries, but a gap was identified in funding flows. In particular, before countries could obtain REDD performance-based payments, they would need to invest in policies and programs that could generate emission reductions. Investments for policy reforms, restructuring and strengthening of institutions and implementing capacities, land use planning, establishing of forest tenure rights, establishment of new forest resources and restoration of degraded lands, and infrastructure would be needed before REDD payments could be generated. It was expected that resources required for these initiatives to be in place, would far exceed the resources available from bilateral and other sources of financing.¹ Therefore, a focus of the FIP is "providing up-front bridge financing for implementing readiness reforms and public and private investments identified through national REDD readiness strategy building efforts."²

How well this intended role for the FIP is executed depends on the sequencing of FCPF and UN-REDD readiness and related analytical work. In practice, due to time delays and related sequencing problems, some FIP investment plans have been approved before the readiness processes have been completed. In addition, based on a review of the FIP portfolio, it appears that in a few countries FIP funding is going partly to support REDD+ readiness work and the kind of activities which are in principle supported by FCPF and UN-REDD.

A programmatic approach instead of a project-by-project approach. FIP's approach is based on the idea of creating a multi-partner investment program with strong national ownership that leads to transformative changes in the sector. DFIs, bilateral agencies, and INGOs traditionally rely on a project approach. The extent to which FIP makes use of this comparative advantage, however, depends on the quality of national FIP investment planning processes. If the FIP investment program contains a mix of projects with no clear links and synergies with each other, the opportunity to benefit from a programmatic approach will suffer.

Reliance on national collaborative governance structures and mechanisms. FIP investment strategies and plans are to be developed through a structure that allows involvement of key national stakeholders including representatives of indigenous peoples and groups and local communities. This again contrasts with a project approach that may be donor-driven and not linked to broader planning frameworks and coordinating mechanisms.

Dedicated grant mechanism. FIP has a separate support mechanism that provides grants to indigenous people and local communities to facilitate their participation in FIP investment strategy and project planning.

The FIP, FCPF, and the UN-REDD Programme are working together to enhance cooperation and coherence among REDD+ institutions in support of activities that reduce emissions from deforestation and forest degradation at the country level. In early 2010, the governing bodies of the FIP, FCPF, and UN-REDD each requested that their Secretariats/Administrative Units collaboratively develop options to enhance cooperation and coherence among REDD+ institutions. In November 2010, a joint meeting among the three governing bodies was held in Washington D.C., and a joint paper on *Enhancing Cooperation and Seeking*

¹ FIP Complementarity with FCPF and UN-REDD, Second Design Meeting of the FIP, March 2009.

² FIP Design Document, July 2009.

Coherence among REDD+ Institutions to Support Countries REDD+ Efforts was developed.³ The CIF AU has worked to implement the agreed recommendations and share information with the other organizations; for example, results frameworks and core indicators have been shared with the other institutions, the CIF AU participated in a joint meeting of the Secretariats in October 2011,⁴ and the FCPF, UN-REDD, and GEF were consulted in the development of the 2012 FIP learning product on REDD+ Collaboration at the Country Level.⁵ The three organizations are exploring pragmatic options to foster collaboration through joint missions and planning meetings, as well as by harmonizing procedures and developing a common platform for the execution of REDD+ activities. The FIP Sub-Committee also invites representatives from FCPF, UN-REDD, the UNFCCC, and the GEF to observe all of its meetings.

³ Joint Meeting of the Governing Bodies of the Forest Carbon Partnership Facility (FCPF), the Forest Investment Program (FIP), and the UN-REDD Programme, Enhancing Cooperation and Seeking Coherence among REDD+ Institutions to Support Countries REDD+ Efforts, November 2010.

⁴ Update on REDD+ Collaboration, FIP/SC.7/Inf.2, October 2011.

⁵ CIF Learning: REDD+ Stakeholder Collaboration at the Country Level, January 2013.

Annex C: Governance and Management

Annex C.1: Roles and Responsibilities

The independent evaluation used an organizational tool, called a RACI matrix, to understand the roles and responsibilities of the CIF's network partners. For key governance and management functions, the RACI identifies entities that are responsible for a function, who approve a function, who are consulted in the execution of the function, and who are informed about the function.

The following governance and management functions form the backbone of the detailed RACI matrix, provided further below in Table 2.

Governance

Governing bodies typically engage in these core functions, and face these challenges:

- **Strategic direction:** the multiple stakeholders in the network all have their own mission goals and strategies that can compete, at least to some degree, with the network goals. Keeping the multiple organizations with multiple missions aligned to the strategic vision and direction of the network is a constant challenge.
- **Structures, roles, responsibilities:** the governance team must ensure the effective interaction of diverse partners to cover all aspects of governance, management, and implementation. Partners may come and go over the life of the network, and the challenges addressed can also change over time. Therefore, the challenge of managing the evolving roles, relationships (trust, competition, and collaboration), and responsibilities among network partners never entirely goes away.
- **Management oversight:** partners participate voluntarily in the CIF's network. In providing oversight of management, the challenge is to establish a balance between control and empowerment in managing network activities.
- **Resource mobilization:** the governance team must continually match limited resources with unlimited needs. Because the CIF is intended to be an interim organization, this function takes on a peculiar slant, since both available money and anticipated work carry time constraints.
- **Stakeholder participation:** the network's governors must maintain an inclusionary approach to their stakeholder community while trying to control overall network growth.
- **Risk management:** in a distributed network like the CIF, risks occur at multiple levels and at varying distances from the network center. This makes discernment of the risks and the implementation of mitigation strategies difficult.
- **Conflict management:** monitoring and managing conflicting bottom-line expectations among network partners can be an ongoing effort, and requires clear roles and responsibilities to balance competing concerns and ensure fair outcomes.
- **Audit and evaluation:** ensuring the integrity of financial and accounting systems is critical for any program, and especially so for a global network operating in local contexts around the world. Setting evaluation policy, commissioning evaluations, and overseeing management uptake of recommendations builds confidence and improves program performance. In addition, given the diversity and complexity of the issues being addressed in the CIF, development of a robust results framework with clear indicators is critical.

Management:



Managing bodies typically engage in these core functions, and face these challenges:

- **Program implementation:** because the program is actually implemented on the ground, in recipient countries, understanding how effectively the program implementation policies, guidelines, and standards are working requires constant attention.
- **Financial management:** reliance on the financial management systems of network partners means that one-view analysis of the financial state of projects and programs may be illusory.
- **Regulatory compliance:** regulations are location-specific. Again, the view from the network center is too far to get a consistent read on compliance, so the project implementers themselves must be willing to monitor their own compliance.
- **Reviewing and reporting:** ongoing documentation of project decisions must make project directions visible and understandable at higher levels
- **Administrative efficiency:** Network managers must balance lean administrative structures with the network administrative capacity, while at the same time responding to the growing complexity of the network and coordinating partners on multiple levels.
- **Stakeholder communication:** the demand for information only increases over time, The more successful the network becomes in achieving its goals, the more network partners will want to know what is happening and where.
- **Learning:** the knowledge generated in an interorganizational network is one of the network's greatest assets. However, the diversity among network members makes capturing the knowledge and storing it in ways that can be intuitively accessed when needed is difficult.
- **Performance assessment:** monitoring and evaluation of CIF investments, including measurement of agreed upon indicators, is critical to assessing the performance and outcomes of the program.

The detailed RACI matrix is built based on the definitions and assumptions described below.

Definitions:

R = Responsible: Those who do the work to achieve the task. There is at least one role with a participation type of responsible, although others can be delegated to assist in the work required.

A = Approver: The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one who delegates the work to those responsible. In other words, an accountable must sign off (approve) on work that responsible provides. There must be only one accountable specified for each task or deliverable.

C = Consulted: Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication.

I = Informed: Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

Assumptions:

We assume that all stakeholders are informed, even when there is not an explicit "I" in this matrix.

We assume Trust Fund Committee decisions are influenced by contributor and recipient countries and the interactions between the two groups, though those interactions are not shown here.

We assume the MDB Committee has shared responsibility with the CIFAU regardless of whether a Trust Fund Committee decision says “the CIFAU *and* MDB Committee”, “the CIFAU *in consultation with* the MDB Committee”, or “the CIFAU *in collaboration with* the MDB Committee”.

Table 2: Responsible, Approver, Consulted, Informed (RACI) Table

	Trustee	AU	MDB Cmtte	MDBs	Trust Fund Cmtes & SubCmtes	Contributors	Recipients	Observers	Experts
Governance									
Strategic direction									
<i>Directing use of the financial, human, social, and technological resources</i>		R	R		A			C	
<i>Establish a vision or a mission for the program</i>		R	R	C	A	C	C	C	
<i>Reviewing and approving strategic documents</i>	C	R	R		A			C	
Structures, roles, responsibilities									
<i>Structuring the network to produce desired effects</i>		R			A/R			C	
<i>Monitoring the effectiveness of the program's governance arrangements</i>	C	R	R		A/R			C	
<i>Adapting structures, roles, and responsibilities with agility when lessons learned suggest changes are required.</i>		R	R		A			C	
Management oversight									
<i>Establishing operational policies, guidelines, standards, and procedures, including processes and responsibilities of the project life cycle</i>	C	R/C	R/C	R/C	A			C	
<i>Appointing key personnel⁶</i>		C	C		A	A	A	A	
<i>Approving annual budgets and business plans⁷</i>	C	C	C		A				
<i>Monitoring managerial performance and program implementation</i>		C	C	C	A/R/C			C	
<i>Monitoring compliance at the program level with all applicable laws and regulations, including those of the host organization</i>									
Resource mobilization									
<i>Formulating the resource mobilization strategy</i>	I	R			A				
<i>Promoting funding from various donors with various resource cycles</i>	I		R	R	I				
Stakeholder participation									
<i>Establishing policies for stakeholder inclusion in program activities.</i>		R	R		A/C			R/C	
<i>Ensuring adequate consultation, communication, and transparency for stakeholders regarding program governance</i>	I	R	R	R	A/R	I	I	C	
Risk management									

⁶ The Trustee, CIF AU, and MDBs make independent staffing decisions. Contributors, recipients, and observers follow separate self-selection processes for appointing members to the Trust Fund Committees and Sub-Committees. The Trust Fund Committees and Sub-Committees appoint their own co-chairs.

⁷ This category encompasses all budgets, from program-wide to joint mission budgets.

	Trustee	AU	MDB Cnte	MDBs	Trust Fund Cntes & SubCntes	Contributors	Recipients	Observers	Experts
<i>Establishing risk management policies and monitoring their implementation</i>	R*	R*		R*	A*			I	
<i>Ensuring availability of sufficient funds to cover program requirements</i>	R	R	R		A				
<i>Ensuring that funding sources are adequately diversified to mitigate financial shocks</i>					A				
Conflict management⁸									
<i>Monitoring and managing potential conflicts of interest of CIF participants</i>									
<i>Managing disputes over roles quickly and effectively</i>									
Audit and evaluation									
<i>Ensuring, through independent audits and other means, the integrity of the program's accounting and financial reporting systems</i>	R				A				
<i>Setting evaluation policy⁹</i>		R	R	R	A			C	
<i>Commissioning evaluations in a timely way</i>				R	A				
<i>Ensuring that evaluations lead to learning and program enhancement</i>									
<i>Overseeing management uptake and implementation of accepted recommendations</i>		R	R		A			C	
Management									
Program implementation									
<i>Managing the project life cycle.</i>	I	R	R	R	C		R		
<i>Managing human resources.</i>		A		A					
<i>Developing and reviewing proposals for inclusion in the portfolio of activities</i>		R	A ¹⁰	R	A	C	R/C	C	
<i>Supervising the implementation of activities.</i>				R	C		R	C	
<i>Contracting with implementing or executing agencies to implement individual activities.</i>				A/R			R		
<i>Ensuring that these agencies are self-monitoring and reporting their progress in a timely way.</i>				R	I		R		

⁸ There are no formal mechanisms for conflict management, but it is handled on a case-by-case basis and often facilitated by the CIF AU.

⁹ This category includes policy for (1) independent evaluations and (2) project-level M&E.

¹⁰ Approval for joint mission proposals only.

	Trustee	AU	MDB Cmtte	MDBs	Trust Fund Cmtes & SubCmtes	Contributors	Recipients	Observers	Experts
Quality review									
<i>Ensuring the quality of program activities through technical review of funding proposals</i>				R					R
Financial management									
<i>Committing and allocating financial resources among activities</i>	R	C	R		A		C	C	
<i>Compare commitments versus available funds in real time</i>	R	I			C				
<i>Tracking expenditures from allocation decisions through implementation</i>	R	R		R	C				
<i>Managing finances with transparency and accountability</i>	R	R	R		C				
Regulatory compliance									
<i>Ensuring compliance at the project level with all applicable laws and regulations at the international, national, and institutional levels, including the regulations and procedures of the host organization.</i>			R	R	R		R		
Reviewing and reporting									
<i>Evaluating portfolio performance in light of strategies and objectives</i>		R	R/C	C	A		C	C	
<i>Reporting outcomes to the governing body, including any adverse effects of the program's activities</i>	R	R	R	R	R ¹¹ /C		R		
<i>Reporting on financial matters in a timely, transparent way</i>	R	R	C	R	C				
Administrative efficiency									
<i>Serving the needs of the governing body by preparing strategies, policy statements, conducting research, and so on</i>		R	R/C		A/C				
<i>Promoting high performance and efficient processes, including maintaining a lean administrative cost structure</i>	R	R	R	R	A/C		R		
<i>Managing smooth interaction, collaboration, and coordination of CIF partners, minimizing coordination costs while managing increasing network complexity</i>	R	R	R	R	A		R	R	
Stakeholder communication									
<i>Implementing policies for including stakeholders in program activities</i>		R	R	R	A		R	C	
<i>Increasing effective stakeholder participation in all program aspects</i>		R	R	R	A		R	R	
Learning									

¹¹ Progress reports on the SCF Sub-Programs are shared with the SCF Trust Fund Committee.

	Trustee	AU	MDB Cmtte	MDBs	Trust Fund Cmtes & SubCmtes	Contributors	Recipients	Observers	Experts
<i>Capturing lessons learned from the implementation of program activities</i>		R	R	R	A		R	C	
<i>Transmitting these lessons to governing partners and beneficiaries to inform policy making and to enhance implementation of activities.</i>		R	C	R	A		R	C	
Performance assessment									
<i>Reviewing the performance of projects on a regularly scheduled basis</i>			R	R	C		R		

Key: light yellow = responsible; dark blue = approver; pink = consult; white = inform

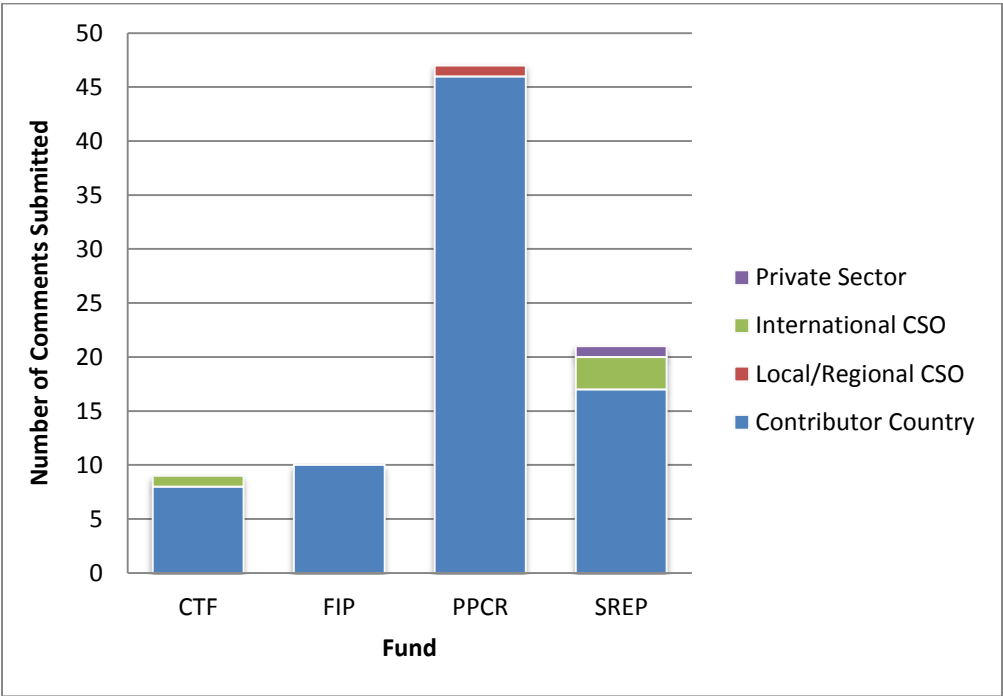
* These responsibilities/approvals were not included in the CTF and SCF governance frameworks, but have emerged operationally through decisions taken by the Trust Fund Committees.

Annex C.2: Balance and Representation in Governance

One measure of participation in technical review is authorship of written comments on investment plans submitted to the Trust Fund Committees and Sub-Committees. As shown in Figure 1, of investment plans submitted through 2012, 93 percent of comments on investment plans were submitted by contributor countries, one percent was submitted by local, national, or regional civil society organizations, five percent were submitted by international civil society organizations, and one percent was submitted by the private sector. As of December 31, 2012, no written comments were submitted by recipient countries, although since then a few recipient countries have submitted comments on other investment plans.

Note that these percentages do not include comments received on the Philippines’ CTF investment plan, which received more than five times as many comments (more than 40) as any other investment plan. Fifty percent of comments on the Philippines’ investment plan were submitted by civil society, including 18 comments submitted by local, national, or regional organizations and two comments submitted by an international organization.

Figure 1: Number of Written Comments Submitted on Investment Plans, by Stakeholder Group

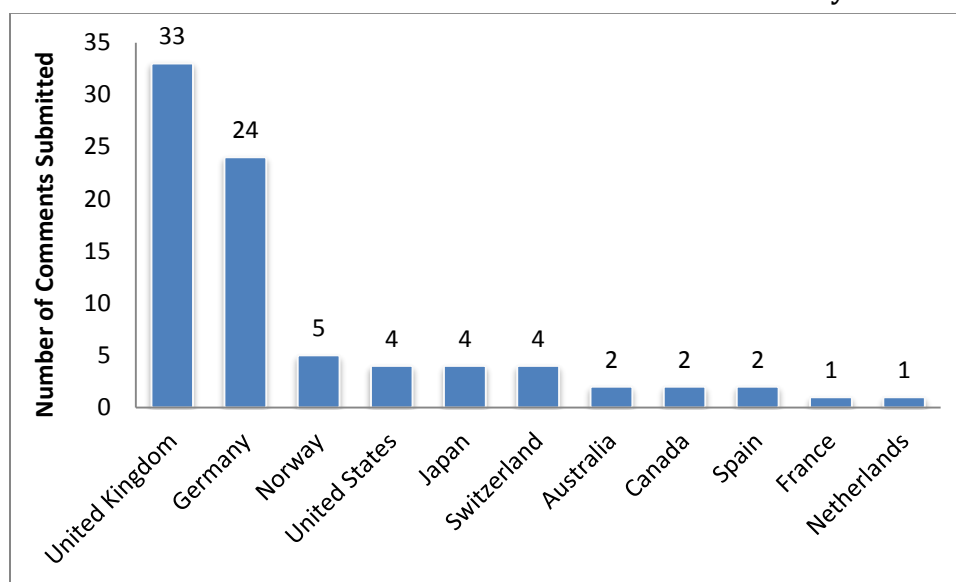


Note: Not including comments submitted on the Philippines CTF investment plan.

Source: Data compiled based upon comments submitted on investment plans, as posted on the CIF website as of December 31, 2012.

Figure 2 shows that the vast majority of comments submitted on investment plans were from the United Kingdom and Germany. These two countries combined submitted 70 percent of comments from contributor countries, and 65 percent of all comments submitted. In general, these practices are representative of contributor countries picking up responsibilities that have not been otherwise assigned; this represents a staff burden on these countries that may be tenable now, but is unlikely to be a feasible arrangement, should participation in the CIF expand significantly.

Figure 2: Number of Written Comments on Investment Plans Submitted by Contributor Countries



Source: Data compiled based upon comments submitted on investment plans, as posted on the CIF website.

Annex C.3: Transparency and Accountability

A summary of the key information that is publicly available from comparator funds, including the Global Fund, Adaptation Fund, GEF, and Multilateral Fund, is presented in Table 3. All of this information was found to be publicly accessible on the CIF website.

Table 3: Information Publicly Available under the CIF

Key Information Publicly Available ¹²	Global Fund	Adaptation Fund	GEF	Multilateral Fund	CIF
Meeting reports, including full text of all decisions approved, and accompanying meeting documents	Yes	Yes	Yes	Yes	Yes
List of the current decision-makers, observers, technical/expert reviewers, and other key players	Yes	Yes	Yes	Yes	Yes
Current rules and procedures of the governing bodies	Yes	Yes	Yes	Yes	Yes
Annual reports for the fund	Yes	Yes	Yes	N/A	Yes
Approved budgets	Yes	Yes	Yes	Yes	Yes
Full proposals for all approved projects/programs	Yes	Yes	Yes	Yes	Yes ^a
Core governance and policy documents	Yes	Yes	Yes	Yes	Yes
Information on the status of contributions	Yes	Yes	Yes	Yes	Yes
Information on disbursements	Yes	Yes	Yes	Yes	Yes
Program-wide evaluations and reviews	Yes	Yes	Yes	Yes	Yes ^b

^a Certain information is kept confidential in CIF investment plans and proposals for private sector projects.

^b This Independent Evaluation of the CIF will be posted on the website once completed. The CIF have a section of the website devoted to M&E, and the approach paper for this evaluation has been posted.

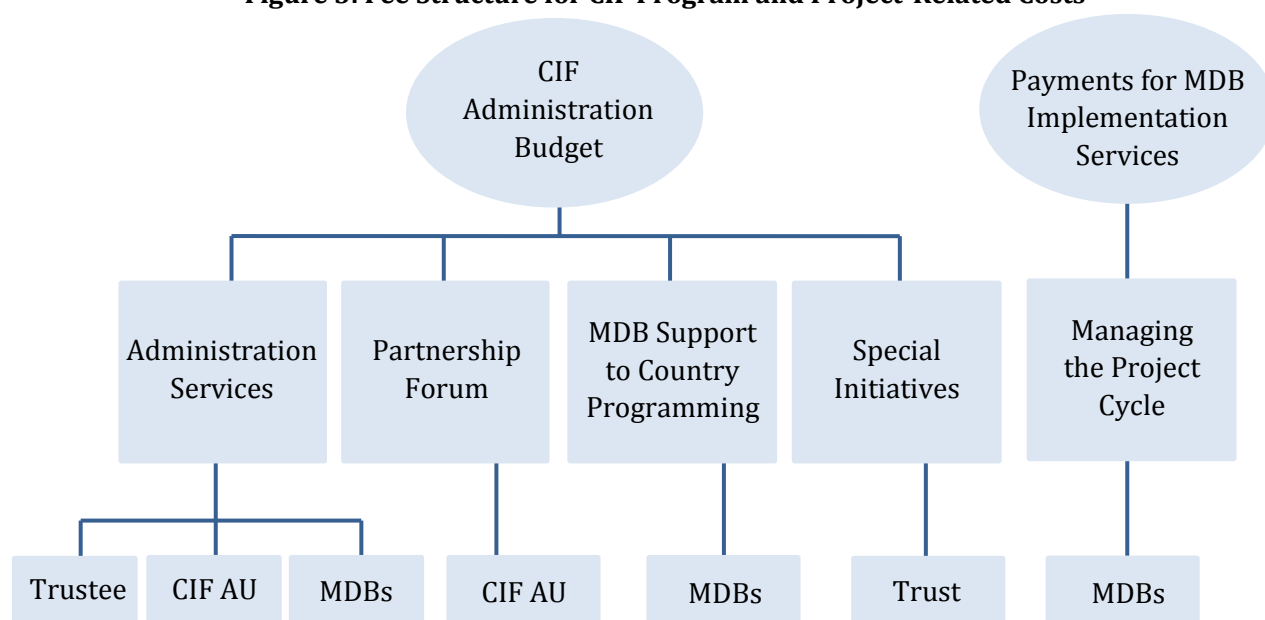
¹² Key information listed is based upon previous evaluations by IEG highlighting documents that should be available for transparency on a program's web site. This list was expanded to include additional information that all comparator funds had included on their websites, such as information on contributions and disbursements.

Annex C.4: Efficiency of CIF Management

The administration and management of the CIF is governed by a principle of cost recovery, as established in the CTF and SCF governance frameworks that state that “compensation for administrative services and project related activities will be on the basis of full cost recovery for the entities, but should be guided by the principle of value for money, reasonableness and transparency.”¹³

Under the CIF, the cost of program delivery falls into two broad categories: (1) program-related costs, and (2) project-related costs. Program-related costs are covered by the CIF administrative budget, which is prepared annually by the CIF AU in coordination with the Trustee and the MDBs, and submitted to the joint meeting of the CTF-SCF Committees for review and approval. Project-related costs are recovered separately through payments for MDB project implementation services (MPIS). A diagram outlining these categories is provided in Figure 3.

Figure 3: Fee Structure for CIF Program and Project-Related Costs



Source: CIF Administration Costs: A Review of the Use of Budget Resources and Work Program Growth FY09-12, October 2011.

Administrative Budget

The CIF administrative budget is divided into four parts:¹⁴

- **Part A: Administration Services** – Part A covers services provided by the CIF AU, Trustee, and MDB Committees—as outlined in CTF and SCF design documents—in the areas of financial management, administration, and development and coordination of the CIF program. It is notable that the administrative budget covers costs of the MDB Committee; this reflects the CIF’s unique management structure and partnership arrangement with the MDBs.

¹³ Clean Technology Fund, June 9, 2008; Strategic Climate Fund, June 3, 2008.

¹⁴ CIF Administrative Costs: A Review of the Use of Budget Resources and Work Program Growth FY09-12, CTF-SCF/TFC.7/6, October 24, 2011.

- **Part B: Partnership Forum Expenses** – Part B covers the expenses of holding the Partnership Forum, which was initially conceived as an annual event, but is now held every 18 months at the determination of the CIF AU. Expenses include the venue, travel accommodations and per diem of eligible participants, and contractual services for logistics, hospitality, and interpretation.¹⁵
- **Part C: MDB Support to Country Programming** – Support for country programming involves MDB activities associated with scoping and joint missions as well as interim support for the development of a country or regional investment plan. Some post-endorsement activities may also be financed through the country programming budget, but these need to be justified as an eligible activity and must be distinct from activities covered through the MDB budget for project implementation services.
- **Part D: Special Initiatives** – Part D provides funding for special initiatives which have included a program for developing a sound system and infrastructure for financial and project management and reporting of CIF Trust Funds.

A summary of the administrative budgets for FY09-FY14 are provided below in Table 4.

Table 4: Revised and Proposed Administrative Expenses, FY09-FY14 (million USD)

Part	FY2009* (Revised)	FY2010 (Revised)	FY2011 (Revised)	FY2012 (Revised)	FY2013 (Revised)	FY2014 (Proposed)
A: Administrative Services						
Trustee	1.0	1.5	2.3	3.2	3.4	3.7
CIF AU	2.1	4.7	6.9	6.2	7.1	7.3
MDBs	3.3	4.5	5.5	5.9	6.3	6.6
Sub-Total	6.5	10.7	14.7	15.4	16.8	17.6
B: Partnership Forum	0.1	1.1	1.4	-	1.0	0.3
C: MDB Support for Country Programming	4.2	7.2	2.0	2.1	3.7	3.3
D: Special Initiatives	-	2.0	-	-	-	-
Total	10.7	21.0	18.1	17.4	21.4	21.2

* Represents expenditures from January 1 through June 30.

Sources: Climate Investment Funds Business Plan and FY10 Budget Paper, April 2009; CIF FY11 Administrative Budget, March 2010; CIF FY12 Business Plan and Administrative Budget, August 2011; CIF Administrative Costs: A Review of the Use of Budget Resources and Work Program Growth FY09-12, October 2011; CIF FY13 Business Plan and Budget, April 2012; FY14 Business Plan and Budget, April 2013; FY 14 Business Plan and Budget, August 1, 2013; Approval of Additional Allocation to be included in the FY14 CIF Administrative Budget, August 20, 2013.

A further breakdown of the budget allocated for specific activities covered by each entity under Part A is provided below in Table 5. As shown, the CIF AU has maintained year-over-year budget increases that are roughly on par with inflation since 2011, despite nearly doubling its staff.

¹⁵ Costs incurred by the CIF AU and MDB staff in planning, organizing, and participating in these events are not included under this part, but instead are included under Part A.

Table 5: Expenses by Administrative Service, FY09-FY14 (million USD)

Responsibility	FY2009* (Revised)	FY2010 (Revised)	FY2011 (Revised)	FY2012 (Revised)	FY2013 (Revised)	FY2014 (Proposed)
Trustee Responsibilities						
Financial management and relationship management	0.2	0.4	0.4	0.4	0.8	0.8
Investment management	0.0	0.3	0.8	1.0	1.4	1.6
Accounting and reporting	0.3	0.3	0.4	0.4	0.4	0.4
Legal services	0.2	0.2	0.2	0.2	0.1	0.1
One time Trust Fund fee	0.3	0.3	-	-	-	-
External Audit	-	0.1	0.7	1.2	0.7	0.8
Sub-Total	1.0	1.5	2.3	3.2	3.4	3.7
<i>Year over year percent change</i>		NA	53%	39%	6%	9%
CIF AU Responsibilities						
Facilitate the work of the TFCs and their SCs	0.3	0.7	1.0	0.7	0.8	0.9
Institutional relations management and partnership building	0.3	1.8	2.8	2.3	2.3	2.1
Policy and program development	1.2	1.7	2.5	2.7	3.3	3.7
Management and finance	0.3	0.5	0.6	0.6	0.7	0.7
Sub-Total	2.1	4.7	6.9	6.2†	7.1	7.3
<i>Year over year percent change</i>		NA	47%	-10%	15%	3%
MDB Responsibilities						
Integration of CIF in MDB policies/systems	0.7	1.8	2.3	2.2	2.0	2.0
Operational reporting	0.2	0.4	0.7	1.3	1.3	1.4
Participation in “corporate” CIF committees and fora	0.5	1.5	1.5	1.5	2.0	2.4
Financial management	0.4	0.9	0.8	0.9	1.0	0.8
Sub-Total	1.7	4.5	5.5	5.9	6.3	6.6
<i>Year over year percent change</i>		NA	22%	7%	7%	5%

* Represents expenditures from January 1 through June 30.

† The FY13 Business Plan and Budget attributes the lower utilized budget in FY12 to staff turnover and recruitment delays.

Sources: Climate Investment Funds Business Plan and FY10 Budget Paper, April 2009; CIF FY11 Administrative Budget, March 2010; CIF FY12 Business Plan and Administrative Budget, August 2011; CIF FY13 Business Plan and Budget, April 2012; FY14 Business Plan and Budget, April 2013.

The average cost per administrative activity/product—as presented below in Table 6—provides additional insight into the budget for administrative services. As shown, the average cost per activity/product has remained roughly consistent over time, with meeting costs varying most notably as a result of differences in site locations and the ability to group meetings with the Partnership Forum. These trends might be interpreted as an effort to constrain costs, even as the number of meetings, stakeholders, and data management responsibilities continues to grow.

Table 6: Average Cost per Work Program Activity/Product (USD)

Work Program Activity	FY2011 (Actual)	FY2012 (Actual)	FY2013 (Estimated)	FY2014 (Projected)
Partnership Forum*	1,434,000	NA	988,000	1,000,000
TFC/SC Meetings*	56,400	51,699	61,391	65,000
Pilot Country Meetings*	54,500	122,337	110,550	149,333
CIF Annual Report†	151,600	93,301	99,800	100,000
CIF Learning Products†	141,000	128,797	108,183	-
External Audits (MDB)	75,000	75,000	42,500	50,000
External Audits (Trustee)	150,000	75,000	42,500	50,000
CTF Joint Missions**	121,900	129,836	113,740*	128,000*
PPCR Joint Missions **	289,000	371,657	-	-
FIP Joint Missions**	-	297,005	-	-
SREP Joint Missions **	-	307,063	347,143	-

* Cost estimates cover venue, travel accommodation and per diem of eligible participants, travel for CIF Administrative Unit staff, and contractual services for logistics, hospitality and interpretation. Excluded are (a) time and travel for CIF Administrative Unit and MDB staff incurred in planning, organizing and participating in the Forum/meetings and (b) contributions by the co-hosting MDB, in the case of the Forum.

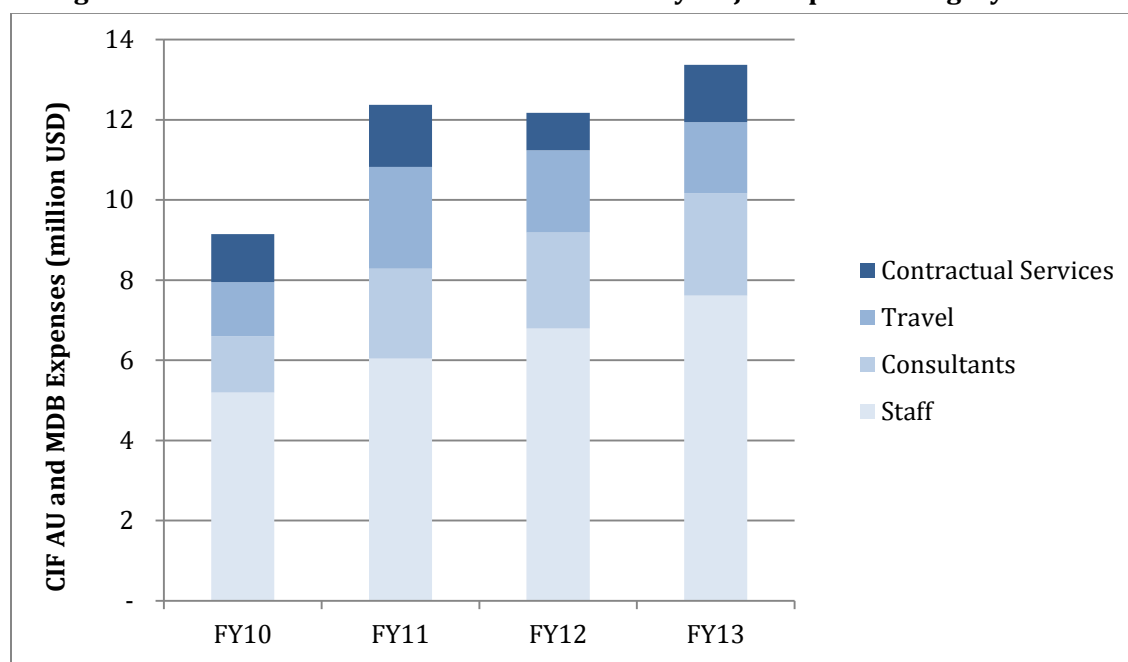
† Expenditures involve consultant time, travel, and contractual services.

* Joint missions conducted in support of investment plan updates/revisions. Expenditures involve staff and consultant time, travel, and contractual services.

Source: FY14 Business Plan and Budget, April 2013.

Relative to other expense categories, staff labor is responsible for the largest portion of administrative services costs. Figure 4 below presents the breakout of administrative costs by major expense category for the CIF AU and MDBs. As shown, across both entities, labor costs (including staff and consultants) represent as much as 75% of total costs.

Figure 4: CIF AU and MDB Administrative Costs by Major Expense Category FY10-FY13



Sources: CIF Administrative Costs: A Review of the Use of Budget Resources and Work Program Growth FY09-12, October 2011; FY13 Business Plan and Budget, April 2012; FY14 Business Plan and Budget, April 2013.

MDB Project Implementation Services

In addition to providing program-related support, costs are incurred by the MDBs for activities related to administration of CIF-funded projects and programs, including expenditures for incremental staff, consultants, travel and related costs of project development, appraisal, implementation support, and supervision and reporting. As noted above, an agreement was made in the design of the CTF and SCF that compensation for project-related activities would be on the basis of full cost recovery.¹⁶ Project-related costs are recovered through payments for MDB project implementation services (MPIS).

Clean Technology Fund. For loans and guarantees, cost recovery is provided through administrative fees paid by the borrower. For public sector operations, payments are made by recipient countries out of their own resources or capitalized from the loan or guarantee proceeds following effectiveness of the loan or guarantee. These payments are calculated as a percentage either on the undisbursed balance of the loan/guarantee (paid semi-annually) or on the total loan/guarantee (paid up-front). The terms of payment were initially set at 0.1 percent paid semi-annually or 0.25 percent paid up-front.¹⁷ In November 2011, these terms were increased to 0.18 percent and 0.45 percent, respectively, in response to a report from the MDB Committee showing that the average CTF project loans/guarantees was lower than expected, while MDB project costs were not—since they generally do not vary with the size of the lending operation—and thus full cost recovery was not achievable using the original fee structure.¹⁸

¹⁶ Clean Technology Fund, June 9, 2008; Strategic Climate Fund, June 3, 2008.

¹⁷ Based on an assumption that a 20 percent increase over the MDBs' project cycle costs for regular MDB operations, plus an additional \$25,000 for legal and loan department costs, plus a contingency, would yield full cost recovery.

¹⁸ Proposal to Revise the Payments for Project Implementation Support and Supervisions Services to CTF Public Sector Operations, October 2011.

For private sector projects, which vary in tenor and complexity, MPIS payments are not standardized. Instead, a customized budget request to cover MPIS costs over the life of a project must be submitted to the Trust Fund Committee for approval along with each project/program.¹⁹

For project grant financing under the CTF, MPIS are determined on a case-by-case basis, but cannot exceed 5 percent of the total grant. For project preparation grants (PPG), the MPIS is equal to 5 percent of the grant amount, paid by the Trust Fund to the MDB at the time of PPG approval.

In late 2011, the CTF Trust Fund Committee requested the MDBs to provide annual reports, starting in May 2012, on MPIS payments for CTF-funded operations. According to the report submitted in April 2012,²⁰ MPIS payments for private sector projects have ranged from 0.68 percent to 5.67 percent of CTF project funding. For public sector projects, borrowers for all but one project have opted for an up-front payment for MPIS. On average, across all CTF projects with approved MPIS through April 2012, MPIS payments represent approximately 0.81 percent of project funding.

Strategic Climate Fund. MPIS are proposed and approved on a case-by-case basis. SCF MPIS budget is provided for out of a ‘reserve’ that each of the three Sub-Committees agreed to set aside prior to determining the indicative ranges of allocations for investment plans, using a benchmark of \$475,000 per project.²¹ When MPIS costs are requested, they are identified as a separate component of the overall funding within each investment plan and submitted for approval to the Sub-Committees using a standardized template. To help estimate costs, adopted benchmarks that range from \$176,000 to \$973,000 for different types of projects (e.g., stand-alone, ongoing, and proposed) are used.²² If estimated costs are higher than the adopted benchmark for a given type of project, a rationale must be provided by the MDB. At the time of Sub-Committee endorsement, 50% of the MPIS is approved for transfer to the MDB; the remaining 50% is released for transfer when the project is approved. The average amount of MPIS fees approved per SCF project by program is presented below in Table 7.

Table 7: Average Amount of Approved MPIS Funding per Project by SCF Program (Million USD)

Fund	Number of Projects	Approved MPIS Funding/Project*	MPIS Funding as a Percent of Project Funding		
			High	Low	Average
SCF	91	0.52	30.6%	0.5%	3.4%
PPCR	54	0.54	22.0%	0.5%	3.3%
FIP	18	0.61	13.0%	1.6%	3.4%
SREP	19	0.40	30.6%	1.4%	3.7%

* Calculated by dividing total MPIS funding approved for the lifetime of the project by the total project value.

Source: FY14 Business Plan and Budget, April 2013; CIF Project Information System, January 2013.

Estimated MPIS Payments. Table 8, below, presents estimated MPIS costs for all programs for FY09-FY14, as presented in the *FY14 Business Plan and Budget* (April 2013). These costs represent a combination of estimated and anticipated payments transferred to the MDBs each year, as dictated by the terms of

¹⁹ CTF Private Sector Operations Guidelines, October 2012.

²⁰ MDB Report on Payments for Project Implementation Support and Supervision Services, April 2012.

²¹ MDB Project Implementation Services under SCF's Targets Programs – Sources of Funding and Implementation Arrangements, June 2011.

²² MDB Project Implementation Services under SCF's Targets Programs – Sources of Funding and Implementation Arrangements, June 2011.

payment described above. Actual MPIS payments are not readily tabulated, given that MDBs have just begun reporting MPIS received for CTF-funded operations as of May 2012.

Table 8: Estimated MPIS Costs, FY09-FY14 (million USD)

Fund	FY2009	FY2010	FY2011	FY2012	FY2013	FY2014
CTF	0.3	1.3	2.6	0.9	3.8	4.5
PPCR	-	-	1.9	3.3	11.9	16.6
FIP	-	-	-	0.5	2.4	10.5
SREP	-	-	-	0.5	1.9	10.0
Total	0.3	1.3	4.5	5.2	19.9	41.5

* For the SCF, MPIS costs are estimated using \$475,000 as a benchmark; for the CTF, MPIS are estimated as 0.25 percent and 0.45 percent of project funding, depending on the date of approval.

Source: FY14 Business Plan and Budget, April 2013.

Benchmarking CIF program delivery costs

Across the CIF, total program and project delivery costs (administrative plus MPIS costs) are projected to represent 3.3 percent of cumulative Committee approvals for projects and programs by FY2014. Broken out by fund, these costs are projected to represent 1.4 percent and 7.5 percent for the CTF and SCF, respectively. The CTF ratio is lower due to the larger volume of lending under individual operations, while the SCF ratio is a bit higher due mainly to the larger amount of funding spent up front to conduct joint missions. Table 9 below summarizes the relationship between program and project related delivery costs and total project funding.

Table 9: Program and Project-Related Costs Relative to Project Approvals, FY09-FY14 (million USD)

	FY2009 (Revised)	FY2010 (Revised)	FY2011 (Revised)	FY2012 (Revised)	FY2013 (Revised)	FY2014 (Estimate)	Total
Admin Costs	10.7	21.0	18.5*	17.4	21.4	21.2	110.2
MPIS Costs	0.3	1.3	4.5	5.2	19.9	41.5	72.7
Total Costs	11.0	22.4	23.0	22.6	41.3	62.7	183.0
Committee Approvals for Projects/Programs	116	508	1,087	565	1,359	1,956	5,590
Ratio of Total Costs to Project Funding							3.3%

* This number reflects the total costs presented in the *FY14 Business Plan and Budget (April 2013)* report. It differs slightly from the breakdown of the budget presented in the *CIF FY12 Business Plan and Administrative Budget (August 2011)* report, which was used to inform the other graphs and tables in this section.

Source: CIF FY13 Business Plan and Budget, April 2012; FY14 Business Plan and Budget, April 2013. ; FY 14 Business Plan and Budget, August 1, 2013; Approval of Additional Allocation to be included in the FY14 CIF Administrative Budget, August 20, 2013

Comparisons of program delivery costs are often potentially misleading as there are variations in what administrative functions are performed and budgeted for to manage each fund, as well as what costs are internalized in project overhead costs (as opposed to charged directly to the project budget). Because the CIF use a different structure for accounting administrative and project delivery costs, a direct comparison with the GEF cannot be easily made, although some benchmarking is possible. The CIF include corporate budget for MDBs in the administrative budget, and a separate line item for MPIS, whereas the GEF implicitly include corporate budget for MDBs through their project fee structure.

In the fifth GEF replenishment period through 2012, the administrative budget has represented about 3 percent of total Council and CEO funding approvals (including project fees).²³ In 2012, the CIF administrative budget represented about 2 percent of Committee approvals plus MPIS.

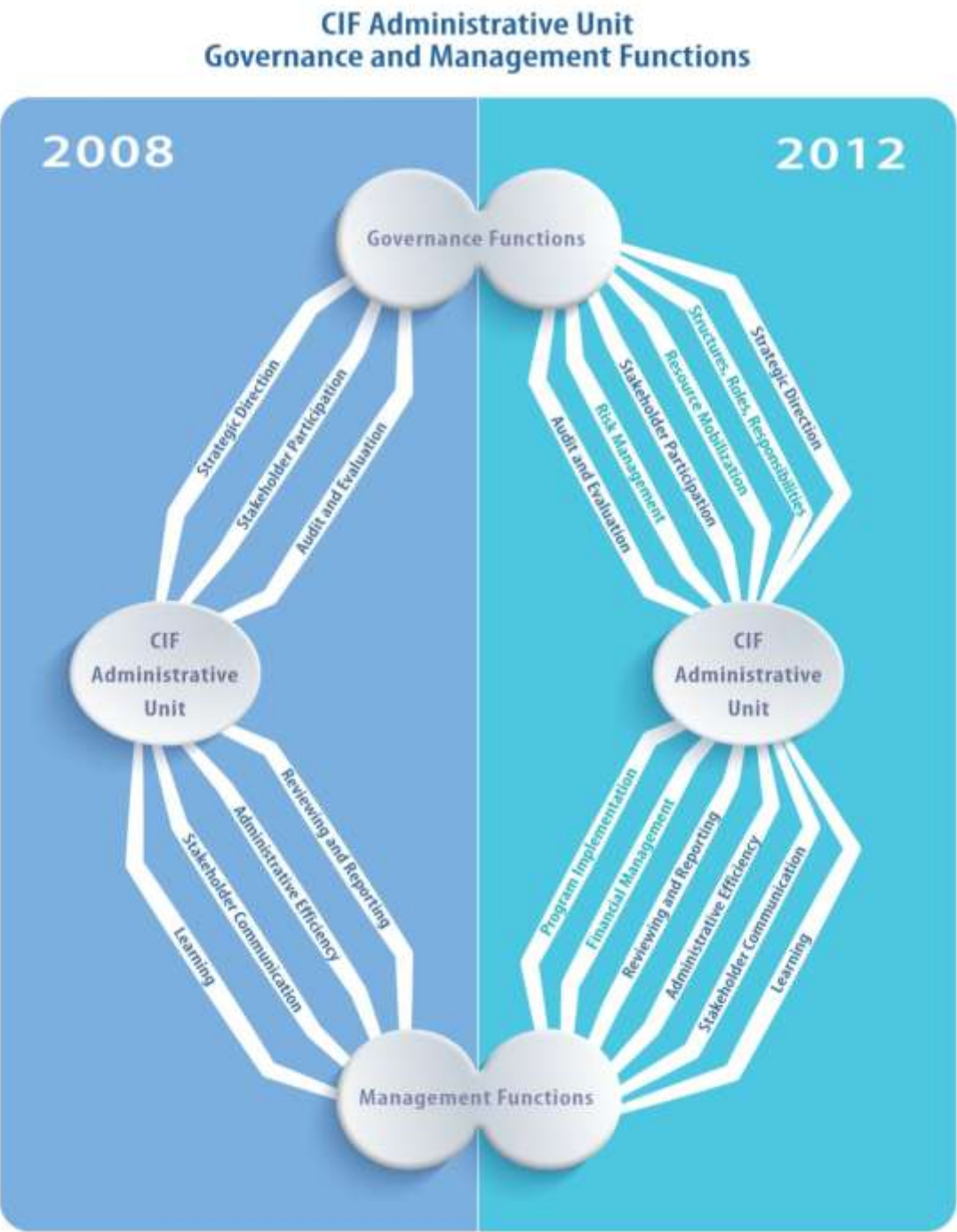
These percentages, however, do not control for differences in function. A key difference is that the GEF Secretariat performs technical review of project proposals; while the CIF AU does not conduct such review, contracting for expert reviewers for SCF investment plans is included in the CIF administrative budget. Additionally, the GEF and CIF are in different stages as trust funds; the CIF is in an earlier, transitional phase, moving from investment plan preparation and programming to approval and implementation of individual projects, whereas the GEF has been implementing projects for several decades now. Administrative costs as a share of total expenditures often decline as global programs mature, reflecting start-up and organizing costs, as well as sometimes steep learning curves, in early the phases.²⁴

²³ Based on financial data through December 31, 2012, as provided in: GEF Trust Fund Financial Report. GEF/R.6/Inf.02. March 13, 2013. Available at:

http://www.thegef.org/gef/sites/thegef.org/files/documents/GEF.R.6.Inf_02%20GEF%20Financial%20Status%20Report.pdf

²⁴ See for example: IEG (Independent Evaluation Group). 2012. "Global Facility for Disaster Reduction and Recovery." Global Program Review Vol. 6, Issue 2.

