Evaluation of the Climate Investment Funds' Programmatic Approach

Final Report and Management Response

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Acronyms and Abbreviations

AU	Administrative Unit
ADB	Asian Development Bank
AfDB	African Development Bank
CCM	Country coordination mechanism
CIF	Climate Investment Funds
CSO	Civil society organization
CTF	Clean Technology Fund
DPSP	Dedicated Private Sector Program
E&L	Evaluation and Learning
EBRD	European Bank for Reconstruction and Development
FIP	Forest Investment Program
GCF	Green Climate Fund
GEF	Global Environment Facility
ICCS	Interim Climate Change Secretariat (Government of Zambia)
IDB	Inter-American Development Bank
IFC	International Finance Corporation
IP	Investment plan
IPPG	Investment plan preparation grant
ISL	Information sharing and lessons learning
M&R	Monitoring and reporting
MDB	Multilateral development bank
NAP	National Adaptation Plan
NDC	Nationally determined contribution
NGO	Non-governmental organization
PIS	Project Information System
PPCR	Pilot Program for Climate Resilience
PSSA	Private sector set-aside
REDD	Reduce emissions from deforestation and forest degradation
SCF	Strategic Climate Fund
SPCR	Strategic Program for Climate Resilience
SREP	Scaling Up Renewable Energy in Low Income Countries Program
TA	Technical assistance
TFC	Trust Fund Committee
UN	United Nations
UNFCCC	United Nations Framework Convention on Climate Change

All monetary amounts in the report are in U.S. dollars (US$).

Executive Summary

Introduction

The programmatic approach is part of the original design of the Climate Investment Funds (CIF) and remains its main modality of delivery in all four of its programs: the Clean Technology Fund (CTF), Pilot Program for Climate Resilience (PPCR), Forest Investment Program (FIP), and Scaling Up Renewable Energy in Low Income Countries Program (SREP). The CIF's programmatic approach is often cited as one of its distinctive features and comparative advantages.

The purpose of this evaluation is to understand the concept of the CIF programmatic approach and how it has been applied, and assess the outcomes from the use of the programmatic approach. It aims to inform enhancements to the programmatic approach in CIF recipient countries and identify good practice examples and lessons learned for the benefit of other climate finance mechanisms.

The evaluation was commissioned as part of the CIF Evaluation and Learning (E&L) Initiative to align with its priority learning theme on CIF design and approach, and is complementary to other themes, including on transformational change. Although assessing the progress of CIF pilot countries toward transformational change was beyond the scope of this evaluation, a separate set of E&L Initiative activities will build on the findings of this evaluation to more fully explore potential linkages between the programmatic approach and transformational impact.

The evaluation took a theory-based approach, beginning with a retrospective analysis to develop a theory of change for the programmatic approach. The evaluation draws on evidence from eight country case studies and ten additional lighter-touch country studies, as well as from literature review, portfolio analysis, key informant interviews, and a survey administered to the full CIF stakeholder community.

Understanding the programmatic approach

The history of the CIF's programmatic approach

The programmatic approach is one of the core design elements of the CIF and is seen as integral to the CIF's ambition to achieve transformational change. The CIF was the first climate fund to use a programmatic national investment planning approach as its primary delivery modality. The CIF's choice to use a programmatic approach at the country level was partially motivated by the global aid effectiveness agenda that spurred on program-based approaches in the wider development cooperation community during this time, as well as by relevant lessons that were coming out of the Global Environment Facility's (GEF) experience. In response to concerns around the project-by-project modality, development cooperation agencies were beginning to use program-based approaches to bolster coordination, maximize impact, and strengthen national ownership. The CIF's programmatic approach emphasizes similar features to these, as shown in Table ES-1 below, but also includes some ambitious features that go beyond what is traditionally understood to be a program-based approach, such as the use of multi-stakeholder consultation processes and country mechanisms to coordinate the program.

Early CIF operational guidelines focused on the use of a programmatic approach in the investment planning phase—to prepare country investment plans (IPs) for the CTF, FIP, and SREP, and Strategic Programs for Climate Resilience (SPCRs) for the PPCR. Country IP/SPCR preparation would be country-led, supported by cooperation among multilateral development banks (MDBs) through joint planning missions and informed by broad stakeholder consultation processes.

As more IPs/SPCRs were endorsed and moved into the project implementation phase, CIF stakeholders recognized and responded to the risk that expected programmatic impact would not be achieved if the programmatic approach was not supported through continued engagement. In response, in 2012, the Joint Meeting of the CTF and Strategic Climate Fund (SCF) Trust Fund Committees (TFC) called for measures to reinforce the programmatic approach in the project implementation phase, across all CIF programs. These were: establishing or strengthening country coordination mechanisms; strengthening country-level MDB partnerships; improving collaboration among country stakeholders; and approving a multi-year country programming budget to provide relevant support to country-level activities. Guidance also was issued to clarify roles and responsibilities for country government focal points, "lead" MDBs, and the CIF Administrative Unit (AU) in maintaining a programmatic approach during the project implementation phase.

To complement the country-driven IP/SPCR programmatic approach model, and channel funds specifically to private sector investments, in 2013 the CIF also launched dedicated private sector windows—CTF's Dedicated Private Sector Programs (DPSPs) and SCF's Private Sector Set-Aside (PSSA)—which employ some features of the programmatic approach, as described in Box ES-1 below.

Key features, expectations, and costs of the CIF's programmatic approach

The CIF's programmatic approach encompasses the development and implementation of a country-led investment plan—supported by MDB collaboration, informed by multi-stakeholder consultation, and associated with a predictable and flexible resource envelope—that sets out strategically linked investments, unified by a transformative vision. Other important features of the programmatic approach vary by CIF program. For the SCF programs, and PPCR in particular, the identification and use of an institutional structure to coordinate the country program is a key element. Results measurement at the program level, regular stakeholder review meetings, and knowledge and learning activities at the country program level are seen as key features of the programmatic approach in PPCR and FIP. Support for additional readiness activities is a particularly prominent feature in the PPCR, with its larger SPCR preparation grant, but also features in FIP and SREP. Some features are designed for the investment planning phase (i.e., leading up to the endorsement of the IP/SPCR), some are designed for the project implementation phase (i.e., after the endorsement of the IP/SPCR), and some are relevant for both, as shown in Table ES-1 below.

Table ES-1: Key features of the CIF's programmatic approach by program

	Investment Planning (P) and/or Project Implementation (I) Phase	CTF	PPCR	FIP	SREP
A country investment plan that is:					
Developed through country **government leadership**	**P**	✓	✓	✓	✓
Informed by **multi-stakeholder consultation**	**P**	✓	✓	✓	✓
Supported by **MDB coordination**	**P,I**	✓	✓	✓	✓
Associated with a **scaled up, predictable, and flexible resource envelope**	**P,I**	✓	✓	✓	✓
Comprised of **strategically linked investments**, unified by a transformative vision	**P,I**	✓	✓	✓	✓
Supported by **readiness activities** (e.g., policy reform, capacity building, analysis, awareness raising)	**P,I**	–	✓	✓	✓
Inclusive of cross-project **knowledge and learning** activities	**P,I**	†	✓	✓	✓
Coordinated by a government institutional structure ("**country coordination mechanism**")	**I**	†	✓	✓	†
Reviewed annually or biannually by stakeholders	**I**	†	✓	✓	†
Monitored annually at the country program level	**I**	–	✓	✓	–

✓ denotes features that are understood from both documentation and practice
† denotes features that are implied in documentation, but not followed in practice
– denotes features that are not considered to be part of the programmatic approach for specific programs, but could be supported through other CIF activities (e.g., through investment projects)

The CIF designed its programmatic approach to be more effective than a project-by-project approach, contributing to outcomes that could support the CIF's goal of achieving transformational change. The programmatic approach was expected to help activate or reinforce some of the dimensions of transformational change—relevance, scaling, systemic change, and sustainability, as well as the transformative implementation pathways—such as governance and engagement, institutions, financing, policies, and knowledge.[1] The evaluation identified five main types of expected outcomes from the use of the CIF's programmatic approach: synergistic benefits or results that go above and beyond individual project results; government ownership, institutions, processes, or policies strengthened; partnerships with non-governmental stakeholders strengthened; other climate investment scaled up or influenced; and programmatic learning enhanced across CIF-funded projects.

[1] As described in the working theory of change for transformational change, as developed by the Phase 1 CIF Transformational Change Learning Partnership.

Using a programmatic approach has cost an estimated approximately $84 million over the lifetime of the CIF,[2] or approximately 1 percent of endorsed funding overall. Costs have been lowest in the CTF, representing just 0.1 percent of endorsed funding, and highest in the PPCR at 4.2 percent. FIP and SREP costs for the programmatic approach range from 2 to 3 percent. Some investment projects also include related costs to support the programmatic approach (e.g., funding to support a country coordination mechanism).[3]

The large majority of resources used for the programmatic approach has been directed at the IP/SPCR preparation phase for the PPCR, FIP, and SREP. Dedicated resources to sustain the programmatic approach in implementation have been limited. Although an expanded country programming budget was introduced to help support continued programmatic engagement after IP/SPCR endorsement, the large majority of these resources have been used to support IP/SPCR preparation. Less than 15 percent ($1.6 million) of the country programming resources allocated in fiscal years 2015–17 were used for activities to support a programmatic approach during implementation.

BOX ES-1: PROGRAMMATIC FEATURES OF THE CIF'S DEDICATED PRIVATE SECTOR WINDOWS

The DPSPs have utilized a programmatic approach in the sense that the project pipelines were developed through joint MDB planning and oriented around thematic, technology-focused priorities such as geo-thermal energy or energy-efficiency. This process offered the important advantage of enabling support to investments that address current market conditions, without going through the IP revision process. But mechanisms have not been put in place to support programmatic coordination or exchange within those thematic areas—with the notable exception of the CIF-funded geothermal dialogues that bridges CTF's IP-channeled funding and DPSP. The PSSA increased the volume of private sector engagement in the SCF, but showed fewer benefits from a programmatic perspective, owing primarily to its design. The project pipeline was developed competitively, which detracted from the programmatic principle of MDB cooperation. Learning from these lessons, the CIF designed new private sector windows for the PPCR and SREP that are awaiting funding approval.

The programmatic approach: application and outcomes

How the programmatic approach has been interpreted and applied has varied among the four CIF programs, given the guidance and resources provided, and the nature of the programs themselves. In the **CTF**, it has focused on business planning for scaled up and predictable resources and better public-private sector linkages. In the **PPCR**, the programmatic approach has been fully intertwined with the PPCR's objectives; the use of this approach recognizes the necessity of cross-sectoral, mainstreaming approaches to address climate risk and achieve sustainable development outcomes. In the **FIP**, the programmatic approach was understood as building on and fitting in with other ongoing national initiatives, especially in countries with programs to reduce emissions from deforestation and forest degradation (REDD+). **SREP's** programmatic approach focused on combining technical assistance components with investment and creating national platforms to crowd in resources and scale up

[2] These costs include grants to SCF pilot countries to prepare their IPs/SPCRs, use of the country programming budget, and administrative services provided by CIF AU and MDB staff for IP/SPCR preparation and revisions, monitoring and report, and stakeholder review meetings.

[3] Because these costs are not tracked separately, they are not included in the totals described above.

renewable energy. Below, the application and the outcomes of the programmatic approach in the four CIF programs are discussed for both the investment planning and project implementation phases.

Investment planning phase

In the investment planning phase, the CIF programmatic approach has been applied similarly across programs with regard to resource allocation, government leadership, and MDB coordination. Countries were allocated an indicative amount of resources at the outset, which they could program in their IPs/SPCRs according to their needs and priorities. National governments led the investment planning process, often with the involvement of strong central ministries such as finance or planning. MDBs collaborated during IP/SPCR preparation, supported by the coordinated planning process undertaken in each country (i.e., where multiple MDBs participated in scoping and technical joint missions to support and inform the preparation of IPs/SPCRs).

Some differences were observed across countries and CIF programs in the planning phase, most notably in the scale of resources provided to prepare IPs/SPCRs and the extent of stakeholder consultation and multi-sectoral dialogue. CTF IPs were prepared without preparation grant funding. **PPCR** pilot countries generally received the largest allocations for SPCR development (up to $1.5 million), to be used to build on their existing national work to integrate climate resilience into development plans, strategies, and financing, and to fund additional readiness activities such as institutional capacity building, policy reform, and awareness raising. **FIP** and **SREP** IPs were developed with moderate grant resources (up to $300,000). CTF IPs were developed quickly, mostly without wide stakeholder consultation, in contrast to PPCR, FIP, and SREP, which generally held participatory consultations with a broad range of stakeholders, across government ministries, subnational government agencies, other development partners, civil society organizations, and marginalized groups.

Overall, in the investment planning phase, the use of the programmatic approach had significant advantages over a project-by-project approach, which contributed to important outcomes. At the outset, the programmatic approach offered an organized and consultative way to prioritize investments, a unique and valuable platform for MDB cooperation, and the certainty of available scaled-up resources. Across all programs, these programmatic features contributed to increased ownership, awareness, and a willingness for broader strategic dialogue within government. The programmatic planning process generally yielded IPs/SPCRs that were linked to national strategies and priorities and that addressed transformational change concepts, including through taking a wider system perspective to investment planning.

- In the **CTF**, the certainty of available scaled-up resources helped to facilitate the design of some innovative projects. Joint MDB planning contributed to country IPs with a set of well-aligned projects aimed at transformational change. In Turkey, for example, a mix of public and private investments—designed in a complementary way through the programmatic approach—are being used effectively to implement and scale energy efficiency programs through different business models, with observed progress toward systemic changes (financial de-risking, cost reductions, increased regulatory certainty, and participation of market actors including financial intermediaries and leasing companies) that can support continued scaling. In some CTF countries, a government-led investment planning process also contributed to better linkages between private sector projects and public sector actors. Across CIF programs, but especially in the CTF, the flexibility to reallocate resources to reflect changing conditions has been highly valued by stakeholders.

- In the **PPCR**, the programmatic approach helped to establish a common multi-sectoral vision for climate resilience that aligned with national development priorities in its pilot countries, particularly in those where climate adaptation efforts were just emerging in the early 2010s. This process, combined with the predictability of available finance, led to some first-mover and coordinated projects that reflected programmatic objectives, taking both horizontal and vertical approaches to mainstreaming climate resilience. Additional resources provided to PPCR in the SPCR planning phase helped support institutional readiness and policy change in some countries, such as integrating climate resilience into national development and sector plans, as in Zambia.
- Stakeholders saw the **FIP** programmatic approach as a chance to address the drivers of forest degradation and deforestation more comprehensively. The FIP programmatic approach also contributed to the participatory process in support of national REDD+ efforts and partnership building. The investment planning process helped to enable high level political engagement and lend a voice to responsible ministries, who otherwise have often limited ability to convene inter-sectoral dialogue. Given the wide diversity of country circumstances in FIP countries, the flexibility of the programmatic approach has been an asset, with approaches ranging from nesting into a long-standing national program, as in Mexico, to initiating cross-sectoral discussion and a national dialogue on REDD+ in Burkina Faso.
- In the **SREP**, the programmatic approach provided an opportunity to address energy sector-wide challenges and to link resources to strategic planning, which helped bring government and other actors to the table for high-level dialogue. Strategic dialogue and resource predictability in the investment planning process helped identify potentially transformative investments in some countries, especially when government leadership was strong, like in Rwanda. The focus of the programmatic approach on combining TA with investment to support first-mover projects also led some governments to include some TA or capacity building components in their IPs that may not otherwise have been country or MDB priorities.