Annex C.5: Growth in CIF AU Responsibilities



The figure above illustrates evolution in the Administrative Unit’s role between 2008 and 2012. The Administrative Unit’s responsibilities as outlined in the CTF and SCF Governance Frameworks, adopted in November 2008, have been grouped into governance and management functions on the left-hand side of the figure. Trust Fund Committee and Sub-Committee Meeting Summaries from 2009 through 2012 were also reviewed to determine additional governance and management functions that are performed by the Administrative Unit in practice. As depicted on the right-hand side of the figure, over time the Administrative Unit’s responsibilities have expanded to include structures, roles and responsibilities, resource mobilization, risk management, program implementation, and financial management.

Annex C.6: Consistency with CTF Investment Criteria

The table below presents the results of the evaluation's review of project documents submitted to the CTF Trust Fund Committee for projects approved as of June 30, 2013, against the CTF investment criteria, as specified in the *Clean Technology Fund Investment Criteria for Public Sector Operations* (February 9, 2009).

Investment Criteria		Total	Public Sector Projects	Private Sector Projects	Projects Approved by Year of Approval				
					2009	2010	2011	2012	2013
Potential for GHG Emissions Savings	Project document calculates CO2-eq emission savings	82%	100%	70%	100%	85%	63%	88%	80%
	Emission reductions are shown for the total project	82%	100%	70%	100%	85%	63%	88%	80%
	Emission reductions are calculated using the method specified in the investment criteria	23%	56%	0%	20%	23%	25%	25%	20%
Cost Effectiveness	Cost per ton of CO2-eq calculated	74%	94%	61%	80%	85%	50%	75%	80%
	CTF \$/CTF reductions provided	3%	6%	0%	0%	0%	0%	0%	20%
	CTF \$/total project reductions provided	74%	94%	61%	80%	85%	50%	75%	80%
	Total project \$/total project reductions provided	3%	6%	0%	0%	0%	0%	0%	20%
	Project document discusses expected reduction in the cost of technology	38%	63%	22%	60%	46%	13%	25%	60%
	Project document quantifies expected reduction in the cost of technology	13%	31%	0%	20%	15%	0%	13%	20%
Demonstration Potential at Scale	Project document discusses transformation or replication potential	95%	100%	91%	100%	92%	100%	88%	100%
	Project document quantifies transformation or replication potential	46%	69%	30%	40%	38%	50%	38%	80%
	Project document describes the mechanism by which the project will be replicated or transformational	64%	88%	48%	60%	77%	38%	63%	80%
	Ratio of GHG emissions trajectories provided	10%	25%	0%	20%	15%	13%	0%	0%
Implementation Potential	Project document discusses institutional capacity to implement projects	90%	100%	83%	100%	92%	75%	88%	100%
	Project document discusses the regulatory and policy environment	85%	100%	74%	100%	92%	75%	88%	60%
Justification for Additional Costs and Risk Premium	Project document specifies economic rate of return	33%	75%	4%	40%	31%	25%	50%	20%

Annex D.1: MDB Safeguards

Table 10: MDB Safeguard Policies

MDB	Safeguard Policies
World Bank	<ul style="list-style-type: none"> Physical Cultural Resources (2006) Indigenous Peoples (2005) Forests (2002) Disputed Areas (2001) Involuntary Resettlement (2001) International Waterways (2001) Natural Habitats (2001) Safety of Dams (2001) Environmental Assessment (1999) Pest Management (1998)
IFC	<ul style="list-style-type: none"> IFC Sustainability Framework (2011)
EBRD	<ul style="list-style-type: none"> Environmental and Social Policy (2008)
AfDB	<ul style="list-style-type: none"> Integrated Safeguards Policy Statement (2013) Policy on the Environment (2004) Bank Group Policy on Poverty Reduction (2004) Involuntary Resettlement Policy (2003) The Gender Policy (2001) Agriculture and Rural Development Sector Bank Group Policy (2000) Policy for Integrated Water Resources Management (2000) Cooperation with Civil Society Organizations (1999)
ADB	<ul style="list-style-type: none"> Safeguard Policy Statement (2009)
IDB	<ul style="list-style-type: none"> Operational Policy on Gender Equality in Development (2010) Access to Information Policy (2010) Disaster Risk Management Policy (2007) Environment and Safeguards Compliance Policy (2006) Operational Policy on Indigenous Peoples (2006) Involuntary Resettlement Policy (1998)

Source: Developed based upon AfDB (2012), Integrated Safeguards System Working Progress, March 2012 and review of MDB websites.

AfDB (2012) found that most MDB safeguards share an overarching safeguard, a set of supplementary safeguards addressing specific environmental and social risks, and a high degree of consistency in the risk areas that are covered, as shown below in Table 11.

Table 11: Coverage of Risk Areas by MDB Safeguards

Risk Area	World Bank	IFC	ADB	EBRD	IDB
Environmental and Social Assessment	Yes	Yes	Yes	Yes	Yes
Involuntary Resettlement	Yes	Yes	Yes	Yes	Yes
Pollution Prevention	Yes	Yes	Yes	Yes	Yes
Biodiversity	Yes	Yes	Yes	Yes	Yes
Community Impacts	No	Yes	Yes	Yes	No
Labor Conditions	No	Yes	Yes	Yes	No
Indigenous People	Yes	Yes	Yes	Yes	Yes
Cultural Heritage	Yes	Yes	Yes	Yes	Yes
Environmental Flows	Yes	No	No	No	No

Source: AfDB (2012), Integrated Safeguards System Working Progress, March 2012.

Annex D.2: MDB Policies Related to Free, Prior, and Informed Consent

Most MDB safeguard requirements are along the lines of informed consultation with indigenous peoples, rather than consent:

- The World Bank Group's indigenous peoples' policy OP 4.10 requires "free, prior, and informed consultation" and "broad community support."²⁵
- ADB requires "consent of affected Indigenous Peoples communities" to certain project activities.²⁶
- IDB safeguards require that to be eligible for financing, project "implement consultation, good faith negotiation, and agreement or consent mechanisms."²⁷
- EBRD requires projects to "engage in informed consultation and participation with the affected indigenous communities" in Performance Requirement 7.²⁸
- AfDB's Integrated Safeguards System Policy Statement requires "consultation that is free, prior and informed" and "broad community support, especially for...projects affecting indigenous peoples."²⁹

²⁵ World Bank. OP 4.10 – Indigenous Peoples. Available at:

<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/EXTPOLICIES/EXTOPMANUAL/0,,contentMDK:20553653~menuPK:4564185~pagePK:64709096~piPK:64709108~theSitePK:502184,00.html>

²⁶ ADB. Safeguard Policy Statement. June 2009. Available at: <http://www.adb.org/sites/default/files/pub/2009/Safeguard-Policy-Statement-June2009.pdf>

²⁷ IDB. Operational Policy on Indigenous Peoples and Strategy for Indigenous Development. July 2006. Available at: <http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=35773490>

²⁸ EBRD. Performance Requirement 7 (PR 7) – Indigenous Peoples. Available at: <http://www.ebrd.com/downloads/research/guides/indp.pdf>

²⁹ AfDB's Integrated Safeguards System Policy Statement and Operational Safeguards, December 2013. Available at <http://www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/December%202013%20-%20AfDB%E2%80%99S%20Integrated%20Safeguards%20System%20%20-%20Policy%20Statement%20and%20Operational%20Safeguards.pdf>.

Annex E: CIF Programming Cycle

Annex E.1: Projects in Implementation

The following tables present CTF, PPCR, FIP, and SREP projects considered in implementation as of March 2014. Data on MDB-approved projects was provided by the CIF AU on April 29, 2014.

Table 12: CTF Projects in Implementation (as of March 2014)

Country	Project Title	MDB	Public/ Private	CIF Funding	IP Endorse- ment	CIF Approval Date	MDB Board Approval
Turkey	Commercializing Sustainable Energy Finance Program (CSEF)	IFC	Private	21.70	Jan-09	Sep-09	May-10
Turkey	Turkish Private Sector Sustainable Energy Financing Facility(TurSEFF)	EBRD	Private	43.25	Jan-09	Jan-10	May-10
Turkey	Turkish Private Sector Sustainable Energy Financing Facility(TurSEFF)	EBRD	Private	6.75	Jan-09	Sep-10	Jul-11
Vietnam	Sustainable Energy Finance Program	IFC	Private	8.60	Dec-09	Sep-10	Nov-11
South Africa	EE Program	IFC	Private	7.50	Oct-09	Oct-10	May-11
Thailand	Sustainable Energy Finance Program(T-SEF)	IFC	Private	30.00	Dec-09	Oct-10	Jun-11
Colombia	Sustainable Energy Finance Program	IFC	Private	6.74	Mar-10	Dec-10	May-11
Turkey	Private Sector Bank-Intermediated Project(TURSEFF II, ResiSEFF, Mun SEFF	EBRD	Private	39.00	Feb-13	May-13	Feb-14
Turkey	Private Sector Bank-Intermediated Project(TURSEFF II, ResiSEFF, Mun SEFF	EBRD	Private	31.00	May-13	May-13	Feb-14
Mexico	Private Sector Wind Development(La Ventosa)	IFC	Private	15.60	Jan-09	May-09	Jul-10
Mexico	Renewable Energy Program	IDB	Private	53.38	Jan-09	Nov-09	Jun-10
Thailand	Renewable Energy Accelerator Program(TSEFF)	IFC	Private	40.00	Dec-09	Jun-10	May-11
Philippines	RE Accelerator Program (REAP)	IFC	Private	20.00	Dec-09	Sep-10	Feb-12
Ukraine	Renewables Direct Lending Facility-Creating Markets for Renewable Power	EBRD	Private	27.60	Mar-10	Sep-10	Apr-12
South Africa	Sustainable Energy Acceleration Program	IFC	Private	42.50	Oct-09	Oct-10	Oct-11
Kazakhstan	District Heating Modernization Framework	EBRD	Private	34.00	Mar-10	Jan-11	Mar-11
Kazakhstan	Renewable Energy I-Waste Management Framework	EBRD	Private	22.46	Mar-10	Jun-11	Dec-12
Kazakhstan	Renewable Energy II-Kazakh Railways Sustainable Energy Program	EBRD	Private	7.26	Mar-10	Nov-11	Nov-13
Ukraine	Renewable Energy II - Novoazovsk Wind Project	EBRD	Private	20.69	Mar-10	Mar-12	Oct-12
Thailand	Private Sector Renewable Energy program	ADB	Private	100.00	Feb-12	May-12	Jun-12
Ukraine	Renewable Energy Program	IFC	Private	24.96	Mar-10	Jun-13	Nov-13
Indonesia	Private Sector Geothermal Energy Program	ADB	Private	150.00	May-13	Oct-13	Dec-13

Turkey	Private Sector RE and EE Project	IBRD	Public	100.00	Jan-09	Mar-09	May-09
Mexico	Urban Transport Transformation Project	IBRD	Public	200.00	Jan-09	Oct-09	Mar-10
Egypt	Wind Power Development Project(Transmission)	IBRD	Public	150.00	Jan-09	May-10	Jun-10
Mexico	Efficient Lighting and Appliance Project	IBRD	Public	50.00	Jan-09	Sep-10	Nov-10
South Africa	ESKOM Renewable Support Project-Wind	AfDB	Public	50.00	Oct-09	Nov-10	May-11
South Africa	ESKOM Renewable Support Project-Wind	IBRD	Public	50.00	Oct-09	Nov-10	Oct-11
South Africa	ESKOM Renewable Support Project-CSP	AfDB	Public	50.00	Oct-09	Nov-10	May-11
South Africa	ESKOM Renewable Support Project-CSP	IBRD	Public	200.00	Oct-09	Nov-10	Oct-11
Indonesia	Indonesia Geothermal Clean Energy Investment Project	IBRD	Public	125.00	Mar-10	Dec-10	Jul-11
CSP-MENA	Morocco Ouarzazate CSP	IBRD	Public	97.00	Dec-09	Jun-11	Nov-11
CSP-MENA	Morocco Ouarzazate CSP	AfDB	Public	100.00	Dec-09	Jun-11	May-12
Colombia	Strategic Public Transportation Systems Program(SETP)	IDB	Public	20.00	Mar-10	Aug-11	Sep-11
Mexico	Public Sector Renewable Energy	IDB	Public	70.61	Jan-09	Oct-11	Nov-11
Morocco	One Wind Energy Plan	AfDB	Public	125.00	Oct-11	Oct-11	Jun-12
Vietnam	Vietnam Distribution Efficiency Project	IBRD	Public	30.00	Dec-09	Jun-12	Sep-12
Mexico	ECOCASA Program-Energy Efficiency Program Part II	IDB	Public	51.61	Jan-09	Aug-12	Dec-12
Philippines	Energy Efficient Electric Vehicles project	ADB	Public	105.00	Aug-12	Oct-12	Dec-12
Colombia	Energy Efficiency Financing Program for the Services Sector	IDB	Public	11.05	May-13	Jun-13	Sep-13
Colombia	Technological Transformation Program for Bogota's Integrated Public Transport System(BOGOTA SITP)	IDB	Public	40.00	May-13	Jul-13	Oct-13
India	Solar Park: Rajasthan	ADB	Public	200.00	Aug-12	Jul-13	Sep-13
Vietnam	Vietnam Transport (HCMC)	ADB	Public	50.00	Dec-09	Sep-13	Feb-14

Table 13: PPCR Projects in Implementation (as of March 2014)

Country	Project Title	MDB	Public/ Private	CIF Funding	IP Endorse- ment	CIF Approval Date	MDB Board Approval
Tajikistan	Improvement of Weather, Climate and Hydrological Service Delivery	IBRD	Public	7.00	Nov-10	Mar-11	May-11
Caribbean-Grenada	Regional Disaster Vulnerability Reduction Project	IBRD	Public	16.20	Apr-11	May-11	Jun-11
Caribbean-St. Vincent & The Grenadines	Regional Disaster Vulnerability Reduction Project	IBRD	Public	10.00	Apr-11	May-11	Jun-11
Bangladesh	Technical Assistance 1: Climate Change Capacity Building and Knowledge Management	ADB	Public	0.50	Nov-10	Jun-11	Aug-11

Nepal	Technical Assistance 1: Mainstreaming Climate Change Risk Management in Development	ADB	Public	7.16	Jun-11	Oct-11	Dec-11
Cambodia	Component 3-Project 1- Climate Proofing of Roads in Prey Veng, Svay Rieng, Kampong Chang and Kampong Speu Provinces	ADB	Public	17.00	Jun-11	Nov-11	Dec-11
Niger	Community Action Project for Climate Resilience (CAPCR)	IBRD	Public	63.65	Nov-10	Nov-11	Jan-12
Tajikistan	Building Capacity for Climate Resilience	ADB	Public	6.00	Nov-10	Apr-12	Jun-12
Mozambique	Baixo Limpopo Climate Resilient Agriculture Report(BL-CRAP)	AFDB	Public	15.75	Jun-11	May-12	Sep-12
Mozambique	Climate Change and Technical Assistance Project	IBRD	Public	2.00	Jun-11	May-12	Jun-12
Niger	Project for the Improvement of Climate Forecasting Systems and Operationalization of Early Warning Systems (PDIPC)	AFDB	Public	13.00	Nov-10	May-12	Sep-12
Niger	Water Resources Mobilization and Development Project(PROMOVARE)	AFDB	Public	22.00	Nov-10	Jul-12	Sep-12
Cambodia	Component 4-Cluster Technical Assistance: Mainstreaming Climate Resilience into Development Planning of Key Vulnerable Sectors	ADB	Public	7.00	Jun-11	Aug-12	Oct-12
Mozambique	Sustainable Land and Water Management	AFDB	Public	15.75	Jun-11	Aug-12	Oct-12
Nepal	Building Resilience to Climate-Related Hazards	IBRD	Public	31.00	Jun-11	Aug-12	Jan-13
Bangladesh	Investment Project 3 : Coastal Climate Resilient Water Supply, Sanitation, and Infrastructure Improvement-Component 2- Climate Resilient Infrastructure Improvement in Coastal Zone Project	ADB	Public	30.60	Nov-10	Sep-12	Sep-12
Nepal	Building Climate Resilient Communities Through Private Sector Participation	IFC	Private	9.00	Jun-11	Sep-12	Jan-13
Cambodia	Component 3-Project 2-Climate Proofing Infrastructure in the Southern Economic Corridor Towns	ADB	Public	10.00	Jun-11	Oct-12	Dec-12
South Pacific-Samoa	Enhancing the Climate Resilience of the West Coast Road(Apia to Airport)	IBRD	Public	15.00	Apr-11	Oct-12	Dec-12
Cambodia	Component 1-Project 2-Enhancement of Flood and Drought Management in Pursat	ADB	Public	9.96	Jun-11	Oct-12	Dec-12
Mozambique	Climate Resilience: Transforming Hydrometeorological Services	IBRD	Public	15.00	Jun-11	Jan-13	Apr-13
South Pacific-Regional Track	Pacific Region: Implementation of the Strategic Program for Climate Resilience	ADB	Public	3.89	Apr-12	Feb-13	Apr-13
Tajikistan	Environmental Land Management and Rural Livelihoods	IBRD	Public	9.45	Nov-10	Feb-13	Mar-13
Zambia	Strengthening Climate Resilience in Zambia and the Barotse Sub-Basin	IBRD	Public	37.00	Jun-11	Feb-13	May-13
Cambodia	Climate-Resilient Rice Commercialization Sector Development Program	ADB	Public	10.00	Jun-11	Mar-13	Jun-13
Yemen	Climate Information System and PPCR program Coordination	IBRD	Public	19.00	Apr-12	Mar-13	Sep-13
Bangladesh	Coastal Embankment Improvement Project	IBRD	Public	25.00	Nov-10	Apr-13	Jun-13
Tajikistan	Building Climate Resilience in the Pyanj River Basin	ADB	Public	22.30	Nov-10	Jun-13	Jul-13
Nepal	Building Climate Resilience of Watersheds in Mountain Eco-Systems	ADB	Public	24.44	Jun-11	Aug-13	Sep-13
Bangladesh	Technical Assistance 2: Feasibility Study for a Pilot program of Climate Resilient Housing in the Coastal Region	IFC	Private	0.40	Nov-10	Aug-13	Sep-13
Zambia	Strengthening Climate Resilience in the Kafue Sub-Basin	AFDB	Public	39.00	Jun-11	Sep-13	Oct-13
South Pacific-Samoa	Enhancing the Climate Resilience of Coastal Resources and Communities	IBRD	Public	15.00	Apr-11	Oct-13	Dec-13
South Pacific-Tonga	Climate Resilience Sector Project	ADB	Public	20.00	Apr-12	Oct-13	Dec-13

Mozambique	Roads and Bridges Management and Maintenance Program-APL2	IBRD	Public	15.75	Jun-11	Oct-13	Dec-13
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Table 14: FIP Projects in Implementation (as of March 2014)

Country	Project Title	MDB	Public/ Private	CIF Funding	IP Endorse- ment	CIF Approval Date	MDB Board Approval
Brazil	Forest Information to Support Public and private Sectors in Managing Initiatives Focused on Conservation and Valorization of Forest Resources	IDB	Public	16.55	May-12	Oct-13	Dec-13
Burkina Faso	Decentralized Forest and Woodland Management(PGDDF)	IBRD	Public	18.00	Nov-12	Oct-13	Jan-14
Burkina Faso	Gazetted Forests Participatory Management Project for REDD+ (PGFC/REDD+)	AFDB	Public	12.00	Nov-12	Oct-13	Nov-13
Ghana	Engaging Local Communities in REDD+/Enhancing Carbon Stocks	AFDB	Public	10.00	Nov-12	Sep-13	Jan-14
DRC	Integrated REDD+ Project in the Mbuji Mayi/Kananga and Kisangani Basins	AFDB	Public	22.30	Jun-11	Aug-13	Sep-13
Lao PDR	Smallholder Forestry Project(Technical Assistance-MDB Approval Not Required)	IFC	Private	3.30	Jan-12	Jun-13	Jun-13
Lao PDR	Scaling-Up Participatory Sustainable forest Management(PSFM)	IBRD	Public	13.33	Jan-12	Apr-13	May-13
Mexico	Support for Forest Related Micro, Small, and Medium-sized Enterprises (MSMEs) in Ejido	IDB	Private	3.00	Oct-11	Mar-13	Apr-13
Mexico	Financing Low Carbon Strategies in Forest Landscapes.	IDB	Public	15.00	Oct-11	Sep-12	Nov-12
Mexico	Mexico Forests and Climate Change Project	IBRD	Public	42.00	Oct-11	Nov-11	Jan-12

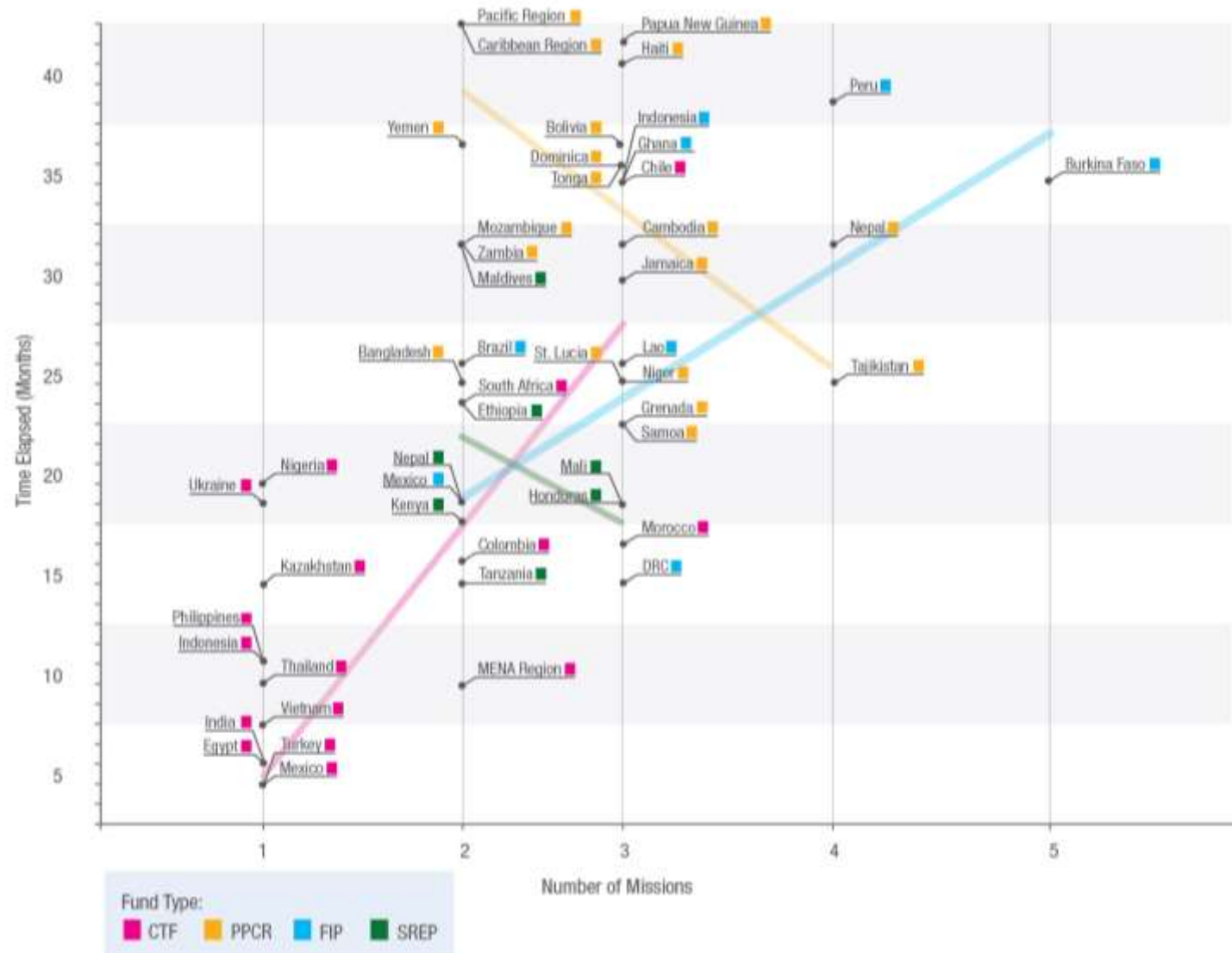
Table 15: SREP Projects in Implementation (as of March 2014)

Country	Project Title	MDB	Public/ Private	CIF Funding	IP Endorse- ment	CIF Approval Date	MDB Board Approval
Kenya	Menengai Geothermal Project-200 MW Geothermal-Phase A-Resource and Infrastructure Development and Mobilization of Private Sector	AFDB	Public	25.00		Sep-11	Nov-11
Honduras	Strengthening the RE Policy and Regulatory Framework(FOMPIER)	IDB	Public	0.85		Nov-11	Oct-12
Honduras	Sustainable Rural Energization(ERUS)-Part I & III: Promoting Sustainable Business Models for Clean Cookstoves Dissemination	IDB	Private	2.95	Financial	Nov-11	Oct-13
Mali	Rural Electrification Hybrid Systems	IBRD	Public	15.40		Nov-11	Oct-13
Ethiopia	Geothermal Sector Strategy and Regulations	IFC	Private	1.50	Financial	Mar-12	Jan-14

Annex E.2: Country Selection to Investment Plan Endorsement

Figure 5 below summarizes the total number of months elapsed between **country selection** and **investment plan endorsement** for each program participant, as well as the number of missions conducted in support of plan preparation.

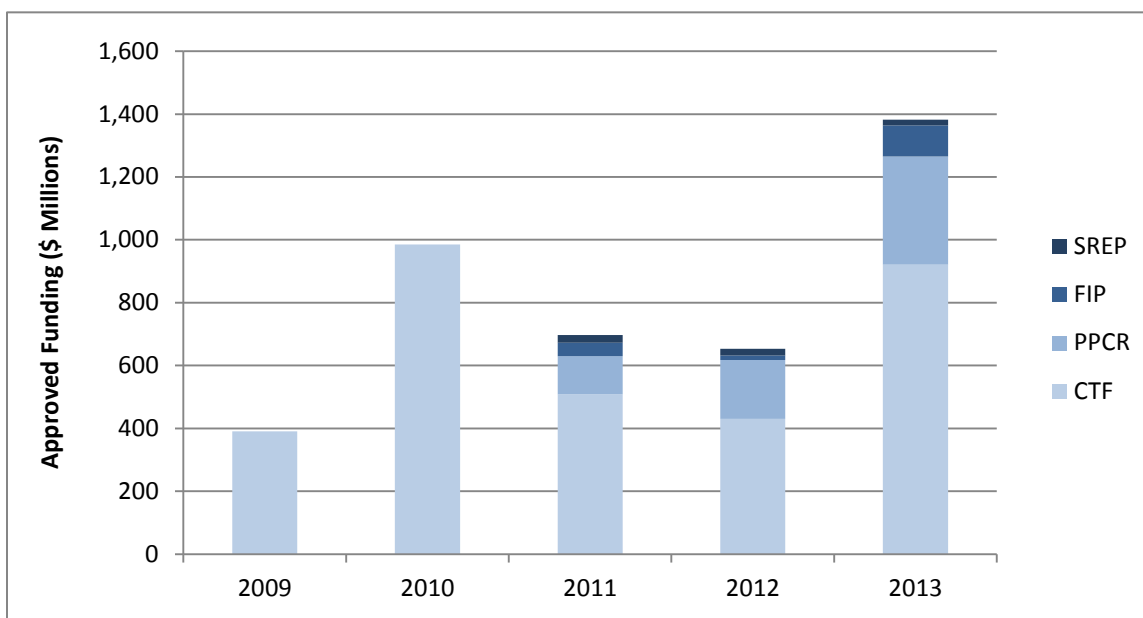
Figure 5: Time Elapsed between Country Selection and IP Endorsement and Number of Missions



Sources: CIF Project Information System, January 2013; Data on the number of missions compiled from the CIF website, joint mission completion reports, and investment plans.

Annex E.3: Plan Endorsement to Committee Project Approval

Figure 6: Committee Approved Funding by Year



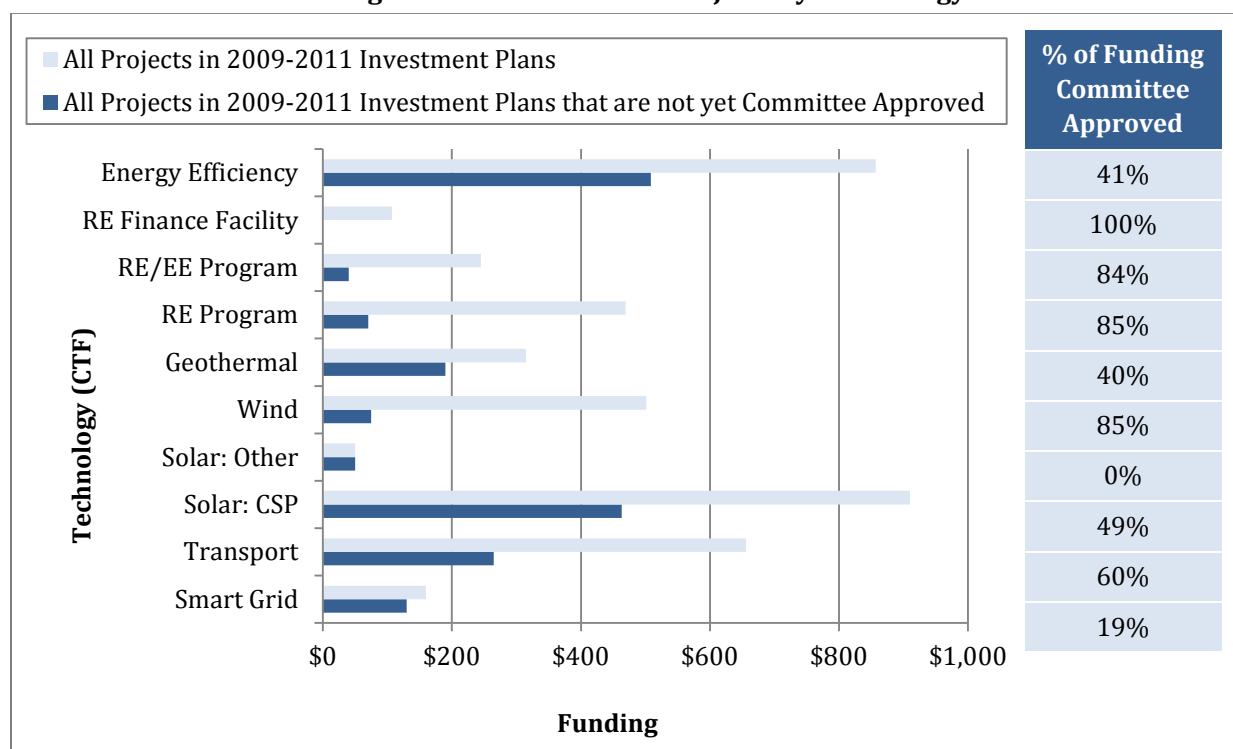
*Reflects committee approvals through December 2013.

Source: CIF Project Database, as provided by the CIF AU on December 3, 2013. Information from the database was supplemented with information on the CIF website to show approves through 2013.

Annex E.4: Analysis of Potential Delay Factors

To identify patterns of delay, the characteristics of all projects included in investment plans endorsed in 2009-2011 were compared to the characteristics of projects that have not yet been approved by the CIF committees.

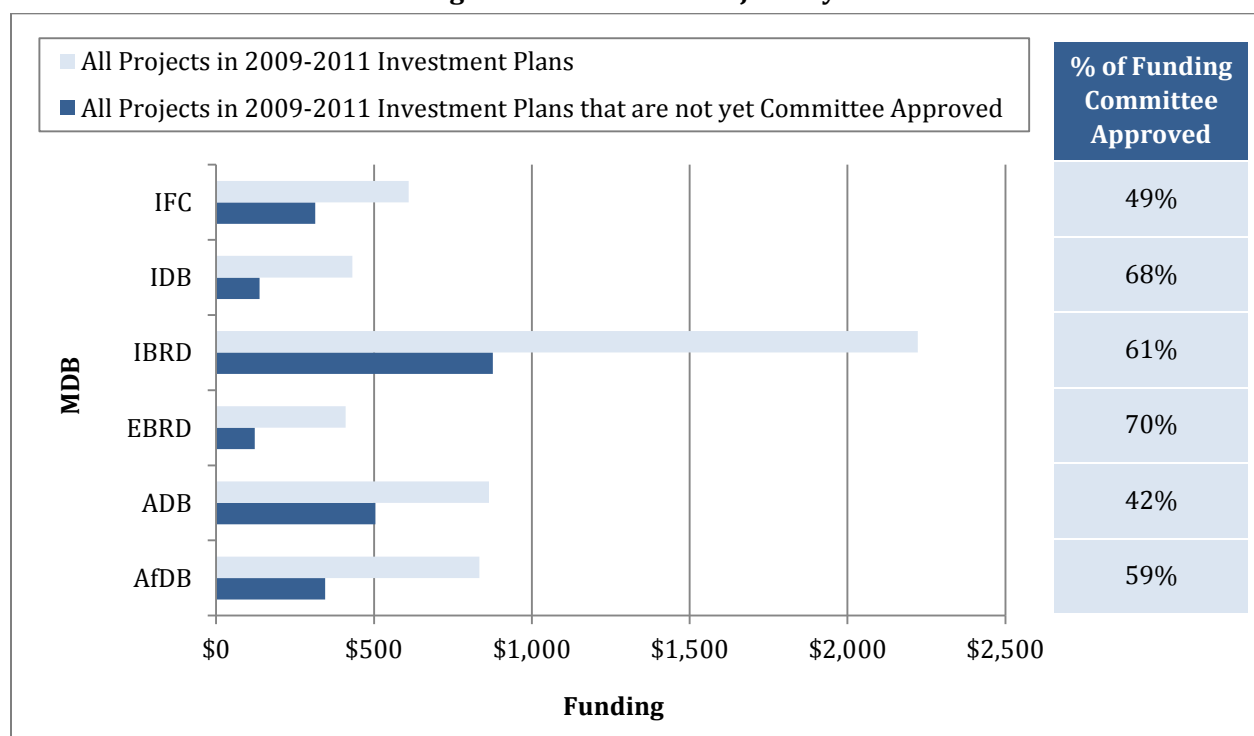
Figure 7: 2009-2011 CTF Projects by Technology



*Reflects committee approvals through July 2013.

Source: CIF Project Database, as provided by the CIF AU on December 3, 2013.

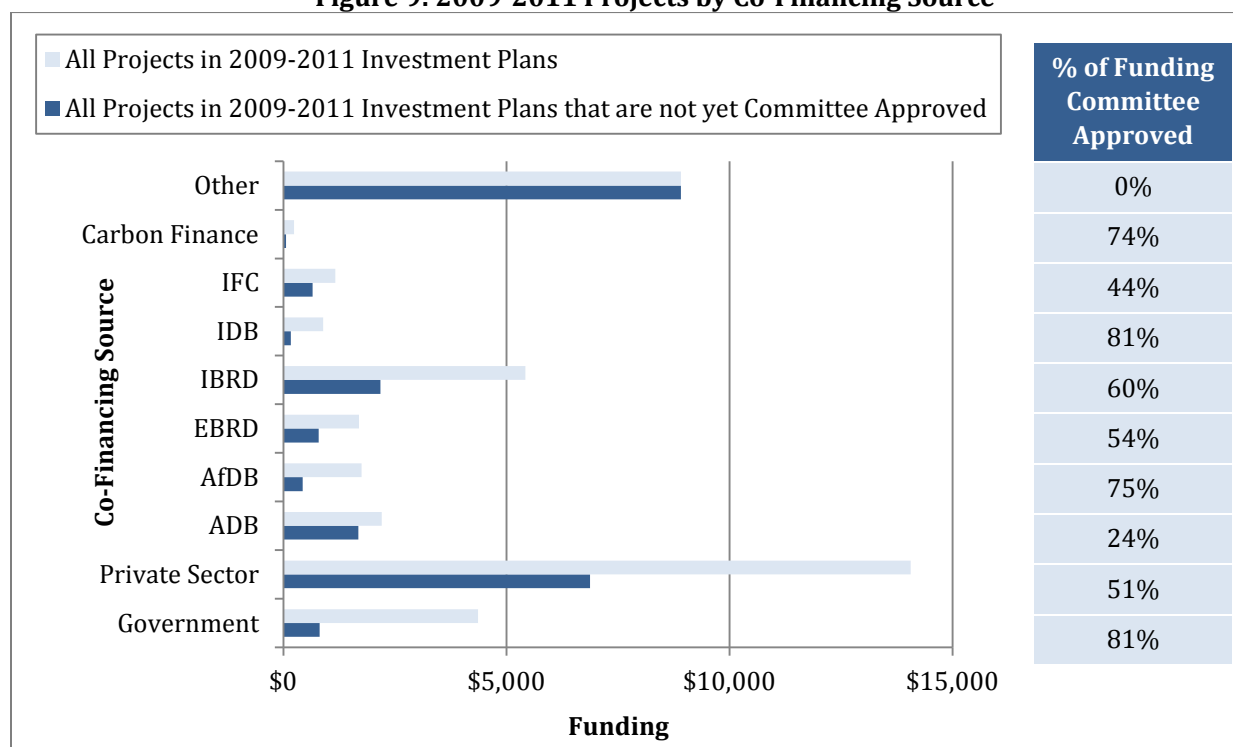
Figure 8: 2009-2011 Projects by MDB



*Reflects committee approvals through July 2013.

Source: CIF Project Database, as provided by the CIF AU on December 3, 2013.

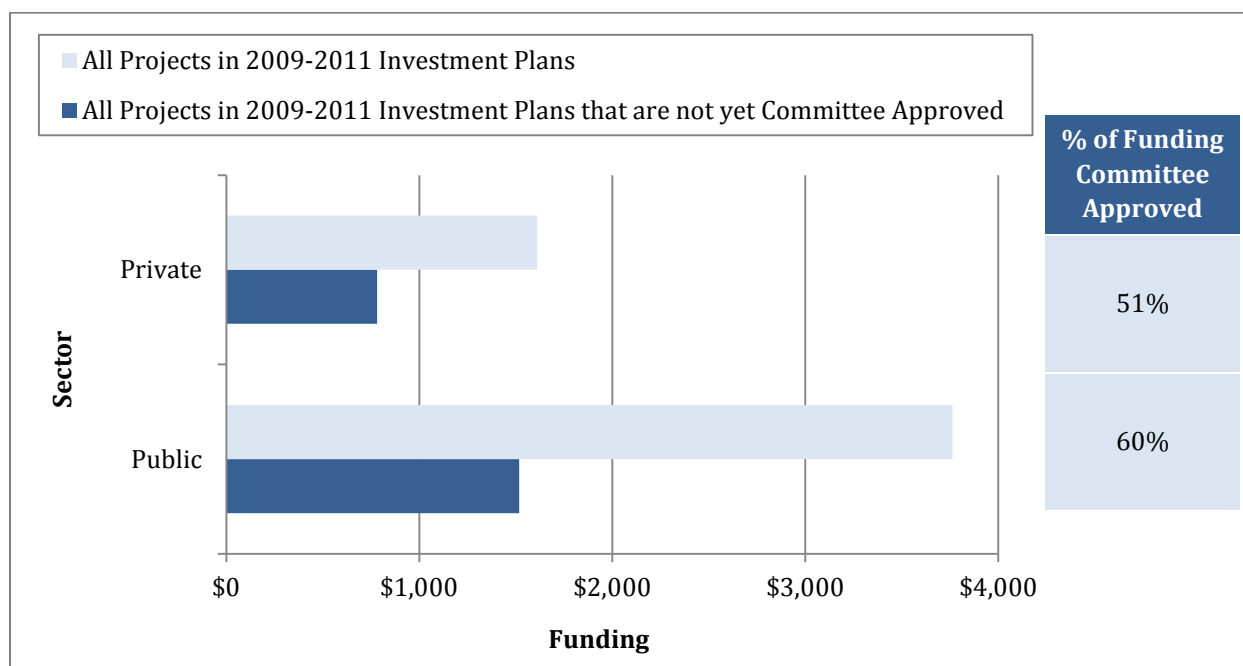
Figure 9: 2009-2011 Projects by Co-Financing Source



*Reflects committee approvals through July 2013.

Source: CIF Project Database, as provided by the CIF AU on December 3, 2013.

Figure 10: 2009-2011 Projects by Sector



*Reflects committee approvals through July 2013.

Source: CIF Project Database, as provided by the CIF AU on December 3, 2013.

Annex F: Climate and Development Benefits Objectives

CTF has among its objectives “promoting realization of environmental and social co-benefits thus demonstrating the potential for low-carbon technologies to contribute to sustainable development and the achievement of the Millennium Development Goals.” SCF objectives include to “provide incentives for scaled-up action and transformational action (both mitigation and adaptation) and for solutions to the climate change challenge and poverty reduction in developing countries, consistent with poverty reduction and sustainable development strategies that are robust to climate change” and to “maximize co-benefits of sustainable development, particularly in relation to the conservation of biodiversity, natural resources ecosystem services and ecological processes.” The 2011 Measures to Improve the Operations of the CIF put it succinctly: “The CIFs are a mechanism to deliver strong development outcomes as well as strong climate outcomes.” Sources: CIF. 2008. The Clean Technology Fund, June 9, 2008. CIF. 2008. The Strategic Climate Fund, June 3, 2008. CIF. 2011. Measures to Improve the Operations of the Climate Investment Funds, November 2011.

The 2010 Strategic Environmental, Social and Gender Assessment of the CIF found that “taking into account that the CTF has multiple objectives (with the primary one being providing incentives for low carbon development) there is still a great opportunity to increase and maximize social and gender co-benefits as CTF projects are prepared.”

The 2011 Measures to Improve the Operations of the CIF stated that “To date, the investment plans have not focused on including indicators of development or poverty reduction impacts or gender impacts. Further work to develop such indicators for each investment plan may be considered.”

Annex G: Information Sharing and Learning Components in Investment Plans and Projects

To assess the degree to which investment plans and project documentation ³⁰ incorporate knowledge management and lesson learning mechanisms, the 51 original investment plans, 13 revised CTF investment plans, and 101 project documents endorsed as of December 2013 were reviewed and qualitatively rated according to the scale defined in Table 16.

Table 16: Scale Used to Rate ISL in Investment Plans and Projects

<i>Classification</i>	<i>Description</i>
Zero	Information sharing and/or learning are not mentioned.
Weak	Information sharing and/or learning are mentioned in generalized terms, but there is little description of the specific ISL components proposed.
Moderate	Information sharing and/or learning elements are described, including a description of the specific ISL components proposed. However, there is little to no information provided on implementation arrangements and/or the required funding for ISL activities.
Strong	Information sharing and/or learning are described thoroughly, including a description of the specific ISL components proposed, discussion of implementation arrangements for ISL activities, and the funding required for ISL activities.

Figure 11 and Figure 12 below summarize the results of the analysis. The analysis of investment plans is presented in Table 17, and the analysis of changes in revised CTF investment plans is presented in Table 18, and the analysis of project documents is presented in Table 19. It should be noted that this analysis only captures knowledge management and lesson learning components discussed in CIF investment plans and project documentation. For some plans and projects, knowledge management and lesson learning components may be funded outside the CIF (e.g., by the GEF or other partners) and not mentioned in CIF documentation.

³⁰ Documentation available to the Trust Fund Committee or Sub-Committee at project approval was reviewed; later appraisal or implementation reports available from the MDBs were not reviewed.

Figure 11: Degree of ISL Incorporation in Investment Plans

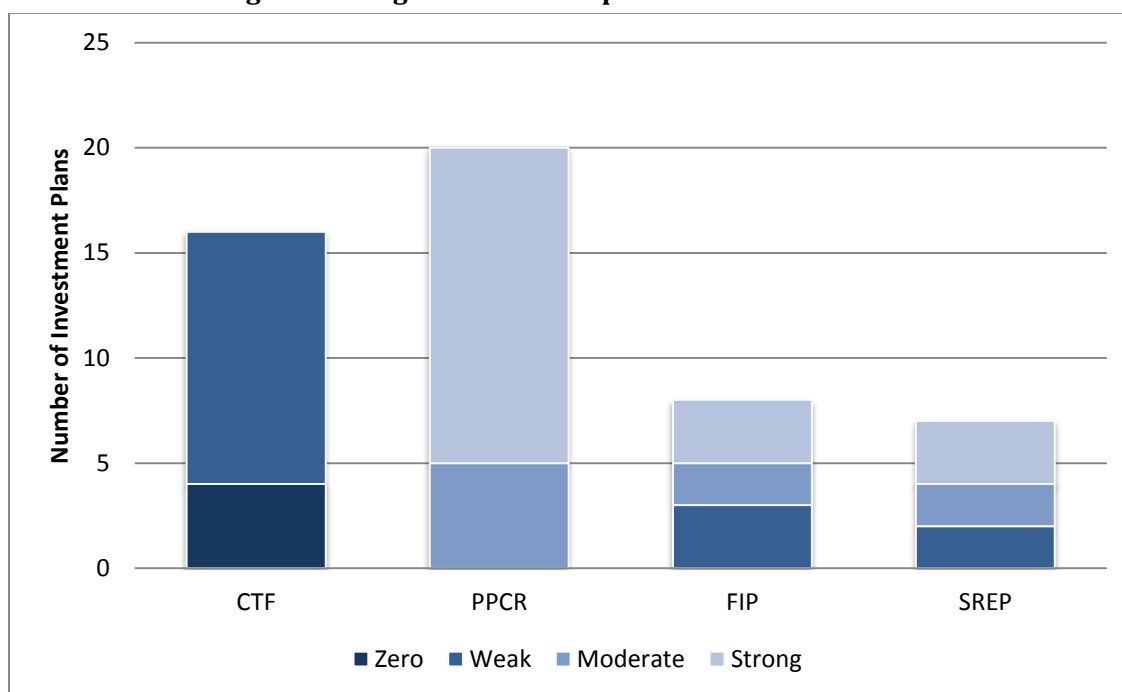


Figure 12: Degree of ISL Incorporation in Approved Projects

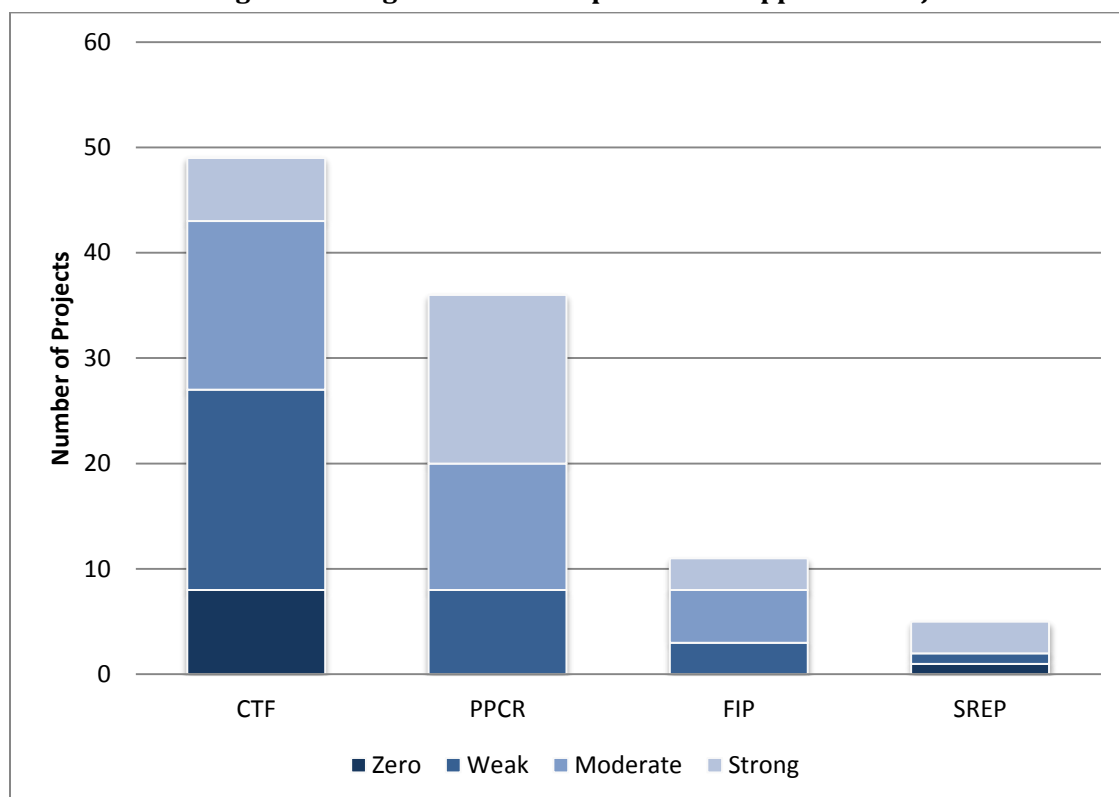


Table 17: Information Sharing and Learning Components in Originally-Endorsed CIF Investment Plans

Fund	Country	Specific KM Component, Activities, Funding, and/or Institutional Arrangements	Rating
CTF	Chile	"Investing in their early deployment in Chile will drive down their costs through learning." ... "The following is a conceptual financing plan for indicative purposes to address the knowledge and financial barriers through the use of technical assistance and financial instruments" ... The plan includes regional consultation/training workshops oriented towards increasing the knowledge and capacity of project developers and finance analysts	Weak
CTF	Colombia	"Dissemination and training actions are being taken to ensure that lessons from Colombia are considered in the development of similar activities in the entire region. Lessons from MDB-financed projects throughout LAC will be used for training to ensure that lessons learned are considered in the development of similar activities in the entire region." "The CTF Efficiency Program will provide technical assistance to companies and include activities aimed at disseminating knowledge among all relevant stakeholders. Financial sector programs will focus on technical assistance and training, targeted to include capacity building and knowledge sharing with other institutions that have developed efficiency lending programs."	Weak
CTF	Egypt	None	Zero
CTF	MENA Region	"The lessons learned from initial experiences could be cross fertilized in MENA and beyond and reduce the learning curve for new market entrants." ... "Supporting the development of relevant local industries and transfer of knowledge from other countries and among the countries in the region."	Weak
CTF	India	"The setting up of these demonstration grid connected solar power projects is visualized to enable solar project developers to plan projects in next phase of the JNNSM based on the learnings from these projects in terms of their performance." ... "Achieving the ambitious target for 2022 of 20,000 MW will be dependent on lessons identified during implementation of the first two phases, which if successful could lead to conditions of grid-competitive solar power" ... "Capacity building will be mobilized as necessary in parallel to transfer knowledge to stakeholders the DMC and ensure that the underlying transactions can be efficiently implemented" ... "Experience sharing and dissemination of national and international best practices in the field of energy efficiency financing"	Weak
CTF	Indonesia	"Facilitate coordinated Technical Assistance (TA) across commercial banks, industry associations, ESCOs, and equipment providers to create a "knowledge network" on EE finance solutions and supporting financing instruments" ... "Engage major industry associations into knowledge networks that can enhance understanding of specific industry upgrade technologies and create linkages with major international equipment suppliers"	Weak
CTF	Kazakhstan	"The initial CTF-supported phase of the program will provide the models for replication and ensure that the renewable industry has a sound base to grow from, with the lessons learned widely disseminated in Kazakhstan and beyond."	Weak

CTF	Mexico	"Dissemination and training actions will be taken to ensure that lessons from Mexico are considered in the development of similar activities in the entire region. Lessons from MDB-financed projects throughout LAC will be used for training to ensure that lessons learned are considered in the development of similar activities in the entire region."	Weak
CTF	Morocco	None	Zero
CTF	Nigeria	"LAMATA is playing a greater role in national urban transport planning, organizing workshops on a regular basis to disseminate lessons learned with the participation of staff from both Kano and Abuja Federal Capital Territory"..."The experience of investments in Lagos also provides the teams of the MDBs and partner bilateral with an enhanced learning and understanding of the types of approaches more likely to succeed in such investments"	Weak
CTF	Philippines	"It has been agreed with the counterparts that the BRT program would be undertaken in two phases, beginning with a demonstration project in Cebu City, from which lessons learned and institutional structures derived would be applied to the second phase, the development of a BRT in Manila." "In addition to transforming Philippines' energy sector, opportunities exist to share lessons learned and replication in other countries for efficient use of resources regionally."	Weak
CTF	South Africa	None	Zero
CTF	Thailand	"The lessons learned from the implementation of the BRT system in the city of Bangkok can be shared and replicated to the entire Bangkok Metropolitan Region (BMR) with a total population of around 10 million, in the three neighboring provinces (Nonthaburi, Samutprakarn, and Patumthani) as well as other fast growing cities such as Chiang Mai, Khon Kaen, Nakorn Rachasima, Udon Thani, Surat Thani, and Had Yai which will help stabilize the GHG emissions from transportation sector for the entire Kingdom."	Weak
CTF	Turkey	None	Zero
CTF	Ukraine	Discusses removing barrier of "inadequate awareness of the benefits of energy efficiency...lack of familiarity with the range of energy efficiency technologies and processes, energy conservation investment best practices..."	Weak
CTF	Vietnam	"Phase 2 aims to expand each component, based on lessons learned from Phase 1"..."In addition to transforming Vietnam's energy sector, opportunities exist to share lessons learned and for replication in other Mekong countries for efficient use of resources regionally."..."Working knowledge of energy efficiency opportunities at the industrial and commercial enterprise and retail consumer level is still limited and require positive incentives through demonstration"	Weak
FIP	Brazil	An expected result is "Incorporation of learning through the development of stakeholders thoroughly familiar with REDD+" and "Number of different types of knowledge-disseminating instruments created and shared" is an indicator. Project 2.1 has a main focus of knowledge management and aims to consolidate forest information to support public and private sector initiatives. "The lessons learned, training and dissemination materials and tools successfully deployed in the Cerrado will be used by the MAPA to promote broader access to the ABC Plan in all other regions of Brazil, contributing to expand the adoption of low carbon agriculture in Brazil."..."Final evaluation will identify lessons learned."...The plan widely discusses lessons learned from past projects.	Moderate
FIP	Burkina Faso	A priority activity is to "analyze and promote lessons learned". Project 1 has a component on information sharing, lessons-learning, and knowledge sharing with budget: "The information sharing and lessons-learning subcomponents	Strong

		will contribute to the overall objective of the PIF/Burkina by timely collecting, analyzing and presenting best practices and lessons in order to accelerate scaling up and mobilize additional financial resources. Key activities will aim at (i) organizing and conducting targeted studies, assessments and evaluations (including the evaluation of local stakeholders' perception of achievements and outcomes); (ii) organizing specialized workshops (at national/regional level); (iii) creating and maintaining a Web site; and (iv) participating in international fora organized by CIF or other partners" ...In addition, "A dynamic linkage between the two projects will be maintained through the activities of knowledge sharing and lessons learned that will be managed by the FIP general coordination unit."	
FIP	DRC	"in order to optimize the ongoing learning process made possible by the FIP, DRC will concentrate on the monitoring mechanism developed at the national level and will ensure the sharing of the lessons learned and relevant experiences gained at the national and international levels through the REDD+ Registry of projects and initiatives of the DRC, as well as many communication activities envisaged within the framework of the REDD+ process in general and the FIP process in particular. The geographical interface and the integrated research functions in the data base of the national Registry will allow the general public to have access to a great quantity of information, thus ensuring a maximum of visibility and transparency" ... "The collection and centralization of experiences and lessons learned and Lessons Learned – ISL) mechanism. Centralization and sharing of information will based national REDD+ registry (see presentation in section 1 their reports. Close links will be ensured in this area with the UN have similar learning objectives as well as with the Global Environment Facility REDD+ regional project managed by the World Bank. The Central African Forests Commission (COMIFAC), to which DRC belongs, will be a key partner in sharing information and experiences with other Ce countries. The budget for M&E and ISL has been included in the central management and coordination budget of the FIP"	Strong
FIP	Ghana	Expected results include "Incorporation of learning by development actors active in REDD+" and "replication of FIP learning in non-FIP countries". All projects include sub-components/budget for dissemination of major lessons learned from FIP projects. "Support strategic communication, collection, analysis and dissemination of major lessons learned from FIP projects and conduct policy dialogues to support evidence-based policy reforms aimed at reducing deforestation and forest degradation" "Information and learning loops will be explicitly built into the FIP and the DGM to ensure that there are mechanisms to share information and lessons from projects financed by government and those that are community driven. The technical assistance subcomponent of the DGM will promote learning between FIP and DGM stakeholders in an effort to build and strengthen local knowledge and to build networks at the local and regional levels"	Strong
FIP	Indonesia	Discusses "documenting and disseminating lessons from project implementation" ...one key area noted under capacity development is to "strengthen knowledge management and exchange between districts, provinces and countries on forest management, and participatory spatial planning"; discusses knowledge exchange including local and indigenous knowledge on forests	Moderate
FIP	Lao PDR	An expected result is "Integration of learning by development actors active in REDD+" and "Number and type of knowledge assets created and shared" is an indicator; discusses replication of learning and includes KM and learning integration in logic model	Weak

FIP	Mexico	An expected result is "Integration of learning by development actors active in REDD+" and "Number and type of knowledge assets created and shared" is an indicator; discusses replication of learning and includes KM and learning integration in logic model	Weak
FIP	Peru	"Pilot application of forest planning and of forest management and wildlife management units to be established at the regional level will make it possible to extract lessons that could be applied to similar zones in the Amazon." ... "Consolidation of timber and non-timber concessions, complemented by local forests and/or private and community conservation areas, within the framework of forest planning and adjustment to the new Forest Law, will make it possible to extract lessons for application to the country's forestland regions" ... Implementing the Investment Plan will help implement the REDD+ strategy with lessons learned from experiences in a participatory process from the regional and local level." No specific components, budget, or institutional arrangements.	Weak
SREP	Ethiopia	Result is "Learning about demonstration, replication and transformation captured, shared in countries and across countries" ...Number of knowledge assets created is an indicator and number of countries to replicate approach is another indicator. There is an entire section dedicated to KM and information sharing in the investment plan (however, it does not provide specific details). Planning for ISL activities will take place during the project preparation phase.	Moderate
SREP	Honduras	Project has a KM sub-component to capture lessons and disseminate training materials (though specific detail is not provided), technical assistance to overcome knowledge barriers. Funds will be used to support technical workshops, studies, technical guides, trainings, etc.	Moderate
SREP	Kenya	All activities include capacity building and lesson learning. There is a section of the IP outlining the proposed ISL activities, which include: analysis of major barriers to RE development and how they were addressed, interviews with key officials for assessment of key factors that have contributed to success/failure, quantifying co-benefits, exchange programs, and capacity strengthening. Overarching objectives and the institutional/implementation arrangements for ISL activities are provided.	Strong
SREP	Maldives	"Maldives wants to encourage other countries to learn from its experience and apply it to their own context". Projects include knowledge sharing.	Weak
SREP	Nepal	Expected outcome: "Information on best practices and lessons learned will be shared at national and international levels, and opportunities for developing RE will be fully understood by the public" ... "The program will introduce innovative project financing instruments and build the capacity of participating banks through technical assistance. Other learning will include capacity building of local manufacturers of micro hydro plant and equipment and large biogas plants"	Weak
SREP	Mali	"A Strategic Coordination Mechanism will...ensure that information on best practices and lessons learned will be shared at national and international levels, and that opportunities of renewable energy will be fully understood by the public". An expected outcome is that "a system of information sharing regarding lessons learned is put in place". KM is an explicit part of its third component and there are funding arrangements for KM activities.	Strong
SREP	Tanzania	Entire section on "Strengthening KM and Lesson Sharing" including institutional arrangements, funding, and specific activities to be performed at the program and project levels. For example, "Communicate SREP results by	Strong

		disseminating outputs at all levels (local, regional, national and international), especially through online posting of knowledge management products; Support the management of renewable energy knowledge (i.e., approaches, methods, and lessons) acquired by the SREP; Conduct targeted studies, organise consultation workshops, and develop and support dialogue to achieve more efficient project implementation" ...“Lessons from project implementation should cover such aspects as assessing the key factors that contributed to success or failure, quantifying some of the co-benefits of renewable-energy development, and identifying areas of the project implementation phase that could be improved.”	
PPCR	Bangladesh	There is a specific technical assistance component called "climate change capacity building and knowledge management" with \$0.5 million in funding attached. Institutional arrangements and specific activities are detailed. The SPCR also notes that "Each successive stage would be initiated on the achievement of predetermined milestones and each phase would be designed incorporating the lessons learned from the previous stage".	Strong
PPCR	Bolivia	An expected result is "Increased experience and lessons learned on climate resilience by addressing some of Bolivia's priorities related with water provision, agriculture, irrigation, and flood prevention, for which a territorial river basin approach will be used" and "Better integration of adaptive management and inter-sectoral learning in the formulation and implementation of related policies and programs". Includes lessons learned and disseminated as an expected result for each component. The SPCR states that "When budgets are developed, they will include specific funds to promote...the dissemination of lessons in investments, both during preparation and during implementation." "Component 1 will collect and systematize the lessons learned in the pilot projects and develop the capacities to allow the use of the IRBM approach in other basins in Bolivia" "Based on lessons learned, develop recommendations and best practices for mainstreaming integrated and participatory river basin planning in national planning processes with emphasis on climate resilience". Component 1 is focusing on institutional capacity building, coordination, data generation and learning, for which a grant of USD 5.5 million is allocated. Institutional arrangements and details are provided.	Strong
PPCR	Cambodia	"Investment Component IV: Cluster Technical Assistance for Strengthening Capacity to Mainstream Climate Resilience into Development Planning" has goals to improve knowledge and awareness, enhance integration of learning/knowledge into climate-resilient development, and replicate lessons learned and disseminate information throughout Cambodia and Southeast Asia. This component includes multi-stakeholder workshops, development of learning products, integration into school curricula, project management databases, etc. \$1 million is attached to the KM and learning sub-component. The SPCR also includes a KM section i for each project, and "Appropriate toolkits and knowledge products focusing on mainstreaming climate change concerns into water resources planning and management will be developed and widely disseminated in Cambodia and the GMS. Guidelines on climate-proofing water infrastructure employing both soft and hard engineering options will be prepared in each component. Information on local strategies and indigenous knowledge to cope with floods and droughts, and on ways to fine tune them under various agro-ecological settings will be disseminated. The —knowledge generation, management and learning platform of the technical assistance project will be effectively used to disseminate the lessons learned and best practices. The platform will have a dedicated project web site hosted at MOE and MOWRAM. In addition, the project will organize several information dissemination and workshops aimed at water resource managers and other	Strong

		key stakeholders in collaboration with national academic institutions"	
PPCR	Mozambique	KM is one of the pillars of the SPCR. "Mechanisms and budgets will be identified to ensure that analytical products, lessons and experience are shared across national and international partners." There is a general component on KM to ensure that lessons are distilled, shared, and mainstreamed. There is also a general component on technical assistance support to address knowledge gaps. No funding or institutional arrangements however.	Moderate
PPCR	Nepal	Specific institutional arrangements are provided: "The Climate Change Section of MOE's Climate Change Management Division will lead knowledge management activities by (i) developing a results-based performance monitoring system for the SPCR; (ii) tracking the status of each SPCR component; (iii) assessing and summarizing the results of SPCR implementation, and (iv) ensuring that results and lessons learned are communicated and disseminated throughout Nepal and to the CIF." The MDB role in KM is also outlined. There are specific KM components in each project that detail activities (workshops, learning briefs on specific topics). There will be a learning, knowledge sharing, and dissemination plan for projects.	Strong
PPCR	Niger	Pillar #3 of the SPCR is about coordination and KM, and there are specific activities under the pillar to facilitate information exchange. Institutional arrangements exist. Projects include a KM component with funding attached.	Strong
PPCR	Tajikistan	A key indicator is "Generation of replicable lessons on the integration of climate risk analysis and climate resilience measures into hydropower investments that can be applied in other investments in the sector". "Lesson learning and KM" is a component of the SPCR with specific funding. Lesson learning is mentioned within projects as well.	Strong
PPCR	Yemen	Knowledge generation & management is one of three pillars of the SPCR. Specific institutional arrangements exist at the SPCR level: the Program Coordination Unit (PCU) is in charge of knowledge management and information sharing. Projects include a component for "strategic KM" that includes collecting and documenting local best practices and experiences, including indigenous knowledge, and disseminating them and incorporating them into policies and strategies. Projects include specific funding for learning/KM activities.	Strong
PPCR	Zambia	The plan discusses funding (a) targeted training for national climate change champions participating actively in the stakeholder platforms, through internships, and priority training and mentorships with international centers of excellence; participation in key international climate change and disaster risk management fora; and dissemination and exchange of lessons learned with other countries implementing or intending to implement similar adaptation programmes (e.g. south-south exchanges). In one investment project, "knowledge sharing" is listed as a component with funding attached.	Strong
PPCR	Caribbean Region	Knowledge sharing is a component that is budgeted for in projects. Documenting and disseminating findings is key throughout the SPCR, though specific detail is not provided.	Moderate
PPCR	Dominica	Replication and knowledge sharing of Dominica SPCR lessons is a success indicator. Projects include components to document and disseminate lessons learned. "SPCR implementation activities will be documented – on SPCR websites maintained by Government of Dominica and CCCCC – for dissemination of best practices and lessons learned to other CARICOM countries, participating PPCR countries, and SIDS. The Government of Dominica will provide periodic reports to the CIF, and also sharing lessons learned with other countries through some CIF instruments such as the CIFNet	Moderate

		website, through pilot country meetings, and through regular engagement with other CARICOM countries under the regional track SPCR program. Dominica will also share lessons internally learned during SPCR implementation through periodic workshops and focus group meetings with key stakeholders to take stock of progress."	
PPCR	Grenada	Institutional arrangements are in place: "Management of Knowledge and Lessons Learned - In addition to project management and project coordination responsibilities, the PCU will manage all knowledge management functions across the PPCR ensuring that all projects compliment and build upon past transactional, on-going and pipeline activities. From past experience the PCU recognizes that knowledge management - including the application and sharing lessons learned, is probably the investment that will provide the greatest return during the implementation of the PPCR. Hence, the PCU will be actively engaged with the implementing technical ministries to ensure lessons learned and knowledge sharing is streamlined across the two proposed investment projects and the technical assistance activities (all technical assistance studies include analysis of past lessons learned and capturing of on-going lesson learned activities)." Discusses capacity building and learning on data management activities - and sharing this information regionally with the other Caribbean countries.	Moderate
PPCR	Haiti	Specific project on "strengthening KM for hydromet..." with \$470,000. Activities include: "Setting up a process and effective structures for the systematization, capitalization, and dissemination of information and data on climate change", "Organizing a national conference on the issues and challenges of climate change and climate resilience", "Informing and training the population on the issues and challenges of climate change and the potential impacts on Haiti", etc. An objective is to "Strengthen institutional, scientific, technical, and managerial capacity of the different stakeholders involved in PPCR to generate, disseminate, and apply knowledge on climate change." Other projects include "knowledge dissemination" in their budgets as well. Workshops to present key findings and lessons learnt from the implementation of the component. Project components on capacity and knowledge building. Activities include workshops to transfer knowledge. PPCR Phase I regional track includes information sharing and exchange of best practices.	Strong
PPCR	Jamaica	The SPCR has a specific KM component (included in the budget, with an associated grant) to prepare and disseminate lessons learned. Institutional arrangements are in place: "The Programme Implementation Unit will coordinate implementation of the PPCR-financed projects and also take responsibility for knowledge management and the preparation and dissemination of lessons learnt." .."KM will include documentation of methodologies and techniques as well as good practices for scaling up in other communities and countries, development of a PPCR web page, and social marketing through communication strategy"..."Facilitating learning by building flexibility into the SPCR where new ideas will be accommodated based on the feedback from programme evaluation by focusing on project objectives rather than project outputs. (Learning by doing)". ..Information management activities including "Development of a risk information platform which will ensure that stakeholders have access to high quality, relevant data which they can use to improve decision-making."	Strong
PPCR	Saint Lucia	Training activities, public awareness activities, data sharing, workshops, seminars, community-based and sector-level training for target groups, etc. listed throughout project activities. One project, "Mainstreaming the lessons of Hurricane Tomas and other recent climate events", is a KM project. Key results for the SPCR include "enhanced	Strong

		integration of learning and KM in climate resilience building" and "strengthened knowledge and awareness of climate risk mitigation". Projects focus on data and information management as well with an associated budget.	
PPCR	Saint Vincent and the Grenadines	The SPCR states that "Knowledge and capacity in specific Ministries and Agencies will be developed and strengthened" and KM components can be found in all projects. "The underlying design parameter of the investment projects proposed is such that there should be a significant investment in the human capacity, of not only the public and private sectors but also that of the ordinary citizens, on how to cope with climate variability. This will be achieved through the training of public officials, the general public, formal and informal education, data collection and data management, data analysis and data modelling and case studies. Actions under these components are: throughout the Four Components." Training and workshops are allocated specific funding levels in projects, and one project focuses on public education and awareness.	Strong
PPCR	Pacific	This SPCR "will focus particularly, but not exclusively, on building capacity in the 11 Pacific island countries that do not have PPCR country tracks, and on replicating and scaling-up good practices and lessons learned (knowledge and capacity building) from the country tracks to the other 11 countries." One of three projects is "Identifying and Implementing Practical Climate Change Adaptation and Disaster Risk Reduction Knowledge and Experience" with \$6 million in funding. Expected results include "Enhanced integration of learning through an enhanced body of local, national, and regional knowledge and information on CCA and DRR into climate resilient development in each PIC promoted by regional institutions"	Strong
PPCR	Papua New Guinea	"SPCR implementation activities will be documented – on SPCR websites maintained by Government of PNG and under the Pacific SPCR – for dissemination of best practices and lessons learned to other Pacific Island Countries, including participating PPCR countries, and SIDS. The Government of PNG will provide periodic reports to CIF and share lessons learned with other countries through CIF instruments such as the CIFNet website, PPCR pilot country meetings, and regular engagement with other Pacific countries under the regional track SPCR program. PNG will also share lessons internally learned during SPCR implementation through periodic workshops and focus group meetings with key stakeholders to take stock of progress. Detailed information on specific knowledge management activities will be developed during detailed project design". KM and learning are well incorporated into results framework. Each component specifically references development of tools and trainings based upon information gathered and lessons learned, and there are funding levels associated with these capacity building activities, trainings, etc.	Strong
PPCR	Samoa	There is a component of the SPCR that deals explicitly with KM - collecting relevant data and sharing it, distilling and distributing lessons learned, increasing public awareness, etc. Indicative costs are provided for this KM component. There is an additional technical assistance component for the whole SPCR that involves some KM activities. KM is incorporated into the results framework as well.	Strong
PPCR	Tonga	"The development, dissemination, and application of knowledge products generated by the SPCR, as well as initial implementation of infrastructure investments, will form a critical output of the program. Each of the three components will develop knowledge specific to its work and activities. These products will be tested on the ground and peer reviewed before dissemination to national and regional stakeholders; they will be provided through national and regional gateways, such as the Climate Change Portal and the Pacific Disaster Network. These products will be	Moderate

		mediated to ensure that overlap is minimized and that consistent and priority messages are disseminated." Institutional arrangements are also discussed. Investment projects include training activities with funding. Links to the regional SPCR for sharing lessons and knowledge.	
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Table 18: Notable Improvements to Information Sharing and Learning Components in Revised CTF Investment Plans

Fund	Country	Notable Improvements to KM Component, Activities, Funding, and/or Institutional Arrangements	Updated Rating
CTF	Chile	Capacity development aimed to increase awareness, knowledge and expertise of key stakeholders in the market. TC component is designed to disseminate global best-practice knowledge.	Weak
CTF	Colombia	Inclusion of a new KM subcomponent; discussion of knowledge dissemination/training activities	Moderate
CTF	Egypt	New knowledge management component with an associated budget: "This sub-component addresses three basic elements related to the wind program: (i) communications with local stakeholders, including Civil Society Organizations (CSOs) and the private sector on project activities, results and lessons; (ii) capture of lessons during the project implementation process; and (iii) the sharing of such lessons with other CTF country partners"	Moderate
CTF	Indonesia	"The revised financing plan includes a request for up to \$2 million grant to assist GOI in improving its national framework on monitoring and evaluation. These funds could be used to conduct impact evaluations as well as generate lessons learned from IP implementation, which may also help Indonesia to scale up its investments in the priority sectors."	Moderate
CTF	Kazakhstan	None	Weak
CTF	MENA	New technical assistance component which proposes to establish a network to exchange information among the MENA countries. There is a knowledge sharing platform including an internet platform, informational workshops, and training workshops on CSP. Budget is also provided.	Strong
CTF	Mexico	Several activities in the IP have technical cooperation components, including "Renewable Energy KM" to capture and disseminate the knowledge being generated in Mexico for one project, and a package of KM activities including a knowledge report for another project.	Moderate
CTF	Morocco	None	Zero
CTF	Philippines	"Plans for other areas will develop slowly based on knowledge developed in these first two areas, and an assessment of lessons will be carried out after distribution of the first 20,000 e-vehicles to guide any necessary adjustments to the project or associated enabling policies and institutions".."\$1 million grant is requested to support technology transfer, build local knowledge and capacity about electric vehicles covering all stakeholders."	Moderate
CTF	Thailand	None	Weak
CTF	Turkey	None	Zero
CTF	Ukraine	None	Weak
CTF	Vietnam	There is a new TA grant to possibly be used for impact evaluation/lesson generation from IP implementation.	Moderate

Table 19: Information Sharing and Learning Components in CIF Project Documents

Fund	Country	Project Name	Specific KM Component, Activities, Funding, and/or Institutional Arrangements	Rating	Impact Evaluation
CTF	Chile	Concentrated Solar Power Project (CSPP)	A budget of \$600,000 is allocated for development of KM activities. In particular, it is to support the generation and dissemination of information about the performance, lessons learned, and impacts (in terms of substitution of fossil fuels, GHG emission reductions, benefits to the local economy, etc.) of the solar projects in Chile, to support other solar power-related activities, including the creation of a clearinghouse on solar micro-systems in the context of the net metering regulations, and to support the effective transfer of solar energy knowledge, experiences and technologies for the training of human capital and for the development of local supply chains	Strong	None
CTF	Chile	Large Scale Photo-Voltaic Program	None	Zero	None
CTF	Colombia	Strategic Public Transportation Systems Program (SETP)	None	Zero	None
CTF	Colombia	Sustainable Energy Finance Program	"The AS component supports KM through supporting awareness raising, dissemination of information and lessons learned through conferences and workshops, as well as media promotional campaigns. Examples include technical guides for bankers on popular EE/CP technologies in various sectors, and public training program for banks interested in developing this new business...The Program will include an evaluation component that ensures proper documentation of lessons learned by the FIs and technical service providers, analyzes this information and draws useful and relevant conclusions, and disseminates this information in a readily accessible report format. This analysis will be made available to FIs, technical service providers, end-users, and regulatory authorities, in order to form a feedback loop of information, and support learning and improvement of investment conditions in the market"	Moderate	None
CTF	Colombia	Technological Transformation Program for Bogota's Integrated Public	None	Zero	Yes – "An impact evaluation... will replicate the

		Transport System			methodology of an ex-post economic evaluation to verify that the development objectives of the program have been achieved on the basis of impact and outcome indicators"
CTF	Colombia	Energy Efficiency Financing Program for the Services Sector (formerly entitled Bancoldex Energy Efficiency Financing Program)	"The program is expected to overcome existing market barriers and to provide important lessons for future programs within the EE program of the CTF's IP for Colombia...The final objective of this intervention is to stimulate the demand (clients) to invest in EE projects, and as a learning process for the stakeholders...The CTF IP for Colombia prioritizes a series of activities to address those barriers, including...(iii) training technical service providers and LFIs on how to market, analyze, structure, monitor and evaluate EE projects; and (iv) educating energy end-users on the savings achieved through technology improvements, and the payoffs of making the high initial investments."	Weak	Maybe – "the program contemplates an impact evaluation"
CTF	CSP-MENA	Morocco Ouarzazate CSP	"The project...will build MASEN's capability (learning by doing) to prepare, manage and implement complex projects". Coordination with teams working on other CSP programs will continue, in particular through the knowledge platforms provided by the Climate Investment Funds (CIF), Mediterranean Solar Plan, Medgrid, Desertec Industry Initiative, etc."	Weak	None
CTF	Egypt	Wind Power Development Project(Transmission)	Under technical assistance, component B4 is for KM(\$250,000) for communications with local stakeholders and the private sector on project results and lessons, capture of lessons during the implementation process, and sharing lessons with other CTF countries.	Moderate	None
CTF	India	Rajasthan Renewable Energy Transmission Investment Program	"The program will deliver skills training interventions"	Weak	None
CTF	India	Super-Efficient Equipment Program - SEEP	"The proposed project will serve as the pilot phase for the broader Super Energy-Efficient Equipment Program (SEEP) that the GoI intends to pursue in its 12th Five Year Plan (2012-13 to 2016-17). Using lessons learned from	Moderate	Yes – "A rigorous impact

			this project and the systems the project creates, the government's own project will continue to cover super-efficient fans and also extend to other appliances, such as lighting." ...Component 2 funds a market awareness campaign and a website to provide information to the public and project participants.		evaluation will be conducted during this project's mid-term review"
CTF	India	Himachal Pradesh Environmentally Sustainable Development Policy Loan	"The development in hydropower that get facilitated through the DPL support would encourage other hydro rich states like Uttarakhand, Arunachal Pradesh and Sikkim to replicate and learn from the policy reforms"	Weak	None
CTF	Indonesia	Indonesia Geothermal Clean Energy Investment Project	Information with lessons learned and data will be widely disseminated both on the PGE website and the annual report. "The experience gained through the proposed developments will also lead to greater knowledge and access to international best practices"	Weak	None
CTF	Indonesia	Private Sector Geothermal Energy Program	"Once banks further see how the geothermal steam resources are fully developed during construction, it will allow them to apply lessons learned for future projects. This learning-by-doing approach – supporting several projects in quick succession -- is needed to demonstrate the case for geothermal as a viable commercial investment destination (not unlike the mining and oil and gas sectors)."	Weak	None
CTF	Indonesia	Geothermal Electricity Finance (IGEF) Program	"The knowledge generated by the experience of the investment projects will become available to benefit future market entrants (e.g., legal advice on negotiation of initial model contracts, etc.). And the demonstration effect of the proposed sub-projects should lead the way for developers, investors and lenders to follow with scaled up investment."	Weak	None
CTF	Kazakhstan	Renewable Energy I- Waste Management Framework	KM component with budget provided. Discusses "information dissemination and awareness raising activities."	Weak	None
CTF	Kazakhstan	Renewable Energy II- Kazakh Railways Sustainable Energy Program	KM component with budget provided.	Weak	None
CTF	Kazakhstan	Renewable Energy III- Kazakhstan Renewable Energy Finance Facility(KAZREFF)	KM component with budget provided.	Weak	None

CTF	Kazakhstan	District Heating Modernization Framework	KM component with budget provided. Includes "information dissemination activities to inform a wide range of stakeholders."	Weak	None
CTF	Mexico	Urban Transport Transformation Project	"The implementation of city-based, low-carbon transport alternatives will provide substantive lessons for potential replication in other metropolitan areas. Dissemination of lessons learned, public education and outreach initiatives will ensure ongoing and effective knowledge exchange of accrued expertise. The information to be obtained and the lessons learned will be of significant value to regional governments and other countries in their submissions to the CTF. BANOBRAS, supported by the UC, will promote knowledge sharing among beneficiary cities sub-projects and will integrate data to evaluate results for a wider policy analysis and dissemination."	Weak	None
CTF	Mexico	Efficient Lighting and Appliance Project	Component 3 will finance "the design and implementation of a CFL and appliance information and awareness campaign (GEF US\$0.80 million) to promote awareness among the Mexican population regarding the benefits of energy-efficient CFLs and appliances and related behaviors for consumers to capture those benefits. This campaign will address some of the key barriers to increasing energy efficiency in Mexico, including: (i) the lack of systemic and fully reliable market information available on the potential of energy efficiency initiatives within the Mexican economy, (ii) limited EE information dissemination capabilities for a large country with a dispersed population, and (iii) greater dissemination of information about the benefits of EE investments to overcome the low prioritization accorded to these activities."	Moderate	None
CTF	Mexico	Renewable Energy Program	A cross-cutting component of the Program will be a comprehensive knowledge creation and management program to support the development of a robust Mexican renewable energy market, such as dissemination of lessons learned and best practices from CTF-funded projects to future projects; feedback loops between projects and policy makers and regulators; all of which will contribute to necessary organizational learning, stakeholder cooperation, and institutional capacity building. There is a section on KM including a budget and knowledge generation in 4 categories (regulatory, technical, environmental, and social). Specific examples are provided.	Strong	None
CTF	Mexico	Public Sector Renewable Energy	Robust KM component, including activities to generate regulatory, technical, environmental, social, and financial knowledge. Budgets are provided for specific activities - a conference, assessments, demonstrations, workshops, trainings, and development of guidelines.	Strong	None
CTF	Mexico	Energy Efficiency Program-Part 1	Both components will be supported by knowledge-management (KM) Programs that will consolidate existing knowledge, gather lessons learned and data generated by this Program, and disseminate these to relevant	Strong	None

			stakeholders throughout the market. This Program Part I Proposal requests CTF resources for the Commercial Banking Component, as well as for a package of TC and KM activities that will support the objectives and implementation of both components. For banks, the package of learning will include model legal structures and contracts, models that take into account cash flows from energy savings, procedures and eligibility criteria tools, as well as information on any available guarantees or incentives in the market. The KM program will include support for the Commercial Banking component (see Table 3). The target audience for the KM program includes: LFI; ESCOs, public EE institutions, and energy end-users. The KM program will target consolidation, creation, management and dissemination of relevant EE information and serve as a cornerstone for delivering the objectives of the Program. Training materials will be developed, dissemination of project data will take place, data and information will be shared among Partners, etc. Specific funding is dedicated to KM Program.		
CTF	Mexico	ECOCASA Program- Energy Efficiency Program Part II	CTF funding is requested for "technical cooperation, M&E, technical studies, and knowledge management". Activities include training courses, awareness raising, studies on specific topics with low knowledge, educational materials and media, and general dissemination of knowledge. Plan with timeframe is provided.	Strong	None
CTF	Mexico	Private Sector Wind Development (La Ventosa)	Specific budget for KM to help capture, document, and share the learning from private autogeneration wind power development in the region.	Moderate	None
CTF	Morocco	One Wind Energy Plan	Mentions knowledge transfer	Zero	None
CTF	Philippines	Energy Efficient Electric Vehicles project	Discusses information, education, and communications plan. A \$1 million grant is requested to support technology transfer, build local knowledge and capacity about electric vehicles covering all stakeholders.	Weak	None
CTF	Philippines	Philippines Cebu Bus Rapid Transit(BRT) Demonstration Project	"When successfully implemented, the Cebu BRT will provide an on-the-ground demonstration of BRT in practice, an ideal disseminator of best practice in both technical and institutional knowledge for decision makers in other cities, both in the Philippines and beyond. The project explicitly recognizes the importance of this dissemination impact by including a component designed to propagate the tools, technical knowledge, and institutional capacity to successfully implement BRT in other major cities of the Philippines. Public oversight of the project will be ensured by crowd sourcing, smart phone applications, and web tools to better respond to network conditions and public transport service. In addition, civic engagement platform will be established."	Moderate	None

CTF	Philippines	RE Accelerator Program (REAP)	"Disseminating lessons learned and non-confidential information obtained from early projects to regulators, project developers, and the wider stakeholder group can be an effective way to promote a better regulatory/market environment and reduce perceived risks for future project developers and private financiers. By supporting "neutral" associations (e.g. biomass, wind or solar associations) to gather, aggregate and share real-time information on the sector, stakeholders are likely to get "comfortable" with investing in the sector more quickly. Transparency, monitoring and evaluation, and knowledge management are all key elements of the CTF supported projects and a knowledge management program would be developed to ensure an effective feedback loop is created to capture and share information while managing and balancing the confidentiality requirements of the projects and developers in question. Includes "to disseminate lessons learned from early projects to regulators, potential future project developers, and the wider stakeholder group; to develop market knowledge on accessing carbon credit opportunities; and to prepare a "white" paper on intermittency of solar and wind technologies.""	Moderate	None
CTF	Philippines	Renewable Energy Development (PHRED) Project	"The program facilitates the flow of knowledge between and among EC's, including knowledge related to commercial operations"	Weak	None
CTF	South Africa	Sustainable Energy Acceleration Program	"Advisory program will be used to share lessons learned with the market. Disseminating lessons learned and non-confidential information obtained from early projects to regulators, project developers, and the wider stakeholder group can be an effective way to promote a better regulatory/market environment and reduce perceived risks for future project developers and private financiers. By supporting "neutral" associations (eg. wind or solar associations) to gather, aggregate and share real time information on the sector, stakeholders are likely to get "comfortable" with investing in the sector at a faster rate. Transparency, monitoring and evaluation, and knowledge management are all key elements of the CTF supported projects and a knowledge management program would be developed to ensure an effective feedback loop is created to capture and share information while managing and balancing the confidentiality requirements of the projects and developers in question. Documenting and disseminating best practice to a wide audience including regulators, developers, and sponsors in creating a suitable RE investment climate will be a key activity under the program's knowledge management activities. "	Moderate	None
CTF	South Africa	ESKOM Renewable Support Project	The CSP project also has considerable global significance in terms of its learning effects. Southern Africa is one of a select number of regions around	Weak	None

			the world that is particularly suited to CSP use. CSP has not been built and operated at large scale to date and this would be one of the largest commercial operations of the proposed design. First movers such as this project are expected to provide considerable learning for future projects in South Africa and around the world...Being the first large wind power project, it will also transfer the knowledge of wind technology to South Africa and provide a live opportunity to understand operational issues such as impact of wind projects on system stability.		
CTF	South Africa	EE Program	There is a KM component, including "Share information on market coordination activities, for example answering the questions which sustainable energy finance products are being developed in the market, by whom, and which donor agencies and DFI's are involved in sustainable energy finance?", "Develop and disseminate case studies on successful sustainable energy finance "stories", in particular lessons learnt from the CIPA SA pilot partner banks and projects", "Provide clear market signals from Government and other agencies that might support sustainable energy finance through incentives (for example ESKOM). This information will take the form of short industry targeted fliers and brochures, as well as web-page updates"	Moderate	None
CTF	Thailand	Private Sector Renewable Energy program	None	Zero	None
CTF	Thailand	Renewable Energy Accelerator Program(TSEFF)	Disseminating lessons learned and non-confidential information obtained from early projects to regulators, project developers, and the wider stakeholder group; Development of a KM program; White paper on solar and wind impacts on the Thai grid; Developing knowledge and experience in the Thai market for accessing carbon credit opportunities - dissemination of best practice in this area.	Moderate	None
CTF	Thailand	Sustainable Energy Finance Program(T-SEF)	Much of the learning from the initial banks will be captured and shared with new market entrants through the Program's knowledge management component (including a "best practice manual"). There will be training on EE/RE/ESCO finance techniques, marketing, etc. and support of conferences, seminars, and workshops.	Moderate	None
CTF	Turkey	Private Sector RE and EE Project	There will be training of financial institutions to facilitate enhanced understanding of energy efficiency investments, due diligence techniques, and energy audit techniques. There will be development of risk management tools and financial products.	Weak	None
CTF	Turkey	Commercializing Sustainable Energy	There will be KM structures, like training the trainers, which will solidify long-term effects of the program. Much of the learning from the initial banks	Moderate	None

		Finance Program (CSEF)	will be captured and shared with new market entrants through the Program's knowledge management component (including a "best practice manual"). The project will support general market promotion, such as conferences, seminars and workshops, as well as by energy efficiency promotional campaigns. Links will be made with relevant industry associations and market players with credibility who can further promote energy efficiency uptake in Turkey.		
CTF	Turkey	Turkish Private Sector Sustainable Energy Financing Facility(TurSEFF)	A separate consultant will be contracted...to generate a lessons learned database with respect to specific sub-projects, to assist with better structuring of subsequent interventions. There will be coordination with other CTF programmes in Turkey on compilation of "best available technologies" manual and sharing of lessons learned.	Moderate	None
CTF	Turkey	Impact Assessment of CTF in Renewable Energy and Energy Efficiency market in Turkey	This is a knowledge management grant. The objective of the proposed activity is to assess and analyze the impact of the CTF funding provided to the projects/programs in Turkey for the RE/EE market development in Turkey - to share at the CIF Partnership Forum.	Strong	Yes – this project is an impact evaluation
CTF	Turkey	Turkish Private Sector Sustainable Energy Financing Facility(TurSEFF)	None	Zero	None
CTF	Turkey	Residential Energy Efficiency/TurSEFF II Credit Lines	None	Zero	None
CTF	Ukraine	Renewables Direct Lending Facility- Creating Markets for Renewable Power	KM component with budget provided - discusses training	Weak	None
CTF	Ukraine	Renewable Energy II - Novoazovsk Wind Project	KM component with budget provided	Weak	None
CTF	Ukraine	Renewable Energy Program	"This proposal includes a knowledge management component to carry out one or more studies on the linkages between climate finance from the Clean Technology Fund and the development of large scale renewable energy programs in Ukraine."	Moderate	None
CTF	Ukraine	District Heating Energy Efficiency	Technical assistance will support... (ii) guidance and training to the participating DH companies in project implementation, monitoring, and	Moderate	None

			evaluation; (iii) capacity building and knowledge-sharing workshops for participating DH companies..."The training program will be developed by the CPMU jointly with the Bank, and will address the continuous learning needs of the local PIU staff"		
CTF	Vietnam	Vietnam Distribution Efficiency Project	Training, seminars, workshops, study tours...each year a learning plan will be submitted to the Bank for review. The program will provide details of the individual learning events including: objectives of the event, the number/level of the target group, the estimated cost, the location of the program, the duration of the event and other relevant details. Before individual events are carried out, the Bank will review the cost estimate and plan for the activity. "The results, assessment and lesson learned at the end of the project will be presented in assessment report for replication."	Moderate	None
CTF	Vietnam	Sustainable Energy Finance Program	Advisory services component will promote knowledge and technical expertise on the end user side and will make sure that lessons learned and experience of sustainable energy financing will be shared across the financial sector, as well as with other countries in East Asia. A set of best practices guides will be developed and publicized to transfer knowledge. Technical guides for bankers on popular EE/CP technologies in various sectors, and public training program for banks that want to develop this new business.	Moderate	None
CTF	Vietnam	Sustainable Urban Transport for Ho Chi Minh City MRT Line 2 Project	None	Zero	None
PPCR	Bangladesh	Investment Project 3: Coastal Climate Resilient Water Supply, Sanitation, and Infrastructure Improvement- Component 2- Climate Resilient Infrastructure Improvement in Coastal Zone Project	"Development of a framework for expanding institutional learning and knowledge sharing - more effective knowledge capture and compilation, storage, and sharing on climate resilience principles for the design, construction, and maintenance of infrastructure. The project will strengthen the management information system, develop a spatial web portal interface for learning and networking with other agencies, and support establishment of a community of practice."	Strong	None
PPCR	Bangladesh	Technical Assistance 1: Climate Change Capacity Building and	The TA will support generation, dissemination, and application of knowledge products. Outputs include a well-defined climate change adaptation information and knowledge management (IKM) network. Studies	Strong	None