Across the four CIF programs, linking the strategic planning process to the certainty of available investment resources was an important feature of the programmatic approach. Interviewees indicated that the predictable funding stream lent gravity to the investment planning process and was especially conducive to the development of innovative or first-of-a-kind projects that require more substantial preparation, compared to a competitive project-by-project approach. For subsequent SCF pilot countries, who have been invited to prepare IPs/SPCRs without linked commitments for investment resources, the experience has been different. Interviews suggest that both countries and MDBs were, in some cases, less interested in preparing IPs/SPCRs without the certainty of available resources. The recently endorsed FIP and PPCR IPs/SPCRs show less evidence of clear institutional arrangements for the project implementation phase and inclusion of strong learning elements, especially in the FIP. Recently endorsed SPCRs describe institutional arrangements to coordinate the PPCR program, but few explain how the proposed new institutions—with new responsibilities—will be resourced, and few include components to support such institutional capacity building embedded in the prioritized investment projects or as stand-alone projects. These mechanisms have been shown by this evaluation to be important for sustaining the programmatic approach, as discussed in the following section.

Project implementation phase

Overall, the programmatic approach has been less evident in the project implementation phase, with some differences across programs. Many countries with strong programmatic features in the investment planning phase ceded to a project-oriented approach in the project implementation phase. MDB collaboration was modest, at best, in implementation at the country operational level. Annual or biennial stakeholder review meetings have been infrequently held, although program-level monitoring and reporting processes have helped address this gap in the PPCR and FIP.

In the CTF—working in middle income countries with greater institutional capacity to manage and coordinate their own programs—the primary value of the CIF programmatic approach was seen in the investment planning phase, as described above. Stakeholders perceived less value in sustaining the features of the CIF programmatic approach into the project implementation phase in the CTF. In individual countries, CTF often works across multiple sectors (e.g., transport and energy) that offer limited opportunity for cross-project learning, and is somewhat constrained in terms of information sharing by its private sector portfolio, with associated confidentiality considerations. The CIF also provided support for the programmatic feature of cross-project learning through alternate channels, such as global learning initiatives on concentrated solar power, geothermal, and energy efficiency.

One important exception is that across CIF programs, but especially in the CTF and PPCR, the predictability and flexibility of resources has remained a valuable feature in the project implementation phase. This feature has enabled recipient countries to reallocate resources within or across MDBs to reflect changing country circumstances. For example, if a project concept becomes less relevant after IP endorsement (e.g., evolving market dynamics that mean that certain technologies no longer require concessional finance) or if a private sector partner cannot be found, those resources are not forfeited but rather reassigned to an existing successful project or a new project concept.

The value of sustaining a programmatic approach in the project implementation phase has been more evident in lower-income and lower-capacity countries and in the CIF programs working to mainstream climate change and effect multi-sectoral systemic change. In these countries and programs (PPCR and FIP), the programmatic approach in implementation offered an opportunity to regularly convene stakeholders across sectors and ministries and sustain dialogue to support the climate change and mainstreaming agendas. In the SREP, because programmatic approach features in the project implementation phase—such as cross-project learning, program-level coordination, regular stakeholder review of the country's SREP program, and program-level M&R—have generally not been applied to-date, it is difficult to assess their potential. However, the experiences of the PPCR and FIP, which, like SREP, operate in lower-income and –capacity countries, suggests some possible value of sustaining features of the programmatic approach into the project implementation phase in the SREP.

Among the three SCF programs, the programmatic approach has been better sustained in PPCR and FIP countries, owing to their requirements for program-level monitoring and reporting (M&R) and emphasis on country coordination mechanisms. In the FIP and PPCR, the requirement for M&R at the country program level (i.e., through a national multi-stakeholder workshop process, looking across multiple CIF-funded investment projects) helped sustain the programmatic approach by supporting broader stakeholder engagement and providing an annual platform for multi-sector collaboration and climate change awareness raising among and beyond government actors. In PPCR, country coordination mechanisms helped to sustain the programmatic focus, especially in countries where dedicated support and resources for such institutional coordination were provided through components in the CIF-funded investment projects. In FIP, linkages to national and REDD+ program processes provided some support to the CIF's programmatic emphasis. Overall, however, where country coordination mechanisms were weaker, program-level annual M&R processes were not sufficient to maintain the strategic program focus or to support the delivery of synergistic benefits among projects and MDBs.

In the SREP, after IP endorsement, the programmatic approach has been relatively dormant. The features that contributed to sustaining a programmatic focus in the PPCR and FIP—program-level M&R and country coordinating mechanisms—have not been supported in the SREP. Government focal points are identified for each country program, but they generally play limited roles in the project implementation phase. MDBs in SREP countries have not accessed the country programming resources, mentioned above, to help sustain the programmatic approach in implementation. The majority of SREP IPs do not include elements designed to sustain country program cohesion, including institutional arrangements, and among those countries that have included such components in their IPs, most have either not funded or under-funded those components at project approval.

In PPCR and FIP countries where the programmatic approach was more fully sustained, outcomes have been achieved that go beyond what would likely be achieved through individual projects—demonstrating the strong potential of the programmatic approach. For example, in Zambia, the programmatic approach helped to mainstream climate change into the national development plan and sector strategies and contributed to increased climate resilient budgetary allocations—using a tracking system developed with programmatic resources. In several PPCR countries, programmatic M&R helped to mainstream climate change indicators into national systems. In Zambia, Niger, and Tajikistan, country coordination mechanisms were directly funded through MDB investment projects and supported continued stakeholder engagement, cross-sectoral dialogue, and learning. A multi-MDB joint project supervision mission in Niger—initiated by the country coordination mechanism—contributed to similar outcomes. The use of a programmatic approach contributed to stronger government coordination and institutional capacities, as well as cross-sectoral and vertical collaboration and mainstreaming, in the PPCR especially.

Summary

Overall, the evaluation has shown that the CIF's programmatic approach can lead to strong outcomes with potential to contribute to transformational change dimensions of relevance, systemic change, scaling, and sustainability. Partway through the project implementation phase, the evaluation findings point to this potential and to good practice examples where programmatic outcomes strongly support change processes that are amplified through the investment projects themselves.

The use of a programmatic approach in the investment planning phase has offered significant advantages over a project-by-project approach. In the project implementation phase, the potential of the CIF programmatic approach has not been fully realized in SCF countries; in the CTF, stakeholders saw less potential value in sustaining the programmatic approach into the project implementation phase. In many SCF countries, limited institutional and resource support for programmatic functions after IP/SPCR endorsement—coupled with a lack of accountability measures—has contributed to the programmatic approach not being sustained in the project implementation phase, as discussed further below.

Factors that influence the effectiveness of the programmatic approach

The evaluation identified three broad factors that influenced the understanding and effectiveness of the CIF programmatic approach across the CIF programs and countries.

The wide diversity of climate change and development contexts in the CIF recipient countries have demonstrated the importance of a flexible model for the programmatic approach. Two general models were employed, depending in part on how advanced a country was in terms of its climate change and related strategies and programs. The scale of CIF operations relative to other government and donor initiatives, importance for the sector or sub-sector in a given country, and nature of the CIF portfolio itself (such as the extent of private sector programming in the mix) also mattered for which model was followed.

- In countries where climate change efforts were more nascent, the CIF programmatic approach was more likely to have a clear, separate identify in a country (e.g., where the SPCR was seen as the national adaptation program, such as in Tajikistan, or where the FIP was seen as the national climate change forestry program, such as in Burkina Faso where the REDD+ process was just starting). Under this model, the CIF programmatic approach was sometimes a high-profile approach, with a focus on process and new institutional structures.
- In countries where government climate change or sector programs and strategies were more advanced, the CIF programmatic approach was less likely to have a visible identity and was integrated into ongoing climate change and sector efforts, often with a scaling up or supplementary role. The second model was more prevalent in CTF and SREP countries. In many FIP countries, the existing REDD+ architecture provided a nested home for a FIP programmatic approach. Some PPCR pilot countries also followed this second model, such as Bangladesh, where the SPCR built on the preexisting Climate Change Strategy and Action Plan.

The programmatic features of developing an investment plan that is country owned, informed by multi-stakeholder consultation, supported by MDB coordination, and associated with predictable and scaled up finance have been shown to be relevant and effective under both models.

Leadership of and capacity to apply the programmatic approach, particularly for government partners and MDBs, improves the effectiveness of the approach. Regardless of which of the two models was taken, where government leadership and ownership was stronger, better outcomes were observed. Across the programs, the evaluation identified strong champions for climate change as well as government officials tasked with leading the CIF program who did not have the interest, capacity, or necessary time available to do so. Anchoring the country coordination mechanism and/or focal point in a strong ministry was a supportive but not sufficient factor to lead to programmatic outcomes. In some FIP and PPCR countries, the multi-sectoral modality of the programmatic approach was a new way of working and required political will and institutional capacity to be effective. In the PPCR, the low capacity of some countries sometimes challenged the effective use of the investment plan preparation grant resources provided.

Where the programmatic approach was supported through clear guidance, mechanisms, and resources, programmatic effectiveness was stronger. This factor helps explain differences among the CIF programs and between the investment planning and project implementation phase. For example, requirements for MDB joint missions in the investment planning phase strongly supported a coordinated approach. SCF guidelines and funding for stakeholder consultations led to participatory processes to develop the PPCR SPCRs and FIP and SREP IPs.

In the project implementation phase, however, the CIF lacked clear mechanisms and accountability measures to maintain many expected features of the programmatic approach in implementation. Countries were encouraged to identify institutional structures to coordinate their programs, but, lacking resources, capacity, or accountability measures, such structures were not always set up or engaged as planned. Where IPs were not seen as country owned, the value of such coordination structures was perceived as lower. Guidelines were issued on the role of country focal points in coordinating the country program, but how these roles would be supported was not clear and accountability was limited. Attention given to country program-level knowledge and learning in IPs/SPCRs was not carried through to approved project designs systematically.

Importantly, the expectations for sustaining the programmatic approach were not fully aligned with the operational or incentive systems of the MDBs. As incentive structures for MDB country teams are strongly determined by project delivery and related key indicators in project design reports, programmatic features that were directly referenced in project documents (e.g., support for country coordination mechanisms in PPCR countries) tended to receive much more attention than those that were not. In addition, although optional resources were made available to the MDBs through the country programming budget to support programmatic features in the project implementation phase (such as convening stakeholder review meetings or conducting country-level knowledge and learning activities), MDBs saw the process to access these resources as onerous relative to the small grant size. This contributed to the country programming budget being under-utilized to support implementation. Furthermore, the country programming budget was not available to support all tasks identified for lead MDBs in CIF guidelines, such as supporting general coordination of the IP/SPCR implementation or supporting the country focal point in fulfilling his/her leadership role. As such, the extent to which lead

MDBs fulfilled their expected role in implementation depended partly on the initiative and capacity of individual project leaders and partly on the extent to which this role was designed into investment projects, as an accountability measure.

For these reasons, the use of a programmatic approach did not have a strong influence on how MDB projects were implemented. Projects have generally been executed as normal MDB operations with limited coordination across the MDBs; in rare instances, MDB collaboration in implementation has been shepherded by particularly effective country coordinating mechanisms or championed by individual MDB or government focal points.

Other operational considerations also influenced the effectiveness of the programmatic approach, especially in implementation. Some of these were differences in the timing of project development and approval and among MDB procedures that are difficult to overcome (e.g., project safeguards, timing of supervision missions). Staff changes, evolving responsibilities in governments and MDBs, and lost institutional memory played a role in curtailing the programmatic approach in CIF, in transition from IP/SPCR preparation to project implementation, but also during project implementation.

Looking forward

The international institutional context for climate finance has changed significantly since the CIF began nearly a decade ago. An emphasis on national planning was valuable in that historical context, given that many countries, particularly the lower income countries, were in more nascent stages of climate change planning and priority setting seven to ten years ago. Now, national climate change planning exercises have launched under the United Nations Framework Convention on Climate Change (UNFCCC), including Nationally Determined Contributions (NDCs) under the Paris Agreement and the National Adaptation Plans (NAPs), which will help shape future climate investments. The CIF's funding situation has also changed; the CTF has closed its project pipeline, and the FIP and SREP are facing a shortfall in available resources, while PPCR has limited available resources remaining. In the SCF, IP/SPCR preparation has continued in new pilot countries, but without the assurance of forthcoming investment resources.

With these significant evolutions, future programmatic approaches could tend more toward the second model of being strategically complementary, but a less distinct national program. That potential reality does not *a priori* limit the relevance or effectiveness of using a programmatic approach, with emphases on sustainable institutions and processes, broad stakeholder involvement, enabling policy and regulatory environments, cross-project learning, scaling up, and mainstreaming. A strategically complementary model supports continued engagement in considered and participatory investment planning to ensure that projects are mutually reinforcing and aligned with other complementary investments, to push toward transformational change. It can also support seeking opportunities to strengthen the broader country coordination and mainstreaming of climate change efforts as they relate to other donors, and domestic investments. Figuring out how to do this within existing and evolving UNFCCC architecture will be key and require a flexible and transparent approach.

Key questions for the CIF, or other development partners considering the use of a programmatic approach, are: **When is a programmatic approach most needed, and when, if ever, should it not be used?** This evaluation has shown that a programmatic approach in the investment planning phase is relevant and can generate important outcomes in both cross-sector and single-sector programs, in advanced and nascent national development and climate change policy contexts, and in least developed and low- and middle-income countries. Across this broad range of contexts, the programmatic features of predictable and flexible scaled-up resources, development partner coordination, multi-stakeholder engagement, and seeking synergies and complementarity among projects and programs to support transformational change have offered advantages to recipient countries. The programmatic feature of support for readiness activities—including readiness to apply a programmatic approach—is more relevant in lower-income and lower-capacity contexts.

In the project implementation phase, the evidence suggests that the programmatic features of a government institutional structure to coordinate the program and annual program review through stakeholder workshops and program-level M&R works well in programs focused on lower-income and lower-capacity countries and in programs focused on multi-sectoral systemic change. In these contexts, the programmatic approach can contribute to sustaining inter- and intra-ministerial engagement, mainstreaming climate change into development, and identifying opportunities for scale-up.

In middle-income and higher-capacity countries, such as in the CTF, the evidence shows that the use of a programmatic approach in the investment planning phase can generate important outcomes, without the need for sustaining certain features into the project implementation phase. In particular, where some features can be effectively led by national governments (e.g., coordination), they may not need to be designed into climate funds' programmatic approaches. Similarly, when alternative approaches to support programmatic features, such as cross-project learning at global rather than country levels, can be effectively employed, they may not be necessary features of the country programmatic approach.

Recommendations

The following recommendations are made in light of the findings and conclusions of the evaluation:

1. **Continue to use a programmatic approach.** The CIF's programmatic approach is a distinctive and valuable feature of its overall approach to climate finance. The evaluation has found that the CIF programmatic approach has demonstrated strong potential and had important outcomes beyond a project-by-project approach, where embraced by government and MDB leadership and supported with resources and mechanisms (e.g., processes, institutional structures, and accountability measures). The CIF should continue to support critical core features of the programmatic approach, including the development of IPs/SPCRs that are led by country governments, supported by MDB collaboration, informed by multi-stakeholder consultation, and that set out strategically linked investments. The strategic planning process should be associated upfront with a predictable and flexible resource envelope, for best effectiveness. In certain cases, the country programmatic approach could be complemented by other approaches offering more flexible and adaptive

responses to country and program circumstances such as dedicated private sector windows. The programmatic approach also can be complemented effectively by other approaches to support programmatic features like cross-project learning at regional or global levels, such as those focused on thematic issues or specific technologies.

2. The following measures are recommended to further strengthen the relevance and effectiveness of the programmatic approach within the CIF, and as good practices that may be relevant to other development partners considering or using programmatic approaches:

    a. **Clearly communicate roles and responsibilities for maintaining a programmatic approach in the project implementation phase** to government officials and project task teams, from the outset. For a programmatic approach to be effective, key actors must understand and see value in their role in the overall program.

    b. **Ensure that specific mechanisms to sustain the programmatic approach in the project implementation phase are established**, such that government officials and project task teams are supported and motivated to carry out their programmatic roles. Such mechanisms (e.g., for coordination, learning, convening stakeholders) should preferably be designed into individual projects as part of their delivery modality and theory of change, to provide incentives and support accountability.

    c. **Relatedly, build stronger capacities in governments to lead and coordinate a program strategically.** Programmatic approaches may require stronger capacities than projects in terms of execution—coordination, negotiation, strategic planning, knowledge and learning, outreach—and these can be supported by development partners. Government leadership is critical; the MDBs can support that leadership, but the approach must be fully government-owned to be sustainable.

    d. In the evolving international context for climate action, **focus more squarely on an approach that clearly integrates with national programs or frameworks**. Where the CIF program was most perfectly aligned with and integrated into national efforts, the opportunity was greater. Although the CIF has always aimed to align with government-led development and climate change strategies, moving forward, building on NDCs, NAPs, and other national plans will continue to be critical to maintain relevance. Programmatic approaches could focus on tackling a part of a country's NDC, for example, in an integrated and complementary way. A flexible approach, tailored to country circumstances, could enable shortening of investment planning processes in countries where considerable analysis and prioritization has already been done through national processes, and more extensive processes in countries where additional work is needed to elaborate strategies or action plans.