		Knowledge Management	undertaken to strengthen the IKM database and disseminated. Implementation arrangements include full time staff for knowledge management to help operationalize the IKM network and ensure its continuity beyond the implementation period.		
PPCR	Bangladesh	Coastal Towns Infrastructure Improvement Project	"Knowledge based awareness raising activities will focus on (i) education and communication campaigns to raise public awareness of climate change and disaster related risks and preparedness, (ii) livelihood training programs for poor households targeting women, and (iii) community mobilization to enable poor communities to access and use climate resilient infrastructure (developed under Output 1). The institutional capacity building consultants will support these activities." To support the transformational impact of the project, information generated will be analyzed for its relevance and several knowledge products considering climate change adaptation will be prepared to guide scaling up the successful climate adaptation interventions within and beyond the project towns. These include: (i) updated central agency (LGED and DPHE) engineering design standards for urban infrastructure, (ii) new local building code guidelines and urban master plans, and (iii) water safety plans with groundwater monitoring. These project outputs aim to generate good practices and lessons learned for application throughout the coastal zone in Bangladesh, and replicable in other countries in the region. Consultants recruited under the project will facilitate training and awareness building to promote the understanding and application of these lessons to multiple stakeholder groups"	Strong	None
PPCR	Bangladesh	Promoting Climate Resilient Agriculture and Food Security	"Lessons learned from the program will be captured in both projects (in particular Project 1 which has a robust monitoring and evaluation component) and disseminated to enable improvements and replication." ... "Training of farmers and agricultural supply chain members" ... "Dissemination of climate related information to farmers" ... "Workshops held to disseminate lessons learned"	Moderate	None
PPCR	Bolivia	Climate Resilience - Integrated Basin Management Project	"Sub-component A.3. Project Management Support, SPCR Coordination and Knowledge Management" ... "The PPCR Coordination Unit (UCP-PPCR) will be responsible for overall Program and Project coordination, M&E of the overall PPCR program, knowledge generation and dissemination with regard to climate change adaptation approaches"	Weak	None
PPCR	Cambodia	Component 1-Project 2-Enhancement of Flood and Drought Management in Pursat	One project component is "enhanced regional data, information, and knowledge base for the management of floods and droughts". This includes better data acquisition and models, nation-wide strategies formulated, and improved guidelines for climate resilient design. The project will enhance	Strong	None

		and Kratie Provinces	two-way channels for information sharing between local communities, river basin management systems, national level warning centers, and regional disaster forecasting systems. In addition, PPCR financing will be used to generate knowledge/studies that will be shared across the border with linkages to projects in Viet Nam and Lao PDR.		
PPCR	Cambodia	Component 3-Project 1- Climate Proofing of Roads in Prey Veng, Svay Rieng, Kampong Chang and Kampong Speu Provinces	A KM component will be supported using PPCR resources. The learning objective is cross-cutting, but the focus will be to better understand how roads can be planned, designed, and maintained to cope with the negative impacts of climate change. Lessons on institutional structuring for integrating climate resilience into infrastructure projects will also be examined. A team of consultants will be recruited to implement this output. National adaptation specialist will be responsible for compiling the learning mechanisms and feeding them into country-wide and CIF-wide learning mechanisms. Other components include training, workshops, and forums.	Strong	None
PPCR	Cambodia	Component 3-Project 2-Climate Proofing Infrastructure in the Southern Economic Corridor Towns	Several trainings will be supported with a given focus on knowledge management - including management of on-line information resources and databases, and knowledge sharing exchanges. Staff/consultants will be hired to support the team leader with knowledge management and development of lessons learned document(s). This person is responsible for preparation of a knowledge collection plan, and communication and dissemination.	Strong	None
PPCR	Cambodia	Component 4-Cluster Technical Assistance: Mainstreaming Climate Resilience into Development Planning of Key Vulnerable Sectors	The TA aims to generate and disseminate knowledge for climate change adaptation in various sectors. It develops a knowledge and communications plan for each component. Each component generates knowledge products. Output 4 specifically focuses on establishment of a knowledge management system that synthesizes and shares information on climate impacts and adaptation measures for Cambodia - links to web portals that already exist with resources. Awareness raising and multi-stakeholder workshops, educational curriculum updates, documentation of locally relevant and indigenous adaptation practices, development of knowledge products, and dissemination of PPCR results in national, regional, and international forums. Cost estimates and financing plans are provided.	Strong	None
PPCR	Cambodia	Climate Proofing of Agricultural Infrastructure and Business-focused Adaptation	"During project implementation, there will be a consulting services package to support Rice-SDP implementation (Program Implementation Consultants - PICs). In undertaking their assignments, technical specialists will focus on development of relevant knowledge products. Among other things, this will include taking account of vulnerability to risk from extreme climate events in the development of land-use zoning and the preparation of rice eco-system maps. Included in the knowledge management will also be the	Moderate	None

			development of a GIS based land management data base to be operated jointly by MAFF and MLMUPC..."		
PPCR	Caribbean-Grenada	Disaster Vulnerability and Climate Risk Reduction	An expected outcome is "Improvement of national and regional data and information exchange, particularly on climate hazards". "The PPCR grant will aim to improve data management and sharing capacity in Grenada and in the region. The project will include the transfer and capacity building in use of technology and human capacity for geospatial data management."	Moderate	None
PPCR	Caribbean-St. Vincent and The Grenadines	Disaster Vulnerability and Climate Risk Reduction	"Through regional workshops and seminars, stakeholders such as the Ministries of Works and Physical Planning and technical regional agencies, would discuss approaches, share lessons learned and agree upon ways to harmonize policy on appropriate design and construction standards and methods for their cost efficient implementation to build climate resilience in public infrastructure." ... "The lessons learned and the prescriptions agreed on for design and construction standards and the cost efficient implementation of the same will be captured and subsequently published with the participation of a regional technical agency effectively creating a blue-print for building climate resilience in public infrastructure in the Eastern Caribbean"	Moderate	None
PPCR	Haiti	Haiti Center and Artibonite Regional Development	"The project would...develop and disseminate territorial knowledge"..."developing regional knowledge and tools to enable public and private actors in the region to better plan investments and activities"	Weak	None
PPCR	Mozambique	Sustainable Land and Water Management	Section on knowledge building states: outcomes will be carefully monitored and documented. The project will produce research outputs that will help build the body of knowledge, and all project-related studies and research will be made readily available on the AfDB and CIF websites for wider dissemination.	Moderate	None
PPCR	Mozambique	Baixo Limpopo Climate Resilient Agriculture Report(BL-CRAP)	Section on knowledge building states: "the project has three relatively new approaches and depending on their level of success, these could provide the Bank with a wealth of knowledge for its use in climate adaptation, employment creation, poverty alleviation, and market access goals. This knowledge could be duplicated in other areas of the continent." The document states that the new approaches should be monitored and evaluated carefully. However, there is no specific funding or component to distill/disseminate these lessons.	Moderate	None
PPCR	Mozambique	Climate Change and Technical Assistance Project	One component is "knowledge management and evidence building". The component involves design and implementation support for the SPCR knowledge management system, including support for hiring a specialist tasked with developing a KM strategy, preparing a training needs assessment, identifying priorities for future investments in training,	Strong	None

			communications, and experience sharing, etc. It also supports hiring a part-time communications specialist to manage a web portal to facilitate improved sharing of information on climate.		
PPCR	Mozambique	Climate-resilient Water-enabled Growth: Transforming the Hydro-meteorological Services	Core project activities include better information management and training	Weak	None
PPCR	Nepal	Building Resilience to Climate-Related Hazards	The project includes an aspect to coordinate with the TA project of the Nepal SPCR for dissemination of SPCR lessons learned and best practices. Institutional arrangements are in place. There will also be implementation of training activities, including workshops and round tables. One component of the project is creation of an agricultural management information system to meet the data needs of the agriculture sector to better manage and mitigate climate risks.	Strong	None
PPCR	Nepal	Building Climate Resilient Communities Through Private Sector Participation	Advisory component includes raising knowledge and awareness among farmers on better farming practices. Specific activities are provided, including training, demonstration, partnerships with private sector.	Moderate	None
PPCR	Nepal	Technical Assistance 1: Mainstreaming Climate Change Risk Management in Development	Planned activities will develop and document sector-specific knowledge, incorporate it into sector guidelines and manuals, train and share knowledge on climate change risk management. A specific component of the project is "knowledge management tools for climate change are developed and applied" whereby "MOE will regularly and clearly communicate newly acquired knowledge, key results, and lessons from TA implementation." Knowledge system will have specific activities including a knowledge management system on climate change, communication strategy, knowledge products, update educational curriculum, document indigenous practices, etc.	Strong	None
PPCR	Nepal	Building Climate Resilience of Watersheds in Mountain Eco-Regions, Component 1	A knowledge management (KM) plan was drafted during project design and provides a starting point for the project's collection, processing, dissemination of project experiences. The project's KM component aims to generate knowledge and good practice lessons learned, incorporate such lessons into its country programming, and share it in international forums.	Strong	Maybe - "NDF is contributing €3.6 million for key capacity development,

					project management, and knowledge management technical assistance. They will administer support for...impact monitoring and evaluation"
PPCR	Niger	Project for the Improvement of Climate Forecasting Systems and Operationalization of Early Warning Systems (PDIPC)	"The lessons learned will be disseminated through periodic meetings of the pilot countries, and will be consolidated for replication of the SPCR intervention strategy in the sub-region and elsewhere in the world". Discusses establishment of a climate information dissemination mechanism and training. The KM element of the SPCR is incorporated into project #3 (CAPCR).	Weak	None
PPCR	Niger	Water Resources Mobilization and Development Project(PROMOVARE)	"PROMOVARE will help to acquire more information on the effectiveness of methods of adapting to climate change and particularly intensifying irrigation by mobilizing water resources." Lessons learned will be disseminated through pilot country meetings and capitalized on for the replication of the PSRC intervention strategy in the sub-region and elsewhere around the world. PSRC KM is incorporated into project #3 of the SPCR (CAPCR).	Weak	None
PPCR	Niger	Community Action Project for Climate Resilience (CAPCR)	A high-level objective is "ensuring adequate coordination and knowledge management". \$2 million goes toward a communication strategy and KM. Activities include development of a system for effective KM. "Knowledge concerning the approach, results, challenges and impacts of the programme are managed and shared at national level (with key stakeholders) and at international level (with other SPCR pilot countries)"	Strong	None
PPCR	Pacific	Implementation of the Strategic Program for Climate Resilience	"Information Generation and Knowledge Management. As mentioned under Project/Program Description, appropriate knowledge products based on the project's key findings and lessons learned will be prepared and disseminated	Strong	None

		(SPCR)	to other sectors within participating countries, and to the 11 other Pacific DMCs with no PPCR country tracks. In Output 1, these knowledge products include the CCA and DRR mainstreaming tools developed, tested on the ground, and peer-reviewed before dissemination and/or publication. In Output 2, specific knowledge products will be developed to achieve the objectives of the RTSM and disseminated through the Pacific Climate Change Portal in SPREP. These will include (i) specific advice on funding sources for the RTSM and RRF; (ii) written guides on processes for Pacific countries to follow in developing policy, legislative, and institutional materials to enable better access to various funding sources; and (iii) situational analyses on Pacific countries and the role of RTSM partners."		
PPCR	Samoa	Enhancing the Climate Resilience of Coastal Resources and Communities	"This component will strengthen the provision of climate and other relevant data and information. It will include activities to increase public awareness of climate change issues and to improve the availability and use of data for risk analysis, hazard mapping and knowledge sharing"	Moderate	None
PPCR	South Pacific-Samoa	Enhancing the Climate Resilience of the West Coast Road(Apia to Airport)	Component #3 will provide funding for specific inter-project SPCR coordination activities, such as knowledge exchange and lessons learned to feed into the coordination of the SPCR at a programmatic level.	Weak	None
PPCR	Tajikistan	Building Capacity for Climate Resilience	"Component A: strengthening regional coordination and information sharing (US\$8.7 million). This component aims to ensure that each participating NHMSs in the region— Kazakhstan, Kyrgyzstan, Tajikistan, and Uzbekistan—can use, share, exchange, and archive common hydromet data and information." Sub-component activities include a focus on capacity building through training and knowledge sharing, and an indicator in the results framework is improved information sharing between the countries.	Moderate	None
PPCR	Tajikistan	Improvement of Weather, Climate and Hydrological Service Delivery	One outcome is "improvement of regional data and information exchange" among 5 central Asian countries. There is training involved in the project activities.	Weak	None
PPCR	Tajikistan	Enhancing the Climate Resilience of the Energy Sector	"This will facilitate targeted interventions that will generate lessons and experience that can subsequently be transferred elsewhere in Tajikistan"	Weak	None
PPCR	Tajikistan	Environmental Land Management and Rural Livelihoods Project	"Component 2: Knowledge Management. This component will provide facilitation services and technical support for rural populations to plan, implement and manage rural investments. The component would comprise the following activities: Sub-Component 2.1. Facilitation support and technical advice for mobilization, participatory planning, and	Strong	Yes - "Analysis, research and impact

			implementation of development plans at the village and/or jamoat level. Sub-Component 2.2. A comprehensive training, dissemination and networking program would be instituted to improve skills and knowledge in key topics such as environmental assessment, monitoring and control, and information management; integrated land, water and grazing management including pasture management approaches; sustainable land management and curtailing land degradation; integrated pest management (IPM); pollution control; and climate change adaptation. Sub-Component 2.3. Analysis, research and impact evaluation will include analyses of topics such as soil quality and extent of land degradation, grazing management and livestock production, market development and access to markets, potential incentive policies for environmental measures, sustainable land management practices and changes in productivity and environmental conditions resulting from technological change to provide guidance for the design of rural investments and supporting sustainability of the project's impacts."		evaluation will...provide guidance for the design of rural investments and supporting sustainability of the project's impacts."
PPCR	Tajikistan	Building Climate Resilience in the Pyanj River Basin	"Training will be supported on climate resilience measures, targeting especially women and community organizations. Knowledge generated during the project will be sustained by the work of the Disaster Risk Committee, the Water Users Associations and the Water Consumer Groups beyond project implementation. Training will also be provided on financial literacy to support climate resilient agribusiness and economic diversification. The project will benefit from the knowledge generated and disseminated through the Climate Change Information Centers established under the capacity development technical assistance Building Capacity for Climate Resilience and the activities of the investment project Environment Land Management and Rural Livelihoods being administered by the World Bank. Coordination with these parallel PPCR activities will be sought by the project EAs and ensured by the PPCR National Coordination Mechanism. Learning from the project and other PPCR activities will be captured also under the PPCR national program reporting and knowledge sharing events."	Moderate	None
PPCR	Tonga	Climate Resilience	"Through project implementation, a key focus will be to generate valuable experience and lessons for learning and knowledge sharing in Tonga and by other Pacific island countries as they introduce and expand CCA and DRM investment programs...Developing a global information systems data base as a knowledge depository for all activities carried out in Tonga on IWRM...Consulting services for...knowledge management and information dissemination support to PMU and PIUs"	Moderate	None

PPCR	Yemen	Climate Info System & PPCR Coordination	"Component D: PPCR Program Management and Knowledge Sharing (PPCR Financing US\$3.70 million including contingencies): Knowledge sharing will be carried out across all of the Yemen PPCR investments to increase public awareness of climate variability and change and its impact on day-to-day activities in Yemen. It would guide the initial development of the climate database management system by establishing procedures to ensure open access to climate information by all users. Public education and outreach activities will be geared towards improving information access and awareness raising of the challenges caused by climate change. Particular attention would be given to communities which need to take preparatory action to mitigate adverse consequences of the climate and hydrometeorological hazards – improving community response to flood warnings, improving management of surface water resources, improving food security, improving health outcomes, improving climate-resilient coastal zone management, and improving rural livelihoods."	Strong	None
PPCR	Zambia	Strengthening Climate Resilience (PPCR Phase II) Project	"Sub-component 1.1: Institutional Support to National Climate Change Program (US\$5.8 million grant) comprising the following activities:...(ii) Institutional strengthening, through post-graduate and short-term training for climate change champions, knowledge sharing, and analysis and dissemination of lessons learned..."	Moderate	None
PPCR	Zambia	Strengthening Climate Resilience in Kafue River Basin	"This innovative project is expected to generate considerable knowledge on building climate change resilience and adaptation options for local communities. This will add value to the overall design and management of similar future interventions. Lessons and experiences will be shared within the Bank and other institutions interested in implementing projects. The Project will promote the community participation in adaptation infrastructures and livelihood activities. For sustainability, the rural community infrastructure will be constructed or rehabilitated by the community, either using their own workforce (cooperatives) or recruiting an artisan, with full support from the Project. The Project will demonstrate that the community infrastructures can be ably managed by the community if given the necessary support including start-up capital for the economic enterprises. The process of community engagement and participation will be a learning pilot intervention point for the success and sustainability of the project and also useful database for other potential development projects being planned by GoZ. The Project will work closely with gender related organizations (NGOs) and key stakeholders for purposes of sharing information and learning materials on gender and women empowerment in relation to climate adaptation and development. A CIF lesson learned website has been created with the objective of sharing lessons with among	Moderate	None

			PPCR supported countries"		
FIP	Brazil	Commercial Reforestation of Modified Lands in Cerrado	"IFC and the Government of Brazil are currently under discussion to ensure that experiences from the Project are captured and disseminated to the government and other stakeholders that could benefit the implementation of ABC Plan and other efforts of the government to expand planted forests in Brazil." "Project will develop replicable technologies which can be adapted by small and large farmers alike. This knowledge, in turn, will reduce perceived risks for future investors in the sector."	Weak	None
FIP	Brazil	Forest Information to Support Public and Private Sectors in Managing Initiatives Focused on Conservation and Valorization of Forest Resources	"Component 2: NFIS consolidated. US\$1,264,652.00 (US\$1,079,902 with FIP resources and US\$184,750 with local counterpart resources). This component will finance the NFIS, which is the main platform for the analysis and dissemination of information and management of knowledge about the country's forest resources and their use in promoting activities to mitigate climate change. While supporting the NFIS structure as a whole and therefore contributing to information dissemination for the entire country, the TC emphasizes the provision of information on the Cerrado biome, ensuring consistency with other biomes in Brazil." ... "best practices and lessons identified and described"	Moderate	None
FIP	Burkina Faso	Decentralized Forest and Woodland Management Project	"Component 3: Coordination and Information and Knowledge Sharing (Combined FIP/EU Budget: US\$ 3 million)." ... "This sub-component will support lesson-learning information is an integral part of the project. Throughout the implementation of the different components a range of integrated activities aim at gathering, managing and sharing information to the main lessons learned (especially in terms of procedures, methodologies, funding needed, techniques and best practices, synergies and partnerships). These activities will support an internal dynamic of learning by doing, promote timely integration of lessons learned into the design and implementation of investments and projects, accelerate the replication and the scaling up of successful outcomes, and promote the mobilization of required additional financial resources. Additionally they will inform the REDD+ strategies. Program coordination, knowledge sharing, and lesson	Moderate	None

			learning for various REDD+ and climate change activities will integrate the EU focus on rural development and forestry issues in the context of climate change."		
FIP	Burkina Faso	Gazetted Forests Participatory Management Project for REDD+ (PGFC/REDD+)	"Knowledge Building: The PGFC will help to test a sustainable dry woodland management model within the framework of REDD+, based not only on the capacity of these woodlands to stock carbon, but also on their capacity to improve the resilience of the local population's livelihoods within the climate change adaptation context. The project will help to gather more information on gazetted forest co-management by the Administration and the communities, and its capacity to generate fallouts for the local populations and benefits for the environment, notably the mitigation of climate change. It will also help to generate knowledge on the national and local implementation of REDD+ technical, legal and institutional tools in Burkina Faso. The lessons learned will be disseminated at the national and international levels through periodic meetings of FIP pilot countries and will be built on for the replication of the PGFC/REDD+ intervention strategy at the national level, in the sub-region and in any other country with dry woodlands capable of being integrated into REDD+. Management of FIP knowledge is incorporated into Component 4 of World Bank-funded PGDEB "Information Sharing, Programme Coordination, Lessons Learned and Research""	Moderate	None
FIP	DRC	Integrated REDD+ Project in the Mbuji-Mayi/Kananga and Kisangani basins	"Knowledge Building: The project intervention areas reflect the two ecological facies which are characteristic of the entire country, namely, the tropical savanna and dense rainforest which dominate the equatorial area. The attraction of intervening in the two different areas lies in the fact that they would serve as a testing ground for the dissemination of good REDD+ practices and connections for fragmented ecosystems. This knowledge will be generated throughout the project implementation period through the development of alternatives to unsustainable slash-and-burn and fuel wood gathering practices, alternatives which will generate income for the rural populations. This experience will consolidate and complement the knowledge already acquired through other operations in the field, including the PACEBCo. The project innovations specifically concern the preparation and implementation of simplified management plans for degraded forests, agro-forestry techniques, forestry techniques and sustainable charcoal production techniques of which the communities will assume ownership. Furthermore, the information collected by the project team will be capitalized on for knowledge building through the monitoring-evaluation system, learning and sharing of knowledge in keeping with the overall FIP programme management. The different technical notes and reports will not	Moderate	None

			only be used to upgrade stakeholders' skills in the areas of alternative agricultural practices, community forestry, energy efficiency and REDD+, but will also allow the Bank and DRC to learn relevant lessons to be incorporated in future operations." .."Knowledge Management: promotion and dissemination of project outcomes as part of the REDD+ strategy (Website, periodic publications, exchanges among FIP project actors)"		
FIP	Ghana	Engaging Local Communities in REDD+/Enhancement of Carbon Stocks	"Knowledge management products such as lessons learnt report, fact sheets or policy briefs will be developed on the following 7 issues: Governance practices related to carbon, tree and land tenure and benefit sharing in off-reserve areas; subnational approach to REDD+; shade cocoa; sacred groves and forest remnants conservation; sustainable charcoal value chain; forest extension system; gender in the context of REDD+ implementation. These issues have been identified in consultation with stakeholders taking into account prior lessons learnt from similar projects such as the CFMP and the specificities of this project. These products will be shared at the regional, national and international levels through being made available on-line and printed. They will also be debated in national workshops, especially those aiming at inspiring policy and regulatory reforms (cf tree tenure and benefit sharing for example). Information sharing with other FIP countries will be facilitated through emails, video conferences and invitations to FIP international workshops and field and country exchange visits. Annex B.10 elaborates further on knowledge management"	Strong	None
FIP	Lao PDR	Smallholder Forestry Project	"The program will start with a pilot phase with this company...An evaluation is scheduled for last quarter of the test period in order to create the foundation for decision making to scale up the program based on transparent and clear recommendations from the pilot lessons learned. Once the approach has been successfully piloted and the lessons learned are incorporated into the program design, it will be scaled up and replicated with other companies operating in the country"..."IFC specialists will train a number of the partner's extension teams on the effective use of these tools in order to on-train farmers and build farmer technical capacity"	Moderate	None
FIP	Lao PDR	Scaling-Up Participatory Sustainable Forest Management	"The project will also provide access to...training and improved village revenue"	Weak	None
FIP	Mexico	Mexico Forests and Climate Change Project	Subcomponent 1.2. Policy Design, Participatory Processes, and Knowledge Sharing: it will support studies and workshops needed to draw lessons from the ongoing environmental services and community forestry programs, and propose adjustments for subsequent operation. It will support knowledge	Strong	Yes – Sub-component 1.1 includes designing an

			management and learning activities in-country and internationally, including South-South initiatives and the dissemination and exchange of lessons and experiences on REDD+ and on the implementation of the FIP Investment Plan. This subcomponent will be coordinated with the REDD+ Readiness process supported by the FCPF. There are IRBD and FIP grants specifically designated for this sub-component.		impact evaluation strategy for component 3
FIP	Mexico	Financing Low Carbon Strategies in Forest Landscapes.	Technical assistance includes training	Weak	None
FIP	Mexico	Support for Forest Related Micro, Small, and Medium-sized Enterprises (MSMEs) in Ejidos	"Component 5: Dissemination and knowledge management (executed by FMCN and FINDECA). (MIF: \$300,737; FIP: \$19,942; Counterparts: \$45,533) The objective of this component is to increase knowledge, awareness and coordination among key stakeholders regarding the a) viability of investment in CFEs in Mexico as an economic development and climate change mitigation tool; b) the potential creditworthiness of CFEs at different levels of entrepreneurial sophistication; c) the potential for access to credit to increase profits and individual income; d) the role of private sector forestry and financial industries in mitigating climate change...The main knowledge products of this project will be credit product manuals, methodologies, and didactic materials; case studies of innovative elements of the project including on the role of women and low-capacity MSE's; a project website, audiovisual product, fact sheets, and a technical study of the project's approach, results, challenges, and replicability prepared for the FIP donors. The project will actively identify lessons learned and knowledge generated through monitoring of impacts via FMCN's learning communities, IDB-MIF knowledge platforms, and national channels. As CFE access to finance is expanded, the project will disseminate experiences throughout Mexico and Latin America via proactive media relations. The dissemination component of the project will also enable presentations by communities and counterpart financing agencies at national forestry forums such as the Expo Forestal in Mexico. Knowledge dissemination will seek to demonstrate to financial institutions that lending to CFEs is a profitable business opportunity. These audiences will be reached through project outreach to local and regional banks, microfinance institutions, and Bank, MFI, and MIF networks (FELABAN, Foromic, etc.). The project will also hold workshops for these audiences. Since the Mexico FIP is the first FIP project to develop a private sector component it is expected that the project will serve as a model for future FIP private sector interventions. The project's model will be disseminated through a report to FIP donors at the annual FIP donors	Strong	Yes – "The project team will assist CONAFOR in an impact evaluation that is planned for all four components of the FIP."

			meeting, and to other national governments designing FIP programs with MIF/IDB support (for example, Peru)."		
SREP	Honduras	Strengthening the RE Policy and Regulatory Framework (FOMPIER)	Under component 1 - development of a web platform for dissemination of information. Component 2 and 3 - studies developed. Component 4 - capacity building - support for the holding of meetings and technical workshops, consensus-building activities, studies, technical guides, training, and materials development, transfer of best practices in government and non-government agencies, increasing public awareness and dissemination, education and professional training in RE, documents/reports with learning. Funding is provided for these activities.	Strong	None
SREP	Honduras	Sustainable Rural Energization (ERUS) - Part I & III: Promoting Sustainable Business Models for Clean Cookstoves Dissemination	"Component V: Knowledge and Dissemination Platform. (MIF US\$275,000; Counterpart US\$73,000). The objective of this component is to disseminate knowledge and information generated by the project in order to transform the perceptions regarding the environmental and health benefits of clean cookstoves and the corresponding business opportunities. The primary knowledge gap that this project will fill will be around finding the optimal combination of distribution channels and finance to expand cook stove use. The key audiences include: (i) other member governments of SICA; (ii) other LAC governments looking to promote clean cookstoves; (iii) NGOs, cooperatives, banks and entrepreneurs looking to participate in cookstove value chain; (iv) members of the Global Alliance on Clean Cookstoves, (v) other pilot countries of SREP and CIFs and (vi) other donors. The main knowledge sharing products will include case studies on key innovative aspects of the project model, including construction of the cookstoves value chain, incorporation of the microfinance sector, and the application of standards to improve quality control. All training materials, technical studies and evaluations and knowledge materials will be published for public use. In addition, the project expects to conduct an impact evaluation, which will serve as an important knowledge input on clean cookstoves and a tool to influence key audiences. The activities and products of this component are the following: (i) analyses and development of stove designs for indigenous and afro-descendent communities and the incorporation of gender in the specific activities and training modules of the program; (ii) specialized workshops on topics such as refractory ceramics, chimney design and multi-energy applications of cookstoves; (iii) implementation and design of a pilot activity on the sustainable commercial uses and harvesting of fuelwood; (iv) design and implementation of program website and online knowledge repository; (v) development of specific knowledge products, such as case studies and info-graphics; (vi) creation of technology innovation incentive	Strong	Yes – "Although not confirmed, an impact evaluation will likely be conducted to address questions of attribution of several outcomes to the project."

			fund; (vii) annual dissemination and knowledge sharing workshops and (viii) an international event in Honduras in collaboration with the Global Alliance on Clean Cookstoves.		
SREP	Kenya	Menengai Geothermal Project-200 MW Geothermal-Phase A-Resource and Infrastructure Development and Mobilization of Private Sector	The project document discusses trainings and workshops.	Weak	None
SREP	Mali	Rural Electrification Hybrid Systems	None	Zero	None
SREP	Nepal	Small Hydropower Development	The advisory component will ensure the long-term impact of market transformation by strengthening capacities of local financial intermediaries and technical service providers and increase market awareness by conducting sector studies, supporting awareness raising, dissemination of information and lessons through conferences, seminars, and workshops, as well as media promotion campaigns. Capacity building activities including training will also occur. The project seeks to increase demand through end-user knowledge management.	Strong	None

Annex H: Monitoring and Evaluation

At the investment plan level, the degree to which M&E is addressed differs by CIF program.³¹ Table 20 below provides a summary of the extent to which key M&E elements—such as indicators, targets, and baselines—are included in the originally endorsed investment plans across the CIF programs.

Table 20: Number of Originally Endorsed Investment Plans Providing Key M&E Elements

M&E Element	CTF	FIP	SREP	PPCR	Total
<i>Out of a total of endorsed Investment Plans:</i>	<i>16</i>	<i>7</i>	<i>6</i>	<i>20</i>	<i>49</i>
Specific objectives / results are provided	16	7	6	20	49
Indicators are provided	14	7	6	20	47
Results framework / logic model is provided	1	7	6	17	31
Baselines for any indicators are provided	11	3	6	7	27
Baselines for more than 75% of indicators are provided	9	0	2	2	13
Targets for any indicators are provided	14	5	6	16	41
Targets for more than 75% of indicators are provided	12	4	3	13	32

Source: Developed based upon review of originally endorsed CIF investment plans, as of December 31, 2012.

Note: The difference in the SCF and CTF investment funds in the inclusion of a results framework or logic model may be attributable to the differences in the criteria established for the development and review of the investment plans. The SCF procedures for technical review of submitted plans require the inclusion of monitoring and evaluation provisions and links to the overarching CIF program/sub-program level results framework as criteria for evaluation of the plan.³² In contrast, the guidelines for development of the CTF investment plans solely require the establishment of 2-3 program indicators.³³

³¹ All but three of the currently approved investment plans were approved under the original results frameworks.

³² Procedures for the Preparation of Independent Technical Reviews of PPCR and SREP Investment Plans, October 2011,

³³ CTF Guidelines for Investment Plans, August 2009,

Annex I: Stakeholder Consultation

Annex I.1: MDB Collaboration to Support Investment Plan Preparation

Nearly half of all endorsed investment plans have been prepared with the support of three or more MDBs, while only about 10% have been prepared by a single MDB (in all cases, the World Bank). As shown, the World Bank has been involved in the preparation of three-quarters of all endorsed investment plans, including 18 of the 19 SPCRs and all seven of the FIP investment plans. Of the investment plans that IFC (the private sector arm of the World Bank Group) has supported, all have been in collaboration with the World Bank and other MDBs.

Table 21: MDB Assistance on Endorsed Investment Plans*

	CTF*	FIP	SREP*	PPCR	Total
Number of Endorsed Investment Plans	16	7	6	19	48
Number of Investment Plans assisted by:					
IBRD	10	7	3	16	36
IFC	10	5	2	7	24
IDB	2	2	1	4	9
AfDB	4	3	0	2	9
ADB	3	2	2	7	14
EBRD	2	0	0	1	3
Number of Investment Plans assisted by:					
One MDB	1	0	0	6	7
Two MDBs	10	7	3	12	32
Three MDBs	0	0	0	1	1
Three or more MDBs (counting IFC separately from the World Bank)	9	5	2	7	23

Source: Data compiled from review of CIF investment plans.

* Includes MDBs explicitly identified as supporting or assisting in the development of the investment plans; does not count those MDBs identified as providing funding to or implementing specific projects. For CTF, investment plans for Chile, India, Kazakhstan, the MENA region, the Philippines and Ukraine did not specify MDB involvement in plan preparation. Similarly, for SREP, Ethiopia, Kenya, and the Maldives did not specify MDB involvement.

Annex I.2: CIF Guidance on Stakeholder Consultations

The following summarizes CIF guidance on stakeholder consultation, in support of section 2.7 in the Main Report.

- The CTF design document³⁴ and the CTF governance framework³⁵ indicate that joint missions should “involve” other development partners and “discuss” with the government, private industry and other stakeholders how the fund may help finance scaled-up low carbon activities. The CTF guidelines for investment plans³⁶ state that a key feature of the joint missions will be “engagement” at the country level with UN and bilateral and other multilateral development and investment agencies. No role is explicitly articulated for civil society during investment plan development.

³⁴ The Clean Technology Fund, June 2008.

³⁵ Governance Framework for the CTF, December 2011.

³⁶ CTF Guidelines for Investment Plans, August 6, 2009.

- SREP guidelines require stakeholder “consultations” and “consultative workshops, meetings, and appropriate field trips” but do not further elaborate on what would constitute an effective or meaningful consultation.³⁷
- The PPCR joint mission process is expected to include “consultations and collaboration” with stakeholders, and to “consult widely” with stakeholders to “collect a range of views on important elements, analytical work, and further consultations.”³⁸ PPCR joint mission guidance further states that the “process of prioritization and analysis [of public and private sectors and potential actions] will be carried out by the Government and supported by the MDBs and other development partners.”
- FIP guidelines suggest a role for broader stakeholders in investment plan decision-making processes. The FIP design document³⁹ states that the “development of the investment strategy should be inclusive, transparent and participatory” and that “governments of pilot countries should establish, or identify an existing, cross-cutting multi-stakeholder national level steering committee to assist in program planning, implementation, monitoring and evaluation, which should include representatives of provincial, state and local authorities, indigenous peoples and local communities, NGOs, private sector and other members of civil society.” The design document suggests that the outcome of effective stakeholder engagement would be “consensus reflecting broad community support.”

³⁷ SREP Programming Modalities and Operational Guidelines, November 8, 2010.

³⁸ Guidelines for Joint Missions to Design PPCR Pilot Programs, June 18, 2009.

³⁹ Design Document for the FIP, July 7, 2009.

Annex J: Clean Technology Fund

Annex J.1: Justifications for Transformation and CTF Financing, as Reported in CTF Investment Plans

Country	Project Concept	Reduce risk perceptions	Buy-down upfront costs and risks / increase investor "comfort"	Contribute to decreasing technology cost / increase market competitiveness of technology	Overcome first-mover barriers / provide demonstration value	Provide training / capacity building for local financial institutions / private sector	Buy-down market access risk / build complementary infrastructure	Provide funding given lack of public resources	Modal shift	Overcome institutional barriers	Harmonize sector plans/policies
Power Sector											
Solar											
Chile	Concentrated Solar Power Project	✓	✓	✓	✓						
Chile	Large-Scale Photo-Voltaic Program	✓	✓	✓	✓						
India	Solar Parks and Integrated Solar Hybrid	✓			✓						
MENA	Concentrated Solar Power				✓		✓				
Philippines	Mainstreaming Solar Power to Mitigate Climate Change		✓		✓						
South Africa	Eskom Concentrated Solar Power /Wind	✓	✓		✓		✓				
Geothermal											
Indonesia	Geothermal		✓		✓						
Hydro											
India	Himachal Pradesh Environmentally Sustainable Development Policy Loan				✓						
Wind											
Egypt, Arab Rep.	Wind				✓	✓					
Morocco	ONE Wind Energy Plan	✓	✓				✓				
Grid/Transmission											
Turkey	TEIAS Transmission Project						✓				
Ukraine	Smart Grids						✓				
Ukraine	Zero Emissions Power from Gas Network		✓								
Vietnam	Smart Grid			✓	✓						



Country	Project Concept	Reduce risk perceptions	Buy-down upfront costs and risks / increase investor "comfort"	Contribute to decreasing technology cost / increase market competitiveness of technology	Overcome first-mover barriers / provide demonstration value	Provide training / capacity building for local financial institutions / private sector	Buy-down market access risk / build complementary infrastructure	Provide funding given lack of public resources	Modal shift	Overcome institutional barriers	Harmonize sector plans/policies
Vietnam	High Voltage Transmission				✓		✓				
RE/EE Programs											
Chile	Renewable Energy Self-Supply and Energy Efficiency	✓			✓	✓					
Indonesia	RE/EE		✓		✓	✓					
Kazakhstan	Renewable Energy	✓			✓						
Kazakhstan	EE/RE thru FIs					✓					
Mexico	Renewable Energy				✓	✓					
Mexico	Private Sector Energy	✓	✓								
South Africa	Private Sector RE/EE Program	✓	✓		✓						
Thailand	Clean Energy Advancement RE/EE		✓								
Thailand	Clean Energy: Advancing Clean Energy Investments with Public Utilities (EGAT)		✓								
Thailand	Clean Energy: Advancing Clean Energy Investments with Public Utilities (PEA)	✓			✓						
Thailand	Clean Energy: Catalyzing Private Clean Energy Investments Through SFIs		✓								
Turkey	RE/EE2		✓								
Turkey	Renewable Energy/Energy Efficiency	✓			✓	✓					
Turkey	SME RE/EE			✓	✓	✓					
Ukraine	Ukraine RE Financing Facility		✓		✓	✓					
Vietnam	Clean Energy Financing Facility		✓			✓					
Transport											
Colombia	Sustainable Transport System							✓	✓	✓	
Egypt	Urban Transport							✓	✓		
Mexico	Urban Transport							✓	✓	✓	✓
Nigeria	Bus Rapid Transit (LUTP2)							✓	✓		
Nigeria	Bus-Based Mass Transport Support for Abuja,										✓



Country	Project Concept	Reduce risk perceptions	Buy-down upfront costs and risks / increase investor "comfort"	Contribute to decreasing technology cost / increase market competitiveness of technology	Overcome first-mover barriers / provide demonstration value	Provide training / capacity building for local financial institutions / private sector	Buy-down market access risk / build complementary infrastructure	Provide funding given lack of public resources	Modal shift	Overcome institutional barriers	Harmonize sector plans/policies
	Kano and Lagos(NUTP)										
Philippines	Electric vehicles			✓	✓	✓					
Thailand	Urban Transport							✓	✓		
Vietnam	Urban Transport								✓	✓	✓
Energy Efficiency											
Colombia	Energy Efficiency	✓			✓	✓					
India	National Mission on Enhanced Energy Efficiency-Super Efficient Equipment Program	✓									
India	Partial Risk Guarantee Scheme for New Technologies in Energy Efficiency	✓				✓					
Kazakhstan	District Heating			✓	✓						
Mexico	Energy Efficiency		✓								
Mexico	Lighting and Appliances Efficiency		✓								
Nigeria	Financial Intermediation for Clean Energy/Energy Efficiency					✓					
Ukraine	Improving Energy Efficiency		✓			✓					
Vietnam	Industrial Energy Efficiency		✓								

Sources: All data sourced from CTF Investment Plans.

Annex J.2: Renewable Energy, Energy Efficiency, and Transport Project Potential

Table 22: Project Potential for Renewable Energy Projects

Country	Technology(ies)	Total Project Target for RE Generation (MW) ^a	Project Outcome on RE Installed Capacity		Project Outcome on National Energy Mix		Investment Grade ^d	Pre-tax Subsidies for Electricity (% of GDP) ^e
			Total National Installed Capacity of RE Technology	Ratio of Power Supplied by Project to National	Total National Energy Supply	Ratio of Project Target to Total National Energy Supply		



			(MW) ^b	Supply of RE	(MW) ^c			
Chile Total	CSP, Solar PV	430	~0	>1 ^f	16,206	0.03	AA+	0.00
Egypt	Wind	2,500	400	6.3	26,912	0.09	CCC+	2.30
India	Solar	3,800	18	213.2	208,093	0.02	BBB-	0.32
Indonesia	Geothermal, EE/RE	2,060	2,924	0.7	34,074	0.06	BBB-	0.66
Kazakhstan	RE	170	78	2.2	18,735	0.01	BBB+	0.94
MENA	CSP	710	482 ^g	1.5	n.a.	---	n.a.	n.a.
Mexico	Wind, Small Hydro, Solar	1,468	n.p.	---	62,002	0.02	A	0.00
Morocco	Wind	1,100	280	3.9	6,620	0.17	BBB+	n.a.
Nigeria	Financial Intermediation for RE/EE	n.p.	n.p.	---	5,900 ^h	---	BB-	1.31
Philippines	Solar PV	40	1	40.0	16,320	0.00	BBB	0.00
South Africa	CSP, Wind	200	20	10	44,258	0.01	A-	0.55
Thailand	RE (WTE, Wind, Solar)	620	1699	0.4	48,238	0.01	A	1.64
Turkey	RE	2,463	4000 ⁱ	0.6	49,524	0.05	BBB	n.a.
Ukraine	RE, Smart Grid	4,138	n.p.	---	54,883	0.08	B	1.61
Vietnam	RE	n.p.	769	---	15,209	n.p.	BB	n.p.

Sources: All data sourced from CTF Investment Plans, unless otherwise noted.

n.p. = not provided

n.a. = not applicable, as reported in the original source document

^a As reported in results reporting, country/regional investment plans, or project documents. See key for source of shaded cells.

^b As reported in country/regional investment plans.

^c U.S. Energy Information Administration, International Energy Statistics: Total Electricity Installed Capacity, *available at*: <http://www.eia.gov/cfapps/ipdbproject/IEDIndex3.cfm?tid=2&pid=2&aid=7>. Accessed May 20, 2013.

^d Standard and Poor's, Sovereign Rating List, *available at*: <http://www.standardandpoors.com/ratings/sovereigns/ratings-list/en/us/?subSectorCode=39>. Accessed May 26, 2013. For Standard & Poors, investment grade is a credit rating of BBB- or higher.

^e International Monetary Fund (2013), Energy Subsidy Reform: Lessons and Implications, January 28, 2013.

^f Ratio shown as greater than 1 because existing capacity is approximately zero.

^g Worldwide installed CSP capacity.

^h Because of low availability, actual power generation may be much lower (2,000 to 3,000 MW).

ⁱ Back-calculated based on a reported goal of increasing renewable energy generation capacity in Turkey by 20 percent.

Source Key:

2013 Results Reporting

Project Document

Revised Investment Plan

Original Investment Plan



Table 23: Electricity Consumption Reductions in CTF-Financed Energy Efficiency Projects

Country	Project Concept	Reduction (GWh)	2009 Electricity Consumption (GWh)	Ratio of Project Reduction to Total National Consumption
Colombia	Energy efficiency	1,084	46,384	0.02
India	National Mission on Enhanced Energy Efficiency-Super Efficient Equipment Program(SEEP)	n.p.	660,979	---
India	Partial Risk Guarantee Scheme for New Technologies in Energy Efficiency(PRG)	n.p.		
Kazakhstan	District Heating	4,800	67,191	0.07
Mexico	Energy Efficiency	74	204,250	0.08
	Lighting and Appliances Efficiency	15,360		
	Total	15,434		
Nigeria	Financial Intermediation for Clean Energy/Energy Efficiency	n.p.	17,657	---
Turkey	Commercializing Sustainable Energy Finance Program	160	n.p.	---
	Private Sector RE and EE Project	81,280		
	TurSEFF	1,496		
	Total	82,996		
Ukraine	Improving Energy Efficiency	1,400	139,810	0.01
Vietnam	Distribution Energy Efficiency	3,659	75,441	0.05

Source: All data sourced from results reporting or CTF Investment Plans. See key for source of shaded cells.

n.p. = not provided

Table 24: Modal Shifts in CTF-Financed Transport Projects

Country	Project Concept	Number of Additional Passengers Using Low Carbon Transport	Baseline
Colombia	Sustainable Transport System	800,000 passengers/day	n.p.
Egypt	Urban Transport	900,000 passengers/day	3.1 million passengers/day
Mexico	Urban Transport	3,960,000 passengers/day	300,000 passengers/day
Nigeria	Bus Rapid Transit(LUTP2)	n.p.	n.p.

Nigeria	Bus-Based Mass Transport Support for Abuja, Kano and Lagos(NUTP)	n.p.	n.p.
Philippines	Electric vehicles	300,000 passengers/day	n.p.
Thailand	Urban Transport	500,000 passengers/day ^a	n.p.
Vietnam	Urban Transport	In Hanoi, an additional 10-30% of motorized trips by public transport In HCMC, an additional 8-23% of motorized trips by public transport	n.p.

Source: All data sourced from results reporting or CTF Investment Plans. See key for source of shaded cells.

n.p. = not provided

^a This is the reported capacity for the entire BRT system; not just the CTF component.

Annex J.3: Renewable Energy and Energy Efficiency Policies in CTF Countries

Table 25: Review of Renewable Energy (RE) Policies in CTF Countries

Country	RE Law	RE Targets	Observations
Colombia	Law 697/2001 promotes the rational and efficient use of energy and the use of renewable energies	No	The law indicates that the government shall put in place measures to encourage companies to import or manufacture equipment using non-conventional energies. However, the law lacks key provisions to achieve the development of alternative energies and has had limited impact. There are no real regulatory framework and support mechanisms for sustainable energy. ⁴⁰
Chile	1. Law 20.257, 2008, requiring electricity companies to fulfil a renewable energy quota 2. Net billing legislation for renewables up to 100 kW 3. Electrical Concessions Law, 2013, facilitates the connect of projects to the grid ⁴¹	Yes	The 2008 law requires new energy generation contracts to include 5% generated from renewable sources starting in 2010. The share of renewables then increase by 0.5% starting 2014 to reach 10% in 2025. At the end of 2013, Chile doubled its renewable energy goal, requiring utilities to get 20% of their power from renewable sources by 2025. ⁴² In 2010, a Ministry of Energy was established with the mandate of coordinating the energy market and sectorial policies, developing renewable energy markets, and setting minimum standards for energy efficiency. ⁴³

⁴⁰ Environmental Law in Colombia, 2011, Daniel Rincón Rubiano

⁴¹ <http://www.bloomberg.com/news/2013-10-14/chile-doubles-renewable-energy-goal-to-20-to-spark-new-projects.html>

⁴² <http://www.bloomberg.com/news/2013-10-14/chile-doubles-renewable-energy-goal-to-20-to-spark-new-projects.html>

⁴³ <http://jia.sipa.columbia.edu/renewable-energy-chile>



CSP-MENA	<p>Jordan :</p> <ol style="list-style-type: none"> 1. The Renewable Energy and Energy Efficiency Law 2010⁴⁴ 2. Renewable Energy and Energy Efficiency Law (REEL), April 2012⁴⁵ <p>Tunisia:</p> <ol style="list-style-type: none"> 1. Law 2009-7 on Energy Efficiency: Renewable Energy Provisions 2. Decree on rules of selling renewable electricity to the Tunisian Company of Electricity and Gas (STEG) 2. Decree on connection and access of renewable electricity to the national grid, 2011⁴⁶ 	Yes	<p>Jordan:</p> <ol style="list-style-type: none"> 1. The law includes measures such as resource potential assessments and financing measures to increase the market share of renewables. 2. The law requires the national utility company to purchase electricity from renewable energy projects and for the government to cover the cost of grid connection. <p>The Master Strategy of the Energy Sector in Jordan for the period (2007-2020) sets a target of 1,800 MW, or 10% of the country's energy supply, from renewables by 2020⁴⁷</p> <p>At the end of 2012, Jordan's Electricity Regulatory Commission introduced tariffs that will be paid for generation from various renewable technologies.⁴⁸</p> <p>Tunisia:</p> <p>Government aims to increase the share of renewables to 11% by 2016, and 25% by 2030. Even though support policies have been established there are no public competitive bidding for the development of large-scale private RE projects, no long-term power purchase agreements and no feed-in tariffs for RE.⁴⁹</p> <p>The Decree sets the rules governing the sale of renewable electricity to the Tunisian Company of Electricity and Gas (STEG). Entities from the industry, agriculture and commercial sectors that produce renewable electricity for their own consumption may sell the surplus to the STEG, up to 30% of the annual electricity production of the country. The value of the feed-in tariff is decided by the Ministry of Energy. Renewable electricity producers cover the cost of connection to the grid.</p>
Egypt	A new electricity law was endorsed by the Cabinet in 2008, but is still awaiting approval by Parliament. However, the feed-in tariffs could be immediately applied (e.g.,	Yes	The law identifies a number of policies aimed at renewable energy generation, such as a feed-in-tariff, and a renewable energy development fund to cover the deficit between the renewable energy costs and market prices and provide financial support to pilot projects. ⁵¹

⁴⁴ <http://www.memr.gov.jo/Portals/0/Renewable%20Energy%20Law%20Translation.pdf>

⁴⁵ http://images.cleanenergypipeline.com/Documents/2013/11/1_febbcbbd-672e-4aa5-a73d-01229a44764c.pdf

⁴⁶ <http://www.iea.org/policiesandmeasures/renewableenergy/?country=Tunisia>

⁴⁷ <http://www.nortonrosefulbright.com/knowledge/publications/62385/renewable-energy-in-jordan#section8>

⁴⁸ <http://www.renewableenergyworld.com/rea/news/article/2012/12/jordan-adopts-renewable-energy-feed-in-tariffs-shelves-nuclear>

⁴⁹ https://energypedia.info/wiki/Tunisia_Energy_Situation#cite_note-RCREEE_Tunisia_Country_Profile_2012:_http://www.rcreee.org.2Fmember-states.2Ftunisia.2F13



	by Cabinet decree). Net metering policy was adopted late 2013 ⁵⁰		
India	<p>1. Generation Based Incentive (GBI) for Grid Interactive Wind Power Projects for 12th Plan Period, September 2013</p> <p>2. Jawaharlal Nehru National Solar Mission, January 2010.</p> <p>3. Jawaharlal Nehru National Solar Mission-Phase II, draft stage and awaiting the Cabinet's approval.⁵²</p>	Yes	<p>Generally, the central government intends to promote RE but the lack of a central RE law and an inconsistent implementation between the states has been a key barrier. For instance, some states have set relatively high renewable portfolio standards (RPS – renewable energy targets), some have set low targets, and some have not yet set any targets.</p> <p>Recently, several states have announced renewable energy purchase obligations and issued modified tariff policy for renewables.</p> <p>1. The Indian Government is giving income tax holidays, concessional custom duty, duty free import, and accelerated depreciation, to investors in the wind sector. In addition, the government has developed a Generation Based Incentive (GBI) Scheme.</p> <p>2. The Jawaharlal Nehru National Solar Mission has set a target of deploying 20,000 MW of grid connected solar power by 2022. The mission aims to lower the cost of solar power generation through long term policy, target setting, R&D and domestic production of raw materials, components and products.</p> <p>3. National Solar Mission envisages installation of around 10 GW utility scale solar power projects in Phase-II (2012-2017).</p>
Indonesia	<p>Ministry of Finance Regulation No. 21/PMK.011/2010 on Tax And Custom Facilities For Renewable Energy Utilization</p> <p>Ministry of Energy and Mineral Resources Regulation Number 04 Year 2012 Electricity Power Purchased Price from Renewable Generations (small and medium scale) and Excess Power</p>	Yes	<p>The Government set a target to increase renewable energy generation to 17% of the total energy consumption by 2025. This target was recently upped to 26% by 2025.⁵³</p> <p>There is generally a lack of financial incentives for cleaner energy infrastructure and the government restricts foreign investment in power plants producing less than 10 MW.</p> <p>Indonesia introduced a new FIT for biomass, substantially increased FIT rates for geothermal power, and indicated that tariffs for wind and solar will soon be introduced.</p>
Kazakhstan	1. Law “On Supporting the Use of	Yes	1. The law established a full regulatory framework for RE, promoting economic

⁵¹ <http://www.nortonrosefulbright.com/knowledge/publications/74735/renewable-energy-in-egypt-hydro-solar-and-wind>

⁵⁰ http://www.ren21.org/Portals/0/documents/Resources/GSR/2013/GSR2013_lowres.pdf

⁵² <http://www.ireeed.org/policydetails?id=76>

⁵³ http://www.ren21.org/Portals/0/documents/Resources/GSR/2013/GSR2013_lowres.pdf

	Renewable Energy Sources”, 4 July 2009. 2. Law “On Amendments to Certain Legislative Acts on the Support of Renewable Energy” approved on 4 July 2013		mechanisms to induce investments into RE. For instance: the law obliges electricity transmission companies to allow renewables to connect to the grid. 2. Amongst other things, the law sets a fixed energy tariff for RE distributors, outlines provisions for allocating land for construction of RE projects, and defines the scope and competency of the government, the agency to be put in charge, local authorities and city administration in relation to the use of RE.
Mexico	Law for the Development of Renewable Energy and Energy Transition Financing	Yes	The law has provided incentives that include obligations for state-owned public utilities to enter into long-term contracts with private power generators using RE sources; 100% depreciation of RE equipment, and a renewable energy fund providing financial guarantees.
Morocco	Law no 13-09 with regards to renewable energies	Yes	The law promotes energy production from renewable sources, to market and export either by public or private entities; however, it lacks defined feed-in tariffs but requires rates to be negotiated on a case by case basis between the grid operator and the power producer, which can be a costly and lengthy process. By 2020, Morocco aims to get 42% of its electricity needs from renewable energy sources. ⁵⁴
Nigeria	No	No	No feed-in-tariff or other requirements defined. Government working on legislative framework for RE. ⁵⁵
Philippines	<i>Renewable Energy Act of 2008</i>	Yes	Feed-in tariff rates were not defined until 2012. The first grid-connected projects to use the feed-in tariff regime are not expected until 2014. ⁵⁶
South Africa	Renewable Energy Feed-in Tariff (“REFIT”) Regulatory Guidelines; 2009	Yes	Government’s Renewable Energy IPP Procurement Programme is addressing national grid access issues; through May 2013, 47 independent power producer agreements have been signed. ⁵⁷
Thailand	No	Yes	Technology-specific renewable energy premium feed-in-tariffs were established in 2006; however, the lack of a unified energy policy, and the backing of an RE law, has impacted its implementation. ⁵⁸
Turkey	Law on Utilization of Renewable Energy Resources for the Purpose of Generating	Yes	The law has defined feed in tariffs (guaranteed for 10 years); and grid access requirements.

⁵⁴ http://awsassets.panda.org/downloads/meeting_renewable_energy_targets_low_res_.pdf

⁵⁵ <http://www.reegle.info/policy-and-regulatory-overviews/NG>

⁵⁶ <http://www.mondaq.com/x/261464/Renewables/Renewable+energy+in+the+Asia+Pacific+a+legal+overview+3rd+edition+Philippines>

⁵⁷ <http://www.energy.gov.za/IPP/List-of-IPP-Preferred-Bidders-Window-three-04Nov2013.pdf>

⁵⁸ *An assessment of Thailand’s feed-in tariff program*; Renewable Energy; Volume 60, December 2013, Pages 439–445

	Electricity (Amendment 2010)		
Ukraine	Green Tariff Law, 2009; amended 2011	Yes	Feed-in Tariff levels remain stable until 2030, which provides motivation to investors to overcome the obstacles to deployment. However, several key regulations necessary for the implementation of feed-in tariff projects have not yet been adopted, such as the procedures for grid connection, and related expense compensation for such connections. ⁵⁹
Vietnam	<i>Decision 1208/QĐ-TTg</i> (PDP 7) (21/7/2011) provides for the national master plan for power development for the period 2011 to 2020, with priority to RE. <i>Decision 37/2011/QĐ-TTg</i> (29/6/2011) provides a feed-in tariff mechanism to support wind power development	Yes	Overlap of government bodies in overseeing the renewables industry, as well as the lack of legislative guidance, are general barriers to RE investment. There is no "renewable energy act" or designated renewable energy regulation. ⁶⁰

Table 26: Review of Energy Efficiency (EE) Policies in CTF Pilot Countries

Country	EE Law	EE Targets	Observations
Columbia	(PROURE) Decree 393	No	Industry not covered; no ESCO regulations; lack of implementing EE regulations
India	Energy Conservation Act (2002)	Yes	Intensive EE programs, in particular for energy intensive SME clusters; ESCO promotion; certification of energy managers and auditors
Kazakhstan	Law of the Republic of Kazakhstan "On Energy Saving and Improvement of Energy Efficiency" (2012)	Yes	No law addressing district heating and demand side management. Government is preparing a draft law "On Heat Supply".
Mexico	Law for the Sustainable Energy Development	Yes	Creation of various programs, which targets energy efficiency activities in the industrial, residential, commercial and public sectors. Activities include: compact fluorescent lamps (CFLs) replacement; (ii) appliances replacement programme; modernization of the public transport system; EE in municipalities; and industrial and commercial EE programs. Lack of tax incentives and benefits for investments, except for a few public policy initiatives.
Nigeria	No	No	Lack of government commitment; awareness; legal framework; enforcement

⁵⁹ <http://www.nortonrosefulbright.com/knowledge/publications/66153/european-renewable-energy-incentive-guide-ukraine>

⁶⁰ <http://www.mondaq.com/x/261472/Renewables/Renewable+energy+in+the+Asia+Pacific+a+legal+overview+3rd+edition+Vietnam>

South Africa	National Energy Act, 2008; Regulations on the Allowance for Energy Efficiency Savings (2011)	Yes	Certification of energy auditors and accreditation of inspectors for EE standards; Energy management systems and audits; ESCO promotion. Mandatory energy audits for commercial buildings; EE funding for government buildings.
Turkey	Energy Efficiency Law (2007); Increased Energy Efficiency in the Use of Energy Resources and Energy (2009)	Yes	ESCO models needs revision;
Ukraine	Law of Ukraine "On Introducing Changes Into Some Acts of Legislation of Ukraine with Objective of Energy Saving Measures Incentives" of 16.03.2007 No 760-V;	Yes	Economic Program on Energy Efficiency for 2010-2015; lack of implementing EE regulations to achieve targets
Vietnam	Law on Energy Saving and Efficiency (2010)	Yes	Targets industrial establishments, public facilities, and transportation. Compulsory procedures include energy audits, annual energy consumption planning, and applying specific energy saving measures, regular reporting on energy usage to higher authorities, and assigning energy management officers. Decrees, decisions and implementing regulations under the Law awaiting issue by the Government.

Annex K: Pilot Program on Climate Resilience

Annex K.1: Positive and Potentially Transformative Features of SPCRs

Table 27: Positive and Potentially Transformative Features of SPCRs

Aims, Themes, and Approaches	Bangladesh	Bolivia	Cambodia	Caribbean Regional	Dominica	Grenada	Haiti	Jamaica	Mozambique	Nepal	Niger	Pacific Regional	Papua New Guinea	Samoa	St Lucia	St Vincent	Tajikistan	Tonga	Yemen	Zambia
SPCR defines ' <i>transformative towards greater climate resilience</i> ' at the national level	++	+	+++	++	++	++	++	+	++	++	+	++	+	++	+	++	++	++	+	++
Risk reduction systems that are highly responsive to vulnerable peoples and social groups	++	++	+++	++	+	+++	+	+	+	++	+++	++	++	++	+	++	+	+	++	+++
Multi-stakeholder, multi-layered integrated governance structures for ongoing and collaborative decision-making	+	+	+++	+	++	+	++	+	++	+	+++	+	+	++	++	+	+++	++	++	++
Integration of climate vulnerability and adaptation knowledge into national development and poverty reduction policies and strategies	+	++	+++	++	+	+	++	++	++	++	++	+++	+	++	++	+	++	++	++	++
Cross-sectoral, integrated adaptation planning systems that include biodiversity and ecological considerations	++	++	+	++	+	++	+++	+	+	++	++	++	+	+++	++	+	++	++	+	+
Significant increase in the scope and scale of action on adaptation	++	+	+++	++	++	++	+	+	++	++	+	+	+	++	+	++	++	+	+	+
Climate resilience within	++	+	+++	+	++	+	++	+	+	+	++	+	++	+	++	++	+	+	++	++



Aims, Themes, and Approaches	Bangladesh	Bolivia	Cambodia	Caribbean Regional	Dominica	Grenada	Haiti	Jamaica	Mozambique	Nepal	Niger	Pacific Regional	Papua New Guinea	Samoa	St Lucia	St Vincent	Tajikistan	Tonga	Yemen	Zambia
institutions, communities and households —assessed, renewed and strengthened																				
Multi-level climate information system —with targeted use in decision-making	+	++	++	+++	+	++	+	+	++	+	+++	+++	++	++	+	++	+++	+	++	++
Community-based adaptation methods and approaches —integrated into local planning, budgets	++	++	+++	+	+	++	++	+	+	+++	+	+	++	++	++	++	+	++	++	+++
Adaptation tools, instruments, methods and strategies —selected, tested and used Adaptation skills, knowledge —strengthened	+	++	++	++	++	+++	++	+	+	+++	+	++	++	++	++	+	++	++	+	+
Gender analysis —integrated throughout adaptation planning, implementation and M&E Gender equality —integrated into adaptation tools, instruments, methods and strategies	++	+	+++	+	+	++	+	+	+++	+	+	+	+	++	+	+	+++	+	++	+
Participatory M&E —with local and national level participants involved and linked	++	+	++	+	+	+	+	+	++	+	+	+	++	+	+	+	++	+	++	+

*This scale classifies the weight/prominence given to a specific theme in each country's SPCR: + Marginal weight, ++ Moderate weight, +++ Significant weight.

Source: Based on a desk review of the 20 SPCRs.

Annex K.2: Potential Loss of Transformative Features

Table 28: Transformative Features Lost or Potentially Lost Between SPCR Endorsement and MDB Project Approval

Country Visited	Endorsed Projects in the SPCR	Transformative Features Lost or at Risk of Being Lost between SPCR Endorsement and MDB Approval	Supporting Observations
Jamaica	Improving Climate Data and Information Management*	Not yet approved. Evidence of outputs likely to directly benefit or meet needs of vulnerable communities is visible, but priority is not sufficiently focused on budget, methodology or timing; opportunities for stakeholder inputs to development of climate information products needs to be upgraded in line with a beneficiary or user-centered approach, and in line with stakeholders calls for participation. This will enable the communication program to go well beyond national level information products and enhance and meet expectation of systematic support for climate awareness in vulnerable communities.	Fieldwork suggested that the project relevance and anticipated direct benefits for vulnerable communities need to be enhanced and assured. Project oversight is required to ensure IP 1 and 2 support more than capital equipment purchases for national weather and hurricane forecasting and an engineering project to enhance ground water/aquifer recharge in one river basin, respectively. The post-SPCR focus of each project has not emerged from consensus-oriented stakeholder <i>fora</i> ; active participation of envisaged GoJ units and affected communities was low/waning at the time of the fieldwork representing potential loss of important engagement opportunities.
	Mainstreaming Climate Change Adaptation in Local, Sectoral and National Plans, and Implementing Integrated Adaptation Strategies in targeted River Basin Planning and Management*	Not yet approved. Support to highland agricultural communities in 4 watersheds originally proposed appears likely to be dropped in favour of a large engineering project in one river basin to recharge large aquifer	Strong demand exists for improved coordination and communications; options and models exist in Jamaica for effective coordination; use of such models would broaden participation, especially of vulnerable groups, and facilitate sharing of knowledge, lessons learned, enhance institutional memory and improve reporting across multiple Government agencies and other stakeholders.
	Financing Mechanisms for Sustained Adaptation Initiatives by the Public and Private Sectors and Community-Based Organizations*	Not yet approved. Agreement has been difficult on financial terms acceptable to IDB and Government of Jamaica; project may support small scale agribusiness, though no evidence of CBOs as beneficiaries or public sector participation.	
Mozambique	Introducing climate-resilience into the design and management of Mozambique's unpaved roads	Well into the project planning process, the project's location shifted to the lower Limpopo Valley of Gaza Province; the new focus is on post-disaster reconstruction in the wake of 2013's devastating floods; the project is detached from the larger WB	Projects now refocused in Gaza are being implemented by several Ministries and Directorates, including Roads, Water, Irrigation, Agricultural Services, Baixo Limpopo, and Meteorology. Cross-project coordination would

		rural roads project to which it was earlier attached as a late-addition component.	enhance coherence and synergy including data exchange for evidence-based decision making, learning and sharing of lessons and good practices, etc.
	Coastal cities and climate change	Not yet approved. The original focus on coastal resilience in Beira area has shifted from 'coastal' to 'urban greening' program.	Projects appear to have lost the opportunity for an accountability link to 'demands from and aspirations of' beneficiary communities. Projects need strengthening of systematic continuous and structured input of stakeholders in SPCR development, monitoring and learning, including end-users/beneficiaries, local communities, municipal and district officials, knowledgeable individuals, and CSOs.
	Climate-resilient water-enabled growth: transforming the hydro-meteorological services	Despite wide spread need for climate information and tools to support decision making, the project emerged with few deliverables at the community level, i.e., a weak orientation to meeting users' needs.	
	Sustainable Land & Water Resources Management	Despite good qualities, this project lacks horizontal coordination with other SPCR-supported water and land use projects in Gaza Province being implemented by different Agencies.	
	Baixo Limpopo Irrigation and Climate Resilience Project	In addition to above-mentioned observation that applies here as well, this project has weak vertically integrated buy-in and ownership among farmers, officials in Gaza Province and Baixo Limpopo (parastatal).	Strong references to gender analysis and the importance of gender equality in planning appear to be effectively replaced by safeguard tools where <i>no harm to women</i> replaces <i>women as transformational actors</i> and <i>gender equity as transformational in rural communities and institutions</i> .
Nepal	Building Climate Resilience of Watersheds in Mountain Eco-Regions	Need close monitoring to ensure it adds to Nepal's history of effective approaches to adaptation involving community-based, bottom-up development in land, forest and water sectors.	Observers acknowledge the longer-term hard work of implementing large, complex adaptation projects within a difficult context.
	Building Resilience to Climate Related Hazards	A large component of the project is focused on building the infrastructure of the hydro-met agency; it has a weak orientation to meeting users' needs and delivery of climate information to district level depends too much on ICT platforms inaccessible to intended users; orientation to meeting user's needs should be reviewed and strengthened, with the methodology of reaching communities (user's needs) reviewed/redesigned to ensure likelihood of early and more effective results.	The SPCR was developed in the wake of Nepal's NAPA preparation process which was characterized up to mid-2011 by extensive consultations and a national dialogue, the establishment of new national multi-stakeholder climate change governance structures and many new adaptation initiatives signaling national and donor commitment to action on adaptation. That period was followed by few visible developments, less than regular activation of consultative or engagement structures, leading to disbelief, discouragement and disillusionment among stakeholders in Nepal, outside of
	Mainstreaming Climate Change Risk Management in Development	Key losses are a gender equality strategy, a strong orientation towards community-based approaches,	

		the ongoing participation of stakeholders, a downward accountability mechanism and a priority on direct support for adaptation at the District and VDC levels.	government, about how adaptation activities were evolving, and whether adaptation efforts will be effective or well implemented. Stakeholders interviewed agreed on the need for a communications strategy and more transparency.
	Building Climate Resilient Communities through Private Sector Participation	Decision making is opaque due to confidentiality agreements between the IFC and private companies. The focus on farmers/rural producers is in evidence; the participation of women is coincidental - women constitute the bulk of the small scale local farmers, due to male out-migration.	
	Enhancing Climate Resilience of Endangered Species	<i>Not yet MDB approved.</i>	

*Jamaica does not have any MDB-approved investment projects. For these projects, features at risk of being lost are listed, based on country visit interviews.

Annex K.3: Climate Information Services: Benefits for Communities

Table 29: Excerpts from SPCRs and Project Documents on Climate Information Services that Benefit Vulnerable Communities

Country Visited	Excerpts from SPCRs and Project Documents
Nepal	<p><u>Investment Project 2: Building Resilience to Climate Related Hazards</u></p> <p>“Once the appropriate systems are in place, the DHM can also work towards effective Public-Private Partnership models that could involve the private sector (e.g., telecommunications) in disseminating the available data to communities in a user-friendly manner as a basis for early warning systems. Subsequently a similar platform may be used for agriculture-based early warning systems.”</p> <p>“The component is designed to build resilience against floods, droughts, landslides and glacier lake outburst floods (GLOFs) through enhanced knowledge, better medium to long-term weather and flood forecasting, establishing early warning systems down to the community level, and improving access to financial instruments such as micro-insurance/finance for vulnerable communities and, in particular, women. These systems will also support agricultural livelihoods by providing weather forecasts for farmers to improve productivity, and protecting lives and assets from floods and droughts.”</p> <p>“Activities will focus on the installation of real-time hydro-meteorological infrastructure, the development of weather/flood forecasting and information systems, the establishment of early warning systems for priority vulnerable communities, and the creation of climate risk insurance/finance programs for vulnerable communities and, in particular, women.”</p> <p>“Through a participatory, community-driven process, design, develop, establish and test community-based early warning systems that build on local knowledge and community structures in priority vulnerable communities including protocol guidelines using real-time data and information systems that are established by DHM; Support the early warning system operationalization at the community level through an ICT (information, communication, training) campaign.”</p>



Jamaica	<p><u>Investment Project 1: Climate Data & Information Management</u></p> <p>Develop Climate Information Platform: The main objective of the platform is to provide Jamaicans with access to a common medium for sharing information and learning in order to facilitate better adaption to climate change risks. In addition to providing information about climate change to the general public, the platform will provide guidance for decision-makers/planners; and serve as a tool for awareness building and decision-making at national, sectoral and local levels.</p> <p>CC Education & Awareness: This component seeks to establish mechanisms for local and national access to, and for dissemination of climate information; and the implementation of a comprehensive public awareness and education programme. The awareness programme will use proven innovative approaches including the use of demonstration projects, and the creative arts.</p> <p>“Communities will be involved in the identification of data and information requirements for the platform. The upgrading of the capacity of the Met Services Jamaica through the provision of a new radar will be accompanied by a rigorous maintenance programme and the training of technicians and engineers to operate and maintain the system. Also, a study will be undertaken to determine what climate related income earning products and services can be provided by Met Services locally and regionally and the resources ploughed back to support continuous upgrade of the system.”</p>
Mozambique	<p><u>Investment Project 3: Climate-resilient water-enabled growth: transforming the hydro-meteorological services</u> “Component C: Piloting resilience through delivery of improved weather and water information. Component C will pilot more effective delivery of hydro-meteorological information to key users. Overall, the pilots will test solutions to improve the exchange and delivery of tailored hydro-met information, will be scaled to the available resources, and will capitalise on the opportunities offered by partnering with other public or private agencies. The component will support four pilot activities: C1) Delivering early warning along the Zambezi, Limpopo and Incomati River basin by designing, implementing and evaluating the dissemination of accurate weather forecasts to communities; C2) Disseminating weather and water forecasts to farmers in Gaza and Inhambane Provinces by designing, implementing and evaluating the dissemination of accurate weather forecasts to communities...These activities will be supported through the provision of: i) consultants services and technical assistance; ii) goods, equipment and non-consulting services, including hydro-meteorological equipment, computers and software, vehicles and office equipment; iii) works to establish monitoring stations; iv) competitive innovative techniques; v) training and capacity building activities; and vi) community participation procedures.</p> <p><u>Investment Project 4: Sustainable Land & Water Resources Management</u></p> <p>“The project will increase the capacity of communities to address the inter-linked challenges of adverse impacts of climate change, rural poverty, food insecurity and land degradation.”</p> <p>“Promotion of Water Control Technologies (Harvesting, Storage, Erosion Control and Combating Salt Intrusion). This will focus on the promotion of water harvesting and storage infrastructures for agricultural, domestic and livestock use. The location of the infrastructures would be determined and with the participation of beneficiary communities following the development of drainage systems in the Limpopo basin. In addition this component will support the enhancement of the early warning system to enable farmers access climate related information in a timely manner. In order to reduce the adverse effects of salt intrusion that results in land degradation, this component will facilitate the construction of floodgates and or river breakwater wall to control salt water intrusion.”</p>

Annex K.4: Water Management and Agriculture Resilience: Benefits for Communities

Table 30: Excerpts from SPCRs and Project Documents on Water Management and Agricultural Resilience Projects that Benefit Vulnerable Communities

Country Visited	Excerpts from SPCRs and Project Documents
Nepal	<p><u>Investment Project 1: Build Climate Resilience of Watersheds in Mountain Eco-Regions</u> “Raise awareness and enhance participation of watershed communities and other stakeholders (government and non-government) in watershed management”</p> <p>“Strengthen institutional arrangements for involvement of watershed communities and other stakeholders (government and non-government) in watershed management; provide capacity building where needed”</p> <p>“Build socio-ecological resilience in the mountain ecosystem and enhance livelihoods of watershed communities”</p> <p>“The project aims to provide access to more reliable water sources for domestic purposes, livestock and irrigation for communities living in the watersheds of Nepal river systems which are significantly vulnerable to climate change. The watersheds selected lie in 6 districts in Far Western Development Region: Achham, Baitadi, Bajhang, Bajura, Dadeldhura and Doti. Access and reliability to water resources will be improved through a participatory program of integrated watershed management with interventions in upland areas to increase surface water storage and groundwater recharge, and to deliver water to locations where the community can use it. The communities in the project area will have more reliable water supplies in the dry season. Major beneficiaries will be women and disadvantaged groups. As the first large-scale intervention by ADB in watershed management in Nepal, the project will demonstrate participatory watershed management planning and build the capacity of all levels of the government for integrated watershed development specifically focusing on water resources.</p>
Mozambique	<p><u>Investment Project 4: Sustainable Land and Water Resources Management</u> “The project will increase the capacity of communities to address the inter-linked challenges of adverse impacts of climate change, rural poverty, food insecurity and land degradation.”</p> <p>“Project implementation has therefore been designed to directly involve communities in landscape management; small agriculture water infrastructure, including small scale irrigation; development and management of the community forests; adoption of improved charcoal production techniques; capacity building, including on farm demonstration and beneficiary training programmes.”</p> <p>“The project aims to promote inclusive growth through assistance to communities in adapting to the vagaries of climate variability and change thus helping to sustain increased productivity of the agricultural sector in the selected districts, whilst at the same time promoting livelihood diversification”</p> <p>Outcomes include: Establishment of small community irrigation schemes; Community nurseries of indigenous agro-forestry species; Capacity building of communities in sustainable water resources and forest management techniques.</p> <p>“Community participation and capacity building will further bolster the abilities of the various groups to continue project activities even</p>

after completion. The livelihood enhancement activities offer additional sources of income and therefore greater climate change resilience. The communities will have committees for infrastructure operation and maintenance as well as for sustainable natural resources management.”

“Component 1: Agriculture Water Infrastructure Development: This will include the development of 300ha of small (drip) irrigation schemes in the (four) districts; construction and installation of water harvesting structures such as 18 small earth dams, 38 watering points for livestock as well as 10 boreholes to enhance efficient water use for climate resilience. Fifty percent of drip irrigation beneficiaries would be women farmers who will be cultivating high value vegetables and horticulture produce.”

“Component 2: Restoration of Natural Habitats and Landscapes: Landscape Management: This will include the development of a sustainable land management and investment framework as well as **participatory land use planning** and a study of the economic valuation of land. The outcome will enhance sustainable use of land resources in order to cope with climate change. It will also promote conservation agriculture on 500ha (through promotion of composting for soil nutrient enrichment, minimum/zero tillage, appropriate crop sequencing and rotation mechanisms) reforestation and fire control on 500ha and provision of 25 improved charcoal production units and 1,500 units of improved cooking stoves as coping mechanism to CC. Livelihood Diversification: This will target **sustainable livelihood enhancements particularly for the women** such as the promotion of Agro-forestry including a cashew colony, **community forestry** nurseries and the promotion and improved management of facilities for non-ruminant livestock (poultry, apiculture and aquaculture).”

Investment Project 5: Baixo Limpopo Irrigation and Climate Resilience Project

“The project will also **enhance the resilience of communities** to cope with climate change related events.”

“The project design followed an intensive consultation process through discussions with farmers groups and several relevant stakeholders. This **participatory approach** will continue during project implementation.”

“The project will therefore strive to address this issue by promoting climate resiliency by: a) introducing higher standards of irrigation systems and rural roads and agrarian infrastructures that are more adapted to flooding conditions; b) adding extra drainage works for purpose of flood control; c) insulating the conveyance canal cross section to control salt water intrusion to the new development areas due to rising sea water levels; and d) contributing to the livelihood diversification through a market oriented agricultural production. These measures will be coupled with promotion of research and the introduction of new crops specifically adapted to the area’s climatic variability. As such, the project aims to build and sustain social **resilience for the farmers and their communities** to cope with the effects of climate change.”

Annex L: Forest Investment Program

Annex L.1: Transformational Change in FIP Investment Plans

Through the analysis of the individual results frameworks, and in particular individual FIP investment plan portfolios, a typology of common transformative interventions or measures to remove barriers to sustainable forest management and investment into action to address underlying drivers of deforestation can be identified. Based on this review, most of the transformative interventions can be classified into the following categories:

- Adopting a new forest and land resource management paradigm, e.g., by promoting community forestry on a large scale and/or moving toward a landscape approach and integrated land use planning and management, or promoting more responsible private forest industries integrated with sustainable forest management efforts.
- Improving forest governance, including cross-sectoral coordination, environmental compliance, controlling illegal logging and land conversion, etc.
- Improving (forest) land tenure and related tree tenure, and rights regimes.
- Improving the institutional (policy, regulatory, organizational) and environment for SFM and REDD+, and mobilizing/incentivizing civil society and the private sector.
- Removing national and local institutional capacity barriers, through training of local resource managers, government service providers, and other stakeholders.
- Improving access to financing from the private sector (smallholders, communities, SMEs, and companies) and leveraging/stimulating private domestic and foreign investments in activities that either directly or indirectly support SFM.
- Improving access to new, low-carbon technologies that, for example, improve the efficiency of wood use in energy production.

The majority of the programs or projects in the reviewed seven pilot countries are justified (in FIP plans) as being transformative because they:

- promote sustainable, participatory forest management, including related (local) capacity building with an objective of scaling up these interventions either nationwide or across specific regions or ecosystems to limit net deforestation and degradation, and to enhance carbon stocks;
- aim to improve forest governance, including environmental compliance, controlling illegal logging, creating participatory planning platforms/mechanism, supporting decentralized forest/natural resource management;
- aim to improve land tenure, and forest/tree related property rights, including rights related to carbon services;
- improve the policy and legal framework, especially regarding the rights concerning local people's involvement in forest management; and
- aim to remove financial barriers faced by farmers/smallholders, organized communities, SMEs, and private forest industries.

The degree to which these transformational changes would depend on REDD or other payments for ecosystem/environmental services is unclear in most FIP plans. In fact, not much attention is paid to the

sustainability of the proposed projects and schemes. Both the DRC and Burkina Faso plans explicitly discuss the importance of REDD payments for ensuring transformational change. In the case of DRC, the emission reductions payments are to ensure the long-term sustainability of long-term activities, such as reforestation and support for community forestry. In the case of Burkina Faso, some of the planned action is contingent on implementing a pre-financing mechanism in which the amounts awarded will be considered as advances for environmental services rendered.

Table 31 summarizes the transformative changes envisaged in seven FIP countries, with weightings provided for the emphasis given to individual components.

Table 31: Transformative Themes in the FIP Investment Plans

Transformative theme	Brazil	Burkina Faso	Congo, Dem. Rep.	Ghana	Indonesia	Lao PDR	Mexico
New paradigm	+	++	+	+	+		++
Improving forest and other governance, including inter-sector coordination	++	++	++	++	+	+	++
Improving (forest) land tenure and related tree tenure and rights regimes; land use planning	+	+	++	++	++	+	++
Addressing underlying drivers of deforestation	+	++	++	++	+	+	+
Improving the policy and regulatory environment for SFM and REDD+, empowerment of local people and communities and mobilizing private sector	+	++	+	++	+	+	++
Improving access to new (low carbon) technology and alternative livelihood models	++	+	++	+		+	+
Strengthening local capacity in (participatory) SFM and land use	+	+++	++	++	++	+++	+++
Strengthening national institutional capacity		++	+	+	+		
Improving access to finance and leveraging private sector financing; improving business climate	++	+	++	++	+++	+	+++
Improved information and knowledge base	+++	+	+	+			++

*The weight given to a specific transformative theme in each country's FIP investment plan is classified by the following scale: + Marginal weight, ++ Medium weight, +++ Significant weight (e.g., dominating the country FIP portfolio).

Source: All data sourced from FIP Investment Plans.

Annex L.2: Drivers of Deforestation and Forest Degradation

Burkina Faso, Ghana, and Brazil are examples of plans that deal explicitly with identified key drivers of deforestation and forest degradation. The Burkina Faso FIP addresses agriculture, that is driving deforestation, through integrated land use planning at a landscape level and through improving governance and capacity for national planning, and implementation of a more integrated approach to managing land and forest resources. In Ghana, the focus is on promoting climate SMART agriculture including more sustainable cocoa production. In Brazil, the focus is on reducing pressure on the remaining forest resources through the promotion of climate SMART agriculture in the cerrado biome, an area where deforestation issues have previously been neglected.

DRC, Mexico and Indonesia are examples, where the drivers that are being addressed are not those that have the strongest links to the ultimate transformational impact objectives. In DRC, FIP aims to address growing energy (charcoal, fuelwood) demand that is one the main drivers of deforestation and in particular forest degradation in many parts of the country. However, the FIP does not pay much attention to addressing agriculture that is the dominant driver of deforestation in the country. In Mexico, commercial large-scale agriculture, slash and burn agriculture and livestock cause some 80% of deforestation, but the FIP focuses primarily on improving forest management. In Indonesia, commercial logging of natural forests has traditionally been one of the main drivers of deforestation; hence the FIP focus on sustainable management of natural forests and promoting more sustainable forest industries is in principle logical. However, it needs to be recognized that the plan does not deal with most important emerging drivers of deforestation and degradation including in particular oil palm expansion, and also rubber and selected agricultural crops, mining, and massive infrastructure development plans.

Annex M: Scaling Up Renewable Energy in Low Income Countries Program

Annex M.1: Project Targets for Renewable Energy and Energy Access

Table 32: Renewable Energy Generation and Electricity Access Targets in SREP Investment Plans

Country	Technology	Renewable Energy Generation			Household Electricity Access				
		Project RE Generation (MW)	Total National Electricity Installed Capacity (MW) ^a	Ratio of Power Supplied by Project to Total National Supply	Project Target Households with Electricity Access	National Electrification Rate ^b	Estimated Households without electricity ^b	Ratio of Project Electrification to Unelectrified Households	Projected Percentage Point Change in National Electrification Rate
Ethiopia	Geothermal	75	2,061	0.08	n.p.	0.23	14,173,913 ^h	--	--
	Wind	100							
	Total	175							
Honduras	Grid-connected RE (mostly small hydro)	60	1,701	0.16	--	0.80	258,621 ^g	0.07	1.3
	Access to RE generation capacity by expanding transmission infrastructure	208			n.p				
	Off-grid rural electrification				17,241 ^c				
	Total	268			17,241 ^c				
Kenya	Geothermal	400	1,698	0.24	523,150 ^d	0.18	7,976,190 ⁱ	0.07	5.5
	Hybrid mini-grids (solar and wind)	4			11,000				
	Total	404			11,000				
Liberia	Mini-grids		197	0.04	48,000 ^l	0.016	806,800 ^m	0.06	5.9
	Stand-alone PV								
	Total	8.8							
Maldives	Solar PV	15	62	0.42	n.p	Nearly universal	--	--	--
	WTE	4							
	Renewable generation (outer islands)	7							
	Total	26							



Mali	Solar PV	20	304	0.13	Not specified	0.17 ^e	2,306,526 ^e	0.07	5.8
	Rural electrification	4.5			Not specified				
	Micro/Mini hydro	14.6			160,000				
	Total	39.1			160,000				
Nepal	Small Hydropower	50	721	0.12	--	0.76	1,448,980 ^f	0.52	12.3
	Mini and micro hydro	30			250,000				
	Solar home systems	10			500,000				
	Total	90			750,000				
Tanzania	Geothermal	100	841	0.18	0 ^j	0.15	7,836,735 ^k	0.06	4.8
	Mini-grids and solar PV	47.2			442,500				
	Total	147.2			442,500				

Source: All data sourced from SREP Investment Plans, unless otherwise noted.

^a U.S. Energy Information Administration (2010), International Energy Statistics: Total Electricity Installed Capacity (Million Kilowatts).

^b Population without electricity is sourced from IEA (2012), World Energy Outlook, unless otherwise noted.

^c Calculated based on a target of 100,000 people, using an average of 5.8 people per household, as reported in the Honduras investment plan.

^d This project does not include project-level outcome indicators related to energy access, although the revised project assessment document states that 523,150 households and 333,737 small businesses will be connected as a result of the project.

^e Cellule de Planification et de Statistique du Ministère de la Santé (CPS/MS), Direction Nationale de la Statistique et de l'Informatique du Ministère de l'Économie, de l'Industrie et du Commerce (DNSI/MEIC) et Macro International Inc. 2007. *Enquête Démographique et de Santé du Mali 2006*. Calverton, Maryland, USA : CPS/DNSI et Macro International Inc.

^f Converted to households using the persons per household reported in: Ministry of Health and Population (MOHP) [Nepal], New ERA, and Macro International Inc. 2007. Nepal Demographic and Health Survey 2006. Kathmandu, Nepal: Ministry of Health and Population, New ERA, and Macro International Inc.

^g Converted to households using an average of 5.8 people per household, as reported in the Honduras investment plan.

^h Converted to households using the persons per household reported in: Central Statistical Agency [Ethiopia] and ICF International. 2012. Ethiopia Demographic and Health Survey 2011. Addis Ababa, Ethiopia and Calverton, Maryland, USA: Central Statistical Agency and ICF International.

ⁱ Converted to households using the persons per household reported in: Kenya National Bureau of Statistics (KNBS) and ICF Macro. 2010. Kenya Demographic and Health Survey 2008-09. Calverton, Maryland: KNBS and ICF Macro.

^j According to the investment plan, "the number of potential beneficiaries is provided for information purposes as it is understood that about 7 million Tanzanians will only benefit from additional power generation once the geothermal power plant is built and connected to the grid."

^k Converted to households using an average of 4.9 people per household, as reported in the Tanzania investment plan.

^l Based on a project target of 240,000 people (for Phase 1 – funded by SREP), and converted to households using an average of 5 people per household as reported in: Liberia Institute of Statistics and Geo-Information Services (LISGIS) [Liberia], Ministry of Health and Social Welfare [Liberia], National AIDS Control Program [Liberia], and Macro International Inc. 2008. Liberia Demographic and Health Survey 2007. Monrovia, Liberia: Liberia Institute of Statistics and Geo-Information Services (LISGIS) and Macro International Inc.

^m Converted to households using an average of 5 people per household as reported in: Liberia Institute of Statistics and Geo-Information Services (LISGIS) [Liberia], Ministry of Health and Social Welfare [Liberia], National AIDS Control Program [Liberia], and Macro International Inc. 2008. Liberia Demographic and Health Survey 2007. Monrovia, Liberia: Liberia Institute of Statistics and Geo-Information Services (LISGIS) and Macro International Inc.

Annex M.2: Evolution of SREP Program Objectives

In its original 2009 design, SREP was intended “to pilot and demonstrate [...] the economic, social and environmental viability of low carbon development pathways in the energy sector by creating new economic opportunities and increasing energy access through the use of renewable energy.” Since then, SREP guidance has evolved from a primary focus on energy access to a dual focus on energy access and increased renewable energy supply. While the original 2010 results framework included a singular outcome of “increased access to energy by poor women and men,” the 2012 revisions provide for SREP outcomes to have a dual focus of “increased access to clean energy” and “increased supply of renewable energy.” In 2012, SREP’s revised results framework re-defined the program’s intention, stating that the “highest result level desired by SREP is the transformation of the way energy is produced and distributed/accessed.” Sources: Scaling-Up Renewable Energy Program (SREP) Results Framework, November 2010; Revised SREP Results Framework, June 2012. Scaling-Up Renewable Energy Program Design Document. June 1, 2009.

Annex N: CIF Beneficiaries

Analysis below is based on a desk review of investment plans endorsed as of December 31, 2012.

Clean Technology Fund

Identification of beneficiaries is also often perfunctory at the investment plan level. Eleven of the 16 plans names low-income groups as beneficiaries, most often in the context of transportation improvements and increased mobility, and a few in the context of reducing household energy expenses. Two of the 16 investment plans explicitly name women as a beneficiary; one plan names children.

Scaling-up Renewable Energy in Low Income Countries

All investment plans explicitly name women and local communities as project beneficiaries, while five of the six include children and low-income groups. One investment plan includes indigenous peoples as a beneficiary.

Forest Investment Program

All seven investment plans explicitly name local communities as project beneficiaries, and six name women, low-income groups, and indigenous peoples.⁶¹ Four investment plans name children as beneficiaries.

⁶¹ The investment plan for Ghana notes that “while diverse, nothing in Ghanaian legislation or policy recognizes any ethnic group or groups as indigenous. Ghana’s inclusion as a DGM country therefore is understood to benefit local communities.”

Annex O: Cross-cutting Issues for Countries Visited

Annex O.1: Cross-cutting Issues for CTF Countries Visited

Approximately two-week visits were made to Indonesia, Kazakhstan, Mexico, Morocco, and Turkey over July through November 2013 by the following field teams:

- Indonesia: Sophie Chou of ICF International (lead evaluator), accompanied by Kapil Thukral of ADB Independent Evaluation Department, and the CIF Evaluation Oversight Committee, and local consultant Dr. Rudi Irawan.
- Kazakhstan: Ravi Kantamaneni of ICF International (lead evaluator), accompanied by Amélie Eulenberg of EBRD's Evaluation Department and local consultant Natalya Druz.
- Mexico: Flavio Pinheiro of ICF International (lead evaluator), accompanied by local consultant Dr. Edmundo De Alba.
- Morocco: Dr. Joseph Asamoah, independent consultant (lead evaluator), accompanied by local consultant Mustapha Mokass.
- Turkey: Ravi Kantamaneni of ICF International (lead evaluator), accompanied by local consultant Senol Ataman.