3. Recognizing the distinct differences among the four CIF programs, the following measures are also recommended:

    a. In the **CTF**, keep the programmatic approach as a flexible planning tool (i.e., a business plan plus), that can support identification of strategic entry points in each country context. Focus the programmatic approach on supporting constructive interaction between the public and private sectors and facilitating scaling-up to reinforce or amplify the program results. Develop mechanisms for the **DPSPs** to support the programmatic approach in the project implementation phase.

b. Continue the strong multi-sectoral focus in the **PPCR** programmatic approach. Ensure that programmatic elements are supported through projects, that institutional arrangements (and the capacity to use them effectively) are prioritized, that mainstreaming is focused on processes that matter (e.g., those that are linked to budgets), and that IPPGs are used most effectively to set the groundwork for program success, where it is needed.

c. In the **FIP**, continue to use a flexible programmatic approach that reflects the unique circumstances of each country to provide complementary support. Link FIP interventions to national priority agendas including REDD+, but also rural and economic development strategies, where appropriate, to support country ownership. Use the programmatic approach to continue capacity support of sustainable institutions to lead and mainstream forestry concerns across relevant sectors.

d. Use **SREP** planning resources to apply a coordinated and inclusive process to identify investments and TA that are strategically aligned with the existing national strategy and project landscape (e.g., NDCs, SE4ALL). Consider piloting more robust support for sustaining the programmatic approach in SREP into the project implementation phase, such as through program-level M&R and the inclusion of dedicated TA components in projects or stand-alone TA that supports country capacity to coordinate delivery of its national climate change and energy strategies.

4. **Continue dialogue with others to share experience on programmatic approaches and align such approaches, as appropriate.** The CIF has pioneered the use of a programmatic approach in climate finance and its experiences will be of interest and use to other climate change funds, including the GEF and Green Climate Fund (GCF). Sharing those experiences would be consistent with the overall piloting and learning objectives of the CIF.

Management Response to the Independent Evaluation of the Climate Investment Funds' Programmatic Approach

I. Introduction

The Climate Investment Funds (CIF) were established in 2008 to provide scaled-up climate finance to developing countries to initiate transformational change towards low carbon, climate resilient development. Channeled through the multilateral development banks (MDBs), the CIF encompass two funds: the Clean Technology Fund (CTF) and the Strategic Climate Fund (SCF), which includes three targeted programs – the Forest Investment Program (FIP), the Pilot Program for Climate Resilience (PPCR) and the Scaling-Up Renewable Energy Program in Low Income Countries (SREP). Contributor countries to the CIF have pledged more than USD 8.3 billion to fund preparatory activities and investments in 72 countries.

The CIF were established to provide a substantial contribution to the international climate finance architecture and were intended by design to support the scaling-up of investments, pilot approaches and learn lessons in delivering climate finance through the multilateral development banks (MDBs), notably through a programmatic approach seeking to initiate transformative results in developing countries.

The use of a programmatic approach is often cited as a distinct feature and comparative advantage of the CIF. As noted in the evaluation report, the CIF's programmatic approach encompasses the development and implementation of a country-led investment plan – supported by MDB collaboration, informed by multi-stakeholder consultation, and associated with a predictable and flexible resource envelope – that sets out strategically linked investments, unified by a transformative vision. The CIF is the only climate fund to date to prioritize a programmatic approach as its primary model of delivery. We therefore welcome the opportunity to learn from an independent analysis about the relevance and experience of the CIF programmatic approach to further strengthen its effectiveness within the CIF as well as identify good practice examples and lessons learned thus far that may be relevant to how countries plan their future climate change actions and how MDBs engage with countries in these plans. Further, elements of this analysis may be relevant to the broader climate finance architecture including the Green Climate Fund (GCF).

This document responds to key findings and recommendations from the evaluation report, focusing particularly on the programmatic approach's application, outcomes and factors for success, as well as recommendations for future consideration. This includes the overall finding that use of the programmatic approach in the investment planning phase had significant advantages over a project-by-project approach, and contributed to important outcomes, including: (i) an organized and participatory way to prioritize investments; (ii) a successful platform for MDBs for joint programming; (iii) resource predictability;

(iv) an opportunity to link strategic planning with resources; and (v) increased ownership, awareness, and a willingness for broader strategic dialogue within government. This is linked to increased potential for transformational change along dimensions of relevance, scale, systemic change and sustainability. This document also responds to findings related to the variability of experiences and outcomes by program and country context, particularly during the project implementation phase, including key factors for success and related recommendations.

The recommendation response matrix and specific factual corrections to the evaluation text are included in the annexes.

II. Management Response

Overall remarks

Management expresses its appreciation to ICF International for the constructive suggestions put forward in this evaluation. Management notes that in general the review is comprehensive and presents a well-balanced, thoughtful, and fair picture of the CIF programmatic approach. Management appreciates the useful set of lessons and broadly agrees with the recommendations, which it looks forward to exploring and implementing as relevant.

Management strongly agrees with the independent evaluation affirmation that the CIF's programmatic approach has been shown to lead to strong outcomes. We therefore broadly support its set of recommendations, notably on the need for the CIF to continue to use the Programmatic Approach as its distinctive and valuable feature of its overall approach to climate finance.

Although management supports the overall findings and recommendations of the evaluation, the review could have gone further to clarify certain findings that are at times unclear. For example:

a) In discussing the relevance of the programmatic approach during the project implementation phase, the evaluation suggests that, during this stage, it is especially beneficial for climate resilience and forestry programs but perhaps less so in other sectors that appear less multi-faceted, such as energy. The programmatic approach could be especially relevant in these programs to help drive dialogue and engagement on transforming high-emitting sectors or sub-sectors, as well as linkages between sectors, to further drive and inform wider decarbonization goals.

b) The report defines common features of the programmatic approach and mentions variability in terms of their implementation by program, but it is not always clear why these elements were or were not pursued to various degrees. E.g., why did CTF and SREP spend so little to sustain the programmatic approach in project implementation? Was this intentional, and if so, why? Further clarity on these and similar areas would have been helpful.

c) Finally, a more detailed analysis of the current context of each sector and climate change finance overall as relevant to the programmatic approach's future applicability in these sectors would have enhanced the usefulness and applicability of findings to current and future strategies, although we realize this may have been outside of the scope of this evaluation.

Specific responses to key findings

a) Advantages of the programmatic approach versus a project-by-project approach in the investment planning phase

Management agrees with the finding that the use of the programmatic approach, in the investment planning phase, had significant advantages over a project-by-project approach, and contributed to important outcomes, as detailed above. In our view, programmatic approaches are critical to help governments with the adoption of transformational measures and ensure enduring participation and engagement from key stakeholders. We further appreciate the evaluation's discussion of how these important outcomes help to facilitate greater potential for transformational investments, including along the dimensions of relevance, scale, systemic change, and sustainability. These dimensions could have been further explored or assessed, especially as related to country-level impacts, to better understand the value of the programmatic approach in the investment planning phase. This will be an area of subsequent analysis in other CIF evaluations on transformational change.

In addition to these distinctive outcomes of the CIF programmatic approach, the evaluation could have recognized another very important aspect of the programmatic approach, namely how it has helped strengthen coordination not only between MDBs, but also internally within MDBs, particularly where public and private sector interventions have been designed to leverage each other, which is a key aspect of the transformational impact. For example, building on the strengthened internal coordination gained through the CIF programmatic approach experience, the IDB Group is better supporting implementation of NDCs in client counties. We think this intra- and inter-MDB collaboration could have been better highlighted as a key finding and included in recommendations for MDBs to continue or build on this.

It is also noted that, in some instances, the fact that country investment planning took 18-24 months (or more in some cases) posed difficulties for MDBs with private sector operations to fully integrate into the process. This time delay highlights a constraint in the use of programmatic approaches for private sector investment, which require shorter response times. Partly in response to this learning from experience, dedicated private sector programs were established in the CIF, with features conducive to private sector investment. As noted in the report, the most successful of these, Dedicated Private Sector Program (DPSP) in CTF, also had programmatic features. In the context of the CIF it has been demonstrated that programmatic approaches can be very effective instruments for mobilizing private sector capital and that to maximize the attractiveness of government-led programs to private sector actors, it is important for such programs to minimize transaction and monitoring costs.

Management would like to underscore that overall these findings on the advantages of a programmatic approach and its links to important outcomes with potential for transformational change arrives at an opportune time and has the potential to inform the future model of delivery of various players involved in the international climate finance architecture, including MDBs, the CIF, the GCF, and other funds, where appropriate. In considering any potential transferability, we note the importance of the various success factors described in the report, including the need for appropriate resources and mechanisms at the program/project implementer level, predictability and scale of the resource envelope, and a multi-stakeholder investment planning process to align the pipeline of potential investments by MDBs and other investors with countries' strategic plans and overall transformative vision.

b) *Programmatic approach during the project implementation phase*

Management acknowledges the finding that programmatic approach has been less evident in the CIF project implementation phase, with some differences across programs. In the case of private sector investments, it is evident that there is less government involvement in the project implementation period by design. In other cases, we also acknowledge that, at times there were insufficient processes and mechanisms to implement the programmatic approach in certain aspects during the project implementation phase, and at times expectations were at odds with how certain types of projects are managed and implemented by MDBs. For example, generally, after the investment plan is approved, each MDB has to follow its own preparation, approval and implementation procedures, and this can limit the incentives or value of cross-project coordination with other MDB projects.

Management notes that cross-learning and coordination opportunities provided by a stronger programmatic approach during project implementation can be beneficial. For example, we would note that CTF's Dedicated Private Sector Program (DPSP) entailed elements of a programmatic approach during the project implementation phase, where the MDBs have collaborated to shift resources or used financing instruments depending on their comparative advantage and project pipeline. There can also be value in using the programmatic platform during the project implementation phase to advance the strategic policy dialogue with key stakeholders regarding transformation in a sector or sectors of focus.

In addition, the finding that MDB collaboration "was modest, at best" could be better articulated and informed. In sectors such as energy, MDBs operate in collaboration with many national, bilateral and multilateral actors. Collaboration and exchange of knowledge occurs at the national and international levels among all actors through different fora. For example, at a country level, the key international stakeholders together with government authorities have established many coordination platforms for specific initiatives, and this is often a practical and effective way of coordinating investment activities between governments, MDBs and other development finance institutions. It is possible and perhaps more appropriate that collaboration occurs through these fora, building on the collaborative multi-stakeholder processes set out in the investment planning phase.

c) Continuation of programmatic approach during project implementation in SCF programs

Management partially agrees with the finding that among the three SCF programs, the programmatic approach has been better sustained in PPCR and FIP countries, owing to their requirements for program-level M&R and emphasis on country coordination mechanisms. We acknowledge that the technical guidance produced by the CIF Administrative Unit to implement programmatic M&R processes at the country level was beneficial. However, the finding that the programmatic approach was "dormant" during project implementation in some countries or programs does not seem to be fully accurate. For example, as described above, the lack of SREP programmatic activities at the country level may have more to do with the existence of other efforts in parallel, which already have other fora for collaboration at the subsector level. In most SREP countries, Energy Sector Groups exist in which all relevant donors (including MDBs) and representatives of the governments discuss sector planning and investment opportunities. While designed outside of the CIF, these consultations represent a form of programmatic coordination that has been in place for years and demonstrated to be a relevant platform to engage all stakeholders, including those engaged in the implementation of SREP programs.

d) Cost of programmatic approach

We note that the report approximates that the programmatic approach costs 1% of endorsed funding overall and identifies several qualifiers regarding the calculation of this estimate. Recognizing this and the overall challenge of deriving an accurate estimate given various other factors, we encourage caution in using this figure to draw concrete conclusions or recommendations. It is noted and agreed that a majority of these funds were used in the project planning phase versus the project implementation phase, and that more resources may be required to sustain the programmatic approach at the project implementation phase.

e) Factors influencing the effectiveness of the programmatic approach

Management agrees with the finding that the flexibility of the CIF programmatic approach, depending on individual country contexts, was important to ensure all countries benefit from the programmatic approach irrespective of their baseline capacity or sector context. This is reflected in the findings relating to program and country differentiation, particularly in terms of how the programmatic approach was adapted and implemented in different ways within CTF, PPCR, FIP and SREP.

We strongly agree with the finding on the importance of leadership and capacity to apply programmatic approach for government partners and MDBs, and the advantage of anchoring country coordination mechanism and/or focal point in a strong ministry. In this sense, while we acknowledge the importance of clear guidance, mechanisms and resources for stronger programmatic effectiveness, leadership and capacity was also a significant factor.

Another critical factor, which could have been further explored and highlighted in the report, is the importance of scale and predictability of resources for countries and implementing agencies. This promoted timely and effective project planning, and integration with transformational policy dialogue. As this approach was effective, we encourage it to be adopted in other areas of development finance where appropriate. As the report notes, when these features were constrained or lacking, such as in some more recent SCF investment plans, the effects of the programmatic approach were less strong.

Management Response Annex 1: Recommendation matrix

Recommendation	**1. Agree** **2. Partially Agree** **3. Disagree**	**Management response/actions**
1. Continue to use a programmatic approach—it is a valuable feature of the CIF's approach to climate finance.	Partially agree	Management agrees to continue to use the programmatic approach as the CIF delivery model for climate finance. As the second recommendation of the report suggests, the approach going forward for new CIF programs should be to continue to nest the IP/SPCR development process within the existing national level efforts/plans, which in the current context may include NAPs, NAPAs, NDCs, etc. Investment planning processes should be shortened to reflect the considerable analysis and prioritization that has already been done through these national processes. We also believe that lessons learned from the programmatic approach process could be mutually beneficial to existing national processes, such as strengthening and implementing the NDCs. Management also notes however that not all features of the current programmatic approach deliver value during the implementation phase for private sector investments. For this reason, specific elements of the approach which can enhance the effectiveness of private sector project implementation will be identified and further explored. These may include, for example, providing a platform for policy reform and undertaking knowledge and learning activities.
2. The following measures are recommended to further strengthen the relevance and effectiveness of the programmatic approach within the CIF, and as good practices that may be relevant to other	Partially agree	Management agrees overall on the recommended measures to further strengthen the relevance and effectiveness of the programmatic approach within the CIF, and as good practices that may be relevant to development partners considering or

development partners considering or using programmatic approaches: – Clearly communicate roles and responsibilities in both planning and implementation phases – Ensure that specific mechanisms to support a programmatic approach are established and supported, including by designing them into individual projects to provide incentives and accountability – Build stronger capacities in governments to lead and coordinate a program strategically – Focus less on the program as a separate undertaking and ambition, and more on an approach that clearly integrates or nests with national programs or frameworks		using programmatic approaches. We also acknowledge the importance of financing for a sustainable programmatic approach, through dedicated budgets and private sector investment. As such, we are exploring taking the following actions to respond to these specific recommendations, including seeking agreement from relevant CIF Trust Fund Committees and Sub-committees for the resources required for such actions, where applicable: • In program/project planning, plan concretely how to continue program-level coordination in the IP/SPCR implementation phase, where appropriate, and resource it adequately. • Articulate which program-level activities are most beneficial for private sector development, such as feedback to key government stakeholders or recommendations to improve the enabling regulatory environment, noting that not all features of the current programmatic approach are relevant once the underlying private sector projects have commenced implementation. • Develop clear guidance to MDBs/task teams on how the programmatic approach should be applied during IP/SPCR implementation, allowing for program and country-specific flexibility. • Support and empower country focal points with resources and guidance, focusing only where it is truly government-driven with related local demand and motivation for implementing this approach. • Promote joint supervision missions between MDBs/CIF national teams (country focal point and project management units) during IP/SPCR implementation, where relevant, as a good practice to coordinate the program and share knowledge at the country level.