Topic	<u>Indonesia</u>	<u>Kazakhstan</u>	<u>Mexico</u>	<u>Morocco</u>	<u>Turkey</u>
Investment plan development process	Indonesia's CTF investment plan was endorsed in 2010, focusing on scaling up large-scale geothermal energy development and accelerating initiatives to promote energy efficiency and renewable energy, especially biomass. Subsequently, the Government of Indonesia requested that the plan be revised, a process that was completed in 2013. The revised plan retains the	In developing Kazakhstan's investment plan, EBRD and IFC organized a public consultation (i.e., web-based form and a workshop held on February 12 th , 2010). Twenty organisations attended the workshop—chaired by the Ministry of Environmental Protection—and seven written comments were received. The majority of questions reflected stakeholder interest in including additional types of projects in the investment	The first CTF Mexico Investment Plan (IP) was prepared quickly by the Secretary of Finance (SHCP) in collaboration with the environmental and energy national secretaries (SEMARNAT and SENER, respectively) and the MDBs involved (IADB, IBRD and IFC). There was a lack of public consultation for the first IP, since Mexico hoped to have one of the first CTF IPs approved worldwide. Public consultation was	Morocco's original CTF IP was prepared in 2009 by the Government of Morocco working closely with the World Bank, AfDB, and IFC. Consultations were also held with bilateral donors, including the EU, USAID, EIB, UNDP, AFD, KfW, and GTZ. No evidence was found of broader stakeholder participation in the preparation of the first investment, nor during the development of the revised investment plan in 2011. In	The government of Turkey, working closely with the European Bank for Reconstruction and Development (EBRD), and members of the World Bank Group (IBRD, IFC) developed a CTF IP for a range of energy sector projects that are supportive of its national development plan. The IP was endorsed on January 30 th , 2009 by the CTF Trust Fund Committee, and included two disbursement

	original's sectoral focus but increases the allocation to private sector-based lending and enhances support for geothermal. The Government's decision to revise the IP was motivated by a loss of appetite for sovereign loans, which requires obtaining Parliamentary approval. The revision process included consultation with other donors, local banks, and civil society organizations. There were shortcomings reported regarding the CSO consultation, including a low level of understanding about the CTF that limited the ability of stakeholders to contribute substantively.	plan, as well as non-plan related requests on the status of government resolutions and legislation. In 2013, the CTF plan was revised to address three areas: 1) Increase MDB processing capacity to speed up the delivery of renewables projects; 2) Concentrate more funding on DH projects; and 3) Close CTF funding for the Sustainable Energy Finance through financial intermediaries, due to continued unfavorable market conditions. In response to these changes, a public consultation was organized with a workshop held on March 14 th 2012. Only four organisations attended, with three comments raised. Like the first stakeholder event, none of the comments were substantial and impacted the final design/draft of the IP.	somewhat broader for the revised CTF IP. There were separate meetings to present the CTF IP to government institutions, civil society organizations, and international development agencies. The meeting with the civil society organizations was perceived, in general, as a presentation of a list of projects already defined with no opportunity for them to participate in the selection of projects and little opportunity to comment on the projects presented. There was also no evidence of engagement with private sector institutions.	April 2011, the Government of Morocco submitted a revised investment plan, which reallocated funding away from energy conservation in the industrial sector (which was already covered by other sources of concessional funding) and in the transport sector (which was not expected to be ready for submission to CTF in the near future). CTF financing was instead fully focused on the national Wind Energy Plan.	phases. The MDB programs described in the IP reflect their RE and EE experiences in Turkey prior to the CTF. Thus, the speed and success of IP preparation, endorsement and implementation reflects the fact that the MDBs were not starting from scratch, but were building from an established framework. Various stakeholders were engaged in the IP preparation; however, fieldwork suggests their comments were not responded to or addressed, with stakeholders believing that the IP had already been decided.
Country ownership/ leadership	There is Government support for the CTF, and many officials and non-government experts expressed appreciation and need for CTF financing. However, some	CTF roles and responsibilities are split between the Ministry of Regional Development (MRD) and Ministry of Environment Protection (MEP). Interviews suggest	The Government of Mexico played a strong leadership role in the development of their investment plan. SHCP not only guided the development of the CTF IP, but it also monitors most if	Interviews suggested that the Government of Morocco played a strong leadership role in determining its CTF projects. CTF interventions are seen by stakeholders as aligned with and	Country ownership of CTF is strong; with the Ministry of Finance (MoF), CTF focal point, providing good leadership. However, within the Turkish Government there are

	<p>stakeholders felt the CTF planning process was MDB-driven, and the plan has mixed levels of support from the broader stakeholder community.</p> <p>There is broad agreement that the revised plan is in line with Indonesia's national climate change and energy sector goals and priorities.</p>	<p>limited coordination between these agencies; however, the MRD was just recently made responsible for CTF projects in April 2013 by the Ministry of Economy and Budget Planning, and the lack of coordination is likely the result of it being a newly formed Ministry. The investment plan is not linked with national climate strategies, such as NAMAs. Recently, MEP established the 'Green Economy Action Plan' and the Government has a Modernization Agenda for Communal Services; however, while both are complementary, evidence is unclear whether CTF elements have been built into them—or whether the CTF investment plan informed the development of these plans and agendas.</p>	<p>not all international financing to guide it according to national policy and programs. All CTF IP projects are related to mitigation activities mentioned in Mexico's Special Climate Change Program 2009-2012, indicating that Mexico's climate change national policy is reflected in the CTF IP.</p>	<p>contributing to the National Plan of Priority Actions (PNAP), which is the key national strategy for pursuing low-carbon opportunities to achieve national economic and social objectives.</p>	<p>several Ministries focused on energy, with many of them establishing their own RE/EE mandates. Interviews suggest that these Ministries are not always aware of CTF activities and results.</p>
Coordination at the national level	<p>Coordination is a significant challenge in Indonesia due to the overlapping duties and responsibilities among government agencies. Key geothermal regulations are issued not only by the Ministry of Energy and</p>	<p>At the MDB level, there is a plan for all MDBs, USAID and UNDP to meet, once per quarter, to discuss climate and energy projects; however, this only started in March 2013. Before this, interviews suggest that cooperation/coordination</p>	<p>Most interviewees indicated that CTF has improved coordination among MDBs and other international donors. More recently, SHCP invited MDBs and other international funding sources to a meeting to discuss the CTF IP as well as</p>	<p>The Ministry of Economic and General Affairs oversees CTF, with a focal point appointed for day-to-day operations. Coordination between multiple donors has been a challenge on the CSP project. There has been a strong need for coordination</p>	<p>Interviews suggest a lack of coordination amongst different Ministries, bilateral and UN agencies, with overlapping RE and EE initiatives being implemented. At the donor level, a CTF coordination committee is</p>

	<p>Mineral Resources but also by the ministries of Forestry and Environment, and by local government, of which many have limited capacity.</p> <p>The CTF does not appear poised to support improved coordination among key stakeholders, and inter-ministerial post-plan endorsement communication about the status of CTF activities has been scarce. However, if CTF-supported projects are successful, the CTF will demonstrate that projects can move ahead in spite of the substantial burden of coordinating among the various parties involved.</p>	<p>has been limited.</p> <p>Interviewees cited the recent establishment of the renewable law (“<i>On amendments to legislative acts to support use of renewable energy sources</i>”) as a key piece of policy that will help transform the renewables sector. Its development was the result of significant MDB (through the technical assistance component of CTF) and NGO support, through legal advice and policy dialogue, and represents a good example of what can be achieved. However, the effort took a considerable amount of time, and was not the result of a coordinated effort.</p>	<p>to share information in order to avoid duplicated efforts. Most interviewees believe that coordination can be further improved. There are plans to develop a public online database of all international donations and loans to government and government expenditures related to environmental projects and programs in Mexico.</p>	<p>and communication among development partners on the CSP project, especially to navigate the complex differences among each donor’s procurement process. Arranging this coordination through the government focal point was seen as burdensome for the government, and more direct communications among donors have been initiated by the donors themselves to negotiate processes and procedures.</p>	<p>described as a key management feature in a project proposal; however, this has not been implemented. Nonetheless, the MDB’s have conducted informal discussions, which interviews suggest have been key to ensuring that their activities do not overlap during CTF Phase I.</p>
Potential for transformational change / early project results	<p>The potential for geothermal energy to achieve transformative change is well understood due to the size of the resource and its potential to alter Indonesia’s BAU emissions trajectory. Among policy makers and practitioners, there is a strong understanding that the resource, financial, and regulatory challenges present a very high barrier</p>	<p>The CTF project furthest along in implementation—and the one visited by the evaluation team—is a district heating rehabilitation project in Pavlodar. It is one of four approved DH projects being implemented in Kazakhstan. The projects are all related to the upgrading of local infrastructure to enhance the quality of delivery and management of heat and hot</p>	<p><u>Wind:</u> The financing of Eurus and La Ventosa wind projects also contributed to building internal capacity of national development banks, particularly NAFIN, to evaluate large scale wind power projects with respect to technical, financial and socio-environmental risks. Interviewees also indicated that the successful development of La Ventosa and EURUS projects</p>	<p>Morocco currently imports more than 90% of its energy supply from fossil fuels, spending about US\$80 billion per year on importing oil. Morocco’s CTF projects are poised to make a transformational impact on reducing reliance on fossil fuels. CTF projects are expected to yield about 1,600 MW of new renewable energy generation capacity, which represents nearly a</p>	<p>A strong regulatory/policy foundation has been established prior to CTF, with the implementation of various laws (e.g., <i>Law of Utilization of Renewable Energy Resources in Electricity Generation</i> (200%); <i>Increased Energy Efficiency in the Use of Energy Resources and Energy</i> (2009)), which has provided an enabling environment for CTF</p>

<p>to fulfilling the country's geothermal potential. Getting a few key projects to move, with the attendant potential to trigger industry-wide change on a national scale, could be transformational in the Indonesian geothermal context.</p> <p>ADB's CTF Private Sector proposal notes that judicious use of concessional co-financing is proposed to facilitate financial close of landmark projects which will provide the demonstrative effect necessary to initiate market transformation. At least two projects supported by CTF funding have the potential to initiate this demonstrative effect and play a transformational role in moving the industry. For a project on North Sumatra, the CTF is providing mezzanine finance to bridge a funding gap between the amount of equity that project sponsors are able to provide and the amount of senior debt they have been</p>	<p>water to local consumers. The Pavlodar project aims to achieve a 7% reduction in energy losses.</p> <p>In the investment plan, transformational impact for DH projects is discussed in terms the greater concentration of funds that will enhance demonstration and replication effects. However, with macro-economic factors still impacting market and bank liquidity (and, thus, their ability to provide long term loans), the replication potential is unclear. While the project will improve the supply of heat and hot water to local communities, it seems unlikely to be transformative unless there is a more integrated and broader strategy, encompassing MDB and NGO resources, to tackle regulatory reform that will develop consumer demand side management capabilities. Interviews indicate a real need for elaboration of a 'Law on Heat Supply' to promote/incentivize the use of meters and demand side</p>	<p>encouraged commercial banks to finance other wind power projects in Mexico. Today, CTF is no longer considering additional investments in wind power projects as the Mexican market alone already provides adequate financing to private projects.</p> <p><u>Urban Transport:</u> The IBRD's Urban Transport Transformation Program (UTTP) is expected to present significant transformational change in the near future as BRT projects are completed in several cities. The main transformational change is the reorganization of urban mass transport through improved infrastructure and management, resulting in lower GHG and air pollutant emission and faster commuting. However, CTF funding is being used exclusively to finance the purchase of buses and some ancillary investments. The adoption of low emitting vehicles brings additional benefits, but it is not as relevant a transformational change as reorganization of</p>	<p>quarter of Morocco's current national energy supply. Extrapolating from Morocco's investment plan, CTF projects will reduce the share of fossil fuels in the energy mix by about 10%. In addition, innovative public-private partnership (PPP) models are being used and tested in the Moroccan projects, and could yield important lessons and about appropriate ways to allocate risks and funds for wind and large scale solar projects, as well as piloting contractual arrangements.</p> <p>The Ouarzazate project is planned to be larger than any existing CSP plant in the world. This scale investment is expected to make some contribution to cost reduction in future plants (not quantified), since financial analysis shows that decreasing capital costs will be critical to making CSP competitive. Noor (Phase) 1 is not expected to be economically viable—even when local and global environmental benefits are factored in—according to</p>	<p>projects.</p> <p>The three implemented projects (TurSEFF (EBRD); CSEF (IFC); and Private Sector RE and EE (IBRD)) have completed CTF Phase I disbursement, and achieved project lifetime GHG reductions of over 13 million tCO₂e, over 1,300 MW of installed capacity, while leveraging over US\$1.27 billion of direct finance.</p> <p>Interviews indicate that EE projects in large industrials and wind and hydro power technologies have achieved a level of maturity during Phase I disbursement that does not require further concessional loans. Additionally, MDBs and financial institution (FI) stakeholders indicate greater interest in sustainable energy finance (SEF), with one MDB citing requests from numerous FIs for non-concessional loans to support SEF.</p> <p>Stakeholder perspectives on awareness are mixed with some FIs indicating good capacity at all levels,</p>
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<p>able to secure. The project sponsor has signed a power purchase agreement and must achieve financial close within one year. CTF is also supporting a project on South Sumatra for which the ADB will provide concessional debt financing and the IFC will provide mezzanine finance to support late stage exploration. No commercial financing is available at this stage. If the CTF financing helps these projects reach financial close, CTF will have enabled the projects to reach a key milestone and demonstrate private sector-led geothermal energy development.</p> <p>The early stage exploration of the two CTF-supported projects that are the furthest along, Ulubelu 3,4 and Lahendong 5,6 were financed by PGE's parent company, Pertamina, and therefore do not demonstrate a new mechanism to reduce early development stage risk.</p>	<p>management.</p>	<p>urban mass transport and infrastructure and management.</p> <p><u>Lighting and Appliances:</u> The IBRD's Lighting and Appliances Efficiency project documents often highlight energy savings as the most important project result. Some interviewees expressed distrust with respect to the results reported by IBRD's Lighting and Appliance Efficiency Program. Several interviewees mentioned an impact evaluation led by a researcher from the University of California Berkeley, which showed that the refrigerator component yielded only one quarter of the expected savings, and the air conditioner replacement actually increased energy consumption, as "energy-efficient durable goods cost less to operate, so households use them more." CTF funding was allocated exclusively to project components related to the replacement of old appliances by new efficient ones in the residential</p>	<p>studies conducted by ONE (ERR of 0.5%). The project's transformational potential is also linked to building the Capacity and reputation of the public executing entity—the Morocco Agency for Solar Energy (MASEN), a new agency created to implement the country's solar plan.</p> <p>For the Wind Energy Plan project, CTF resources are being largely used to developing the supporting infrastructure for wind energy generation, specifically (1) transmission infrastructure to connect the wind farms to the grid—which is costly and can prevent private sector participation; and (2) hydro-pumping (pumped storage)—which can make fuller use of the wind power energy capacity, and displace the need for additional investment in spinning capacity (which can be more emissions intensive). Investment in this infrastructure is expected to speed up private investment.</p>	<p>while others highlighting low awareness and technical capacity at the SME level, residential, public sector and ESCOs. Nonetheless, the latter areas form the basis of projects included in CTF Phase II disbursement.</p>
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	<p>The transformative potential of the CTF also hinges on whether the Government will succeed in establishing a tariff pricing scheme. Since geothermal energy is not viable without considering CO₂ damages, scaling up may require continued concessional financing from donors. The Government's unease with international borrowing calls into further question the transformative potential of the CTF as it affects the ability to help get the stalled geothermal project pipeline moving.</p>		<p>sector.</p> <p><u>Private Energy Efficiency:</u> IADB's ECOCASA program has great potential to present important transformational change. The program has trained several construction companies to include energy and water efficiency measures in their construction projects in such a way that overall project costs are not increased significantly. Such training is expected to lead to an important replicability potential. Also, the project has financed new housing projects that, if they please future owners (as a result of reduced energy costs and increased level of comfort), may set new standards for consumers, leading to building of more energy efficient houses. That said, the project does not address changing energy efficiency standards or building codes, which may limit replication potential.</p> <p><u>Other:</u> Other projects have not yet presented evidence enabling an assessment of their transformational</p>		
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			change achievements.		
Co-benefits	Co-benefits are briefly mentioned in the revised investment plan in the context of performance indicators and the results framework. CTF-supported projects would displace or reduce demand for electric power generation from coal-fired sources. The resulting co-benefits in terms of energy security and energy access, environmental pollution, public health, jobs, and others are understood. The expectation that they would be achievable is reasonable if CTF-supported activities are successfully implemented.	<p>In addition to increasing energy efficiency and reducing GHG emissions, the project will result in substantial reductions in particulate emissions (coal ash, NOx, and SOx), which represent important co-benefits to the city, due to high pollution levels from the local power plants.</p> <p>At the company-level, MDB covenants have spurred operational and financial improvements within company activities, including enhanced transparency, better standards of corporate governance; implementation of an environmental and social action plan (ESAP), implementation of an Integrated Management System, embodying a ISO 9000 (Quality Management), ISO 14001 (Environmental Management) and ISO 14001 (Occupational Health and Safety Management). The various ESAP actions, such as waste and waste water disposal, and occupational</p>	The UTTP has important social and environmental co-benefits including: lower rates of respiratory and cardiovascular illnesses, increasing the availability of productive hours, lower fuel consumption, reduced noise, and other related benefits. The Lighting and Appliance Efficiency project also has social and/or economic co-benefits including: reduced electricity bills and increased comfort associated with improved or extended use of lighting, refrigeration, and air conditioning. The ECOCASA program has similar social and/or economic co-benefits, and thermal comfort within residences is expected to especially benefit women. This is the only CTF project that clearly stated a gender-related issue. Most co-benefits mentioned above are not monitored by the projects, so it is not possible to confirm whether they are achieved in implementation.	The CSP project is expected to support local job creation, with the installation of the entire 2000 MW CSP capacity by 2020 anticipated to create more than 11,000 FTE during 2010-2020 for construction, manufacturing, and O&M. Industrial integration is another co-benefit objective, which is expected to be met by favoring during procurement companies that promote local manufacturing and build local capacity. No development impact indicators have been identified for the Wind Energy Plan project.	<p>Better air quality and increased employment are identified as likely co-benefits from the projects. However, gender, poverty, marginalized groups, and indigenous people impacts are not considered.</p> <p>Interviews with MDBs and FIs indicate that MDB covenants have spurred operational and financial improvements within the FIs, including enhanced transparency, better standards of corporate governance; and implementation of an environmental and social action plan (ESAP). These requirements have been passed on to the customers accepting loans from the FIs; as such, there is a “trickledown” in environmental, social and corporate governance.</p>

		health and safety, will have a positive impact on the local community and company staff. Beyond these co-benefits, the IP and project does not have a direct impact on women, marginalized groups, and indigenous peoples.			
Private sector	The CTF revised plan sees an expanded role for the private sector. The MDBs have undertaken extensive consultations with the private sector to understand the risks they face and how CTF funding can add value to scale up geothermal energy, use of other renewables, and energy efficiency. There is some common understanding of the changes that are required, but many would be required of the policy/regulatory framework, which CTF is not targeting.	Macro-economic factors such as long term liquidity issues mean that banks are not able to offer longer term loans. Consequently, the demonstration effect is unclear, in that it is hard to see how project results will incentivize further private sector investment. Also, since there are not many private DH companies, like CAEPCO, in Kazakhstan, it is unclear who else could implement a similar project. On the plus side, it is possible that specific project activities/results could have useful radiating effects to other regions/ countries. For instance, the introduction of automated sub-station regulation ('Askute') could be replicated in other DH companies.	Private sector companies contacted by this evaluation were never invited to a CTF investment plan meeting. Private sector institutions are engaged in CTF on the project-level. CTF provides both positive and potentially negative incentives for private sector investments. All interviewees noted the CTF wind power projects as important pilot projects that induced the development of other private sector wind projects. The UTTP and ECOCASA programs interact with several private companies from transport and construction sectors, respectively. Most CTF projects have not attempted to engage private financial institutions and have involved national development banks that often operate as competitors	The financing structure of the CSP project Noor I is a Public Private Partnership (PPP) between MASEN and private developers selected through a rigorous bidding process, with the assigned objectives of designing, constructing and running the CSP plant for 25 years. This PPP represents one of the most ambitious in the region, and has the potential to demonstrate a successful PPP model for CSP plants. Masen has 25% stake in Noor I with the objective of reducing the perception of risk and the equity rate of return required by private participants. The rest of the 75% are held by a private consortium of companies. The Moroccan Wind Energy Plan sets a goal of 2,000 MW of wind capacity by 2020, of	Interviews have indicated the importance of demonstration projects to address inherent Turkish skepticism of new ideas. CTF projects have provided this by enhancing the visibility of SEF, with some FIs seeking and negotiating additional non-concessional loans with MDBs. Stakeholders have indicated that EE still presents a significant opportunity, with key barriers to EE uptake in the private sector including, 1) lack of awareness; 2) limited technical capacity within SME, and residential; 3) lack of regulatory incentives, and targets; and 4) underdevelopment of the energy service company (ESCO) model.

			to private financial institutions.	which about half is expected to come from the private sector. As of 2011, four private wind farms were under development. However, wind power development in Morocco is constrained by a lack of a dedicated transmission network, which CTF is helping to fund. Investment in these transmission networks is also expected to crowd in private investment, by assuring investors that power can be evacuated.	Many of these areas are being targeted in CTF Phase II disbursement.
Leverage and additionality	<p>The CTF revised investment plan put forth substantially higher figures to be co-financed by non-MDB sources than were in the original plan. According to Government officials, it will be necessary to see how implementation proceeds to understand whether these expectations are possible.</p> <p>The CTF demonstrates financial additionality by providing financing for geothermal energy development at a stage that must be covered entirely by equity</p>	<p>CTF loans were considered additional as project companies do not have the fiscal resources to implement the project. Additionally, long-term financing is unavailable from commercial banks and the local bond market in Kazakhstan. There is little evidence of leverage effects, as both the Pavlodar and Petropavlovsk DH projects are being implemented at a company which was an existing client of EBRD, and in which EBRD has a minority shareholding interest (25%).</p>	<p>The assessments of additionality and leverage in Mexico are partly informed by the fact that some projects were already well developed by the time CTF got involved—with CTF funding brought to projects already conceived (some already partially implemented) by MDBs, private companies, or public institutions.</p> <p><u>Wind</u>: Chronological accounting and many interviewees indicate that the development of these projects leveraged investments into other subsequent private wind</p>	<p>For the Wind Energy Plan, US\$150 million in CTF financing will be accompanied by approximately US\$2,200 billion from AfDB, World Bank, EIB, ONE, private investors, and commercial banks. For the CSP project (Ouarzazate I), US\$197 million in CTF financing is expected to be accompanied by US\$900 million from IFIs, including AfDB, WB, AFD, BEI, and KfW, plus a grant of 30 million Euros from the Neighborhood Investment Facility. For the CSP project, the direct impact of CTF, although significant, is not</p>	<p>Turkey has a widening current account deficit with increases in short-term external debt. This has been compounded by high energy costs, and inflation, which has led to low consumer trust. FI capital buffers have narrowed, and, although deposits remain the main funding source, FIs are increasingly reliant on foreign funding. With respect to EE, financial market uncertainty has led to risk averseness amongst the FIs and the private sector, with both focused on short term loans and</p>

	<p>financing, entailing extremely high risk for project sponsors. Although other funders offer concessional financing for geothermal development, the CTF terms are more generous and are available to both state-owned entities and private sector developers. Efforts to establish funds to support geothermal energy, in particular the GFF, could erode the CTF's additionality but until these funds resolve key operational issues, the CTF plays a role that is not covered by others.</p>		<p>power projects in Mexico, attracting private new project developers as well as commercial banks. For the Euris wind project, CTF replaced bridge financing for a project that was already partially in operation; the project entailed a re-financing effort with significant financial commitments by multiple other stakeholders, including national and multilateral institutions.</p> <p><u>Lighting and Appliances:</u> Most interviewees believe that this project would have happened without CTF.</p> <p><u>Urban Transport:</u> This project was developed by the Government of Mexico with support from World Bank prior to the involvement of CTF. CTF financing for the Mexican Urban Transport Transformation Program has been redirected to finance the purchase of natural gas buses and ancillary investments, which is already done by public and private Mexican banks.</p> <p><u>Private Energy Efficiency:</u> CTF supports the important</p>	<p>huge, due to size of the project relative to the CTF component, as well as the current low level of interest rates. According to the project appraisal document, if the CTF contribution were replaced by conventional IFI funding, the project's LCOE would be increased by less than 5%.</p>	<p>returns. FIs have cited an inability to provide EE loans of more than 1-2 years; as such, MDB concessional loans have been important to extend loan maturity and reduce cost to entice EE investment.</p> <p>Among the different RE technologies, questions have been raised by stakeholders and external evaluations about the additionality of CTF wind and hydropower projects (in particular), which have accounted for approximately 30% of total leveraged funds. Opinions are mixed on whether hydropower in particular was additional, even several years ago at the start of the CTF program in Turkey. At this point in time, stakeholders believe that hydropower and wind have now reached a level of maturity and acceptance with the investment community, and MDBs have also recognized this, re-focusing their future efforts on innovative RE projects, such as</p>
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			technical assistance component of the project focused in training construction companies to incorporate energy efficiency measures in their projects; the project might have faced serious difficulty in getting the interest of construction companies without this technical assistance. Also, the low interest rate loan provided by CTF is important to maintain housing prices after incorporating the proposed energy efficiency measures.		geothermal, solar and biomass. Overall, approximately US\$150 million of CTF loans has leveraged over US\$161 million in private funds for RE and EE investment. ⁶²
Safeguards	PGE is complying with the World Bank's requirements in the development of Ulubelu 3,4 and Lahendong 5,6, as described in detail in the project appraisal document. ADB and IFC will also require their sub-projects to follow the banks' respective policies. In response to a request from BAPPENAS in July 2013, ADB has begun preparing to move to a	MDBs indicate that their public procurement rules provide a key safeguard against corruption, with regional offices including local and sector-specific teams, which understand local business practices, and sector issues, ensuring that cost proposals are properly evaluated. After procurement (and construction), MDBs only monitor loans at a fiscal level. As such, there is a lack of oversight during project	No concerns were raised with respect to corruption or conflict of interest related to CTF projects. Social risks were mentioned only with respect to the development of new wind power projects, but most interviewees believe that this is a matter of improving communication with local communities. Some relatively low environmental risks were mentioned with respect to specific projects: wind	The second phase of the Ouarzazate CSP project will use large mirrors, the reflections from which could cause potential hazards to human and animals. Appropriate procedures to mitigate these risks were observed; in particular, a visit to the project site showed no housing, occupational or industrial activity within the vicinity of the site. NGOs and CSOs operating in the neighborhood of the project	Interviews with MDBs indicate that corruption related issues are addressed through stringent MDB rules, which include thorough background checks of sponsored entities (FIs), and semiannual reporting during the loan period. Additionally, the loan agreements have eligibility criteria to ensure FIs use the money correctly. FIs are responsible for safeguard checks of their

⁶² CTF First Round of Monitoring and Reporting on Results; CTF/TFC.12/Inf.2; October 21, 2013

	<p>Country Safeguard System that will use Indonesian safeguard standards. The preparatory process will include conducting assessments of national land acquisition and resettlement laws, gap analysis, and development of an Action Plan to be agreed between the ADB and GOI. It is scheduled to be finalized by mid-2015. It is not clear how the shift to a Country Safeguard System may affect CTF-supported projects, if at all, but is not intended to dilute safeguard standards.</p>	<p>implementation.</p>	<p>power project impacts on bird and bat populations; high emissions from ill-maintained buses in BRT projects; and possible increase in energy consumption as a result of adoption of efficient lighting and appliances.</p>	<p>were engaged in the social and environmental impact assessment studies conducted prior to project commencement, and no significant concerns have been raised.</p>	<p>clients.</p> <p>A safeguard developed through the CTF, which is additional to Turkish guidelines, is the cumulative impact assessment (IA) guidelines for hydro projects. Development of the IA guidelines was led by the WB, but involved numerous stakeholders, including other MDBs and NGOs. The process led to greater cooperation and increased awareness in government/ public. The Ministry of Environment has included the document in their roadmap for legislative inclusion, with a goal to apply it in other sectors, such as wind and mining.</p>
Learning / M&E	<p>In general, M&E is undeveloped; the Government does not have a system in place to monitor the performance of projects. The revised plan presents basic M&E language, consistent with the Revised CTF Results Framework.</p>	<p>Interviews indicate that data on GHG reductions, energy savings and particulate emissions (NOx, Sox, coal ash) are being collected and reported on an annual basis. However, this is within the framework of project-level reporting requirements to the MDB. At CTF level, interviews suggest a lack of awareness of the CTF results</p>	<p>There is no M&E system implemented at the national level at this time and, based on the interviews, there is little evidence of knowledge about the M&E products from the CIF Administrative Unit.</p>	<p>CTF project results are being tracked, but M&E systems are not yet in place at the national level.</p>	<p>All project companies report semi-annual results through the loan maturity period to the MDBs. M&E systems are in place nationally, as the MoF receive all data and have a clear understanding of the CTF results framework.</p>

		framework and assigned responsibilities for M&E at the MDB-, government- and project company-level.			
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Annex O.2: Cross-cutting Issues for FIP Countries Visited

Approximately two-week visits were made to the Democratic Republic of Congo, Indonesia, and Mexico, over July through October 2013 by the following field teams:

- Democratic Republic of Congo: Majella Clarke of Indufor Oy (lead evaluator), accompanied by local consultant Michel Mbangilwa-Mukombe.
- Indonesia: Majella Clarke of Indufor Oy (lead evaluator), accompanied by Kenneth Chomitz of the World Bank's Independent Evaluation Group and Chair of the Evaluation Oversight Committee, Kelly Hewitt of the Independent Evaluation Department of the Asian Development Bank, and local consultant Dr Mia Siscawati.
- Mexico: Marisa Camargo of Indufor Oy (lead evaluator), accompanied by local consultant Manuel Estrada.

Topic	<u>Democratic Republic of Congo</u>	<u>Indonesia</u>	<u>Mexico</u>
Investment plan development process	The FIP broke important ground, as the first national investment plan DRC has produced. DRC's investment plan was prepared over the course of about a year, and involved one scoping and two joint missions. Stakeholder consultations were led by the Ministry of Environment, Conservation of Nature and Tourism (MECNT) in partnership with the World Bank and AfDB. IFC was involved in initial country missions but later withdrew because the operating environment was not conducive for concessional financing. Consultations were carried out at the national, provincial, and local levels; only two of 11 provinces had FIP consultations due to resource constraints. Consultations included government officials, development partners, civil society, indigenous peoples, and women. A few notable stakeholders were noted as overlooked in the consultation process, including some relevant government bodies, as	After a two-year planning and consultation process—which was originally anticipated to take 6 months—Indonesia's FIP investment plan was endorsed in November 2012. The development and consultation process was led by the Ministry of Forestry in coordination with ADB (the lead MDB), the World Bank, and IFC. Over 150 meetings and consultations were held over the two-year period—the large majority of which were between the Ministry of Forestry and an MDB, donor, or government body. Two key donors (Norway, EU) were notably not included in FIP consultations. Two consultation sessions were held with broader stakeholders in 2011, although these were perceived by stakeholders more as information sessions than opportunities to influence the investment plan, and complaints were lodged about the timing of consultation invitations, which was sometimes just two days prior. In 2012, stakeholders were invited to comment on the draft FIP document;	Mexico was selected as a FIP pilot country in July 2010. Mexico's FIP IP was developed under the leadership of the government in coordination with the IDB and WB, and builds on various ongoing efforts led by the Mexican Government to prepare for REDD+ implementation in the country. During the preparation of Mexico's IP, stakeholders of different sectors were consulted. Even though some actors argue that consultation could have been broader, others defend that the FIP builds upon previous consultation processes already promoted in the country, such as FCPF. IDB and WB carried out joint missions in March and September 2011. The FIP Sub-Committee endorsed Mexico's Investment Plan on October 31, 2011.

	<p>well as indigenous women.</p> <p>The FIP Subcommittee endorsed DRC's investment plan on 30 June 2011 with an indicative allocation of \$60 million (\$37.7 million slated for the World Bank, and \$22.3 for AfDB). These funds are intended for the World Bank to finance a project on sustainable forest development in three areas of the supply basin of Kinshasa: a project on agro forestry development in the Plateau of Bateke and in Bas-Congo; a small grants project to support innovation for small grants; and a project for dissemination of improved stoves. AfDB funds are expected to finance a project of sustainable development in two areas: the two Kasai, in the supply basin of Mbuji Mayi and Kananga; and in Province Orientale, in the supply basin of Kisangani.</p>	<p>civil society raised concerns that the document was not available in Bahasa, and that Ministry of Forestry did not respond to the comments submitted. Civil society generally felt that their comments were not reflected in the final investment plan. Indigenous peoples' representatives objected to the first draft of the investment plan because it contained no mention of indigenous peoples; through discussions with the World Bank, the plan has been strengthened in this regard and is generally accepted by indigenous peoples' representatives. Significant misunderstandings were noted among civil society representatives about MDB safeguards—including those related to consultation; while MDB safeguards are not applicable at the investment plan level, this was not clear to many civil society actors, who argued that ADB consultation policies were not adequately applied.</p>	
Country ownership/ leadership	<p>The DRC Government (specifically MECNT) has played a strong leadership role in the FIP process for national planning and consultation. Some civil society stakeholders felt that the MDB joint missions diminished national ownership.</p> <p>The FIP investment plan makes consistent reference to building on the FCPF and UN-REDD foundations. In general, national planning and consultation processes under the FIP have not been coordinated with the NAMAs or NAPAs; instead FIP has been considered within the REDD+ framework, which is generally considered quite separate from NAMAs and NAPAs.</p>	<p>The Indonesian Government exhibited strong ownership over the FIP investment plan preparation, and the proposal to support the KPH concept is an Indonesian driven proposal that is also supported by the MDBs. Other stakeholders felt that the FIP process was poorly led, and that ownership beyond the Ministry of Forestry was weak.</p>	<p><i>Secretaría de Hacienda y Crédito Público de México (Hacienda) and Comisión Nacional Forestal (CONAFOR) share the position of FIP focal point in the country. The great majority of interviewees agree that CONAFOR played a strong leadership role in the design of the IP. FIP supported innovative activities, which CONAFOR wanted to carry out, but that normal budget procedures (also applicable to IBRD loans) would not allow or make excessively complicated.</i></p>

Coordination at the national level	<p>A Prime Minister's degree established a national REDD+ Committee and inter-ministerial committee to guide the REDD+ process and subsequently the FIP national planning and consultation processes that fall under REDD+. DRC has established a FIP coordination office that is responsible for planning, consultation, communication, and facilitating future implementation. The office includes government staff and an international technical advisor; no indigenous peoples are represented in the FIP coordination office.</p>	<p>Because the Ministry of Forestry was already implementing FCPF, which FIP was expected to complement, the Ministry of Forestry was named as the executing agency for the FIP. The Ministry of Forestry has set up a FIP steering committee, but it has not met more than a few times and does not hold regular meetings. The National Forest Council (DKN) played a coordination role in the consultation process, although this was fraught with tensions between DKN and the Ministry of Forestry.</p> <p>In general, FIP has not integrated itself adequately within the national REDD+ consultation and coordination process, which is led under the interim national REDD+ task force hosted by the President's oversight and monitoring unit (UKP4). UKP4 has had very little input or coordination with the Ministry of Forestry on the FIP.</p> <p>Coordination among the MDBs has been stronger between the World Bank and IFC, with technical staff members based in Jakarta, than with ADB.</p>	<p>CONAFOR is seen as very active in coordinating climate and forest efforts in the country (e.g. between different donors and national programs). Despite good efforts by CONAFOR, coordination between MDBs has been a challenge with many people involved and changing staff. IFC was initially involved in the FIP preparation process but later withdrew. Inter-ministerial coordination has still a challenge, despite a few positive examples where the Environmental and Agriculture <i>Secretarias</i> are working together (e.g. in Chiapas); interviewees suggested that lessons from these are not being channeled, as they should. However, stakeholders believe that this coordination may improve over the years as a result of the Intersecretarial Commission on Climate Change and the Intersecretarial Commission for a Sustainable Rural Development.</p>
Potential for transformational change / early project results	<p>In DRC, FIP aims to address growing energy (charcoal, fuelwood) demand that is one the main drivers of deforestation and in particular forest degradation in many parts of the country. The investment plan explains its pathway for achieving transformational change as the combination of "enabling and sectoral" activities, which in theory, has the potential to transform sectors, but the mechanisms for that transformation and the challenges to it are not adequately described in the investment plan. Stakeholders instead</p>	<p>The concept of "transformational" does not easily translate in the Indonesian context, and the Ministry of Forestry's approach on communicating about transformational change to stakeholders is to simplify the word to change. The KPH concept is potentially transformational, depending on how projects are designed and implemented. Success will hinge partly on national level policy decision on tenure, especially on revoking and reallocating inactive timber concessions, which dominate the landscape. Transformation will take a long</p>	<p>The Mexican IP is supporting 4 projects, which were still at an early phase of implementation when this evaluation was carried out. Projects 1 and 2 ("<u>Capacity building for sustainable forest landscapes management</u>" and "<u>Mitigation resilience and sustainable profitability in forest landscapes</u>") are implemented through the WB under the "Forests and Climate Change Cooperation Package," which accommodates three other initiatives aside from FIP. This package was designed to support existing national government programs and some</p>

	<p>point to the REDD+ movement as transformational for DRC, which saw the establishment of REDD+ committees through decrees, an overhaul of the forest curriculums at the main universities, and a new opportunity to support the forest sector with significantly increased financial resources pledged early on. Most stakeholders were not familiar with the concept of transformational change under FIP and required an explanation of the concept.</p>	<p>time in Indonesia due to the incremental nature of implementing and managing this type of a project concept.</p> <p>The IFC project component faces serious challenges to being transformational; including market barriers associated with a log export ban and depressed roundwood prices, and difficulties finding Indonesian companies who can meet IFC safeguards.</p> <p>Overall, the key barriers to transformational change include:</p> <p><i>-Policy level:</i> i) market distortions, ii) conflicting policies and practices for land tenure, customary land use etc.</p> <p><i>-Institutional level:</i> i) Lack of a strong concept on the KPH institution, and its organizational function with respect to other government agencies, ii) the KPHs will be implementing and monitoring on-the-ground activities – no independent agency will monitor management of concessions.</p> <p><i>-Technology level:</i> this would be key for the IFC component, but it is not clear which technologies will be promoted and whether they will lead to emission reductions.</p> <p><i>Behavioral level:</i> i) corruption, ii) weak institutions.</p>	<p>innovative investments.</p> <p><u>Project 3</u> aims at creating a dedicated financing line accessible by communities and ejidos to finance identified low carbon activities/projects in forest landscapes. This project is being implemented by IDB with Finaceira Rural.</p> <p><u>Project 4</u> will establish a technical assistance facility to build community capacities for developing viable financial and technical proposals, and to develop basic business administration and entrepreneurial skills for sound community-based enterprises to meet REDD+ targets. This project is being implemented by IDB with El Fondo Multilateral de Inversiones (FOMIN) , <i>Fondo Mexicano para la Conservacion de la Naturaleza</i> (FMCN), and FINDECA SA de CV.</p> <p>The forest sector in Mexico, especially <i>ejidos</i> and small producers, has historically been marginalized in terms of access to credit. Various stakeholders are of the opinion that the IP, through its four projects will bring transformational change to the country, given that its aims are to increase management and financial capacity amongst <i>ejidos</i>, and provide cheap loans. The hope is that this process will improve governance at various levels, raise credibility of the rural sector, decrease the risk aversion of producers and communities, and inspire other financial institutions to engage with these actors. Interviewees noted that a switch in the mentality of producers and communities from depending on subsidies to the use of credit would be key for</p>
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			<p>transformational change; and that the positive examples coming from the FIP process could help inspire financial institutions to start integrating climate change and forest issues in their regular operations.</p> <p>The FIP process is also helping improve the internal processes at CONAFOR, and allowing a platform for various institutions to work together, which was not possible in previous projects.</p>
Co-benefits	<p>Co-benefits, including poverty reduction, have received consideration within DRC's investment plan, but the approach is ambitious, and it is not yet clear whether objectives will be able to be met at the scale proposed. While the FIP investment plan has good synergies with the Poverty Reduction and Growth Strategy paper 2011-2015, and includes multiple opportunities to enhance livelihoods and create employment, the operating environment in this conflict affected state is challenging, to say the least, and the challenges and risks are not well presented in the investment plan.</p>	<p>The investment plan does not make sufficiently how the project components will address poverty reduction and yield economic or social benefits to local forest dependent communities. The plan states that many co-benefits are expected, but it does not give a logical linkage on how an outcome will yield or influence a potential co-benefit. There is the possibility for the FIP to advance land tenure, but the reality is that, to date, land gazettement and land registrations have been a tediously slow process, and it is not clear to what extent the FIP can advance land tenure within the forest estate. In terms of gender considerations, the investment plan did not explain how it would mainstream gender issues into the project concepts proposed, which received critical comments from reviewers and highlighted a need for women to specifically be included in the KPH concept.</p>	<p>The core of the IP is to build capacity and provide access to credit and guarantees to <i>ejidos</i> and communities to promote a more sustainable forest sector development hand in hand with a broader landscape planning approach. Therefore, economic, environmental, and social issues have been taken into account in the design phase, but it remains to be seen if during implementation these objectives are met, and to what extent. However, the same cannot be said regarding gender, as the IP and project appraisal documents show a lack of consideration of attention to women and gender equality.</p>
Private sector	<p>DRC's investment plan aims to engage the private sector to implement relevant actions and projects relevant to REDD+ and to mobilize different resources through leverage effects by co-financing and other complex mechanisms (undefined in the FIP) including</p>	<p>In general, private sector expressed concern that there is no financial scheme to support sustainable forest management in Indonesia even though there was an initial mutual expectation that the FIP would fill this gap. This gap would be very important to fill, because the</p>	<p>The IP was designed with a clear intention of boosting private investment in the forest sector, and contains specific activities to create enabling environments for private participation and to incentivize private investments. In particular, the aims to facilitate the</p>

	<p>engaging Congolese and international banks. But, how those aims will be accomplished has not yet been sufficiently articulated. Moreover, challenges faced by the private sector in DRC and risks in the enabling environment have not been adequately considered in the investment plan.</p> <p>With the financial sector barely integrated into the economic system in DRC, many challenges remain. Commercial banks are focused mostly on large scale natural resource extraction with quick benefits. Information barriers stifle investment, and bankers have little or no knowledge of sectors, opportunities and risks associated with projects in REDD+, renewable energy, cookstove manufacturing etc. Further, there is little flexibility in terms of the choices of financial instruments available to engage the private sector in DRC; only grants will be possible.</p>	<p>performance of the forest sector in Indonesia has been declining over the past 10 years. Serious obstacles are in the way of such a financial scheme, including market distortions and most prominently a log export ban that affects both concessions and downstream industries. The current situation shows large concession companies obtaining loans from commercial banks that do not have social or environmental policies or criteria for obtaining loans, only financial feasibility. Some commercial banks play a key role in rolling out credit lines to mainly foreign backed concessions and plantations.</p> <p>There have been multiple meetings between the private sector and MDBs on the FIP, although private sector engagement is also limited by IFC safeguards that prohibit companies for applying for concessional loans on the basis of historically engaging in deforestation.</p>	<p>participation of private actors in the forest sector by providing cheap loans and creating capacities in producers and communities. Private actors include forest landowners (<i>ejidos</i> and communities) and producer associations, who historically have had difficulties in accessing credit.</p> <p>Additionally, government and NGOs noted that the plan could eventually attract private investors and commercial banks – historically absent in the forest sector - if the proposed projects succeed in educating producers and communities on the use of credit lines and in demonstrating to private actors that they can be trusted and that the risks of investing in the sector are lower than perceived.</p>
Leverage and additionality	<p>The proposed project activities are unlikely to have taken place without FIP's involvement. The leveraging potential of FIP is difficult to determine, with mixed signals at this stage. No evidence was found of FIP crowding out other investment. While most donors expressed openness to the idea of future co-financing, they were also cautious of committing anything too early at this stage.</p>	<p>FIP's KPH support is entering a space where the Government and other development partners are attempting to make similar investments. The legislation to support the establishment of the KPHs has been in place for over a decade, with some modest achievements under different projects.</p> <p>There is little evidence of leverage for both the public and private sectors. The grants under the ADB and World Bank project components have the potential to leverage some co-financing from donors, but it is not clear to what extent will be a reality. For the IFC component the FIP document states that co-financing from the private sector is expected to be about \$50</p>	<p>The great majority of stakeholders interviewed agreed that the FIP projects would not have happened without the FIP, as it brings a new platform that allow different stakeholders to work together, and new activities to be promoted, e.g. cheap loans to <i>ejidos</i>. Even though the WB was negotiating the SIL with the government, FIP activities were not part of the discussions. All stakeholders see FIP as additional and complementary to existing programs. However, all players agree that the FIP does not bring financial additionality per se, as the government would have had the resources to carry out the projects proposed by the plan. To support this, the WB and the</p>

		<p>million, although consultations with the private sector bring that leverage potential into serious question. Private sector indicated little interest in participating in the FIP, mostly due to the IFC's exclusion criteria noted above</p>	<p>government commented that the FIP support accounts for a very small percentage of CONAFOR's annual budget.</p> <p>But, stakeholders argue that FIP came to build momentum for the country to develop a program that would both commit CONAFOR to build an agenda to address these issues in a strategic way, but also to build a structure in the country that would allow different players to work together in a coordinated manner. For example, interviewees stressed that even if the government had the funds, it did not have the institutional set-up to provide loans. FIP allows this through IDB-<i>Financiera Rural</i>.</p> <p>NGOs, donors and government officials do not feel that FIP has discouraged other donors. In fact, IDB Mexico argued that their involvement with FIP has helped its climate change unit in Mexico to leverage more resources from IDC to work with the forest and climate agenda in the country.</p>
Safeguards	<p>Stakeholders raised concerns related to the lack of a nationally accepted definition of indigenous peoples in DRC, as well as differences among MDBs and other donors in terms of support for free, prior, informed consent.</p>	<p>Misunderstandings were noted among civil society organizations and indigenous peoples about whether MDB safeguards apply at the investment plan level (they do not). Overall, stakeholders felt that risks were not adequately addressed in the plan, and a number of stakeholder groups (civil society, private sector, NGOs, indigenous peoples) expressed concern with the risk of land conflict that is not addressed in much detail in the plan.</p>	<p>The two MDBs working in Mexico have different safeguards. There are some discussions to establish country-level safeguards applicable to all funding directed to the forest sector.</p> <p>The possibility of corruption affecting the implementation of the investment plan and projects was generally perceived as low, given the monitoring required of each one of the implementing actors.</p> <p>As the IP was designed to address the needs of <i>ejidos</i> and communities, there is a genuine social concern being addressed. However, State governments highlighted that communities are not homogeneous groups - this should be</p>

			further taken into account.
Learning / M&E	DRC's investment plan contains a preliminary results framework. Consideration for incorporating baselines in the future is evident, though nothing concrete is proposed in the plan. Targets are expected to be included in the future project design. At the time of the evaluation, M&E systems were not in place.	The investment plan contains a results framework, and the ADB project component has considered indicators and a baseline setting exercise in its approach to monitoring and evaluation. There will be clear challenges for monitoring of emissions from reducing deforestation under FIP, and it could be that the systems and methods in place to monitor emission reductions from the FIP may not be available when monitoring is expected to take place.	At the national level, CONAFOR argued that FIP has an overwhelming list of 32 indicators that should be addressed. The country adopted 28 – as some are not applicable – but it is not sure how well they will be able to monitor and report them. Various stakeholders agreed that a process of 'simplification' must be promoted. Mexico is also building alliances with other FIP host-countries to work on simplifying these indicators. One of the project implementers mentioned that they do not know how complex the project monitoring and reporting will be, as this is a new experience for the institution. They are also unaware of the amount of resources they will need to allocate to successfully implement the project.

Annex O.3: Cross-cutting Issues for PPCR Countries Visited

Approximately two-week visits were made to Jamaica, Mozambique, and Nepal, over June through November 2013 by the following field teams:

- Jamaica: John van Mossel of ICF International (lead evaluator), accompanied by local consultant Donovan Campbell of CARIBSAVE.
- Mozambique: John van Mossel of ICF International (lead evaluator), accompanied by local consultant Angela Abdula.
- Nepal: John van Mossel of ICF International (lead evaluator), accompanied by local consultants Vikram Basyal and Dilli Joshi. The first week of evaluation visit was coordinated with Dr Maya Vijayaraghavan, Senior Evaluation Specialist, ADB, who was simultaneously evaluating the ADB's climate change adaptation portfolio in Nepal.