		• Encourage various kinds of exchanges of knowledge, not just between countries but also amongst MDBs, on areas of important thematic learning.
3. Recognizing the distinct differences among the four CIF programs, the following measures are also recommended: i. In the CTF, keep the programmatic approach as a flexible planning tool (i.e., a business plan plus), that can support identification of strategic entry points in each country context. Focus the programmatic approach on supporting constructive interaction between the public and private sectors and facilitating scaling-up to reinforce or amplify the program results. Develop mechanisms for the DPSPs to support the programmatic approach in the project implementation phase. ii. Continue the strong multi-sectoral focus in the PPCR programmatic approach. Ensure that programmatic elements are supported through projects, that institutional arrangements (and the capacity to use them effectively) are prioritized, that mainstreaming is focused on processes that matter (e.g., those that are linked to budgets), and that IPPGs are used most effectively to set the groundwork for program success, where it is needed. iii. In the FIP, continue to use a flexible programmatic approach that reflects the unique circumstances of each country to provide complementary support. Link FIP interventions to national priority agendas including REDD+,	Agree	Management acknowledges the differences between the different programs and agrees with and looks forward to implementing most of the recommendations as suggested. In addition, we plan to explore the following actions by program: **<u>CTF/SREP</u>**: Enhance participation in knowledge exchanges among countries and MDBs on specific sector, technical or technology issues, as well as program and project delivery and financing challenges, drawing on relevant CIF knowledge, evaluations and M&R studies. (Note that CIF and MDBs have already taken some steps to sustain the programmatic approach in SREP during the project implementation phase. For example, within the new SREP M&R framework, approved June 2018, there is now provision for mid-term and end-line multi-stakeholder monitoring and reporting review workshops, similar to those conducted annually for FIP and PPCR.) Explore increased linkages between DPSPs and the programmatic approach, noting however that supporting the programmatic approach should not be seen as an end in itself; rather, the programmatic approach should support the DPSPs during the project implementation phase, and not the reverse as stated in the recommendation. **<u>PPCR and FIP</u>**: Make the IP/SPCR more of a living document that will be revised as the program continues and evolves, potentially including different sources of funding and funding reallocation decisions, building on current experience in CTF where many IPs were revised over time to reflect changing market conditions and roles.

but also rural and economic development strategies, where appropriate, to support country ownership. Use the programmatic approach to continue capacity support of sustainable institutions to lead and mainstream forestry concerns across relevant sectors. iv. Use SREP planning resources to apply a coordinated and inclusive process to identify investments and TA that are strategically aligned with the existing national strategy and project landscape (e.g., NDCs, SE4ALL). Consider piloting more robust support for sustaining the programmatic approach in SREP into the project implementation phase, such as through program-level M&R and the inclusion of dedicated TA components in projects or stand-alone TA that supports country capacity to coordinate delivery of its national climate change and energy strategies.		**Private Sector**: Mechanisms to improve how the programmatic approach supports private sector development could include sharing learning about how to best support the enabling environment and conditions in countries conducive for increased private sector investments in climate action. These options will be explored in future private sector programs or operations.
4. Continue dialogue with others to share experience on programmatic approaches and align such approaches, as appropriate	Agree	We agree to continue dialogue with others, including the GCF, to share experiences on programmatic approaches and align such approaches, where possible and as appropriate. We also acknowledge the use and relevance of a programmatic approach in other sectors beyond climate change.

Management Response Annex 2: Specific Factual Corrections to the Evaluation Report

Page /paragraph	Statement in the report	Factual corrections /editorial comments
Page 37/ Section 4.2.2.2	In Grenada (PPCR), there was little evidence for stronger partnerships across ministries, but a bright spot has been the technical working group within the Ministry of Agriculture, Lands, Forestry, Fisheries & the Environment, which is coordinating activities and information across sectors within that Ministry.	There is also a strong partnership in hazard data collection activities, such as the LiDAR survey to derive a national DEM for the island, the upgrade of the Hydromet network, and the redesign of the national geodetic network. An inter-ministerial technical working group was formed, given the multi-sectoral nature of the activities and the application for numerous Government stakeholders. These stakeholders worked together to closely define the end-user outputs for the products during the scoping and design phase, hiring of thematic experts to support them in articulating their needs across the ministries, and defining the sustainability of the products through budget considerations, operations and maintenance responsibilities, etc. The working group for these products were formalized and met regularly. This inter-ministerial working group was comprised of the Ministry of Agriculture, Lands & Surveys Division, Ministry of Agriculture, Lands, Forestry, Fisheries & the Environment, National Disaster Management Agency (NADMA), the Meteorological Office/Airport, Port Authority, Physical Planning Department, National Water and Sewerage Authority and the national Survey Board.

1. Introduction

1.1. Purpose and scope

The Climate Investment Funds (CIF) were established in 2008 to provide scaled-up climate financing to developing countries to initiate transformational change toward low-carbon, climate-resilient development. Channeled through the multilateral development banks (MDBs), the CIF encompass two funds, the Clean Technology Fund (CTF) and the Strategic Climate Fund (SCF), which include three targeted programs: the Pilot Program for Climate Resilience (PPCR), the Forest Investment Program (FIP), and the Program for Scaling Up Renewable Energy in Low Income Countries (SREP). Contributor countries to the CIF have pledged more than $8.3 billion to fund preparatory activities and investments in 72 countries.

The use of a programmatic approach is often cited as a distinct feature and comparative advantage of the CIF. The CIF uses programmatic approaches as its main modality of delivery—the centerpiece of which are the country investment plans (IPs) for the CTF, FIP, and SREP, and the Strategic Programs for Climate Resilience (SPCRs) for the PPCR. Country plans set the stage for individual project investments as part of a wider country strategy. The CIF also more recently embarked on thematic and technology-based programs across countries and regions: the CTF Dedicated Private Sector Programs (DPSPs) and the SCF Private Sector Set-Asides (PSSAs).

As some countries arrive at the midpoint of implementing their IP/SPCRs, it is an appropriate time to take stock of evidence and lessons on the CIF programmatic approach. The two-fold purpose of this evaluation is to:

- Inform enhancements to the programmatic approach in countries within CIF programs in fiscal year (FY) 2017 and beyond, and in so doing increase the effectiveness of this approach; and
- Identify good practice examples and lessons learned thus far for the benefit of other climate finance mechanisms such as the Green Climate Fund (GCF).

This evaluation was commissioned as part of the recently launched CIF Evaluation and Learning (E&L) Initiative, which broadly aims to capture evidence and lessons to inform both ongoing CIF activities and future climate finance investments through focus on four priority learning themes. This evaluation aligns with the priority learning theme on CIF design and approach and is complementary to the other themes on transformational change, private sector investment, and local stakeholder engagement.

The evaluation's scope is focused primarily on the programmatic approach used within countries and secondarily by the private sector programs. The evaluation seeks to answer four key learning questions, as shown in Box 1. Assessing the progress of CIF pilot countries toward transformational change was beyond the scope of this evaluation. As noted, a separate set of evaluation and learning activities, led by the CIF's E&L Initiative, specifically focus on transformational change in the CIF, and can build on the findings of this programmatic approach evaluation.

BOX 1: KEY EVALUATION QUESTIONS

1. **How is the concept of the "programmatic approach" understood?** What is the theory of change behind it?
2. **How is the programmatic approach being implemented, and what difference has it made?**
3. **What is the value addition of the programmatic approach for CIF private sector operations** compared with other private sector investments within normal MDB operations?
4. **How can the programmatic approach be strengthened within the CIF** by program/sector, actor?

The primary intended users of the evaluation are the CIF Administrative Unit (AU), CIF MDB focal points and task teams, recipient country focal points, donor country representatives, and MDB management. It is hoped that the GCF and other climate finance institutions may also use insight from this evaluation as they continue to consider, and possibly develop and implement, program-based approaches.

1.2. Evaluation approach and methods

The evaluation approach and methods are described in detail in the Final Inception Report, dated July 28, 2017, and are summarized below.

1.2.1. Approach and framework

The evaluation's overall theory-based approach began with a retrospective theory of change analysis. The theory of change developed in the inception phase was used as an analytical framework for the evaluation to inform the identification of evaluation sub-questions, and to drive the inquiry and analysis throughout the evaluation. This theory of change was further refined through the evaluation process and is presented in Section 2.2 of the report. The evaluation team also developed a matrix to guide data collection and analysis. The theory of change and evaluation matrix provided the structure for developing instrumentation, including interview guides, survey questions, and the case study protocol.

1.2.2. Data collection and analysis

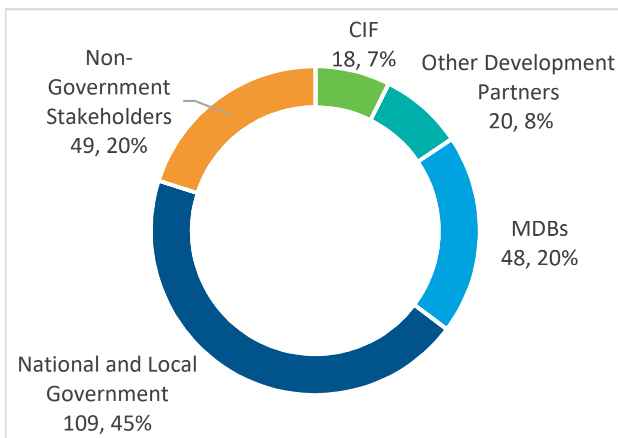
The evaluation began with an **extensive review of CIF documents** to identify key features of, expectations for, guidance on, and learning about the programmatic approach, for the CIF as a whole as well as for each of the four CIF programs. An external literature review on program-based approaches was also undertaken. **Scoping interviews** were conducted with current and former CIF AU staff and MDB focal points to explore further how the programmatic approach was understood and to inform the **retrospective theory of change analysis**.

A portfolio and desk-based analysis was conducted across available joint mission completion reports and endorsed IPs/SPCRs to assess the extent of stakeholder engagement in IP/SPCR preparation; the role of non-government organizations; the expected institutional arrangements for country coordination of the CIF program; the attention given to information sharing and lessons learning (ISL) components at the program and project level; and the extent to which programmatic activities are supported in investment projects through embedded or stand-alone components. Country results reports were also reviewed. This work helped inform the analysis of how the programmatic approach is being implemented.

Country case studies were used to **analyze the contribution** of the use of a programmatic approach to outcomes, as described in the theory of change, and assess why events happened or did not happen as expected. Eight country-program combinations (two countries per CIF program) were selected purposively, using criteria described in the Inception Report. These were Turkey and Chile (CTF); Zambia and Grenada (PPCR); Lao PDR and Burkina Faso (FIP); and Rwanda and Nepal (SREP). The evaluation teams conducted five-day missions to each country, interviewed a range of stakeholders (including government officials, MDB task teams, development partners, civil society organizations, private sector organizations, and local community beneficiaries), administered a survey, and reviewed IPs/SPCRs, project documents, and contextual material. These eight case studies were augmented with the purposive selection of an additional sample of ten country-program combinations that were assessed through desk analysis and targeted interviews with MDB task teams and government focal points.[4,5]

Key informant interviews were also conducted with CIF AU and MDB staff. Through these interviews and the country studies mentioned above, the evaluation team interviewed nearly 250 stakeholders. A **perceptions survey** was administered online to the full CIF stakeholder community, including Trust Fund Committee and Sub-Committee members and observers, MDB focal points, and government main focal points and alternates; the response rate was 15 percent. The results of this survey are presented in Appendix D.

Figure 1: Stakeholders Interviewed



The evidence gathered was **triangulated** across methods and data sources to identify key findings. **Comparative analysis** was also conducted across the country case studies, to identify key

[4] The evaluation purposively selected 20 country-program combinations, based on representation across all four CIF programs and regions and the highest disbursing countries, for a more comprehensive view into what difference a programmatic approach has made in the implementation phase. The evaluation reached out to lead MDB and country focal points for each country but was not successful in scheduling interviews with all selected countries, due to lack of response.

[5] Colombia, Indonesia, and Mexico (CTF); Mexico (FIP); Niger, Tajikistan, Dominica, and Caribbean Region (PPCR); and Ethiopia and the Maldives (SREP).

factors that were associated with successful outcomes from the use of a programmatic approach, and those that were absent when outcomes were not achieved.

1.2.3. Limitations

The sample of eight country-program combinations, while purposively selected, does not fully represent the diversity of experience across the CIF in using a programmatic approach. Substantial differences, especially among the programs, became much clearer through these country case studies. As noted above, an additional sample of 20 country-program combinations was selected to augment the evidence base, but requests for interviews with MDB and country focal points were not answered for about half of those countries, and available documentation was deemed insufficient to robustly assess what difference the use of a programmatic approach makes, particularly in the project implementation phase. For the ten additional countries that were reviewed, findings cannot be as fully triangulated as those from the in-country studies, given the more limited number of stakeholders that were interviewed.

1.3. Structure of the report

The remainder of the report is structured in eight sections:

- **Section 2** addresses the first key evaluation question on how the CIF programmatic approach has been conceptualized and understood by stakeholders, and what the theory of change is behind it. This section also analyzes the cost of the programmatic approach.
- **Section 3** responds to the second and third key evaluation questions on how the programmatic approach has been implemented in each of the four CIF programs and in its private sector programs.
- **Section 4** provides the main findings on the outcomes from the use of a programmatic approach (the second key evaluation question), following the structure of the theory of change.
- **Section 5** explores the factors that influence the effectiveness of the CIF programmatic approach.
- **Section 6** looks toward the future use of a programmatic approach, recognizing how the world has changed since the CIF launched in 2008.
- **Section 7** presents the overall conclusions from the evaluation.
- **Section 0** provides a series of recommendations to strengthen the CIF's programmatic approach.

The report also includes five appendixes. **Appendix A** includes the original terms of reference for the evaluation. **Appendix B** lists the stakeholders interviewed for the evaluation, including in the eight in-country case studies and the additional country studies. **Appendix C** presents additional evidence of the vision for a programmatic approach in each of the four CIF funds and a brief history of the use of program-based approaches in development aid. **Appendix D** provides the results of a CIF community-wide perceptions survey. **Appendix E** provides brief reflections on the technical methods used for this evaluation.

2. Understanding the Programmatic Approach

This chapter describes the history of the programmatic approach in the CIF (**2.1**), followed by an analysis of the key features and expectations for the CIF programmatic approach (**2.2**), including the theory of change developed by the evaluation (**2.3**). This chapter also provides an assessment of what costs the CIF has incurred through its use of a programmatic approach (**2.4**).

2.1. History of the programmatic approach in the CIF

The programmatic approach is one of the original core design elements of the CIF and is seen as integral to the CIF's ambition to achieve transformational change. The CIF was the first climate fund to use a programmatic national investment planning approach as its primary delivery modality. The CIF's choice to use a programmatic approach at the country level was partially motivated by the global aid effectiveness agenda that spurred on program-based approaches in the wider development cooperation community during this time (see Appendix C), as well as by relevant lessons that were coming out of the Global Environment Facility's (GEF) experience.[6] In response to concerns around the project-by-project modality, development cooperation agencies were beginning to use program-based approaches to bolster coordination, maximize impact, and strengthen national ownership. The CIF's programmatic approach emphasizes similar features to these, as shown in Table 1 below, but also includes some ambitious features that go beyond what is traditionally understood to be a program-based approach, such as the use of multi-stakeholder consultation processes and country mechanisms to coordinate the program.