Topic	Jamaica	Mozambique	Nepal
Investment plan development process	<p>Preparation of the SPCR was seen as rushed, and the result is that it is viewed as internally inconsistent and not well thought through.</p> <p>The SPCR preparation process involved cursory cross-ministerial dialogue; some key national Ministries slated to be involved in project development and implementation have felt uninvolved, even excluded since approval. The projects did not emerge from multi-stakeholder decisionmaking; rather, decisionmaking has been centralized in PIOJ and seen as opaque by both government and broader stakeholders. There have also been unresolved disagreements among government agencies in IP3 about the business case for a loan and the principle of borrowing for climate change adaptation.</p> <p>Consultations about the SPCR were held in 4 communities in Jan-Feb 2011. There has been no follow-up communications with those who were involved. The evaluation contacted the participants of one of the</p>	<p>Mozambique's SPCR was centrally planned by a high level technical team involving APD, WB and AfDB officials. Coordination among the MDBs was seen as very good during SPCR preparation, and the involvement of local MDB staff was a positive contributing factor. UK DFID provided critical capacity to the WB in Maputo. Many of the SPCR projects selected are closely linked to MDB projects that were already in the planning stages, with one project developed from scratch – the AfDB's Sustainable Land and Water Management project.</p> <p>NGOs/CSOs, Provincial and District officials were consulted, but the key consultation was done just prior to the SPCR's presentation to the PPCR. A key government agency was left out of consultations (national emergency measure organization). The consultations did not engage people in the process of context, vulnerability and institutional analysis, in the development of adaptation options, in setting priorities, in the design of key deliverables, in the design of M&E systems or in the design of institutional</p>	<p>National planning in Nepal built on a history of engagement among community, district, provincial and national level authorities and stakeholders. Fieldwork revealed unfavourable comparisons, however, of the SPCR to Nepal's NAPA (2010) and its national framework for local adaptation, and the development of the Local Adaptation Plan for Action - LAPA (2010) for Nepal's 75 districts. The SPCR emerged through a rapid process with considerably less consultation and less buy-in than the NAPA, though it assumed to be built on the NAPA architecture. Decisions on the inclusion or exclusion of initiatives within the SPCR were seen as opaque by stakeholders, including some government Ministries.</p> <p>Facing these criticisms, the Government of Nepal through the Ministry of Environment (MOE) published an SPCR prioritization / consultative document of November 2010 to provide a glimpse of how the selection of the SPCR investment priorities was done with background information used for the selection</p>

	community consultations, and only four of the 39 people that participated either remembered the meeting or were still involved with the participating organizations. These one-off consultations also did not relate or tie into the areas on which the three envisaged projects were focused.	relationships for project implementation. The division of funding between adaptation measures at the community/district/Provincial versus national levels was also not discussed with stakeholders. Stakeholder enthusiasm has waned during the slow process of PPCR project preparation, approval, contracting and achieving effectiveness.	of investment priorities – rationale that was not included in the SPCR document. The period of multi-stakeholder consultation for the NAPA and SPCR has been followed by poor communications by the MDBs and GoN, causing disillusionment among broader stakeholders.
Country ownership/ leadership	The PIOJ, where the PPCR focal point is located, is well positioned for leadership – located as it is within the central Ministry of Finance with access to data, resources and with some delegated decision-making powers. However, there is little evidence that the SPCR has strong national or broader ownership.	Despite early joint MDB-GoM project design missions, climate change was neither a donor nor a GoM priority; in 2009, studies were delayed, the focal point was slow to be set up, and the process started to move only in mid-2010. In 2013 Government then played a strong leadership role in shifting IP focus to rebuilding the vulnerable lower Limpopo valley after significant floods. The revised focus allows the projects' intended impact to link more closely to the PPCR core indicators. The broader ownership of the SPCR is relatively limited due to the process through which they were developed; ownership is most noticeably weak among the implementing ministries and directorates. The SPCR-PPCR is not well known outside of a small group of people and institutions at the national level; and, with decisions having been made at the national level, CSOs and private sector organizations are largely unaware of the SPCR programs and were not integrally involved in its design.	Since the SPCR was endorsed, Nepal has reviewed all national budget codes and determined a methodology to collect information on adaptation expenditures using the national budget planning and expenditure system. It has set up the Climate Change Council chaired by the Prime Minister, as well as the Multi-stakeholder <i>Climate Change</i> Initiatives <i>Coordination</i> Committee (MCCICC) chaired by MOSTE. Nepal also accepted to lead the LDC Group in the UNFCCC and MOSTE has maintained an LDC support group and formed a Climate Change Negotiating Team to support its activities in the COP. According to the NPC, climate change units are active in all development-related Ministries, and the GoN has invested budgetary funds for climate change adaptation in all Ministries, and requested all districts to integrate adaptation in their annual plans and budgets.
Coordination at the national level	There is some evidence of delays in the SPCR process that were caused when the WB and	Mozambique's national adaptation strategy was developed after its SPCR was approved, within	The WB, ADB and IFC are in good dialogue and with a good collaborative practice. MDB staff in

	<p>IDB were unclear about how they would cooperate together in the Caribbean Regional program where they both had jurisdiction; the separation of WB and IDB jurisdiction and protocols took time.</p> <p>The benefits of a strong focal point are not evident in the outputs to date. A strong message received by the evaluator was that improved coordination of the SPCR was required; that communications with SPCR stakeholders had been infrequent and incomplete, and that the SPCR and project development process were characterized by considerable time lags and delays. Since SPCR approval no projects have been approved. The Steering Committee for the SPCR has met twice, through issues are more frequently taken by PIOJ to the Thematic Working Group on Climate Change and Disaster Risk Reduction that was set up as a planning mechanism to develop Vision 2030 (Jamaica's national strategy).</p> <p>Multiple agencies are leading international climate change aid in Jamaica, causing underlying coordination issues. A new Ministry of Water, Lands Environment and Climate Change (MoWLECC) was established in 2012, and its Climate Change Division is expected to have responsibility for coordination of the GOJ's work on climate change across all Ministries, including the Meteorological Services. The national focal point for the UNFCCC remains the Meteorological Services within the new</p>	<p>the context of a \$150M Climate Change DPO (CCODP- a Policy Loan); this DPO is seen as the key mechanism to integrate climate change and disaster risk management into all sectors. The DPO also delivered funds faster than PPCR project funding. The SPCR is not seen by key government stakeholders as triggering new thinking about adaptation in Mozambique.</p> <p>The PPCR focal point has been newly relocated to CONDES, a sustainable development council, supported by a technical unit from the Ministry for Coordination of Environmental Issues (MICOA). MICOA is seen as lacking clout relative to the Ministries it is tasked with coordinating. The National Planning Directorate, an earlier co-focal point, is seen as a stronger government unit; it is committed to continuing its support to the PPCR.</p> <p>The projects in the Lower Limpopo (Gaza Province) are planned to be implemented by several Ministries and Directorate, presenting a potential coordination challenge. Limited involvement of Provincial and District officials in project development seems to have resulted in low buy-in.</p>	<p>Kathmandu are involved with PPCR. MDBs consider it a model of collaboration.</p> <p>An earlier positive view on the SPCR appeared to be replaced by a strong view that the projects have diverted from an adaptation path consistent with Nepal's NAPA. While those centrally involved in developing the SPCR contend that its 5 projects align with NAPA, this view is at odds with a strong current of perception among many stakeholders consulted, including NGOs and former GON officials, who see the SPCR as a parallel process. There has also been controversy over the SPCR's projects which are seen as not in alignment with government policy that adaptation funding should primarily be directed to the community level (i.e., deviating from the law that says 80% of expenditures should directly benefit communities). the MDBs contend that this rule does not apply to the SPCR.</p> <p>The SPCR exists in a crowded landscape of climate change initiatives, including the coordination of and support for Nepal's delegation to the UNFCCC and its current position as Chair of the LDC Group. The SPCR joins significant other adaptation funding initiatives including the LDC Fund, the Special Climate Change Fund, bilateral projects, NGO projects, and various adaptation projects funded through UN agencies (e.g., UNDP, FAO, IFAD) including projects sourced from the GEF. The Ministry of Science, Technology and Environment (MOSTE), with a staff of 9 and a</p>
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	<p>MoLEWCC. The PIOJ does not actively participate in the UNFCCC process. Meanwhile, the PIOJ has become accredited as a National Implementing Entity (NIE) with the Adaptation Fund in September 2010. The PIOJ is now the contact point for both the PPCR and the AF. Jamaica then acquired the full extent of funding possible under the AF project, in contrast to PPCR delays.</p> <p>In recent months work has been done to develop a National Climate Change Policy Framework and Action Plan for Jamaica with support from USAID at the request of the Prime Minister. It was presented to Parliament in the second half of 2013. The SPCR provided funds for a study of the legal instruments related to the new policy.</p>		<p>high level of turnover, is responsible for coordinating all of these funds. There is concern among some stakeholders that MOSTE lacks the strength and ability to coordinate these efforts, including PPCR. There is a further critique that MOSTE's staff is not grounded in any horizontal accountability structure to line Ministries and that it lacks a vertical accountability structure to Regions, Districts, Municipalities and/or Village Development Committees (VDC).</p> <p>There will be a need for strong collaboration during implementation. IP3, for example, involves several government Departments and will rely on the outputs of IP2, specifically climate scenarios from the Department of Hydrology and Meteorology (DHM).</p> <p>Also, with significant donor-funded adaptation projects outside of the SPCR, wider coordination with other donors is needed, including UNDP, DFID, Finish Aid, GIZ and USAID. There is an important new initiative underway with the development of a common M&E framework for 8 projects including 5 SPCR IPs. This effort can be enhanced by the inclusion of other projects with significant funding and adaptation focus, including Multi-stakeholder Forestry Program-MSFP (funded by SDC, DFID and Finish Aid), and USAID's Hariyo Ban project. However this framework was being driven by consultants within multi-lateral agencies and not yet driven by national bodies or actors; it was in the planning stage during the field visit.</p>
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<p>Potential for transformational change / early project results</p>	<p>The evaluation found that the objectives of the projects were shifting quite considerably since SPCR endorsement, and that stakeholders had not been involved in the key decisions to reshape the scale and scope of the projects. Evidence suggested the IPs might evolve to focus too much on capital equipment purchases for weather forecasting, an engineering project to enhance ground water recharge in one river basin.</p> <p>The focus of communication, central to t IP1, appeared likely to shift to national level messaging, instead of effective and coherent communication supporting the engagement of people on a sector-specific basis, and on a local community basis, though planning had not been completed. The second project has shifted from supporting upland farmers in 1 to 4 parishes and working with vulnerable communities (farming families and smallholder farmers) in conjunction with extension officers under RADA, CBOs and NGOs, to a plan to use river water to recharge the national aquifer in one river basin with benefits mainly to downstream communities. The IP3 showed potential for adaptation financing mechanism in the agricultural sector with a mix of investment, grants and loans, working with the Small Business Assn. of Jamaica. However, significant issues facing the loan facility related to the requirements of the IDB were still unresolved; the project was still in the planned stages.</p>	<p>Changes in project design since the SPCR was endorsed include the emergence of a focus in the lower Limpopo valley, and a stronger focus on community adaptation in the Baixo Limpopo Irrigation project, together with the strong initiative of the AfDB. The projects can now be considered as more relevant.</p> <p>The projects appear top heavy, however, and some have weak vertical integration; for example, the climate information services project emerged with too few deliverables at the community level in the short run, and a weak alignment with user needs,. In the absence of sufficient community dialogue about vulnerability and community participation in determining desired outcomes of resilience projects, there is no assurance that projects will meet the needs of vulnerable communities, build on the capacities of vulnerable people and communities or engage and enable them to becoming actors in their own adaptation.</p>	<p>The SPCR is seen by some as tackling national priorities – improving watershed management in priority areas, building the long-term and in-depth capacity of the Department of Hydrology and Meteorology (DHM) and supporting the training and capacity building in several Departments that provide significant services in rural Nepal. It is in the rural areas where the bulk of the people live and where most of the impacts of climate change are felt including floods, landslides, erosion with directly related impacts on rural livelihoods, including rural roads, rural water supply and smallholder agricultural production, community-managed forests and small scale animal husbandry. There is also agreement that an eco-systems analysis project is highly appropriate given Nepal’s highly sensitive ecosystems.</p> <p>However, since the SPCR was endorsed concern has grown among non-government groups about an apparent loss of transparency and visibility. There is further concern about the dropping of key transformational aspects of the SPCR, in particular the loss of gender as a driver of change and the loss of multi-stakeholder oversight - with the infrequent use of multi-stakeholder coordination and feedback mechanisms set up under the NAPA process.</p>
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Co-benefits	<p>To the extent that the water aquifer recharge project (if it proceeds) provides benefits to all Jamaicans, its benefits may be equally accessible. However, Jamaicans already have relatively equal access to water resources.</p> <p>Economic, environmental, social and gender impact assessments are not available and plans to increase the economic, environmental, social and gender impacts of the activities do not seem to be prepared.</p>	<p>Strong references to gender analysis and the importance of gender equality in planning appear to be effectively replaced by safeguard tools where <i>no harm to women</i> replaces <i>women as transformational actors</i> and <i>gender equity as transformational in rural communities and institutions</i>.</p>	<p>A gender equality strategy in the SPCR appears to have been lost in the design of the individual projects. The focus on women farmers in the IFC investment project is largely co-incidental; it is focused on farmers who are largely women as a result of out-migration of males from the rural areas.</p>
Private sector	<p>Information on Jamaica's PPCR private sector project was scarce and seemed to be in flux. While it was proposed in the SPCR that loans be made available to agricultural entities, agribusiness, IDB is concerned about market disruptions. PIOJ commissioned a consultant's report on financing agricultural activities/projects through the Development Bank of Jamaica (DBJ). Meanwhile the Association of Small Business Association of Jamaica proposed a financial arrangement that includes a mix of local investments (20%), grants (40%) and loans at concessional rates (40%) to support enterprises in the agriculture sector with under 50 employees including clustered enterprises.</p> <p>The inclusion of a loan facility in the SPCR was a model imported from Yemen. There was no evidence of a discussion among a wide stakeholder group of whether to include a loan facility in the SPCR and whether the focus of the financing should be on agriculture or to the size or vulnerability</p>	<p>An allegedly rushed contribution to the SPCR in 2010, original assumptions about the availability of firms eligible and interested in IFC investment have not borne out.</p>	<p>There is a noticeable interest in Nepal for a more involved private sector and for increased capacity in the private sector, especially in adaptation risk management.</p> <p>IFC is designing its first risk-sharing facility to address local banks' constraints as they relate to climate resilient lending, and shows early evidence of innovative and promising outcomes. However, the exclusion of the FNCCI from a defined role means that a crucial national private sector body that was engaged in the SPCR consultation processes is not gaining experience and capacity to bring the private sector into adaptation programs.</p>

	<p>of potential clients.</p> <p>Negotiation of terms for this loan component has been difficult.</p>		
Leverage and additionality	<p>Jamaica seems to currently have a wide range of adaptation resources at its disposal, to the extent that it is not able to manage the current resources well, in terms of project management, coordination and communications. There is an absorptive capacity issue with these funds.</p>	<p>Three of the projects are tied to MDB projects that were under preparation before the development of the SPCR. It is likely that without PPCR funding, they would have proceeded as more traditional infrastructure and water projects, and would have lacked the climate resilient orientation that PPCR investment enabled. Because PPCR funding was largely attached to existing MDB projects, it is not clear that PPCR itself has leveraged additional finances.</p> <p>AfDB's Sustainable Land and Water Resources Management project was designed specifically for PPCR funding, and very likely it not have been funded without PPCR involvement.</p>	<p>Debate on the issue of loans for climate change adaptation drew the attention of the Natural Resource Committee of Nepal's Constitutional Assembly. The GoN, while accepting loans negotiated before the debate, announced to the CIF that it was adopting a policy of no more loans. There is also a view among key government agencies that future global funding for adaptation should not be run through the World Bank or the regional banks.</p>
Safeguards	<p>Not yet applied.</p>	<p>The normal MDB safeguards have been applied.</p>	<p>Stakeholders noted that gender should be elevated beyond a "safeguard" to a driver of transformation. No other major safeguard concerns were raised.</p>
Learning / M&E	<p>Knowledge management in Jamaica's SPCR seems focused on provide national level messaging on climate change; the development of knowledge products is not specifically envisioned.</p>	<p>Mozambique's knowledge component is currently located in a separate technical assistance component that is not sufficiently linked to learning at the project-level, or participatory in nature or linked to the project M&E system, and while it was still in the planning stages it was not clear it would be relevant to people, for example, in the lower Limpopo River valley.</p> <p>The focus of the work of IFC seems likely to shift to focus on engaging the private sector in learning about climate risk and risk reduction strategies.</p>	<p>One area where the SPCR could potentially support innovation and learning is in the development of effective products and delivery mechanisms for meteorological data and forecasts for vulnerable communities. The current proposals for DMH seem highly optimistic in the context of current practices and products.</p>

Annex O.4: Cross-cutting Issues for SREP Countries Visited

Approximately two-week visits were made to Ethiopia and Nepal, over July through September 2013 by the following field teams:

- Ethiopia: Richard Hansen, independent consultant (lead evaluator), accompanied by Seetharam Mukkavilli of the AfDB Independent Development Evaluation and CIF Evaluation Oversight Committee, and local consultant Samson Tsegaye.
- Nepal: Richard Hansen, independent consultant (lead evaluator), accompanied by Ruchika Drall of ICF International.

Topic	<u>Ethiopia</u>	<u>Nepal</u>
Investment plan development process	Ethiopia was identified as an SREP country in 2010. Ethiopia's investment plan was developed in 2011-2012 by the Government of Ethiopia in collaboration with the World Bank, AfDB, and IFC. In October 2011 a stakeholder consultation workshop was held at which the MoWE presented a draft IP. Of the 60 participants in the workshop, about 40% were from the Government and another 35% were from the MDBs, UNDP and bilateral donors. The remaining 25% were from private sector companies and civil society. The plan primarily supports a government-led grid-tied RE investment strategy (geothermal and wind) with the \$50 million allocated from SREP. In response to stakeholder feedback that off-grid electrification presented an opportunity for private sector engagement, the Government allocated a modest portion of the budget (\$4 million/8%) to an IFC private sector activity to advance distributed RE in off-grid areas where the majority of the population lives and where the Ethiopian Electric Power Corporation is not yet able to serve. In 2011 the Ethiopian Electric Power Corporation had about 2 million customers, compared to a total population of over 85 million people living in more than 14 million households. Stakeholders also questioned the transformativeness of the geothermal project without private sector engagement; in the final plan, the exploratory drilling phase was publicly channelled and the financing scheme for design, procurement, financing, construction, and operation was left open with regards to whether it would be public-owner, private-owned, or a PPP.	Nepal was identified as an SREP country in 2010. A joint MDB scoping mission to Nepal was held from February 03-08, 2011, which met with government institutions including the MoSTE, MoF, the Ministry of Energy (MoE), Department of Electricity Development (DED), AEPC, and the Nepal Electricity Authority (NEA). The mission also met with development partners (bilateral donors), industry associations and commercial banks. A second Joint Mission to Nepal was held from July 4-11, 2011, to collaborate with the Government in developing its SREP investment plan. Prior to the mission a project preparation grant was processed and a consultant was contracted by the ADB to assist in the development of the investment plan. Participation of the private sector and civil society was limited in the development of the investment plan, even though these groups are significantly engaged in the projects. By November 2011, Nepal's Country IP was submitted to CIF by the GoN.
Country ownership/	Stakeholders generally indicated that the Ethiopian SREP Investment Plan was Government-led, but not country-owned in a broader sense due	Nepal is a leader in the dissemination of off-grid RE including, micro-hydro, solar PV and household biogas digesters. In 1996 the government



leadership	to the limited engagement of civil society and private sector stakeholders in the development of the plan, and a limited official role for those stakeholders in the implementation phase. Stakeholders generally view the investment plan as aligned with the Climate-Resilient Green Economy Strategy (CRGE), which adds a climate emphasis to the national Growth and Transformation Plan. Electric Power Supply is one of the seven sectors targeted in the CRGE, and one of CRGE's four fast-track initiatives is "Power Infrastructure Financing" to "[secure] the financing enables scale-up of clean/renewable power generation capacity"—a message which resonates with SREP.	of Nepal established the AEPC, a semi-autonomous body under the Ministry of Science, Technology and Environment (MoSTE) to increase energy access where service from the NEA was unlikely to reach. After many years of advancing energy access with bilateral funding, in 2012 the National Rural & Renewable Energy Programme (NRREP) was established as an overall coordinated effort with donors and the GoN. The NRREP was developed simultaneously with the SREP investment plan, and SREP is expected to dovetail with the NRREP and the emerging Central Renewable Energy Fund (CREF). AEPC is the implementing agency for the micro/mini activity of the ADB (\$12M) and the Waste-to-Energy project of the World Bank (\$8M). The Small Hydro component is implemented by the IFC (\$10M) and ADB Private Sector Department (\$10M) through the local private banks.
Coordination at the national level	<p>At the national level responsibilities for managing the SREP program are reasonably clear. There have been two national focal points (located in the Environmental Protection Authority and Ministry of Water and Energy (MoWE), although MoWE has taken the lead role given its responsibility in the energy sector. While the evaluation team was told that there is a monthly energy sector "donor meeting" for MDBs, some stakeholders mentioned that attendance was sub-optimal.</p> <p>Ethiopia's geothermal project presents an opportunity for MDB coordination, with World Bank, IFC, and AfDB all involved. The World Bank is advancing the drilling, AfDB is responsible for project preparation grant for the geothermal power plant, and IFC is involved in developing the long-term geothermal strategy to engage private sector investment. For a separate, non-SREP funded private sector geothermal project, AfDB is providing legal assistance for the development of a power purchase agreement, which is closely related to—but not coordinated with--IFC's SREP component.</p> <p>IFC's SREP SME capacity building project is entering a space where the World Bank is already working (with significantly more funds—none from SREP) with the Development Bank of Ethiopia. The IFC and World Bank projects are pursuing different business models, and there does not appear to be an overall coordinated strategy among them.</p>	<p>The MoF is the SREP Coordination Unit responsible as the national focal point for overseeing the SREP funding. (MoSTE) is the focal point for activities implemented by the AEPC. There have been challenges related to the planning process and the integration of the SREP activities of the MDBs into the NRREP and CREF.</p> <p>The bilateral donors expressed concern that the MDBs involved in SREP have not been sufficiently "at-the-table" with regards to developing the details of the CREF to assure that its design will meet the requirements of all donors (bilateral and multilateral). The MDBs and the GoN were not yet on the same page with regards to grants versus loans from SREP. The GoN is taking a strong stance on not borrowing funds that fall under a climate change mandate; they only want to accept grants. It appears that the MDBs want to also loan non-SREP funds in conjunction with SREP and this has also been an issue.</p>

Potential for transformational change / early project results	<p>Ethiopia's investment plan focuses strongly on supporting the development of new sources of grid-tied renewable energy; these projects represent an important diversification to the current dependence upon hydropower. With regards to the geothermal project, the historical lack of engagement of the private sector seems to present a significant challenge that must be overcome to achieve transformational change. For the wind project, the potential for transformational change seems especially tied to the project goal of building local manufacturing capacity for wind machinery, to both reduce costs and generate local employment; how this goal will be achieved is not yet clear. For the SME capacity building project, the scale of the IFC intervention is quite small to consider it transformative in the energy access space.</p>	<p>Nepal's investment plan has a 50/50 balance between public sector increasing off-grid energy access and private sector increasing grid-tied renewable energy. In public sector interventions, SREP has taken a role to introduce new technologies that could be a strategic complement to existing proven technologies. The predecessor to the NRREP, ESAP I & II, served 86,000 households with micro-grids, 350,000 households (evaluators note: beneficiaries actually also include enterprises) with solar PV, and 250,000 biogas digesters for domestic use. NRREP plans to continue this but moving away from subsidies. It is premature to assess the transformational potential of the SREP off-grid activities; the scale of potential projects on the World Bank's waste-to-energy is not yet well analyzed, and the potential projects under the micro-grid activity are also not yet well developed. The sustainability and replicability of the solar/wind micro-grid projects will need to be evaluated since the ADB pilot project that was described as an example of what will be funded by SREP has financially viable issues.</p> <p>The scale of <u>private sector</u> SREP resources (\$20M) and goals (50MW of hydro) are small relative to the very large-scale grid-tied energy sector plans of Nepal. Nepal aims to expanding hydro-power generation from its current 700MW to thousands of MW in the next decade. Larger hydropower projects 100MW to 600MW are the current focus of the government utility NEA. The local banks reported that the main obstacle for developers is the lack of equity, an issue that does not seem to be addressed by the design of the IFC program, affecting its ability to catalyze transformational change. Based upon consultations with the banking stakeholders, the financial mechanisms that are being supported by SREP to catalyze the small hydro sector need to be further evaluated to assure that they will have a good probability of overcoming obstacles to transformative change in this space.</p>
Co-benefits	<p>The developmental benefits and beneficiaries are highly dependent on the individual projects. In the case of the Assela Wind project, if implemented successfully, there could emerge a local wind technology industry that would employ engineers and skilled factory workers to supply wind turbines for the region. As the geothermal and wind resources build a stable mix of low carbon energy for the grid, it will</p>	<p>The field trip provided some concrete examples of co-benefits of increased energy access that could come through the NRREP and SREP, especially distributed solar PV. Even though the PV systems in Nepal are referred to as "solar <u>home</u> systems, it was found that PV systems provided to the individuals in the past are not only powering the households, they are powering rural <u>enterprises</u> as well. The PV systems</p>

	support the Government's plan for exporting electricity to fuel an overall green economic growth.	are being used in country stores, restaurants, dress maker/boutiques, etc. These systems provide them electricity and help them increase their income. The waste -to-energy project is comparatively new concept for the country. It meets the dual objective of meeting the energy needs and managing the waste contamination problem. About 70% of the country's waste is biodegradable, but poses technical issues.
Private sector	<p>The energy sector in Ethiopia has been dominated by the public sector. IFC's development of a geothermal strategy recognizes an important barrier to the private scale-up of geothermal—the fact that the Government does not yet have experience purchasing electricity from an independent power producer. The SREP-funded Assela wind project aims to engage the private sector for manufacturing for local value added.</p> <p>In off-grid markets, the SME capacity building program seems to be designed to enter the same space where the World Bank is already operating at a much larger scale, without evidence yet of a coordinated approach that would support broader transformation; such a coordinated approach might address an adequate enabling environment for SMEs, enterprise finance for working capital (from DBE and private banks), consumer finance for RE purchases (direct from SMEs and from MFIs), and capacity building adapted to the unique conditions of Ethiopia.</p>	The private sector is very involved in the SREP planned activities for both grid-tied RE and off-grid RE. The ability for the Nepal investment plan to incorporate such a significant level of private sector participation with grid-tied RE is due in part to the country's significant track record with IPPs. There are already 33 hydro-power plants from 200kW to 60MW in scale, owned and operated by Independent Power Producers providing a total capacity of over 230MW. The policy environment already exists with the NEA; there are established feed in tariffs for hydro-power, which are 4.8 rupees/kWh for the wet season and 8.4 rupees/kWh for dry season. The ADB and IFC small hydropower activity entered the Nepal SREP Investment Plan with a focus to work with the private banks. ADB and IFC are now working with four banks, two each, to develop the financing mechanisms that will facilitate more "project financing" by local banks for local developers.
Leverage and additionality	Stakeholders credited SREP's \$26 million investment with advancing the \$250 million Aluto Langano geothermal project, since according to multiple interviewees the project was stuck at four wells prior to SREP involvement. This project is co-financed by the World Bank and Japan, but sufficient evidence was not found to confirm that SREP leveraged these funds. World Bank funding has been secured for other geothermal efforts in Ethiopia without SREP concessionality—including World Bank funding for the Tendaho prospect area. In the Assela Wind farm project it is premature to determine whether the \$20 million SREP component will crowd in or out additional funding as the critical manufacturing piece is not yet fully studied or designed.	<p>It is not clear what impact the SREP IP preparation process had on the national trajectory given that the NRREP was essentially created in parallel as an outgrowth of the AEPC's energy access efforts: ESAP I and ESAP II, which serve as the framework program for public sector renewable energy work in Nepal.</p> <p>It appears that the significant bilateral funding (\$82.8M) in the NRREP budget (\$170.1M) has held more weight in the government planning process than has the \$20M in SREP funding. The Nepal reality seems to be one where the country's success with renewable over many years had led to a significant commitment by the bilateral donors and a unified plan into which SREP is expected to dovetail as co-financing with bilateral donors and the GoN.</p>
Safeguards	<i>No conclusive evidence gathered regarding safeguards.</i>	<i>No conclusive evidence gathered regarding safeguards.</i>
Learning / M&E	The SREP results framework has evolved since the time when the	The SREP results framework has evolved since the time when the Nepal

Ethiopian investment plan was developed; the emergence of the SE4ALL initiative of the UN and the World Bank has now driven efforts forward to develop a new tracking framework (May 2013) for energy access that must also dovetail with the national CRGE strategy. Government officials were familiar with SREP results frameworks (both old and revised), as well as how the new tracking framework for SE4ALL will begin to influence country-level M&E.

Investment Plan was developed; and the emergence of the SE4ALL initiative of the UN and the World Bank has now driven efforts forward to develop a new tracking framework (May 2013) for energy access. National M&E also needs to dovetail with the new NRREP where many donors are involved. GoN officials were aware of changes in the SREP results framework and the entrance of Nepal into the SE4ALL initiative led by the UN & World Bank. The GoN Focal point for SE4ALL is: National Planning Commission.

Annex P: Survey of CIF Project Leads

The evaluation team conducted an online survey to obtain feedback from MDB project leads for CIF-supported projects. The survey was launched on December 3, 2013 and officially closed on January 7, 2014. The evaluation team sent the survey to 174 project leads at the MDBs and received 56 survey responses, for a total response rate of 32%.

The survey consisted of eleven multiple choice questions and one open-ended question. Respondents also had the option to provide additional comments for most multiple-choice questions.

To make it easier for the readers to interpret the survey results, the following tables present the answer choice with the highest response rate at the top of the table and the answer choice with the lowest response rate at the bottom of the table. For questions with sub-questions (i.e., questions 4,5,6,7,8, and 10), the tables are presented using a color-coding scheme. Answer choices with the highest response rate are shaded in dark blue, and those with the lowest response rate are shaded in light blue.

Least Common Answer Choice				Most Common Answer Choice
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Question 1

For which multilateral development bank do you currently work?

Responses	Share of Responses	Number of Responses
World Bank	50.0%	28
International Finance Corporation	19.6%	11
Asian Development Bank	12.5%	7
European Bank for Reconstruction and Development	7.1%	4
Inter-American Development Bank	7.1%	4
African Development Bank	3.6%	2
Total	100.0%	56

Question 2

In which regions(s) have you acted as a project lead or task team leader for CIF projects? Check all that apply.

Responses	Share of Responses	Number of Responses
Asia and the Pacific	44.6%	25
Sub-Saharan Africa	26.8%	15
Latin America and the Caribbean	17.9%	10
Central and Eastern Europe	12.5%	7
Middle East and North Africa	8.9%	5
Total	100.0%	56

Question 3



For which CIF program(s) have you acted as a project lead or task team leader? Check all that apply.

Responses	Share of Responses	Number of Responses
Clean Technology Fund (CTF)	39.3%	22
Pilot Program for Climate Resilience (PPCR)	35.7%	20
Scaling Up Renewable Energy in Low-Income Countries (SREP)	25.0%	14
Forest Investment Program (FIP)	14.3%	8
Total	100.0%	56

Question 4

For the CIF-supported project(s) for which you have served as the project lead, what have been the main advantages for your organization of using CIF resources to implement projects, compared to other funding sources for climate change? Please indicate your level of agreement with the following statements. Please note that these statements do not necessarily represent the opinions of the evaluators.

Responses by Subquestion	Strongly Agree	Agree	Disagree	Strongly Disagree	I Don't Know	Number of Responses
The scale of available resources is larger, relative to other global funding sources.	10	24	7	6	8	55
The preparation of CIF investment plans enabled stronger country ownership.	9	29	8	3	5	54
The CIF provides a platform for MDBs to work collaboratively.	8	32	10	2	2	54
Programming CIF-supported projects based on country investment plans reduced competition among the MDBs, relative to other global funding sources.	4	22	20	2	7	55
The CIF project cycle is more streamlined, relative to other global funding sources.	2	20	21	5	7	55
The CIF uses both grant and concessional loan financing modalities.	11	34	3	0	6	54
The CIF offers project preparation grants.	11	32	3	0	6	52
Other	4	3	0	0	4	11

Question 5

For the CIF-supported project(s) for which you have served as the project lead, what have been the main obstacles (if any) for seeking and using CIF funding? Please indicate your level of agreement with the following statements. Please note that these statements do not necessarily represent the opinions of the evaluators.

Responses by Subquestion	Strongly Agree	Agree	Disagree	Strongly Disagree	I Don't Know	Number of Responses
A CIF investment plan had to be prepared and endorsed before project preparation could begin.	10	25	12	3	1	51
The CIF project caused delays in my bank's project cycle.	4	18	25	2	2	51
The CIF project was not well integrated into my bank's planning cycle.	3	17	27	5	2	54
The need for CIF Trust Fund Committee approval caused delays.	5	21	23	2	4	55
Additional project proposal documents had to be prepared to request CIF Trust Fund Committee approval.	9	25	13	1	4	52
It was a burden to demonstrate consistency with CIF investment criteria.	4	17	27	2	3	53
Project preparation funds for the CIF project were insufficient.	4	12	24	7	6	53
Project implementation and supervision fees for the CIF project are insufficient.	6	10	26	5	5	52
Requirements for external technical review of projects created an extra step that did not add much value.	11	16	16	1	6	50
Additional monitoring and reporting requirements made the CIF project less attractive.	6	12	26	1	7	52
Other	2	2	2	0	8	14

Question 6

For the CIF-supported project(s) for which you have served as the project lead, how did the addition of CIF funding change the project? Please provide additional details below.

Response by Subquestion	Yes	No	I Don't Know	Number of Responses
Was a project concept note or an equivalent in place before CIF funding was considered?	16	33	7	56
Did the project concept originate with the CIF recipient country's investment plan?	37	9	9	55
In your opinion, would the project have moved forward without the addition of CIF funds?	7	39	8	54
Did the addition of CIF funds change the project components?	34	15	5	54
If yes, did the addition of CIF funds transform the project such that it now produces substantially more benefits?	33	4	7	44
Did the addition of CIF funds effectively lower the overall project cost to the recipient country?	31	8	12	51
If yes, was the lowering of the cost an important factor in	23	11	9	43



securing country agreement?				
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Question 7

Did the addition of CIF funds catalyze additional contributions from:

Response by Subquestion	Yes	No	I Don't Know	Number of Responses
MDBs	30	18	5	53
The GEF, or other multilateral funds	7	38	5	50
Bilateral donors	29	16	7	52
Recipient country government	23	22	7	52
Private sector	28	15	6	49

Question 8

Did the addition of CIF funds crowd out financing from:

Response by Subquestion	Yes	No	I Don't Know	Number of Responses
MDBs	2	46	6	54
The GEF, or other multilateral funds	3	43	7	53
Bilateral donors	4	47	3	54
Recipient country government	6	41	6	53
Private sector	3	42	7	52

Question 9

Have your CIF-supported project(s) experienced delays leading up to disbursement of funds?

Responses	Share of Responses	Number of Responses
No	51.8%	29
Yes	48.2%	27

Question 10

If yes, what factors have been most responsible for causing these delays? Please note that these statements do not necessarily represent the opinions of the evaluators.

Response by Subquestion	Strong Influence	Some Influence	No Influence	I Don't Know	Number of Responses
The infrequency of CIF Trust Fund Committee and Sub-Committee meetings	2	9	23	3	37
The extent of comments received from the CIF Trust Fund Committees and/or Sub-Committees	3	14	17	2	36
Requirements for external technical review	4	10	19	3	36

Obtaining MDB Board approval	4	9	20	3	36
Obtaining Government approval for the legal agreement between the MDB and borrower	7	9	17	3	36
Complexities in arranging procurement and/or financing agreements	10	15	9	2	36
Political changes, such as changes in Government priorities, administration, and/or political unrest	14	8	12	2	36
Delays in the preparation of environmental and/or social impact assessments, or other due diligence	5	13	15	3	36
The policy or regulatory environment was not ready to enable the project	5	8	20	3	36
Other	4	1	1	3	9

Question 11

If your CIF-supported project(s) is being implemented by more than one MDB, has this collaboration added value, compared to implementation by a single MDB?

Responses	Share of Responses	Number of Responses
My project(s) is not implemented by more than one MDB	41.8%	23
Some Value	36.4%	20
Marginal Value	12.7%	7
Substantial Value	9.1%	5

Annex Q: List of Stakeholders Consulted

Trust Fund Committee Members and Observers ⁶³		
Australia	John Anakotta	TFC Member
Canada	Michelle Kaminski	TFC Member
	Carine Khawam	TFC Member
Denmark	Christoffer Bertelsen	TFC Member
France	Frederic Glanois	TFC Member
	Cecile Pot	TFC Member
Germany	Frank Fass-Metz	TFC Member
	Anette Windmeisser	TFC Member
Netherlands	Frank van der Vleuten	TFC Member
Norway	Bente Weisser	TFC Member
Spain	Aize Azqueta Quemada	TFC Member
Sweden	Asa Wiberg	TFC Member
	Lars Roth	TFC Member
Switzerland	Daniel Menebhi	TFC Member
UK	Ben Green	TFC Member
	Sam Balch	TFC Member
	Kate Downen	TFC Member
	Kate Hughes	TFC Member
	Simon Ratcliffe	TFC Member
	Greg Briffa	TFC Member
USA	Abigail Demopulos	TFC Member
	Katie Berg	TFC Member
Brazil	Artur Cardoso de Lacerda	TFC Member
Tajikistan	Ilhomjon Rajabov	TFC Member
World Resources Institute	Milap Patel	Observer
Applied Environmental Research Foundation	Archana Godbole	Observer
Forum Syd	Sothira Seng	Observer
Overseas Development Institute	Smita Nakhooda	Former Observer
IUCN Global Gender Office	Lorena Aguilar Revelo	Led the Gender Review of the CIF
Business Council for Sustainable Energy	Lisa Jacobson	Observer
CIF Administrative Unit, Trustee, and Legal		
CIF Administrative Unit	Patricia Bliss-Guest	Program Manager
	Funke Oyewole	Deputy Program Manager
	Christine Roehrer	Senior Monitoring and Evaluation Specialist

⁶³ The evaluation team sent interview invitations to an additional eight Trust Fund Committee/Sub-Committee members and an additional six observers that did not respond.

	Shaanti Kapila	Global Support Program Officer
	Nasser Brahim	Consultant – Global Support Program
	Andrea Kutter	Senior Program Coordinator, FIP and PPCR
	Zhihong Zhang	Senior Program Coordinator, CTF and SREP
	Fisseha Abissa	Stakeholder Relations Officer
Trustee	Pamela Crivelli	Lead Financial Officer, Trustee
Legal	Junko Funahasi	Senior Counsel, Legal
MDB Headquarters		
ADB Headquarters	Preety Bhandari	OIC/Principal Climate Change Specialist
	Don Purka	Principal Climate Change Specialist
	Jiwan Acharya	Senior Climate Change Specialist (Clean Energy)
	Toshimasa Dojima	Principal Financing Partnerships Specialist
	Charles Rodgers	Senior Environment Specialist (Climate Change Adaptation)
	Ancha Srinivasan	Principal Climate Change Specialist
	Atsuki Okamura	Principal Financial Control Specialist
	Lorie Rufo	Environment Officer (Climate Adaptation)
	Cristina Santiago	CIF Consultant
	Elizabeth Crisostomo	CIF Consultant
	Grace Marie Batario	CIF Consultant
	S. Chander	Director General
	WooChong Um	Deputy Director General
	Atsuki Okamura	Principal Financial Control Specialist
	Anna Marie Siquian	Senior Financial Control Officer
	Nessim J. Ahmad	Director
AfDB Headquarters	Mafalda Duarte	AfDB CIF Coordinator
	Hela Cheikhrouhou	Director at AfDB
	Kurt Lonsway	Manager, Environment and Climate Change Division
	Amel Makhoul	M&E Specialist
	Magdaline Nkando	Knowledge Management Specialist
	Umang Goswami	Private Sector Specialist
	Florence Richard	Senior Climate Change Specialist
	Garba Laouali	Senior Environmentalist (PPCR and FIP)
	Olagoke Oladapo	PPCR Task Manager
	Youssef Arfaoui	Chief Renewable Energy Specialist
	Sebastian Delahaye	Climate Change Officer
	Monojeet Pal	Principal Investment Officer
	Richard Claudet	Chief Investment Officer
	Rachel A. Aron	Senior Social Development Specialist
	Awatef Siala Fourati	Principal Environment Officer

	Noel Kulemeka	Chief Socio-Economist, Environment and Climate Change
	Salwa Houli	Finance Control Department
IDB Headquarters	Alfred Grunwaldt	Climate Change Senior Specialist - Adaptation / PPCR
	Claudio Alatorre Frenk	Climate Change Senior Specialist – Mitigation / CTF
	Gloria Visconti	Climate Change Lead Specialist - IDB's CIF Focal Point
	Walter Vergara	Division Chief Climate Change & Sustainability
	Priscilla Crisologo	Senior Associate – Attorney
	Gregory Watson	Multilateral Investment Fund Senior Specialist
	Guadalupe Calderón	Operations Senior Specialist
	Carlos de Paco	Operations Principal Specialist
	Paloma Marcos	Gender Specialist
	Maria da Cunha	Safeguards Specialist
	Armando Olocco	Head TF Cap & Banking Lead Specialist
	Lori Kerr	Private Finance Operations Advisor
EBRD Headquarters	Amelie Eulenburg	Senior Economist
	Andreas Biermann	Senior Policy Manager Energy Efficiency & Climate Change
	Craig Davis	Senior Manager, Climate Change Adaptation, Energy Efficiency and Climate Change
	Marta Simonetti	Principal Manager, Acting Head, Multilateral Funds, Climate, EU, SEMED – Official Co-Financing
	Dr Dariusz Prasek	Director, Project Appraisal, Environmental and Sustainability
	Mikko Venermo	Lead Oversight Adviser, Environmental and Sustainability
IFC Headquarters	Grzegorz Peszko	Lead Energy/Environmental Economist, Office of the Chief Economist (OCE)
	Joyita Mukherjee	Senior Operations Officer
	Kruskaia Sierra-Escalante	Global Lead Counsel for Climate and Blended Finance
World Bank Headquarters	Stephanie Miller	Director, Climate Business
	Mary Barton-Dock	Director, Climate Policy and Finance
	Vijay Iyer	Director, Sustainable Energy Department
	Gevorg Sargsyan	CTF/SREP Program Coordinator
	Federico Querio	Energy Specialist, CTF/SREP
	Gerhard Dieterle	FIP Program Manager
	Madhavi Pillai	Natural Resources Specialist, FIP
	Veronica Jarrin	Operations Analyst, FIP
	Kanta Kumari Rigaud	Lead Environmental Specialist, PPCR

	Nancy Chaarani-Meza	Environmental Specialist, PPCR
	Kazi Ahmed	Consultant, PPCR
DRC Country Visit (FIP)		
World Bank	Etienne Benoit	Technical specialist
MECNT	Vincent Kasulu Seya Makonga	Secretary General MECNT
FIP coordination	Felicien Mulenda	National FIP focal point
	Victor Kabengele	National REDD Coordinator
	Clement Vangu Lutete	FIP Coordinator
	Seige Kula	Ministry of Finance
	Benjamin Mandjo	Technical Assistant FIP
	Marc Rodriguez	International advisor FIP
Direction du Developement Durable	Trinto Mugangu	NAMA coordinator
	Jean Ndembo Longo	National Coordinator Adaptation
	Benjamin Toirambe Bamoniga	Director, REDD+ focal
	Jean Muneung Ilunga	
	Mbuyi Kalombo Aime	CCD focal point
	Mike Ipanga	Chief of division of climate change
	Prosp Kalombo	Division of sustainable development (DDD)
FAO	Eloma Ekoleki	UNREDD MRV
USAID	Ken Creighton	Climate Change Specialist
	Son Hoang Nguyen	CARPE Deputy Director
WWF	Raymond Lumbuenamo	National Director
UNREDD	Coulibaly	Director UNDP
	Gilbert Hao	Poverty reduction advisor UNDP
	Idesbald Chinamula	National counselor on climate change
	Leslie	Technical advisor UNREDD
GIZ	Cornelie Sifa Nduire	Expert, Economy and Environment
	Felix Lilakako Malikuka	Expert, Forest Technician
	Gabrielle Munduku	Technical assistant
	Prince Baraka	Biodiversity Program on Forests
Focus Group meeting with Indigenous Peoples Reps	Kapupu Diwa	Lynapico
	Patrick Saidi	DGPA
	Dorothe Lisenga	REPALEF
	Faida Chiroy	Lynapico
	Josee Itongwa	REPALEF
	Nyongolo Belto	REPALEF/LINAPYCO
	Stephie Ilunga	REPALEF/AVILD
	Adrien Sinafasi	REPALEF/DGPA
	Ruphin Imbongo	REPALEF/CDE
	Mardoche Bokongo	ADFPR/REPALEF
	Andre Ikoko Bongo	REPALEF

	Chimita Malebo	AFPA/REPALEF
	Keddy Bosulu	REPALEF
African Development Bank	Valentin Zongo	Resident Representative
	Ricky Betoko	National FIP consultant
National REDD+ Committee	Gabriel Mola Moya	FIB president
	Lumbe Lambert	INERA
	Lunze Daniel	INERA
	Serge Kola	CTR-Finance
	George Mulumba	Energy
	Kapupu Diwa	REPALEF
	Bienvenu Ngoy	
	Jean Marie Badiata	Energy sector – biomass
	Freddy Lusambulu	Ministry for Decentralization
African Model Forests Network	Melie Monnerat	National Coordinator
Taicom Congo	Fausten Mohindu	Business development
LEAF	Catherine Muela Mikobi	Director General
	Florimond Tshioko	Regional Advisor, International Health Regulations
WESD Capital	George Bakali	Business development
CERAGRU	Francois Mbilo Bombate	Chief coordinator of projects
GERB	Luzayadio Lusasisu	Coordinator biomass energy
EU FLEGT	Emmanuel Heuse	Consultant
CSO focal meeting	Felicien Kabamba	GTCR
	Mtre Mpoyi	CODELT
	Jarline Kassanda	OCEAN
	Frederic Marie Dangali	AGIES
	Nene Mainzana	RCEN/GCTR
	Flory Bayengha	ODC
SNV	Xavier Castellvi	Counsellor, Renewable Energy
	Samuel Martin	Counsellor, Renewable Energy
	Laetitia Bonsange	Counsellor, Renewable Energy
	Sunda Mbago	Country Director
European Commission	Filippa Saracco	Charge Regional Foret et Environnement
Ministry of Agriculture	Alfred Kibangula Soyo	PARRSA Project
Embassy of Norway	Alida Endresen	Counsellor
Ministry of Gender, Family and Children	Mangu wa Kanika	National coordinator
Institute For Congolese Conservation of Nature (ICCN)	Cosma Wilungala	Director General
	Benjamin Balongelwa	Director for International Cooperation
	JJ Mapilanga	Director of Parks and Reserves
ICRAF	Apollinaire Biloso Moyene	National Coordinator
Trust Merchant Bank	Michael Demey	Business Development