BOX 2: PROGRAM-BASED APPROACHES IN OTHER CLIMATE FUNDS

Other multilateral climate funds have also used program-based approaches, although not as a primary modality. The GEF has been using programmatic or program-based approaches since 2000, which have gone through numerous evolutions and had a variety of characteristics. These have included GEF programs that were collections of individual projects (country-based or otherwise), programs that represented long-term strategic sectoral engagement, multi-country programs, and sequenced interventions. Most recently, the GEF has piloted a type of programmatic approach alongside its project-based approach, but with some key differences to the CIF's modality. The GEF's latest programmatic approach has been thematically focused, rather than country-focused, and is not implemented through a joint MDB model. The GCF has also been considering a programmatic approach, as is allowed alongside project-based approaches in its governing instrument, although the GCF has taken a project-by-project approval approach to date. The GCF Board has not yet agreed on policy guidelines for a programmatic approach.

Early CIF operational guidelines focused on the use of a programmatic approach in the investment planning phase—to prepare country investment plans (IPs) for the CTF, FIP, and SREP, and Strategic Programs for Climate Resilience (SPCRs) for the PPCR.[7] These guidelines describe expectations and processes for conducting the scoping work and MDB joint missions

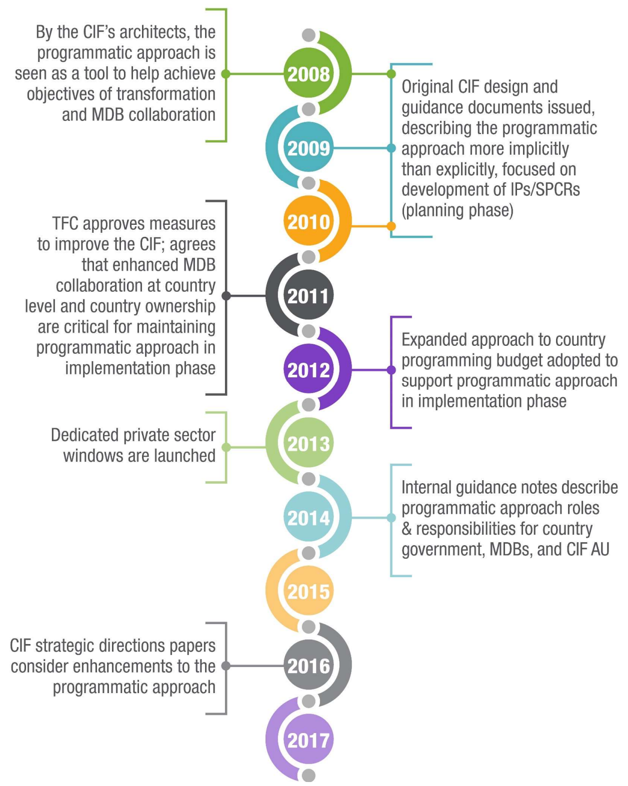
[6] In particular, the Third and Fourth Overall Performance Studies of the GEF pointed to a need for country programming to improve impact.

[7] The 2008 documents that establish the CTF and SCF describe the programmatic approach more implicitly than explicitly, in particular through the description of the preparation of country-based investment programs. For CTF in particular, the program's guidelines and policy documents do not refer to a programmatic approach. SCF foundational documents use the term to describe their programming modalities, primarily in reference to the country's investment program.

that would facilitate the government's preparation of the IPs/SPCRs—including the expected cooperation among MDBs and consultation with other development partners, non-governmental organizations, private sector, and civil society—as well as expectations for the IP/SPCR documents themselves.[8]

After inception in 2008, the CIF moved quickly to program its resources through its country programmatic approach modality. Nine CTF IPs were endorsed in 2009 and by June 2010, IP preparation grants[9] (IPPGs) had been approved for seven PPCR countries. By the end of 2012, for the first round of CIF pilot countries, nearly all IPPGs had been approved for SCF countries,[10] and all CTF IPs had been endorsed.

Figure 2: History of the CIF Programmatic Approach



As more IPs/SPCRs were endorsed and moved into the project implementation phase, CIF stakeholders recognized and responded to the risk that expected programmatic impact would not be achieved if the programmatic approach was not supported through continued engagement. CIF stakeholders began to realize the difficulty of maintaining a programmatic approach post-endorsement. Operational guidelines issued to-date had focused almost exclusively on the investment planning phase. And after the planning phase, activities that helped to facilitate coordination (such as joint missions and inter-ministerial committees) were no longer in place to support the necessary linkages required to maintain the programmatic approach.

In response, in 2012, the Joint Meeting of the CTF and SCF Trust Fund Committees (Joint TFC) decided that continued engagement after endorsement of IPs/SPCRs is required to support a programmatic approach. The Joint TFC called for measures to reinforce the programmatic approach in the project

[8] As the 2014 Independent Evaluation of the CIF pointed out, the SCF Program-level guidance is more inclusive than CTF guidance on expectations for stakeholder groups that should be consulted during IP/SPCR preparation. PPCR, SREP, and FIP explicitly name local communities and indigenous peoples, and PPCR and FIP explicitly name women or women's groups. In contrast, CTF guidelines indicate a role for consultation with government, private industry, and development partners; no role is stated explicitly for civil society.

[9] These are grants provided to pilot countries to support the development of IPs/SPCRs. Indicative amounts are up to $1.5 million for PPCR; $250,000 for FIP; and $300,000 for SREP. The CTF also provides for grants to be used for preparation of CTF investment plans, where needed (see CTF Financing Products, Terms and Review Procedures for Public Sector Operations, May 28, 2009, pars 10-15). To date, however, no CTF country has requested such funding.

[10] Exceptions are two SREP IPPGs (Vanuatu and Yemen).

implementation phase, across all CIF programs. These were: establishing or strengthening country coordination mechanisms, strengthening country-level partnerships among the MDBs, and improving in-country collaboration among stakeholders, including bilateral and United Nations (UN) organizations, civil society organizations, and the private sector.[11]

The CIF also took several additional steps to help ensure continuance of a programmatic approach through implementation. A first step was the issuance of internal guidance. Guidance was provided to MDB task teams in 2011 on how to best support government in managing the implementation of CIF IPs/SPCRs to maintain and institutionalize a programmatic approach. This included guidelines for embedding program-level information sharing and lessons learning components in investment plans and projects.

Another step was the approval of a multi-year country programming budget to provide thematic support to country-level activities in the areas of IP/SPCR preparation and updates, monitoring and reporting (M&R), knowledge management, stakeholder review, and subsequently, gender.[12] Guidelines and toolkits for M&R at the level of the IPs/SPCRs were also developed. PPCR and FIP pilot countries report annually on progress against core national indicators from the approved results frameworks; in the CTF and SREP, MDBs report project-level results against core indicators.

Further guidance was issued by the CIF AU in 2014, after the Enterprise Risk Management Framework for the CTF and SCF identified an impact risk: "inability to deliver the expected programmatic impact […] if there is no continued oversight of an investment plan after it is endorsed and there are no requirements to monitor and measure the programmatic achievements of the investment plan."[13] Subsequently, the formal role and responsibilities of a "lead" MDB for each of the pilot countries were identified, along with those of the country focal points and the CIF AU in maintaining a programmatic approach in the project implementation phase.[14]

To complement the country-driven IP/SPCR programmatic approach model, and channel funds specifically to private sector investments, in 2013 the CIF also launched dedicated private sector windows—CTF's DPSPs and SCF's PSSA—which employ some features of the programmatic approach, as discussed in Section 3.5. The intention of the CTF DPSP was to supplement, not replace, the country-driven IP model, and to maintain a strong link to country priorities and CTF program objectives.[15] The DPSPs were designed to use a thematic "programmatic approach where MDBs collaboratively identified private sector funding opportunities." So far, three phases of DPSP have been endorsed.

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[11] CIF. 2012. Enhancing Country Coordination Mechanisms, MDB Collaboration, and Stakeholder Engagement in CIF Programs. April 2012.

[12] This budget is specifically for activities led by pilot countries and coordinated through their focal points and MDBs. Use of these funds is approved by the MDB Committee. Section 2.4 of this report reviews how these funds have been used.

[13] CIF. 2013. Updates to the Elaboration of an Enterprise Risk Management Program for the Climate Investment Funds.

[14] CIF. 2014. Guidance Note: CIF Programmatic Approach – Roles and Responsibilities in Developing and Implementing CIF Investment Plans, September 2014; CIF. 2014. Internal Guidance Note – Roles and Responsibilities of the MDBs in Programming and Implementing CIF Investment Plans, February 2014.

[15] CIF. 2013. Dedicated Private Sector Programs. CTF/TFC.12/4.

The PSSA process for the SCF programs was designed to create incentives for the private sector to engage in PPCR, FIP, and SREP countries, given that governments generally preferred to use allocated SCF resources for public sector investments. A 2014 review of the PSSA found that although the PSSA was successful in doubling the value and number of private sector projects in the SCF, several operational challenges led to a lower number of project concepts submitted, and on the whole, less innovative concepts than expected.[16] After two rounds of funding, the PSSA ended in 2014.

The CIF's programmatic landscape has expanded over the past decade. Through December 2017, the CIF has endorsed 84 country IPs/SPCRs and three regional IPs/SPCRs, and implementation of those plans is partway completed, with more than 300 projects approved. Since 2014, many SCF pilot countries have been approved to prepare IPs/SPCRs without the promise of CIF resources available to fund that plan. The SCF program Sub-Committees have endorsed 17 IPs/SPCRs without associated CIF resources and with countries and MDBs encouraged to seek actively resources from other bilateral and multilateral sources to fund the development and implementation of the projects in the IPs/SPCRs.

The programmatic approach has featured prominently in ongoing strategic dialogue about the future of the CIF. In 2016, the Joint TFC reviewed a paper asserting the programmatic approach as a key element of the CIF's value proposition going forward. For the CTF, an enhanced programmatic approach was proposed to draw on the benefits of both country and thematic (e.g., technology, sector, instrument based) programmatic approaches.

2.2. Key elements of and expectations for the programmatic approach

Key activities and features of the programmatic approach

The CIF's programmatic approach encompasses the development and implementation of a country-led investment plan—supported by MDB collaboration, informed by multi-stakeholder consultation, and associated with a predictable and flexible resource envelope—that sets out strategically linked investments, unified by a transformative vision. Document, interview, and survey evidence point to these features as those most commonly identified across the four CIF programs as integral to the programmatic approach. Notably, these are also the features that are most prominent in the guidance issued by the CIF AU around the development of IPs/SPCRs, as discussed in the previous section.

Other important features of the programmatic approach vary by CIF program, as shown in Table 1 below. For the SCF programs, and PPCR in particular, the identification and use of an institutional structure to coordinate the country program is a key element. [17] Results measurement at the program level, regular stakeholder review meetings, and knowledge and learning activities at the country program level are seen as key features of the programmatic approach in the PPCR and FIP. Support for additional readiness activities is a particularly prominent feature in the PPCR, with its larger SPCR

[16] Vivid Economics. 2014. A review of the private sector set-asides of the Strategic Climate Funds, report prepared for CIF Administrative Unit, October 2014.

[17] Reaching as high as 92 percent of survey respondents agreeing or strongly agreeing for PPCR.

preparation grant, but also features in FIP and SREP. Some features are designed for the investment planning phase (i.e., leading up to the endorsement of the IP/SPCR), some are designed for the project implementation phase (i.e., after the endorsement of the IP/SPCR), and some are relevant for both.

Table 1: Key features of the CIF's programmatic approach by program

	Investment Planning (P) and/or Project Implementation (I) Phase	CTF	PPCR	FIP	SREP
A country investment plan that is:					
Developed through country **government leadership**	P	✓	✓	✓	✓
Informed by **multi-stakeholder consultation**	P	✓	✓	✓	✓
Supported by **MDB coordination**	P,I	✓	✓	✓	✓
Associated with a **scaled up, predictable, and flexible resource envelope**	P,I	✓	✓	✓	✓
Comprised of **strategically linked investments**, unified by a transformative vision	P,I	✓	✓	✓	✓
Supported by **readiness activities** (e.g., policy reform, capacity building, analysis, awareness raising)	P,I	–	✓	✓	✓
Inclusive of cross-project **knowledge and learning** activities	P,I	†	✓	✓	✓
Coordinated by a government institutional structure ("**country coordination mechanism**")	I	†	✓	✓	†
Reviewed annually or biannually by stakeholders	I	†	✓	✓	†
Monitored annually at the country program level	I	–	✓	✓	–

✓ denotes features that are understood from both documentation and practice
† denotes features that are implied in documentation, but not followed in practice
– denotes features that are not considered to be part of the programmatic approach for specific programs, but could be supported through other CIF activities (e.g., through investment projects)

The concept and key features of the CIF programmatic approach are understood relatively similarly by the CIF's TFC members, AU, and MDB Committee, but understanding is more limited beyond this central level. Fieldwork indicated that the concept of the CIF's programmatic approach is not understood much beyond its governance and management bodies and MDBs at the headquarters level. The evaluation found varying levels of comprehension among MDB task teams, government focal points, project implementation units, and other local stakeholders.[18,19]

This led to some important distinctions—most notably between the CIF's programmatic approach, and the use of "program" approaches in individual investment projects. For example, MDBs often call private sector projects "programs" and they entail a parent program and sub-projects. "Program"

[18] This limitation was anticipated in the design of the evaluation instrumentation, and the evaluation team used careful language to explain the activities of the CIF programmatic approach, in order to gauge the contribution of those activities to programmatic outcomes.
[19] For example, some country governments had their own "programmatic" or "integrated" approaches that were related to, but not identical, to the CIF's programmatic approach.

approaches are also frequently understood as projects that include "hard" and "soft" components—e.g., a financing component and a policy or institutional component. The interpretation taken by the evaluation team was that the programmatic approach can manifest itself in the use of program-approaches in investment projects (e.g., the embedding of an institutional project component to support a national secretariat to coordinate across the full CIF country program, not just the individual project). However, the use of a parent-child format or a "program" design for a project alone is not synonymous with the CIF's programmatic approach and is not reviewed as part of this study.

Expectations for the programmatic approach

CIF stakeholders have ambitious expectations for what the programmatic approach can achieve. The use of the CIF's programmatic approach—through the key elements described in the previous section—was expected to be more effective than a project-by-project approach in helping to contribute to the CIF's goal of achieving transformational change. A country program is expected to achieve synergistic climate benefits or results that go beyond what individual projects may achieve. The majority of stakeholders surveyed also expect the programmatic approach to result in enhanced quality of project design (for CTF and PPCR) and more innovative climate solutions for CIF-funded projects (especially for PPCR[20])—further fostering transformational change.[21]

This evaluation sought to understand what key differences CIF stakeholders expected the use of a programmatic approach to make in the transformational change process—and to use this understanding to inform the development of a theory of change and analytical framework for the evaluation. Through scoping interviews, documentation review, and a survey, the evaluation team identified five groups of hypothesized programmatic outcomes, as shown in the table below. These are the potential outcomes from the use of the CIF programmatic approach, as result of its key features and activities described above.

[20] 100 percent of survey respondents agreed or strongly agreed to these statements for PPCR.

[21] As noted earlier, assessing the progress of CIF pilot countries toward transformational change was beyond the scope of this evaluation and will be covered through a separate set of evaluation activities commissioned by the CIF E&L Initiative.