	Rock Ngouoto	Credit Department
Federation of Forest Industries	Francoise Van de Ven	Secretary General
De-briefing of FIP evaluation	Victor Kabengele	FIP National Coordinator
DIAF (forest inventory)	Andre Kondjo	Chief of forestry inventory division
	Christophe Musampa	Chief of geoinformatics division
	Timothee Maizia	Technical
Ministry of Rural Development	Alain Huart	Institutional Expert and Advisor
FPM (Microfinance institution)	Amine el Ayoubi	Director General
KingKuba Capital	Raymond Loambo	
	Marcel Posthuma	
	Barthout van Slingelandt	
	Alain Buhendwa	
Jadora	Noah Herland Nick	Director, Reforestation and Social Development
Forest Peoples Program	Patrick Kipalu	Project Coordinator
	Nadia Mbanzidi	Legal Assistant
	Joelle Mukunga	Technical Assistant
National Assembly, Parliamentary Group on Environment, Climate Change and REDD+	Mobando Yogo Yves	National Assembly Member, National Deputy
Ministry of Environment, Conservation of Nature and Tourism	Mwananteba Ali Malanga Baba	Director of Cabinet
Ecovalue (former IFC)	Miriam Van Gool	
Ethiopia Country Visit (SREP)		
World Bank	Issa Diaw	Senior Power Engineer, Energy Group Africa Region
Ministry of Water and Energy	Minister Alemayehu Tegen	Minister MoWE
	Gosaye Mengeste	SREP focal point
	Sahle Tamiru	Senior Energy Specialist
Ministry of Finance and Economy Development	Admasu Nebebe,	
	Yasmin Wohabrebbi	Expert, International financial Institutions Cooperation directorate
	Zerihun Getu	Expert
Development Bank of Ethiopia	Esayas Bahire	President
UNDP	Samuel M.Bwalya	Country Director
	Kidanua Abera	CDM Capacity Development, Eastern & Southern Africa
Ethiopian Electric Power Corporation	Mulugeta Asaye	Aluto Geothermal Power Plant, Project Manager
Ethiopian Electric Power Corporation	Mulatu Azene	Asela Wind Farm, Project Manager
	Kebede Walelo	Wind Specialist
Geological Survey of Ethiopia	Hundie Melka	Chief Geologist
	Solomon Kebede	Director Geothermal Exploration/GSE
IFC	Adamu Labara	Resident Representative covering Ethiopia, Djibouti & Somalia

Environmental Protection Authority	Desalegn Mesfin	Deputy Director General/ Former SREP Ethiopia focal Point
Norway Embassy	Katrine Vestbostad	Counsellor/ Climate Change, Environment and Clean Energy
France AFD	Didier Grebert	Regional Manager
	Juliette Darlu	Project Officer
	Theo Cladiere	Project Officer
GIZ	Samson Atsbha	Energy Coordination Office Renewable Energy Technology Dpt. Head
	Alemayehu Zeleke	Energy Advisor
AFDB	Lamine Barow	Resident Representative
	Girma Mekuria	Senior energy Officer
EU	JeanBaptiste FAUVEL	Programme Manager ,Delegation of the European Union to Ethiopia
	Alemayehu Semunegus	Program Manager
UK DFID	Helen Bryer	Climate Change Adviser, Wealth Creation and Climate Change team
EPA	Desalegn Mesfin	Deputy Director General/ Former SREP Ethiopia focal Point
EthioDutch Business	Adane	General Manager
Dventus	Daniel Gizaw	CEO,President
	Zewge Alemu	Director of Business Development
Solar Association; Lidetco PLC	Dereje Walelegn	Chairman; General Manager
AlphaSol	Nebiou Solomon	General Manager
Japan Embassy	Kazuhiko Sasaki	Economic Division Second Secretary
	Daiduke Nananishi	Economic Division Second Secretary
Plan International	Fasil Tsegaye	Renewable Energy Program Manager at Plan International Ethiopia
Solar Energy Foundation Ethiopia	Samson Tsegaye	Country Representative
IFC	Pepukaye Bardouille	Senior Energy Specialist, Energy Access Lead IFC, Sustainable Business Advisory
	Arthur Itotia Njagi	Program Manager, Lighting Africa Advisory Service
	Alexios Pantelias	Clean Energy Global Product Lead Sustainable Advisory Services
Indonesia Country Visit (CTF)		
ADB-Indonesia Resident Mission	Mr. Edimon Ginting	Deputy Country Director
	Mr. Anthony Gill	Senior Country Specialist
	Mr. Jim Randle	ADB IRM Consultant
	Mr. Pradeep Tharakan	Energy Specialist (Climate Change)
	Mr. Yuki Inoue	Energy Analyst (Consultant)
	Mr. Tom Panella	Principal Water Resources Specialist
	Mr. Cahyadi Indrananto	External Relations Officer and NGO Anchor
	Ms. Naning Mardinia	Safeguards Officer (Resettlement)

World Bank	Ms. Anh Nguyet Pham	Senior Energy Specialist
	Mr. Muchsin Chasani Abdul Qadir	Consultant – Energy Specialist
Ministry of Forestry, Centre for International Cooperation	Mr. Teguh Rahardja	Deputy Director for Multilateral Affairs
	Mr. Trijatmiko	Head of Section
Ministry of Energy and Mineral Resources, Directorate General of New, Renewable Energy and Energy Conservation, Directorate of Geothermal	Mr. Ir. Sjaiful Ruchijat	Head of Sub Directorate for Geothermal Investment and Cooperation
	Mr. Yuniarto	Section Head of Geothermal Cooperation
Former MEMR official, Head of Sub Directorate for Geothermal Investment and Cooperation, DG New and Renewable Energy	Mr. Luluk Sumiarso	Independent consultant
Perusahaan Listrik Negara (PLN)	Mr. Anang Yahmadi	Senior Manager of Geothermal Energy
Ministry of Finance, Centre for Climate Change Financing and Multilateral Policy	Mr. Ramadhan Harisman	Deputy Director of Climate Change II
	Mr. Bara Ampera	Subdirector for Transportation Sector
National Council on Climate Change / Dewan Nasional Perubahan Iklim (DNPI)	Dr. Suzanty Sitorus	Secretary of Working Group on Finance
State Ministry of National Development Planning (BAPPENAS)	Mr. Antonaria	Head of Sub Directorate of Energy Resources and Institutional
PT Pertamina Geothermal Energy (PGE)	Mr. Adriansyah	President Director
	Mr. Narandra Widjajanto	Director, Finance, PGE
The Foundation of Indonesian Institute for Energy Economics (IIEE)	Mr. Bobby A. Tamaela Wattimena	Senior Research Associate
	Ms. Nataliawati Siahaan	Researcher
Indonesia Geothermal Association / Asosiasi Panasbumi Indonesia (API)	Mr. Abadi Poernomo	Chairman
Agence Française de Développement (AFD)	Mr. Vincent Rousset	Country Director
	Ms. Sophie Salomon	Senior Project Officer
Supreme Energy	Mr. Supramu Santosa	CEO
JICA	Mr. Juraku Masahiro	Power sector specialist
	Mr. Minoru Matsunoshita	Geothermal sector specialist
	Ms. Matsuura Kazuki	Project Formulation Advisor
KfW	Mr. Thorsten Schneider	Senior Sector Coordinator
	Ms. Reniza Handayani Syah	Senior Coordinator
IFC	Mr. Alejandro Perez	Senior Investment Officer, Infrastructure and Natural Resources, East Asia and Pacific Region
WWF Indonesia, Climate and Energy Program	Ms. Indra Sari Wardhani	Ring of Fire Coordinator
Department of Foreign Affairs and Trade, Australia (formerly AusAID)	Mr. David Hawes	Senior Infrastructure Adviser
	Mr. Paul Wright	Manager, Infrastructure
Debt Watch	Ms. Diana Goeltom	Director

Indonesia Country Visit (FIP)

Ministry of Forestry	Agus Sarsito	FIP focal for Indonesia
	Ms. Sri Murniningtyas	Head of the International Collaboration
Independent Consultant	Jim Davies	World Bank FIP consultant
Asian Development Bank	Ancha Srinivasan	Senior Climate Change Specialist
	Thuy Trang Dang	Climate Change Specialist
International Financial Corporation	Micheal Brody	East Asia Forestry Program
	Laura Gaensly	Operations Manager
Ministry of Forestry	Nur Marzapartin	FCPF Focal, REDD+ negotiator
GIZ FORCLIME	Helmut Dotzauer	Strategic Area Manager
	Heinz Terhorst	Strategic Area Manager
World Bank	Werner Knoxel	Senior Climate Change Specialist
	Paul Lemaistre	Forestry and Climate Change
	Gerhaerd Dietele	Advisor
	Tini Gumartini	Consultant, Environment Unit
Royal Norwegian Embassy	Joar Strand	Forestry and climate change counselor
Asian Development Bank RIM	Anthony Gill	Senior Country Specialist
	Edimon Ginting	Deputy Country Director
	Thomas Pannella	Water Resources Specialist
	Chaerani Meutia	Associate Project Analyst
	Dina Syarifa	Associate Program Analyst
UNOCID	Mr. Jyoti Mathur-Filipp	
	Ms. Homing Denduangrudee	
	Ms. Julia Hoeffmann	
EU	Giovanni Serritella	Counselor
	Ria Noviari Butabutar	Counselor
National Planning Agency (BAPPENAS)	Dr. Nur Hygiawati Rahayu	Head of Conservation and Environmental Services
DKN	Mr. Edi	DKN's Executive Director
	Ms. Paramita Iswari	DKN's Commission for Env.
	Dr. David	Member Chamber for Business Member of Academic Chamber; Professor of Forestry at the University of Pattimura, Ambon, the Moluccas
	Dr. Agus Kastanya	Member of DKN's Community Chamber; Head of AMAN of the Moluccas
	Mr. Yanes Balubun	
Ministry of Finance	Dr. Irfa Ampri	Vice Chairman Fiscal Policy Office
	Dr. Singgih Riphath	
Association of Indonesia Forestry Concessionaires	Mr. Purwadi Soeprihanto	Chairperson
Focal Group: CSOs/NGOs	Ms. Dewi Puspa	

Solodartitas Perempuan (Women's Solidarity), Aksi! for gender, social and ecological justice, Association for Community and Ecologically Based Law Reform (HuMa)	Ms. Titi Soentoro	
	Ms. Anggalia Putri	
AMAN	Mr. Abdon Nababan	Secretary General
	Mr. Hengki	Manager for REDD+ Program
Bank Information Center, debtWATCH Indonesia	Ms. Nadia Hadad	
	Ms. Diana Gulton	
National Climate Change Council	Mr. Agus Purnomo	Head of the Secretariat of DNPI
	Dr. Susanty Sitorus	
President's Monitoring and Delivery Unit (UKP4)	Mr. Heru Prasetyo	Deputy I Planning and International Relations
Sinamas	Mr. Canesio Munoz	Executive Director
DKN	Mr. Yanes Balubun	Member of DKN's Community Chamber; Head of AMAN of the Moluccas
Jamaica Country Visit (PPCR)		
Planning Institute of Jamaica - PIOJ	Barbara Scott	Director, External Cooperation Division
	Claire Bernard	Director, Sustainable Development and Regional Planning Division
	Hopeton Peterson	Project Manager, PPCR
Water Resources Authority - WRA	Basil Fernandez	Managing Director
	Shonel Dwyer	Hydrogeologist
	Jeffrey Marshall	Hydrogeologist
Environmental Foundation of Jamaica - EFJ	Karen McDonald Gayle	Chief Executive Officer
Commission of the European Union - EU	Pierre-Luc Vanhaeverbeke	Attaché, Project Manager: Infrastructure and Rural Development Section
Ministry of Agriculture and Fisheries - MoAF	Zuleikha Bohdan	Principal Director, Planning Policy and Development
	Georgia Marks-Doman	Agricultural Economist
Caribbean Institute of Media and Communications - CARIMAC	Livingston White	Lecturer, Researcher
	Olivia Bravo	Marketing Officer
Ministry of, Water, Lands, Environment and Climate Change – MoWLECC	Lionie Barnaby	Senior Director, Environmental Management Division
Meteorological Services	Jeffrey Spooner	Director
Small Business Association of Jamaica - SBAJ	Collette Campbell	General Manager
Rural Agriculture Development Authority – RADA	Cavell Francis-Rhiney	Senior Director, Product Marketing and Special Projects
Negril Area Environmental Protection Trust – NEPT	Simone Williams	Executive Director
National Environmental Planning Authority - NEPA	Anthony McKenzie	Director, Environmental Management & Conservation Division
	Sheries Simpson	Manager, Projects, Planning & Monitoring Branch

Communications consultant	Marie Protz	Kingston
Planning consultant	Alicia Hayman	Kingston
Office for Disaster Preparedness and Emergency Management – ODPEM	Karema Aikens-Mitchell	Senior Director, Mitigation, Planning and Research Division
	Merlon Brown	Regional Coordinator, Preparedness and Emergency Operations Division
	Leiska Powell	Planning Analyst, MP&R Div.
	Javan Morrison	Project Technical Assistant
	Christopher Gayle	Research Analyst
Kazakhstan Country Visit (CTF)		
EDRD	Bakhtyor Faiziev	Principal Banker Municipal & Environmental Infrastructure
	Xeniya Rogan	Associate Banker Power & Energy Utilities
	Jannet Heckman	Director, Kazakhstan
Holding Kacipkor	Yelena Zigangirova	Professor, Corporation Kasipkor Holding
UNDP Kazakhstan	Stanislav Kim	Head of Energy & Environment Department
CAEPCO – Central Asia Electric Power Corporation	Gulnara Artambayeva	Member of the Board of Directors, President of “CAPEC”, JSC
	Oleg Trofimov	Technical Director
	Andrey Kalinichev	The Head of production and technical department, “CAPEC”, JSC
Ministry of Environmental Protection of the Republic of Kazakhstan	Kerey Bekbergen	Deputy Director of Green Technology and Investments Department
	Berik Erbosynov	Senior Expert of Green Technology and Investments Department
	Nurzhan Mukayev	Senior Expert of Green Technology and Investments Department
ADB	Christopher T. Hnanguie	Country Economist
	Talgat Seitkazin	Energy Efficiency Expert
Ministry of Regional Development of the Republic of Kazakhstan	Askar Smankulov	Deputy Chairman of Construction and Housing Committee of MRD
	Olga Titova	Director of Housing and communal services Department of the Ministry of Regional Development
	Igor Alekseev	The Head of the Housing and communal services Department of Construction and Housing Committee of MRD
Pavlodarskiye teplovyie seti	Vitaliy Matveev	General director
	Vadim Kovalchuk	Chief Engineer
	Andrey Kalinichev	The Head of production and technical department, “CAPEC”, JSC
	Andrey Fursov	Deputy Director of IRON.TECHNIC company
Innovative Eurasian University of Pavlodar	Victor Melnick	Professor, Director, Energy Training Centre

AAOs “Orbita”	Igor Viktorovich	The Head of AAOs “Orbita”
LLP Practice of Energy Saving	Gomar Kashkenov	Director
	Vladimir Chuprynuik	The Head of AAOs “Communalshik Otau”
	Muhan Taukeev	Director of the Center of modernization and development, Pavlodar branch
Kazenergoekspertiza - KEE Pavlodar	Yershan Temirhanov	Director KEE Pavlodar
	Kabylbek Omarov	Expert, The Head of heating department
	Botabek Sultanov	Expert, The Head of department
Social Fund Decenta	Sergey Guliaev	General Director
JSC Service company “Skat”	Anatoly Kubahov	General Director
Ltd Center of Development of business and innovation	Aliya Tashkenova	Director
AAOs "Sokol-1"	Vladimir Chernov	The Head of AAOs “Sokol – 1”
Direction of Energy and Communal Service of Akimat of Pavlodar region (oblast)	Nurlan Mashrapov	Head of Energy department
		Member of the Council of experts of the Agency on regulations of natural monopolies (AREM), Pavlodar region branch
Mexico Country Visit (CTF)		
WWF Mexico	Jorge Alejandro Rickards-Guevara	Conservation Director
	Antonio Mediavilla-Sahagún	Low Emissions Development Leader
ITDP Mexico	Xavier Treviño Theesz	General Director
	Mariana Orozco Camacho	Coordinator of Project Management and Public Policy
	Salvador Medina Ramírez	Leader of Project Strategies to Reduce Use of Automobiles in Mexican Cities
IADB local office	Carlos David Martinez Dorantes	Senior Operations Analyst
CESPEDES	Luisa Manzanares P.	Senior Consultant
AEAEE	Ana Milena Avendaño Páez	Operations Manager (also, IDB Consultant for Ecocasa project)
IABD local office	Claudia Grayeb Bayata	Country Representative for Mexico
	Maria Tapia	Senior Financial Markets Officer
	Leticia Riquelme Arriola	Financial Markets Specialist
	Jeff Easum	Senior Investment Officer
SHCP	Gerardo González Ayala	Director of Financial Affairs with Latin America
	Jesus Gustavo Garza-Garcia	Deputy General Director of International Financial Organizations
	Silvia Rodriguez Díaz	Sub-Director
	Ana Daniela Torres Pelaez	IADB Projects Division
IIE	Angel Fierros	Director of Alternative Energy
SEMARNAT	Beatriz Bugeda Bernal	General Director of Climate Change Policy
	Luis Alfonso Muñozcano Alvarez	Deputy General Director of Climate Change Policy



	José Antonio Moreno	Deputy General Director of Analysis of Strategic Policy and Financing
	Jorge Arontes	Sub-Director of Financing
	Andreas Villar	Director of Mexican-German NAMA Program
GIZ local office	Jakob Graichen	Advisor to Climate Change Program
CEMDA	Mtra. Gabriela Niño	Coordinator for Public Policy
	Carlos Tornel Curzio	Analyst of Public Policy
SENER	Efraín Villanueva	General Director
	Claudia Hernández Esteva	Director of Renewable Energy
	Ernesto Bächtold	Director of Energy Transition
	Adrián Cordero Lovera	Sub-Director of Energy Sustainability
	Nacxiti Calva González	Head of Sustainability Department
CTS Embarq Mexico	Salvador Herrera	Deputy Executive Director
	Sebastián Varela Contador	Advisor, Transport
	Hilda Martínez	Manager, Air Quality and Climate Change
	Cynthia Ménendez	Coordinator, Air Quality and Climate Change
	Jorge Macias	Manager, Environmental Regulations and Economics
	Julián Patron	Analyst, Environmental Regulations and Economics
CFE	Ignacio Federico López De Alba	Sub-Manager
INECC	Andrés Flores	Director of Climate Change Research
	Gerardo Arroyo	Coordinator of Advisors
	Daniel Buira	General Coordinator of Climate Change and Low Carbon Development
	Julia Martínez	Coordinator of Climate Change Projects
Centro Mario Molina	Juan Carlos Belausteguigoitia	Executive Director
USAID	Gina Cady	Environment Officer
CONUEE	Odón de Buen	General Director
KfW local office	Ingrid Hahn	Project Coordinator
FIDE	Raúl Talán	General Director
	José Antonio Urteaga Dufour	Operations Sub-Director
	Jaime Arceo Castro	Technical Sub-Director
NAFIN	Enrique Nieto	Director of Sustainable Projects
	Jorge Muñoz	Project Administrator
	María del Rocio Custodio A.	Analyst of Projects Financed by International Organizations
SHF	Oscar Grajales	Director of Business Development
	Jorge Armando Guerrero Espinosa	Business Development
	Jorge Adrián Araujo González	Business Development
Transparencia Mexicana	Vania Montalvo	Coordinator of Climate Financing Integrity Program

	Mariluz Arranz	Staff of Climate Financing Integrity Program
IBRD local office	Guillermo Hernández González	Energy Specialist
	Juan Carlos Serrano Machorro	Financial Management Specialist
	Alexandra Ortiz Gómez	Sectoral Manager, Sustainable Development Department
CAM	Francisco Barnés	Executive Coordinator
LARCI	Adrián Fernández	Director
	Juan Carlos Arredondo Brun	Senior Consultant
CRE	Miguel Vargas González	Director, Electricity and Renewable Energies
AMDEE	Ing. Héctor J. Treviño	Executive Director
	Carlos Peralta Loera y Chávez	
	Mauricio Velasco	
CI Banco	José Gomez Santa Maria	Director of Sustainability
CISA and AMTM	Jesús Padilla Zenteno	General Director of CISA and President of AMTM
BANOBRAS	Carlos Mier y Terán Ordiales	Coordinator of Mass Transport Federal Program
	Francisco Quiñones Partida	Manager of Rail and Mass Transport Projects
	Francisco González Ortiz Mena	Director
SEDATU	Miguel Angel Horta Martin	Advisor of Sub-Secretary of Urban and Housing Development
Mexico Country Visit (FIP)		
Financiera Rural (Dirección Ejecutiva de Programas y Productos) (Dirección Ejecutiva de Finanzas)	María Teresa Cuadra García	Coordinador Operativo
	Fernando Atilio Torres Della Mea	Responsable de Asuntos Internacionales
	Jennifer Fernández Pineda	Responsable de Proyecto
	Francisco Antonio de Icaza Pro	Asesor Especializado de la DGAFO
Asesoría para el Manejo de Recursos Naturales en Prol de Desarrollo Sostenible (Ambio)	Elsa Esquivel Bazan	Representante Legal
Secretaría de Medio Ambiente e Recursos Naturales (SEMARNAT)	Javier Warman Diamant	Director General de Planeación y Evaluación
Fondo Mexicano para la Conservación de la Naturaleza (FMCN)	Juan Manuel Frausto Leyva	Director del Programa de Conservación de Bosques y Cuencas
Previous Conafor	Josefina Braña	(previous) director of climate change and negotiations
	José Carlos Fernández	(previous) Jefe de la Unidad de Asuntos Internacionales y Fomento Financiero
Servicios Ambientales de Oaxaca (SAO)	Gabriel Hernández Lopez	Coordinador Técnico
	Silverio Feo Lopez	Presidente Consejo Directivo
	Lopez Luna Calixto Genaro	Community member
Unidad de Asuntos Internacionales de Hacienda	Silvia Rodríguez Díaz	Subdirectora
	Gerardo Gonzalez Ayala	Director of Financial Affairs with LA
	Ana Daniela Torres Pelciez	Subdirección BID

	Jesus Gurza Gareia	Director General Adjunto de Organismos Internacionales
UNDP	Edgar Gonzalez	Development Programme Manager
USAid	Salvador Sánchez	Asesor en Recursos Naturales
IFC	Daniel San Roman Vera	Senior Investment Officer
	Carina Bauer	Investment Officer
(previous) Ecobanca	Luisa Montes	Director of Ecovalores; (previous) founder of Ecobanca
The World Bank	Alexandra Ortiz	Gerente Sectorial
	Guillermo Hernández	Especialista en Energia
	Katharina Siegmann	Especialista en Cambio Climatico
	Laurent Debroux	Sr. Environmental Specialist (previously posted in Mexico)
SAGARPA	Hilario Valenzuela Corrales	Director Adjunto
Vida	Karina Colin Yanez	Gerente Ambiental
	Maria del Carmen Duarte Nunez	
IDB	Gmelina Ramírez	Especialista en Cambio Climatico
	Jorge Hinojosa	Research fellow
CEMDA	Juan Carrillo Fuentes	
Climate Works	Adrian Fernandez Bremauntz	Director
	Juan Carlos Arredondo	Expert
LAIF - Proyecto Gobernanza local para REDD+	Sofía M García Sanchez	Coordinadora
CONAFOR	Sergio Graf	Coordinador General de Produccion y Productividad
	Berenice Hernandez	Directora de Financiamiento
	Ana Karla Perea	Directora de Negociacion y promocion comercial
Mexico-Noruega	Lucio Santos	Director de Proyecto
	Jose Maria Michel Fuentes	Official MRV
DEFINE	Rafael Franco de la Peza	Director
Jalisco Government	Maria Magdalena Ruiz Mejia	Secretario de Medio Ambiente y Desarrollo Territorial
	Bromio García Sierra	Director General Forestal y de Sustentabilidad
Alianza Mexico REDD+ TNC	Rane Cortez	Directora
FINDECA	Joan Lagos	
	Eduardo Juarez	
Secretaria de Hacienda y Credito Publico	Silvia Rodriguez Diaz	Sub-directora
	Isabel Lozano Santin	Director International Financial Institutions
Yucatán Government	Eduardo Batllori	Secretario de Desarrollo Urbano Y Medio Ambiente
	Roberto Vallejo	Director de Planeacion y Politicas para la Sustentabilidad
Campeche Government	Angelica Lara Perez-Rios	Responsible of the Environmental Policy Area, Legal Affairs

Quintana Roo Government	Jose Roch Vazquez	Coordinador del Grupo de trabajo REDD+, y del Fondo de Accion Climatica de la Peninsula Yucatan
Conabio	Armando Lara Villatoro	Coordinador Peninsular del LAIF
	Ulyses Huesca Tercero	Especialista en Yucatan
	Juan Manuel Mauricio Leguizamo	Coordinador regional de la Peninsula de Yucatan
	Salvador Anta Fonseca	Director General de Corredores Biologicos
TNC - Merida	Yves Pais Merino	Programme director
Pronatura - Merida	Maria Andrade Hernandez	Directora General
Nukuch Kaax	José Palomo Ku	Presidente del consejo directive
	Josefa Moreno Pili	Gender issues
Morocco Country Visit (CTF)		
Ministry of Economy and Finances (MEF)	Mr. Allal Totts	Chief of Division in Charge of Environment and Water
	Mrs. Dhif Malika	Head of Department
Department of Treasure and External Finance	Mr. Khaled Kenzi	Officer in charge of AfDB Projects
	Mr. Yassir Abderazak	Officer in charge of WB Projects
Moroccan Agency for Solar Energy (MASEN)	Mr. Mustapha Bakkoury	CEO
	Mrs. Dayae Oudghiri	Advisor to the CEO
ACWA Power	Mr. Derraji	CEO
	Mr. Ramesh Moutasouabe	Performance Financial Director
	Mr. Hassan Chjiri	Finance Manager
European Investment Bank (EIB)	Guido Prudhomme	Head of Office
National Agency for Renewable Energy and Energy Efficiency (ADEREE)	Mr. Said Mouline	President
	Mr. Mohammed Dakkina	Advisor to President of ADEREE
Agence Française de Développement (Afd)	Mohamed Sahri	Project Manager
German Development Bank (KfW)	Mr. Jan Schilling	Head of Climate and Environment
	Mr. Thomas M. Adams	Project Manager MENA Climate and Environment
	Ms. Lea Baumgart	Energy Project Assistant
Office National de l'Electricité et de l'Eau Potable (ONEE)	Mr. Mohammed Fait	Head of Project Financing
	Mrs. Imane Bahjou	Head of Hydro Energy program
	Mrs. Lobna Farabi	Head of ONEE Wind Program
	Mr. El Bayed	In charge of the STEP (Storage)
	Dr. Abdelhaquim El Noussaou -	In charge of the PV Project of Tafilalet (small off grid plants)
Nareva Holding	Mr. Reda Znaidi	Business Development Manager
	Mr. Adil Khamis	Corporate Director / Strategy & Business Development
	Mr. Mohamed Sajid	Chief Financial Officer
European Union Delegation in Rabat	Mr. Maxime La Tella	Program Manager in charge of Energy and Infrastructures
	Mr. Hassane Belguenani	Program Manager in charge of Water and

		Sanitation
African Development Bank (AfdB)	Adama Moussa	Senior Power Engineer
Province of Ouarzazate	Mr. Saleh Ben Itto	Governor of the Ouarzazate Province
	Mr. Moulay Abderrahman Drissi	Mayor of the Ouarzazate City
ROSA NGO	Mrs. Hassania Kanoubi	Founder
Attijari Wafabank	Mr. Nabil Kadiri	Head of Project Finance
	Mr. Youssef Rouissi	Vice Executive Director
	Mrs. Nouffissa Kessar Raji	Executive Director
Ministry of Energy and Mining	Mr. Abderrahim El Hafidi	Head of Electricity and RE
REDMED Finance	Mr. Abdeslam Ababou	Chairman
	Mr. Ali Ait Mansour	Project Manager
World Bank	Mr. Manaf Touati	Energy Specialist
Grand Ouarzazate Foundation (NGO)	Mr. Abdessadek El Alem-	Founder and Managing Director
Ministry of General Affairs	Mrs. Sabah Bencheqroun	CTF Focal Point and Head of Cooperation with WB under the Prime Minister
	Dr.Hanane Touzani	CTF Assistant Focal Point and Project Manager under The Prime Minister
BTZ Energy	Mr. Hicham Boutznari	Founder and CEO
Mozambique Country Visit (PPCR)		
PPCR Focal Points, NDP and MICOA/CONDES	Guilhermina Amurane	PPCR focal point
	Xavier Chavana	PPCR focal point
World Bank	Ross Hughes	Senior CC Specialist
IFC	Katia Daude	Investment Officer responsible for PPCR
	Anthony Mills	IFC Consultant (Cape Town)
African Development Bank (AfDB)	Cesar Tique	Senior Agric and Rural Dev Specialist AfDB
IIAM – Agronomic Investigation Institute	Fernanda Gomes	
MPD - Directorate of Planning	Momad Piaraly Jutha	National Director
MINAG – Min of Agriculture, Agrarian Services	Mohamed Vala	National Director of Agrarian Services
SETSAN - Technical Secretariat for Food Security & Nutrition, MINAG	Lucia Luciano	Economia
	Inacio Nhandale	Department of Agriculture Extension
	Marcela Libombo	Director of National Secretariat of Food Security and Nutrition
Japanese Embassy	Abe Itsuroh	Coordinator for Economic Cooperation
Ministry of Transport and Communications	Ambrósio Adolfo Siteo	National Director - Directorate of Studies and Projects
MICOA - Ministry of Coordination of Environmental Affairs	Telma Manjate	National Director of Cooperation
DNA – National Directorate of Water	Suzana Saranga Loforte	Water and Environmental Manager - National Director
	Luis Almeida	
	Egidio Govate	

	José Malanço	
Roads Fund and National Roads Administration (ANE)	Emília Tembe	ANE
	Baptista de Melo	Director of Monitoring and Evaluation Roads Fund
Provincial Directorate of Planning and Finances, Gaza Province	Feliciano Mucavele	Provincial Deputy Director of Planning and Finance
	Sr. Chambule	focal point for climate change
	Luis Joaquim Vicente	Provincial Director Public Works and Housing (PDPWH)
	Armando Tchumbule	PDPWH
Provincial Directorate of Public Works and Housing (Roads and water), Gaza Province	Ernesto Correia	National Administration of Roads (ANE Gaza)
	António Bulha	PD Water and Sanitation
	Manuel Figueiredo	PDPWH
INGC, Gaza Province	Manuel Maxaieie	Provincial Delegate
Provincial Directorate of Agriculture, Gaza Province	Raquel Odília	Finances
	Anâncio Augusto	Technical Department
Baixo Limpopo Irrigation Scheme	Ernesto Paulo	Provincial Director of Agriculture
	Faustino Chuma	Head of Agriculture Services
	Armando M. Ussivane	Chair
	Regadio Do Baixo Limpopo	Public Enterprise
Instituto Nacional de Metereologia	Atanásio Manhique	Deputy National Director On Metereology Institute
	Anacleto Duvane	PPCR focal point at INAM
Climate Change Civil Society Platform	Iolanda	Deputy pres. Of CC platform
	Maria Helena	President of CMA (Moz. Community Aid)
	Domingos Pangueia	Livaningo
	Zinercio	Kulima
Academia de Ciências de Moçambique	Prof. Boaventura Cuamba	Chair - Committee on Climate Knowledge Centre - National Academy of Science
MICOA –Sede at CONDES	Guilhermina Amurane	PPCR Focal Point (mtg #2)
DFID	Rita Zacarias	CC and WASH Advisor
GIZ	Eric Salas	Climate Change Unit Advisor
INGC	João Ribeiro	General Director National Institute for Disaster Management
Confederação das Associações Económicas de Moçambique -CTA	Hipolito Hamela	Executive Director
UNDP	Nadia Vaz	Head of Crisis Prevention Response & Environment Unit
MINAG - Ministry of Agriculture (National Directorate for Agrarian Services)	Mohamed Vala	DNSA
Nepal Country Visit (PPCR)		
Ministry of Finance (MOF)	Mr. Kailash Pokharel	Under Secretary, International Economic Cooperation Coordination Division (IECCD)
	Mr. Bhuban Karki	Under Secretary, Environment , IECCD

Ministry of Science Technology and Environment (MoSTE),	Mr. Prakash Mathema,	Joint Secretary (Technical) Chief, Climate Change Management Division, Chair of LCD Group at UNFCCC,
Climate Change Management Division, MOSTE	Mr. Hari Kumar Shrestha	JS and PPCR National Focal Point
Climate Change Program Coordinating Committee, Chaired by MOSTE	En. Akhanda Sharma,	Climate Change Program Coordinating Committee
	Mr. Mohan Wagley	Project Management Specialist – ADB Project: Mainstreaming CC Risk Management in Development
National Planning Commission (NPC)	Mr. Gopi Nath Mainali,	Joint Secretary (JS)
	Mr. Manahari Khadka	Program Director (Under Secretary)
Department of Hydrology and Meteorology (DHM)	Dr. Rishi Ram Sharma	DG
	Mr. Gautam Rajkarnikar	Deputy DG, involved in SPCR IP2
Department of Irrigation (DOI), Ministry of Irrigation (MOI)	Mr. Madhab Belbase	Deputy DG, DOI
Department of Roads (DOR)	Mr. Rabindra Nath Shrestha	DDG, DOR, involved in SPCR IP3
Department of Soil Conservation & Watershed Management (DSCWM) in the Ministry of Forests and Soil Conservation	Dr. Jagan Nath Joshi	Project Manager , Building Climate Resilience of Watersheds in Mountain EcoRegions, SPCR IP1
World Bank (WB) – Nepal Office	Ms. Stephanie Borsboom	Operations Officer-PPCR
	Anil Pokharel	DRM Specialist
International Centre for Integrated Mountain Development (ICIMOD)	Dr. S. M. Wahid	Senior Hydrologist, Water and Hazards; Water & Air theme, River Basin Management theme; supported by DFID
Danish International Development Agency (DANIDA)	Mr. Shiva Sharma Paudel	
Ministry of Physical Planning and Works (MPPW)	En. Binod Chandra Jha	JS, Planning, Monitoring, Foreign Aid Coordination, Capacity Building
Ministry of Agricultural Development (MOAD)	Mr. Rajendra Adhikari, JS,	JS
	Mr. Shib Nandan Prasad Shah	Project Director, Building Resilience to Climate Change Hazards - Ag MIS, PPCR IP2
Department of Water-Induced Disaster Prevention (DWIDP), Ministry of Irrigation	Mr. Pradip Raj Pande	DG, DWIDP, involved in SPCR IP3
Department of Water Supply and Sewerage (DWSS) of the Ministry of Urban Development	Mr. Ram Chandra Devkota	DDG, DWSS, involved in SPCR IP3
ADB-Nepal	Mr. Depak Singh	MNR-focus; CCA-focus, ADB -SRCR liaison in Kathmandu
Department of Local Infrastructure Development and Agricultural Roads (DOLIDAR), Ministry of Federal Affairs and Local Development (MOFALD)	Mr. Bhim P. Upadhaya	DDG, DOLIDAR
CARE Nepal	Mr. Chiranjibi Adhikari	Coordinator, NRM & Livelihoods
Institute for Social and Environmental Transition-Nepal (ISET-N)	Mr. Ajay Dixit	External reviewer of the SPCR

CDKN Nepal National Engagement Coordinator	Mr. Ram Chandra Khanal	Nepal Coordinator, CDKN
National Association of Village Development Committee - NAVIN	Mr. Parshuram Upadhyay	Executive Director
	Mr. Pradip Paudel,	Program Expert (Env, CC and RE) ,Kamaladi, Ganesh Mandir
Individual	Mr. Batu Krishna Uprety	Expert Member of CC Council, Vice Chair LDC Expert Group to UNFCCC, Deputy Coordinator, LDC Coordination Group, Member of the CCCI Advisory Committee, and ex-Joint Secretary and Chief of Climate Change Division, Ministry of Environment
Ministry of Forests and Soil Conservation - MOFSC	Mr. Krishna Prasad Acharya	Joint Secretary, Chief of Planning Division, housing SPCR IP3 and the DFID-funded MSFP project
Federation of Nepalese Chambers of Commerce and Industry (FNCCI)	Mr. Hemant Dawadi	DG
	Mr. Anup Kumar Shrestha	Asst. Director
	Dr Uttam Kunwar	Project Manager, EE Centre
Private Sector	Mr. Anand Bagaria	Managing Director of Probiotech Industries, Nimbus, involved in SPCR IP4
Individual	Mr. Padam Hamal	NGO member of CC Council (of Nepal), Chair of Neo-Nepal
Finnish Aid Program	Dr. Chudamani Joshi,	Program Coordinator, Forestry, funding the MSFP program, along with DFID and SDC
WWF Nepal	Mr. Ghana Shyam Gurung	Conservation Program Director, and Ugan Manandhar, Manager, Climate Change program, involved in SPCR IP5
Clean Energy Nepal - CEN	Mr. Manjeet Dhakal	CEN media/journalist
	Ramesh Bhushal	CEN media/journalist
Federation of Community Forestry Users Nepal - FECOFUN	Ms Apsara Chapagain,	Chairperson
	Ms Bharati Pathak	Treasurer
Nepal Trust for Nature Conservation - NTNC	Dr Siddhartha Bajracharya	Program Director - Mountain Environment
Individual	Ms Meena Khanal	Ex-PPCR Focal Point & ex-Joint Secretary, Ministry of Environment
UNDP-Nepal	Mr. Vijaya Singh	Assistant Country Director, Env, Energy and CC Unit, and Ms Shanti Karanjit, CC Policy Analyst; UNDP collaborates with DFID in NCCSP program
Department for International Development (DFID) - Nepal	Ms. Sabita Thapa	Climate Change and NRM Advisor, DFID
Individual	Dr Dinesh Chandra Devkota	IDS Nepal; ex-Vice Chairman and former Member of National Planning Commission looking after Environment and climate change activities
Practical Action, on contract to IFC	Mr. Gehendra Gurung	Head of Programs, DRR & Climate Change, involved in SPCR IP4
IFC-Nepal	Ms Anupa Pant	Associate Operations Officer, SPCR IP 4
Ministry of Forests and Soil Conservation	Mr. Ram Prasad Lamsal	National Program Coordinator, Multi-Stakeholder Forestry Program (MSFP) (partially DFID funded)

Nepal Country Visit (SREP)		
Ministry of Finance (MOF)	Mr. Kailash Pokharel	Under Secretary
	Mr. Bhuban Karki	Under Secretary
Ministry of Science Technology and Environment (MoSTE)	Mr. Prakash Mathema	JS (Tech), Chief, Climate Change Management Division
Climate Change Program Coordinating Committee	Mr. Hari Kumar Shrestha	Joint Secretary
	Mr. Akhanda Sharma	Senior Divisional Engineer, CCMD, CDM Section
	Mr. Arjun Thapa	
	Mr. Mohan P. Wagley	Project Management Specialist
National Planning Commission (NPC)	Mr. Manahari Khadka	Programme Director (Under Secretary)
Practical Action	Mr. Vishwa Bhushan	Head of Programme-Energy
	Mr. Tapas Neupane	Project Development Officer, Energy Water & Sanitation
One Planet Solution	Mr. Suman Shakya	Managing Director
Alternative Energy Promotion Centre (AEPC)	Mr. Madhusudan Adhikari	National Adv, Community Electrification Component
	Mr. Samir Thapa	Programme Manager, Biogas Sub-Component
SNV Netherlands Development Organization	Mr. Saroj Rai	Senior Renewable Energy Advisor
	Mr. Guy Dekelver	Sector Leader Renewable Energy
Nepal Biogas Promotion Association (NBPA)	Mr. Bishnu Belbase	Executive Director
	Mr. Marijn Zandee	Development Advisor, GIZ
International Finance Corporation (IFC)	Mr. Pavol Vajda	Sr. Operations Officer, Sustainable Energy & Water Finance
	Mr. Ashish Shrestha	Operations Analyst
World Bank	Ms. Sunita Gurung	
	Mr. Rabin Shrestha	Senior Energy Specialist
DANIDA	Mr. Shiv Sharma Paudyal	Senior Programme Officer
	Ms. Ingrid Dahl-Madsen	First Secretary
Solar Electric Manufacturers' Association of Nepal (SEMEN)	Mr. Yug Tamrakar	Patron
	Mr. Sailesh K.C	Managing Director, Kathmandu Power Company
	Mr. Ram Gaire	Executive Officer, SEMAN
	Mr. Nabin Bhujel	Executive Director, Suryodaya Urja Pvt. Ltd.
	Mr. Indra Khanal	Treasurer SEMAN; Director Urja Ghar Pvt. Ltd.
Everest Bank	Mr. H.P. Kulkarni	Dy. General Manager
	Mr. Sukra Gautam	Head- Treasury
Nepal Electricity Authority	Mr. Lava Bahadur Ghimire	Officiating Managing Director
	Er. Hara Raj Neupane	Manager
	Mr. Rajiv Sharma	Project Director
	Mr. Subhash Dahal	Director
	Mr. Surendra Rajbhandari	Director, Corporate Planning & Monitoring Dept.
Bank of Kathmandu	Mr. Dipen Man Singh	Incharge: Development Credit Unit

	Pradhan	
Asian Development Bank (ADB)	Mr. Priyantha Wijayatunga	Unit Head, Portfolio Management Unit
	Mr. Dan Millison	Manager, Transcendery, L.L.C.
ACE Development Bank	Mr. Suyog Shrestha	Acting Chief Executive Officer
Ministry of Energy	Mr. Jeebachh Mandal	Senior Divisional Engineer (Under Secretary)
Department of Electricity Development in Ministry of Energy	Mr. Gokarna Raj Pantha	Senior Divisional Engineer (Hydropower)
	Mr. Sudesh Malla	Deputy Director General
	Mr. Sagar Gautam	Senior Division Manager
Field Trip to SINDHULI to see micro-hydro, solar PV and biogas.	Mr. Ram Gaire	Executive Officer SEMAN
Norwegian Agency for Development Cooperation (NORAD)	Mr. Bivek Chapagain	Energy Adviser
	Mr. Vognild	Inge Harald, First Secretary
United Nation Development Programme (UNDP)	Ms. Anupa Rimal Lamichhane	Environment, Energy & Climate Change Unit
Alternative Energy Promotion Centre (AEPC)	Prof. Dr. Govind Raj Pokharel	Executive Director
	Mr. Kjartan Gullbra	Int'l Senior Technical Advisor
	Mr. Ram Prasad Dhital	Program Manager, Solar Energy Sub Component
	Mr. Raju Laudari	Assistant Director/ Climate & Carbon Manager
Group meeting with NGOs: Winrock International and Renewable Energy World.	Ms. Karuna Sharma	Senior Programme Officer, Winrock
	Ms. Helen Stoves	Researcher, RE World
eeenergys, Designer/Consultant to AEPC/ADB	Mr. Amrit Singh Thapa	Owner
Independent Power Producer Association of Nepal (IPPAN)	Mr. Subarna Das Shrestha	President
Foreign Investor: International Solar Project Developer	Mr. Andy Moon	
Turkey Country Visit (CTF)		
UNDP	Dr. Katalin Zaim	Programme Manager, Environmental and Sustainable Development
Technology Development Foundation of Turkey	Ms. Ferda Ulutas	Coordinator, Environmental Products Group
Ministry of Energy and Natural Resources, General Directorate for EU and Foreign Relations	Mr. Ali Murat Becerikli	Head of EU and International Financial Institutions Department
International Finance Corporation	Mr. Martin Dasek	Climate Solutions Financing Specialist
	Mr. Kudret Akgun	Principal Investment Officer
Akbank	Mr. Halit Saricali	Foreign Borrowings Manager
	Mr. Kemal Savtekin	Commercial Banking BD Manager
EBRD	Mr. Adonai Herrera-Martinez	Principal Manager, EE and Climate Change
	Ms. Anyur Dincer	Senior Banker
Is Leasing	Mr. Onan Keleş	Tresury and FI Manager
	Mr. Serkan Sirak	Credit Assistant Manager

Agence Francaise de Development (AFD)	Ms. Laetitia Dufay	Deputy Director
YapiKredi Bank	Mr. Kagan Aktan	Vice President
YapiKredi Leasing	Mr. Zeynep Kucukoner	Manager, Treasury and Foreign Relations
	Mr. Nur Ozsoy	Director, Treasury and Foreign Relations
Is bank	Ms. Sule Akalin	Unit Manager
	Mr. Bugra Avci	Unit Manager, Derivatives and Structured Finance
Deniz Bank	Ms. Zeynep Surmen	Snr Vice President, Structured Finance
	Ms. Sule Seda Ekinci	Vice President, Commercial Banking Sales
	Mr. Kaan Kuzucuk	Vice President, Marketing Product Management
TSKB	Mr. Burak Akguc	Executive Vice President, Corporate Banking
	Ms. Sirma Tunali	Manager, FI Department
	Ms. Hulya Kurt	Head of Engineering
Turkish Electricity Transmission Co. (TEIAS)	Mr. Enver Erkul	Head of Research Planning and Coordination Department
TKB	Ms. Sati Balci	Head of Loan Evaluation Department
	Ms. Ender Dincer	Manager, Loan Evaluation Department
Ministry of Energy and Natural Resources, General Directorate of Renewable Energy	Mr. Erdal Calikoglu	Deputy General Director
General Directorate of Renewable Energy	Mr. Yusuf Yazar	General Manager
	Mr. Sebahattin Oz	Head of Renewable Energy Resources
	Mr. Halil Ibrahim Gundogan	Head of Energy Efficiency Department
Ministry of Science, Industry and Technology, Directorate General for Industry	Mr. Mithat Kaya	Head of Department
OSTIM Organized Industrial Region	Ms. PinarYalman	Cluster Coordinator, Renewable Energy & Environmental Technologies Cluster
Ineo Consultancy	Mr. Altan Kucukcinar	General Manager
Energy Managers Association (EYDER)	Mr. Naci Isikli	President
Venesco	Mr. Arif Kunar	General Manager
World Bank	Mr. Florian Fichtl	Lead Operations Officer
	Ms. Esra Arikan	Environmental Specialist
Ministry of Environment and Urbanization	Mr. Gürcan Seçgel	Head of Department of Climate Change
World Energy Council	Mr. Süreyya Yücel Özden	Chairman of Executive Board
Yesil Guc Energy and Environmental Consultancy	Ms. Tülin Keskin	CEO
Delegation of the European Union of Turkey	Ms. Cigdem Coygun	Sector Manager, Environment and Infrastructure
	Mr. Alper Acar	Sector Manager, Environment and Climate Change
	Mr. Hasan Ozkoc	Sector Manager, Energy and Information Society

Small & Medium Enterprises Development Organisation (KOSGEB)	Mr. Neriman Pinar Isin	Director
The Gold Standard Foundation	Ms. Bahar Ubay Guclusoy	Regional Manager
Ministry of Treasury	Ms. Gökben Yener	Head of World Bank Projects
Regional Environmental Center	Mr. Rifat Unal Sayman	Deputy Director

Annex R: List of Documents Consulted

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http://www.careclimatechange.org/files/adaptation/CARE_CVCAHandbook.pdf.

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http://www.careclimatechange.org/files/toolkit/CARE_Integration_Toolkit.pdf. Central Statistical Agency [Ethiopia] and ICF International (2012), Ethiopia Demographic and Health Survey 2011. Addis Ababa, Ethiopia and Calverton, Maryland, USA: Central Statistical Agency and ICF International.

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