Table 2: Potential Outcomes of Using the CIF's Programmatic Approach

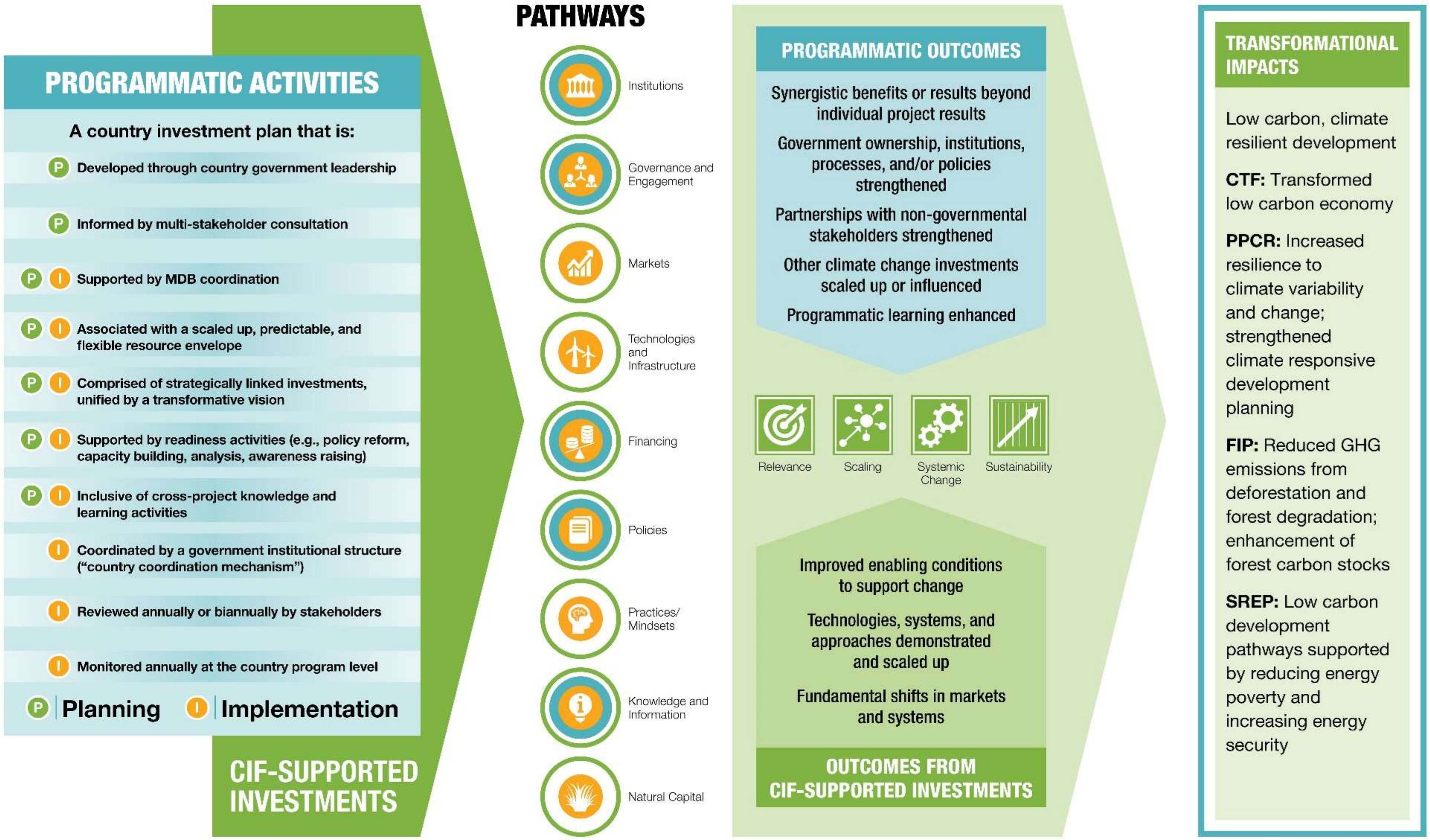
Synergistic benefits or results that go above and beyond individual project results	▪ More strategic linking of investments and activities, including of public and private sector investments ▪ Innovative or first-of-a-kind projects facilitated
Government ownership, institutions, processes, or policies strengthened	▪ Government awareness of and commitment to climate change strengthened ▪ Institutional capacity to manage and/or monitor climate change programs strengthened ▪ Inter-ministerial coordination expanded ▪ Relevant government policies and regulations reinforced or influenced
Partnerships with non-governmental stakeholders strengthened	▪ Partnerships with civil society organizations (e.g., nonprofits, academia) strengthened ▪ More incentives for and partnerships with private sector
Scaling up/ influencing other climate change investments	▪ More co-financing or parallel financing "crowded in" for CIF-funded projects ▪ Increased availability of climate change finance (e.g., through scaled-up investment commitment or domestic finance) ▪ Market development
Enhanced programmatic learning	▪ Enhanced knowledge and learning across CIF-funded projects

2.3. A theory of change for the CIF's programmatic approach

The CIF's programmatic approach is an operational modality, and the potential outcomes from using such an approach cannot be fully disassociated from the outcomes of the investment projects in a country program. As such—and in recognition of stakeholders' perceptions that the programmatic approach is a tool to help the CIF achieve transformational change—the evaluation embeds the theory of change for the CIF's programmatic approach in the broader transformational theory of change, a working version of which was developed by the first phase of the CIF E&L Initiative's Transformational Change Learning Partnership. As illustrated below, the use of a programmatic approach is expected to help activate or reinforce some of the transformational change implementation pathways or "arenas" that—in combination and iteratively—lead to outcomes. Similarly, the programmatic outcomes can contribute to the presence of the four dimensions of transformational change—relevance, scaling, systemic change, and sustainability, as identified by the Phase 1 Transformational Change Learning Partnership—helping to lead toward transformational impact.

The theory of change diagram for the CIF's programmatic approach is shown in Figure 3. The change process is supported by a series of assumptions. These are that: sufficient financial and human resources are available for the programmatic approach during planning and implementation; roles and responsibilities for programmatic activities are well understood; and the country coordinating mechanism has sufficient convening power.

Figure 3: Theory of Change Diagram for the CIF's Programmatic Approach



2.4. The cost of the programmatic approach

BOX 3: CATEGORIES OF COSTS INCURRED THROUGH USE OF A PROGRAMMATIC APPROACH

- **Grants to SCF pilot countries to prepare their IP/SPCR, known as IPPGs**; indicative amounts are up to $1.5 million for PPCR; $250,000 for FIP; and $300,000 for SREP.
- **Country programming budget** includes the multi-year resources available for country-level activities to sustain the programmatic approach, which are accessed through the MDBs. Eligible categories are: IP/SPCR preparation and updates/revisions; stakeholder review meetings; annual monitoring and reporting exercises; support for gender analysis, knowledge, or technical work in the preparation or implementation of the IP/SPCR; and country-specific knowledge products or activities.
- **Administrative services provided by CIF AU staff** for IP/SPCR development, updates, and revisions, and to support programmatic monitoring and reporting.
- **Administrative services provided by MDB staff** for IP/SPCR development, updates, and revisions; monitoring and reporting; and stakeholder review meetings.
- **Additional costs** such as those for hiring external experts to review IP/SPCRs (not included).

The evaluation attempted to make a full accounting of the costs borne by the CIF in taking a programmatic approach—to examine whether those costs are commensurate with the benefits of taking such an approach—but faced several challenges. First, multiple entities experience costs in multiple ways, over varying time horizons. For example, MDBs and the CIF AU include staff time for programmatic activities under the broader annual administrative services budget. The budgeting framework has also changed over time, with new categories adopted from FY16 on, making it difficult to track costs systematically over the full life of the CIF.[22] Expanded country programming budget categories were introduced in 2014. A further challenge is that it can be difficult to distinguish which activities should be considered "costs" of using a programmatic approach, as compared to specific TA activities. Certain programmatic activities—like capacity building for government institutions—can be embedded in investment projects, programmed as stand-alone TA, or even as a component of a project preparation grant.[23] For the purposes of this analysis, those latter costs were not considered because they are not tracked separately and could be incurred for a project-by-project approach.

The evaluation estimates that using a programmatic modality has incurred costs of approximately $84 million over the lifetime of the CIF, or approximately 1 percent of endorsed funding, as shown in Table 3. The percentages for the SCF programs are skewed slightly upward by the additional pilot countries that have been allocated IPPGs and country programming budget to support IP/SPCR preparation, but for which no investment funding has been allocated.[24]

[22] Starting in FY16, CIF AU and MDB administrative services budgets have relevant line items for "investment plan development, update, and revision" and for "stakeholder engagement in review of IP implementation." Prior to FY16, CIF AU and MDB staff costs associated with the programmatic approach cannot be readily extricated from aggregate totals.

[23] Conversely, some portions of IPPGs have sometimes been used to prepare specific projects (such as for environmental and social impact assessment).

[24] For example, removing the SPCR preparation grants for the 10 additional PPCF pilot countries reduces programmatic costs as a percent of total funding endorsed to 2.9%.

Table 3: Costs Incurred for the Programmatic Approach, by Program and Category (FY09–17)

Program	IPPGs[a]	Country Programming[b]	MDB Administrative Services *(Estimated)*[c]	CIF AU Administrative Services *(Estimated)*[d]	Total Estimated Costs	Total IP/SPCR Funding Endorsed[e]	Costs as a % of Funding Endorsed
CTF	$0.0	$2.3	$4.5	$1.07	$7.9	$5,661.3	0.1%
PPCR	$24.9	$12.4	$4.7	$1.1	$43.1	$1,034.4	4.2%
FIP	$4.8	$9.6	$2.3	$0.5	$17.2	$661.0	2.6%
SREP	$5.5	$8.0	$2.1	$0.5	$16.2	$745.0	2.2%
Total	**$35.2**	**$32.3**	**$13.6**	**$3.2**	**$84.4**	**$8,101.6**	**1.0%**

[a] From CIF Project Information System (PIS) as of June 30, 2017. Where available, amount included is net of any returned or cancelled funds.
[b] Equal to allocations by MDB Committee net of funds returned by MDBs, as reported in the FY18 CIF Business Plan and Budget.
[c] Conservatively estimated in total at $1.7 million per year for eight years (FY10–17) based on FY16–17 costs for administrative services budget lines 2 and 5. Allocated between CTF and SCF based on a ratio of 1:3 (the approximate average CTF:SCF ratio of CIF AU expenses in budget line 2), and then distributed proportionately among SCF programs based on IPPG and country programming expenses.
[d] Conservatively estimated in total at $400,000 per year for eight years (FY10–17) based on FY16–17 costs for administrative services budget line 2, and allocated among programs as described above.
[e] From CIF Project Information System (PIS) as of June 30, 2017; does not include DPSP or PSSA funds.

The large majority of resources used for the programmatic approach has been directed at the investment planning phase for the PPCR, FIP, and SREP. IPPGs have been used primarily to prepare the IPs/SPCRs for submission to the CIF, with some exceptions in PPCR. The financial utilization of IPPGs suggests that they have been sufficient to support the development of the IPs/SPCRs: 89 percent for PPCR, 92 percent for FIP, and 83 percent for SREP. In PPCR, governments struggled to use the full IPPG funds in the planning period and continued to use those funds for supportive functions (e.g., technical studies, policy reform) post-endorsement, although the actual closing dates of those grants are not tracked by the CIF AU. Concerns were raised about whether some PPCR countries had sufficient capacity to effectively use those funds, resulting in lower utilization (Sections 3.2 and 0).

Dedicated resources to sustain the programmatic approach in implementation have been extremely limited. An expanded approach to the country programming budget was introduced to help ensure the success of the programmatic approach at the country level, through continued engagement after the endorsement of IPs/SPCRs. But in practice, the large majority of these resources have been used for IP/SPCR preparation and revision. Of the $11.3 million in-country programming resources allocated in FY15–17, less than 15 percent ($1.6 million) were used for activities that could support a programmatic approach in implementation.[25] These were primarily building capacity for M&R and South-South exchanges—concentrated in about half of PPCR and FIP countries with endorsed plans. MDBs saw the process to access these resources as onerous relative to the small grant size; this contributed to the

[25] The remaining $9.7 million was used for IP/SPCR preparation and IP revision.

country programming budget being under-utilized to support implementation. In FY16–17, approximately $2.9 million in MDB and CIF AU administrative services budget went toward M&R (e.g., building country capacity to use the CIF's M&R toolkits) and stakeholder engagement in review of IP implementation.

3. The Programmatic Approach in Practice

Each of the four CIF programs has envisioned and practiced the programmatic approach differently, owing to the different objectives and contexts of those programs, as well as to the operational guidelines and resources provided to support the programmatic approach in each program. In the **CTF**, it has focused on business planning for scaled up and predictable resources and better public-private sector linkages. In the **PPCR**, the programmatic approach has been fully intertwined with the PPCR's objectives; the use of this approach recognizes the necessity of cross-sectoral, mainstreaming approaches to address climate risk and achieve sustainable development outcomes. In the **FIP**, the programmatic approach was understood as building on and fitting in with other ongoing national initiatives, especially in REDD+ countries. **SREP's** programmatic approach focused on combining technical assistance components with investment and creating national platforms to crowd in resources and scale up renewable energy.

This chapter addresses the defining features, practical experiences, advantages, and challenges of the programmatic approach at the CIF program level for the CTF (**3.1**), PPCR (**3.2**), FIP (**3.3**), and SREP (**3.4**). Appendix C provides further documentary evidence on the vision for the programmatic approach in each of the four CIF programs. This chapter also discusses the use of a programmatic approach in the CIF's dedicated private sector windows (**3.5**).

3.1. Clean Technology Fund

3.1.1. Vision and defining features of the programmatic approach

The original vision for a programmatic approach in the CTF refers to country programming: government leadership, joint MDB preparation missions, and consultation with government, private sector, and development partners to develop country IPs.[26] CTF 2008 guidelines describe the IP as a dynamic "business plan" for the MDBs—describing how the scaled up resource envelope would be utilized. Unlike the SCF, CTF guidance did not specify the inclusion of civil society stakeholders or vulnerable or marginalized groups in the consultation process to develop country IPs. Although CIF-wide guidance implied that the programmatic approach should

BOX 4: MAIN FEATURES OF THE CTF PROGRAMMATIC APPROACH

A country IP that is:

- ✓ Developed through country **government leadership**
- ✓ Informed by **multi-stakeholder consultation**
- ✓ Supported by **MDB coordination**
- ✓ Associated with a **scaled up, predictable, and flexible resource envelope**
- ✓ Comprised of **strategically linked investments**, unified by a transformative vision

[26] CTF. 2008. Guidelines for Investment Plans.

incorporate features such as cross-project knowledge and learning activities, annual or biennial stakeholder review meetings, and government coordination in the project implementation phase, these features were not fully engaged in the CTF.

3.1.2. The programmatic approach in practice

Investment planning phase

Compared to SCF, CTF IPs were developed relatively quickly, without preparation grant funding, and mostly without wide stakeholder consultation. This was partially motivated by a desire to quickly program and disburse CIF funding. Government, MDBs, and some development partners were engaged in CTF IP preparation, but about 75 percent of IPs were developed without consultation with civil society and about 40 percent were developed without consulting the private sector. Most IP development was led by ministries or agencies responsible for finance or planning, but institutional arrangements for further coordinating the country program are not specified in IPs.

The endorsed IPs show evidence of systems thinking that could help lead to transformational change. They make clear statements of alignment with relevant national policies and strategies, address multiple pathways of change, and typically target low-carbon technology development and emissions reductions opportunities in the energy and power sectors and transportation sector.

Project implementation phase

In the project implementation phase, the predictability and flexibility of resources has remained a valuable feature of the CTF programmatic approach. This feature has enabled recipient countries to reallocate resources within or across MDBs to reflect changing country circumstances. For example, if a project concept becomes less relevant after IP endorsement (e.g., evolving market dynamics that mean that certain technologies no longer require concessional finance) or if a private sector partner cannot be found, those resources are not forfeited but rather reassigned to an existing successful project or a new project concept. The CTF IPs have also undergone regular updating to reflect evolving opportunities and challenges; all 16 of the CTF IPs have been revised, and six have been revised twice.

Overall, however, the programmatic approach has been largely dormant in the CTF after IP endorsement. No country programming resources have been accessed for knowledge activities, stakeholder review meetings, or other programmatic activities. CTF country government focal points—of which about half are in agencies responsible for finance, planning, or international cooperation, and half are in ministries responsible for energy or environment—and lead MDBs have been identified, but the evaluation found limited evidence of those entities fulfilling the coordination and other responsibilities identified in CIF programmatic approach guidance. This is partly due to the emphasis of those guidelines on organizing annual/biennial meetings with the stakeholder community relevant to the IP to discuss implementation progress. These meetings have largely been associated with country-led program-level M&R processes, whereas CTF M&R is led by MDBs at the project-level. Lack of wide consultation during IP development also makes it somewhat unclear what the relevant stakeholder community would be.

3.1.3. Advantages and challenges of the programmatic approach

In the investment planning phase, the CTF programmatic approach offered countries an organized way to prioritize investments, a platform for MDBs for joint programming and division of labor, and, above all, more planning security. Almost all interview partners in this evaluation see the predictable and flexible resource envelope as a main programmatic advantage. The certainty of resources helped to facilitate the design of some innovative projects, with flexibility to adjust to new demand, technologies, and investments, such as in Mexico. Joint MDB planning helped lead to well-coordinated country investment plans in some countries, such as in Turkey. The considerable size of CTF funding and concentration on new technologies raised country awareness and dialogue and contributed to more private-public sector linkages than are commonly observed in country and MDB programming, like in Chile (see Section 4.1). The CTF has recently been moving toward thematic and technology-based support across countries and regions, initiated through the DPSPs (see also Section 3.5), which is complementary at global level to a country-focused programmatic approach of transformative vision and strategies, priority setting, and synergies.

The expected value of sustaining the CIF programmatic approach in the CTF during the project implementation phase—for example, through an institutional structure to coordinate across the program of investments—is less apparent. The CTF works in middle income countries with greater national capacity to manage and coordinate their own programs, and less need for such features to be designed into the CTF's programmatic approach. The CTF also often works across multiple sectors (e.g., transport and energy) that offer fewer opportunities for cross-project learning, although the CTF finances some cutting-edge technology support that leads to many experiences and questions that could inform future policies, regulations, and investments. The strong private sector orientation of the CTF portfolio is also a somewhat constraining factor in terms of information sharing, given associated confidentiality considerations. In interviews, questions were raised about the added value of sustaining a country programmatic approach in the project implementation phase for the CTF. Some interviewees voiced concerns about promoting collaboration during implementation for its own sake.

3.2. Pilot Program for Climate Resilience

3.2.1. Vision and defining features of the programmatic approach

A programmatic approach is fully intertwined with the PPCR's objectives. The PPCR was designed to provide finance for "programmatic approaches to upstream climate resilience in development planning, core development policies, and strategies" and "to catalyze a transformational shift from the 'business as usual' sector-by-sector and project-by-project approaches to climate resilience."[27] This strategy is consistent with the growing awareness within the development community of the necessity of integrated approaches. Increasingly, practitioners, donors, and researchers agree that addressing climate risk requires a mainstreamed, holistic approach to achieve sustainable development outcomes.

[27] CIF. 2009. Programming and Financing Modalities for PPCR.

The literature recognizes that integrating adaptation into current policy and development (mainstreaming) is more effective than implementing stand-alone measures and can strengthen the effectiveness of climate policy in addition to other policy areas.[28] Mainstreaming adaptation into development planning is complex—it requires more than investment or an individual project approach, and extends to building the institutional capacity and processes required to achieve resilience.[29] Further, it requires coordination among a myriad of actors, institutions, and processes.[30]

BOX 5: MAIN FEATURES OF THE PPCR PROGRAMMATIC APPROACH

A country SPCR that is:

- ✓ Developed through country **government leadership**
- ✓ Informed by **multi-stakeholder consultation**
- ✓ Supported by **MDB coordination**
- ✓ Associated with a **scaled up, predictable, and flexible resource envelope**
- ✓ Comprised of **strategically linked investments**, unified by a transformative vision
- ✓ Supported by **readiness activities**
- ✓ Inclusive of cross-project **knowledge and learning** activities
- ✓ Coordinated by a **government institutional structure**
- ✓ **Reviewed annually** or biannually by stakeholders
- ✓ **Monitored annually at the country program level**

The PPCR programmatic approach is the most comprehensive among the CIF programs. The investment planning phase was designed to provide funding for technical assistance (TA) to enable pilot countries to build on their existing national work to integrate climate resilience into development plans, strategies, and financing—and prepare their SPCR through a government-led and participatory process. Up to $1.5 million per country (the IPPG) would be provided for policy reform, capacity building, institutional strengthening, stakeholder engagement, and awareness raising. These readiness activities are a distinguishing feature of the PPCR programmatic approach. In the project implementation phase, PPCR requires program-level M&R, with multi-stakeholder workshops to review progress against the SPCR and score core indicators at the national level. PPCR guidance also calls for identifying existing or establishing new country mechanisms to coordinate the strategic program, as well as to further support mainstreaming climate resilience into development planning.

[28] See, for example: Gogoi, E., Bahadur, A., & Rumbaitis del Rio, C. 2017. Mainstreaming Adaptation to Climate Change within Governance Systems in South Asia: An Analytical Framework and Examples from Practice. UK Department for International Development. Action on Climate Today; and Pervin, M., Sultana, S., Phirum, A., Camara, I. F., Nzau, V. M., Phonnasane, V., Anderson, S. 2013. A framework for mainstreaming climate resilience into development planning. London, UK: International Institute for Environment and Development; and Watkiss, P., & Cimato, F. 2016. The economics of adaptation and climate-resilient development: lessons from projects for key adaptation challenges. Center for Climate Change Economics and Policy and Grantham Research Institute on Climate Change and the Environment; and Kok, M., & de Coninck, H. 2007, November-December. Widening the Scope of Policies to Address Climate Change: Directions for Mainstreaming. *Environmental Science & Policy, 10*(7-8), 587-599.

[29] See also, for example: GFDRR. 2017. Enhancing Climate Resilient Development in Vulnerable Countries; and OECD. 2012. Greening Development: Enhancing Capacity for Environmental Management and Governance; and CDB. 2012. Climate Resilience Strategy 2012-2017. Caribbean Development Bank; and USAID. 2014. Climate-Resilient Development: A Framework for Understanding and Addressing Climate Change. Washington, DC: U.S. Agency for International Development.

[30] Gogoi, E., Bahadur, A., & Rumbaitis del Rio, C. 2017. Mainstreaming Adaptation to Climate Change within Governance Systems in South Asia: An Analytical Framework and Examples from Practice. UK Department for International Development. Action on Climate Today. See also: Nord-Star. 2015. Mainstreaming climate change into Danish development cooperation: Shifting towards green growth. Nordic Centre of Excellence for Strategic Adaptation Research.

3.2.2. The programmatic approach in practice

Investment planning phase

The PPCR's programmatic approach helped pilot countries to ensure strategic use of resources by identifying specific climate resilience priorities through a multi-sector, multi-stakeholder consultative process. A range of ministries and agencies have been involved in developing the SPCRs, most frequently those responsible for finance, the economy, and/or planning, for environmental protection, and for agriculture and food security, but also those with responsibility for meteorology and hydrology, water, forestry, public works, transport, education, housing, tourism, and energy. Subnational government bodies including provincial or state, regional or district/municipal governments have also been consulted in 80 percent of SPCRs endorsed. International, regional, or national NGOs, local communities or community-based organizations, private sector entities, and UN and bilateral development partners were consulted for all endorsed SPCRs. Research institutes or academia were also consulted for nearly all SPCRs (90 percent), with women's groups and indigenous peoples or traditional authorities consulted somewhat less frequently (65 and 35 percent, respectively).

Additional resources provided to PPCR countries in the planning phase helped support institutional readiness and policy change, such as integrating climate resilience into national development and sector plans. IPPG funds were used in many countries to carry out studies that could provide the data and analytical groundwork for climate-resilient investments: analyses of climate risks; institutional analyses to identify a cross-sector and/or vertical coordination mechanism; institutional capacities, gaps, and needs for mainstreaming climate resilience; awareness-raising and knowledge management activities; and capacity building needs and activities. In some countries, the IPPG funds helped support the establishment of a country coordination mechanism and policy change, such as in Zambia (see Box 6). Although the original intention was for these readiness activities to be completed prior to SPCR endorsement, in practice some activities continued after endorsement—including the country coordinating mechanisms—which helped to prevent a gap that could undermine the PPCR's programmatic approach.

A review of PPCR's investment planning phase raised concerns in terms of the ability of lower capacity countries to use these IPPG resources, which are often recipient-executed, most effectively and efficiently. Some pilot countries identified operational procedures as a significant challenge in Phase 1.[31] This evaluation found limited documentation on how such grants were used specifically, and with what outcomes, apart from the submission and endorsement of an SPCR. [32]

Project implementation phase

Requirements for program-level M&R and the PPCR's emphasis on country coordination mechanisms helped sustain the programmatic approach in PPCR countries. The PPCR's participatory approach to M&R has supported broader stakeholder engagement and provided an annual platform for multi-sector

[31] Bann, Camille. PPCR Programming Phase: Lessons on Enhancing Readiness for Climate Resilient Development.

[32] For example, grant proposals and completion reports have not been systematically collected by the CIF AU and were not always readily available from MDBs. The CIF AU also does not track close dates for IPPGs.

and vertical collaboration and climate change awareness raising among and beyond national government actors.

The PPCR aimed for its pilot countries to have focal points and coordinating mechanisms with sufficient political authority to bring the sector ministries together, both in planning and in implementation, as well as to convene multi-sector forums and facilitate engagement of sub-national government entities and groups outside of government. About 60 percent of pilot countries have focal points in central ministries (e.g., finance, planning) or other institutions at high levels of government (e.g., Office of the Prime Minister). The location of the country coordinating mechanism was a supportive but not sufficient factor to promote effective mainstreaming.

In PPCR countries where dedicated support and resources for country coordination mechanisms were provided, the programmatic approach was better sustained. For example, in Zambia, Niger, and Tajikistan, the PPCR provided financial and technical support to create and operate new strategic coordination units through the IPPGs and to sustain those units through stand-alone TA projects or dedicated components in CIF-funded investment projects. By embedding the expectations for such coordination units in investment projects, the PPCR ensured dedicated resources and accountability. Sustained programmatic coordination is particularly important in the multi-sectoral PPCR portfolio, where CIF-funded investments may be implemented through multiple line ministries and sub-national government entities and specialized agencies.

BOX 6: THE PROGRAMMATIC APPROACH IN PPCR IN ZAMBIA

The case of Zambia illustrates the value of readiness activities and dedicated investment project resources for supporting a country coordination mechanism, and the value of that coordination mechanism for sustaining a programmatic approach. When Zambia's Ministry of Finance engaged the PPCR in 2010, its Climate Change Response Strategy had already recommended a National Climate Change Council with an active coordinating Secretariat. The PPCR process helped address this recommendation by setting up an Interim Climate Change Secretariat (ICCS) in the Ministry of Finance to coordinate SPCR development. Its impact proved to be much wider.

In the planning phase, the ICCS achieved mainstreaming of climate change into Zambia's Sixth National Development Plan. The ICCS also coordinated the preparation of two investment projects with exceptional collaboration between the African Development Bank (AfDB) and World Bank at the outset. For the implementation phase, the ICCS received resources to support its functions from the World Bank's PPCR-funded investment project. Although supported by the PPCR, the ICCS was mandated to manage more than just PPCR funds; it oversaw more than $200 million in development partner climate finance, from UN and bilateral agencies. The ICCS also coordinated multi-sectoral issue platforms, oversaw the development of new project proposals, and explored new sources of climate finance to scale up its programs (e.g., through GCF). The ICCS embraced its M&R functions, requesting country programming budget to augment its M&R effort for two consecutive years and eventually leading the process, with minimal support needed from the MDBs.

3.2.3. Advantages and challenges of the programmatic approach

As noted above, a programmatic approach was integral to the objectives of the PPCR. The use of PPCR's programmatic approach helped to establish a common vision for climate resilience in its pilot countries and identify priority investments through an inclusive process. This led to some innovative investments and enabled some countries to create momentum that carried through to implementation.

The programmatic approach flowed into the design of the actual investments in many cases. In Zambia, climate change adaptation was for several years vertically mainstreamed into planning and delivery processes at provincial and district and community levels. The project implementation modalities support and in some cases sustain the engagement of local communities and NGOs in many pilot countries, using NGOs as service providers to those communities. PPCR's core indicators support accountability for programmatic outcomes, which include evidence of strengthened government capacity and coordination mechanism to mainstream climate resilience.

The PPCR's programmatic approach also offered significant flexibility in terms of the scope, financing, and timing of its planning, to reflect the diverse circumstances, needs, and capacities of the pilot countries. Particularly in countries where adaptation planning was relatively nascent (e.g., Tajikistan), the CIF's programmatic approach served as a catalyst. In countries with pre-existing climate adaptation strategies and capacities (e.g., Bangladesh), the PPCR built upon those foundations.

The PPCR's focus on institutional arrangements, multi-sectoral and vertical mainstreaming, and inclusive engagement has not been easy. Maintaining high-level government interest and stakeholders engaged in a meaningful way from planning through to implementation has been challenging, given the complexity of the country programs cutting across sectors and themes and involving multiple levels of government. Setting up new interagency and multi-level coordination mechanisms for climate resilience has led to political strife in some countries, and where government leadership is lacking, those mechanisms have not been effective.

The programmatic linkages between the PPCR's regional and country programs also leave room for improvement. About half of the PPCR's first round of pilot countries is also engaged in regional programs, in the Caribbean and in the South Pacific. In the Caribbean,[33] the regional SPCR came after the national SPCRs and was intended to address areas that needed more attention by several countries including addressing common but complex region-wide requirements (e.g., regional early warning systems, regional climate modelling, and scenarios development) and engaging relevant regional entities (e.g., regional hydro-meteorological entities, regional sustainable development sector coordination entities, regional training entities). In practice, there has been limited coordination between the Inter-American Development Bank (IDB) regional and World Bank country task teams. Task team leaders for some investment projects have limited awareness of the regional program, and at worst, see some regional activities as duplicative to national ones. However, some benefits have accrued where needs were met at country level by opportunities provided at the regional level, such as dedicated regional technical capacity with super computers to support national downscaling requirements.

[33] The Pacific regional program was not in the country/program sample for this evaluation.

3.3. Forest Investment Program

3.3.1. Vision and defining features of the programmatic approach

Early on, the FIP laid out a strong programmatic approach of its own, while clearly stating the importance of building on and fitting in with other ongoing climate funding and forest initiatives. The FIP drew attention to law enforcement and governance, forest laws and policy, and land tenure and called for piloting replicable models and leveraging and tracking further financial support as an explicit goal. Basic FIP principles included national cross-sectoral ownership, cooperation with other actors and processes, and early integrated and consistent learning efforts. The IP would serve as the business plan of the MDBs, with the process led and owned by the government. FIP guidelines call for the establishment of multi-stakeholder, national-level steering committees, with representation from local authorities and communities, indigenous peoples, and the private sector.[34]

BOX 7: MAIN FEATURES OF THE FIP PROGRAMMATIC APPROACH

A country IP that is:

- ✓ Developed through country **government leadership**
- ✓ Informed by **multi-stakeholder consultation**
- ✓ Supported by **MDB coordination**
- ✓ Associated with a **scaled up, predictable, and flexible resource envelope**
- ✓ Comprised of **strategically linked investments**, unified by a transformative vision
- ✓ Supported by **readiness activities**
- ✓ Inclusive of cross-project **knowledge and learning** activities
- ✓ Coordinated by a **government institutional structure**
- ✓ **Reviewed annually** or biannually by stakeholders
- ✓ **Monitored annually at the country program level**

Several key features and principles are critical for understanding the way the programmatic approach is applied and working under the FIP. First, the FIP was designed to be firmly embedded in and supportive of national efforts to reduce emissions from deforestation and forest degradation (REDD+) under the United Nations Framework Convention on Climate Change (UNFCCC).[35] Because of this, the FIP often works in a broader context, in coordination with other forestry initiatives focused on REDD+.[36] Second, the FIP supports the forestry sector, but with the intention to generate more cross-sectoral linkages to, and address key drivers of deforestation in, other forest-related sectors, such as transport, mining, and agriculture. A third distinct feature of the FIP is its Dedicated Grant Mechanism for Indigenous Peoples and Local Communities (DGM) program, which provides resources to those peoples and communities to enable their strengthened participation in the FIP and other REDD+ processes. DGM projects are implemented by the World Bank. At the country level, DGM arrangements have been negotiated either in combination with, or separately from, the FIP IP.

[34] CIF. 2009. Design document for the Forest Investment Program, July 2009; CIF. 2010. FIP operational guidelines, June 2010.
[35] In the REDD+ context, FIP aimed to bridge the gap between REDD+ readiness and result-based payments.
[36] Other forestry initiatives focused on REDD+ include the Forest Carbon Partnership Facility and UN-REDD Programme.

3.3.2. The programmatic approach in practice

Investment planning phase

In the investment planning phase, FIP's programmatic approach was executed largely in accordance with its guidelines. Joint MDB missions were conducted. IPs were developed through constructive and inclusive consultations with development partners, international and national NGOs, local communities and civil society organizations, indigenous peoples' groups or traditional authorities, research institutes, academia, and the private sector. Women's groups were included in consultations for about two-thirds of endorsed IPs. FIP IPs make clear statements about how the country programs and projects are aligned with national policies and priorities, including REDD+.

Most IPs identify a multi-sectoral, multi-stakeholder steering committee to manage the FIP—primarily using existing structures, including REDD+ ones—although a minority of IPs are vague on the institutional arrangements to coordinate the FIP program during implementation. All IPs include programmatic elements embedded in investment projects, including support for national policy and institutional reform, and forest sector coordination and governance. FIP IPs place a strong emphasis on institutional capacity, particularly at the local level, for participatory forestry management and land use planning.

Project implementation phase

A program-level approach to M&R, along with country programming budget support, has helped sustain the programmatic approach in implementation. Between FY15 and FY17, three FIP countries (Mexico, Indonesia, and Lao PDR) held stakeholder review meetings with the help of country programming budget; Mozambique and Indonesia participated in South-South exchanges; and Ghana received support for knowledge management activities. A challenge has been to maintain the inclusive process begun in the investment planning phase into the project implementation phase, in a way that reflects the particular country context. A recent stocktaking found that FIP countries are not always aware of the progress of implementation of private sector and DGM projects, and that such actors could be better engaged in M&R processes. (See also Box 14 on the role of M&R in the CIF programmatic approach.[37])

[37] The DGM is the subject of a separate evaluation commissioned by the CIF E&L Initiative.

BOX 8: THE PROGRAMMATIC APPROACH IN THE FIP

Three country case studies selected for this evaluation, Burkina Faso, Lao PDR, and Mexico, exemplify different achievements, potentials, and models of how the FIP contributes and operates in different settings. In Burkina Faso, the FIP was instrumental for unifying community-oriented forestry and agro-forestry efforts under one unit and program, for promoting the REDD+ process, and for kick starting a broader climate change dialogue in the country. In contrast, in Lao PDR, FIP does not have a strong profile of its own but rather uses its resources for scaling up existing MDB projects and selectively supporting the ongoing REDD+ process. The FIP in Mexico is unique as it is well integrated in a long-running multi-donor national program and strategically supports innovative approaches within this program, among others for financing productive forest use and community development and with strong emphasis on private sector instruments to productively and sustainably use forest resources.

3.3.3. Advantages and challenges of the programmatic approach

A programmatic approach fits well with needs for addressing climate change and forestry in FIP countries. Interviews indicated that those working in forestry see the need for and value of a broader programmatic strategy—such as the FIP's—that offers a means to address more comprehensively the complex drivers of deforestation and forest degradation than would be feasible through a project-by-project approach. The FIP approach also incorporates new ways of operating and orienting investments and developing new business models for forestry and cross-sectoral cooperation.

The FIP programmatic approach has also contributed to the participatory process in support of national REDD+ efforts and partnership building. Building effective consultation processes has also been a key outcome of the FIP programmatic approach, such as in Peru. The IP planning process helped lend visibility and a voice to responsible line ministries, who otherwise have often limited capacities to convene inter-sectoral and inter-ministerial dialogue. The programmatic feature of certainty of investment resources also enabled higher-level dialogue, including with the Ministry of Finance and across ministries.

The flexibility of the programmatic approach to take an approach that is appropriate to country circumstances has been a significant advantage in the FIP, given the wide diversity of country characteristics under the FIP—from geopolitical, socio-economic, to ecological, and also REDD+ participation and readiness (see Box 8). In Burkina Faso, the FIP helped initiate cross-sectoral and national dialogue on reducing emissions from deforestation and degradation, and jump-start the REDD+ process. In Mexico, through the use of a programmatic approach, the FIP was able to identify strategic entry points to accelerate change, nesting into a well-established national program with decades of history of capacity building and strategic thinking and a REDD+ strategy in place.

The programmatic approach has been more successful when countries' FIP programs have been linked to national priorities and development agendas and to strong national leadership. The cases of Burkina Faso, Mexico, and Brazil also demonstrate this. In Burkina Faso, the FIP is aligned with the country's rural development strategy and supported by a central coordination unit responsible for all FIP and REDD+ activities. In Mexico and Brazil, the FIP programmatic approach resonated with these more advanced countries. The FIP is linked in Mexico with national-level policy and integrated into a government-led program with high-level political support. In Brazil, FIP investment resources were directed toward a national priority geographic area (the Cerrado), following inter-ministerial negotiation led by the Ministry of Finance; in the project implementation phase, cross-sector, inter-ministerial coordination of the program is supported through a stand-alone TA.

Because the FIP is linked to larger REDD+ processes in many of its pilot countries, the approach taken for REDD+ in those countries influences the programmatic approach. In particular, the level of priority afforded to REDD+ in each country confers to FIP to some extent. Similarly, because many FIP countries rely on the existing national coordination architecture for REDD+ to also coordinate the FIP, the strength of programmatic coordination in the project implementation phase is largely dependent on the strength of that existing architecture.

Interviews suggested that more preparatory work may have been needed in some countries to ensure that the government, in particular, had the capacity and information to see the value addition of a programmatic approach and to own that approach through the investment planning and project implementation phases. Building the partnerships and high-level political support that can effectively support a programmatic approach, and ultimately transformational change, takes time.

3.4. Scaling Up Renewable Energy Program

3.4.1. Vision and defining features of the programmatic approach

The SREP was launched with high expectations for its programmatic potential. The SREP targeted low-income countries with limited existing efforts and investments around renewable energy and often very low electrification rates. The CIF's architects and donors saw a significant opportunity to build a national program and influence other resources in this area—goals that are also reflected in the SREP design documents.[38]

Taking a programmatic approach for investing in renewable energy was one of the core design principles for the SREP and refers to an approach that involves "both renewable energy investments […] and technical assistance, together with support for policy changes."[39] The SREP has a single-sector entry point—energy—and most activities are under the Ministry of Energy. Instead of focusing on cross-sectoral coordination, the SREP's

BOX 9: MAIN FEATURES OF THE SREP PROGRAMMATIC APPROACH

A country IP that is:

- ✓ Developed through country **government leadership**
- ✓ Informed by **multi-stakeholder consultation**
- ✓ Supported by **MDB coordination**
- ✓ Associated with a **scaled up, predictable, and flexible resource envelope**
- ✓ Comprised of **strategically linked investments**, unified by a transformative vision
- ✓ Supported by **readiness activities**
- ✓ Inclusive of cross-project **knowledge and learning** activities
- ✓ Coordinated by a **government institutional structure**
- ✓ **Reviewed annually** or biannually by stakeholders

[38] For example, "The aim should be to create national platforms to 'crowd in' appropriate activities and resources to align them with the objectives and goals of the SREP programmatic approach." Source: CIF. 2010. SREP Programming Modalities and Operational Guidelines.

[39] CIF. 2009. Design Document for the SREP.

programmatic approach sought to focus efforts on scaling up renewable energy and creating national platforms to "crowd in" appropriate activities and resources to align with the objectives of the SREP approach.

3.4.2. The programmatic approach in practice

Investment planning phase

IP development involved strategic dialogue and consultation. It was largely led by ministries and agencies responsible for energy and finance, economy, or planning, and informed by consultation with development partners, international and national NGOs, local communities and civil society organizations, and the private sector.[40] Joint MDB planning supported the process.

SREP country programs were designed consistent with the guidance for a programmatic approach, with all IPs including some "softer" elements (such as support for institutional capacity building, policy changes, public awareness campaigns, technical or feasibility studies, and transaction advisory services), either as stand-alone projects or, more frequently, embedded in investment projects. Interviews suggested that the programmatic approach led some governments to include some TA or capacity building components in their IPs that may not otherwise have been country or MDB priorities. However, the majority of these softer components are not designed specifically to sustain program cohesion across the IP.

Compared to the other SCF programs, the SREP has placed less emphasis on the institutional arrangements that can help sustain a programmatic approach in implementation, in part due to the fact that most projects are managed by a single ministry. Six of the 19 endorsed IPs envision that their country's SREP program will be overseen by a multi-stakeholder and intra-agency steering committee, with responsibilities across projects; another four IPs identify the Ministry or Department that will be responsible for coordinating the program (often Ministry of Energy, where most SREP projects are administered); and in the remaining eight endorsed IPs, the institutional responsibility for coordinating the program after endorsement are not clearly specified. Even when the institutional entity in charge is identified, the actual coordination role and responsibilities of that entity is generally not made clear in the IP or other documentation.

[40] Women's groups were included in consultations for about two-thirds of endorsed IPs.

Project implementation phase

Like CTF, the programmatic approach has been less visible in SREP pilot countries during the project implementation phase. Country coordinating mechanisms identified in the IPs have not always been established or engaged. Annual/biennial meetings of IP stakeholders to discuss progress in IP implementation have not generally been held in SREP countries. This is largely because such stakeholder meetings have usually been held in connection with annual program-level M&R processes for FIP and PPCR, whereas M&R is done by MDBs at the project-level in the SREP. No country programming budget has been requested for SREP countries to support the project implementation phase.[41]

After IP endorsement, dedicated funding for programmatic components has not been prioritized in all countries. Of the 19 endorsed IPs as of June 2017, nine included stand-alone components for "soft" elements such as institutional capacity building, policy changes, and public awareness campaigns. Of these nine, four have been underfunded compared to the IP, two have been funded in line with the IP, and three have not yet been funded.

BOX 10: THE PROGRAMMATIC APPROACH IN SREP IN NEPAL

The case of Nepal illustrates strong programmatic coordination in the investment planning phase ceding to a project-oriented approach in implementation. Nepal's IPPG was used effectively to support analysis and policy review, concept note preparation, and individual meetings, and consultative events. Stakeholders interviewed by the evaluation considered the process to be informative and constructive, with the outcome of a robust IP that was country-led, both complementary and additional to ongoing initiatives, and delivered in a short timeframe.

In implementation, slow progress and project-based "silos" have detracted from the programmatic focus. Contributing factors are a poor coordinating mechanism, due to limited government capacity and staff changes; slow implementation progress, which stakeholders associate with insufficient project preparatory support; and differing MDB implementing modalities.

3.4.3. Advantages and challenges of the programmatic approach

The SREP programmatic approach offered countries an opportunity to identify and address energy sector-wide challenges through investment and TA in one integrated plan. Providing a resource envelope alongside the strategic planning exercise was seen as a significant advantage of the SREP approach, and helped bring government and other actors to the table for high-level dialogue. This strategic dialogue and resource predictability, along with strong government leadership, tapped emerging private sector interest, influenced policy, and led to potentially transformative investments in some countries, like Rwanda (see Box 11).

[41] Or for any other purposes apart from IP preparation, with the exception of $5,000 to AfDB for SREP program-wide knowledge management.

A challenge has been to convey the value of a programmatic approach in country contexts where sector planning is more advanced. In Ethiopia, the IP process was originally seen by government as a "hoop to be jumped through" to obtain funding, with less perceived value in the context of its pre-existing Growth and Transformation Plan. Still, the IP process was ultimately regarded as useful for identifying strategic investment and TA activities. The lower utilization of SREP IPPGs also suggests possible challenges in conveying the value of using these resources; of the 20 IPs endorsed by June 2016, eight were prepared without IPPGs, and among those that requested IPPGs, financial utilization of those grants was 83 percent, the lowest among the three SCF programs. Conversely, the case of Rwanda illustrates how the CIF programmatic approach can be successfully tailored to address specific strategic issues in energy sector transformation, with strong country buy-in and leadership.

BOX 11: THE PROGRAMMATIC APPROACH IN SREP IN RWANDA

The case of Rwanda illustrates how the programmatic approach can work in a more advanced sectoral planning context to influence policy and identify potentially transformative investments, as well as how linkages to national development priorities can support strong country ownership. The preparation of the Rwanda SREP IP was driven by ambitious targets for rural electrification in the country's economic development plan and an ongoing dialogue on how to address. SREP's investment planning process helped bring the government, private sector, and development partners closer together on key points of policy for rural electrification. The centrality of the private sector as the prime delivery agents of rural electrification was affirmed in the government's new Rural Electrification Strategy (June 2016), and will be supported by SREP through the Renewable Energy Fund project.

A related challenge was that there has been less multiple MDB programming in the SREP than under the other three CIF programs. Several later-endorsed pilot countries have included multiple MDBs in the planning stage, but reverted to working with one MDB during implementation (e.g., Cambodia, Rwanda, Uganda, Ghana, Honduras). This has been partly associated with the size of the SREP's resource envelope; MDBs and governments have not always been keen to split total resources of $30–$50 million in the context of an energy sector operation.

3.5. Programmatic approaches for private sector windows

3.5.1. Dedicated Private Sector Programs in the Clean Technology Fund

The DPSPs under the CTF were launched in 2013 to finance private sector investments (and public ones in certain cases) that can deliver scale and speed, while maintaining a strong link to country priorities and CTF program objectives. An indicative allocation of about $500 million was made for two phases of the DPSP in 2013 and 2014 under six thematic areas: geothermal power, mini-grids, mezzanine finance, energy efficiency, solar photovoltaic power, and early stage renewable energy. A third phase of DPSP was also endorsed by the CTF TFC in December 2017 focusing on three broad themes: energy efficiency, renewable energy plus, and sustainable transport.

The DPSPs have utilized a programmatic approach in the sense that MDBs together identified private sector funding opportunities and public sector enabling activities, up-scaling ongoing country IPs, or

providing supplementary finance for thematic priorities, as long as they are aligned broadly with country priorities. MDBs highlighted the achievements of the CTF DPSPs in driving private investment, in particular their flexibility in providing instruments well suited for private investments and thematic focus on specific sectors and technologies.[42] A few interview partners saw the advantage of the DPSPs as being more flexible and adjustable than the country-oriented programmatic approach, including their potential utilization in low-income countries, such as with the mini-grid funding for Haiti, which are not classic CTF countries. At the same time, their thematic focus prevents them from being too ad hoc.

Apart from joint MDB planning to develop the pipeline, however, there has not been much collaboration among MDBs in the DPSPs, nor has there been much systematic learning coming out of the DPSPs. To some extent, the latter may be explained by the relatively early stage of implementation in most of the DPSPs. Yet, except for the CIF-funded dialogues on financing geothermal development, no specific mechanisms are in place to support programmatic exchange within the thematic areas during the project implementation phase. How, and even whether, DPSP projects relate to projects or programmatic intentions within a country's IP is not clear, although the principles followed in developing the DPSPs usually refer to broader country goals or transformative visions. Similarly, whether the CTF country focal point would have a role in linking those DPSP projects to the rest of the CTF portfolio is also not clear (although some DPSP funds were used to co-finance and upscale ongoing CTF projects).

These findings are interesting in that the DPSPs could contribute to programmatic features in the CTF that have not been fully supported by the country programmatic approach, such as around cross-project learning (Section 3.1). The advantages of the DPSPs are two-fold: firstly, due to their thematic area focus, they offer, at least theoretically, the opportunity to build learning and around these areas; and secondly, projects and scaling up do not have to go through an IP process/IP revision process, which requires more time and resources (although this process offers more opportunity for linkages with the public sector), thereby enabling MDBs to develop projects more nimbly.

3.5.2. Private Sector Set-Asides in the Strategic Climate Fund

All three SCF programs had overall fewer private sector projects than CIF stakeholders had hoped for, representing 8 percent of approved PPCR resources, 5 percent for FIP, and 16 percent for SREP. The use of a programmatic approach was by no means the only contributing factor to this result[43] and may in fact have encouraged governments and MDBs to include some private sector projects in the IPs/SPCRs that they may not otherwise have prioritized. A programmatic approach offers clear opportunity for the public and private sectors to work in cooperation to strengthen policy and business frameworks,

[42] Climate Policy Initiative. 2016. The Role of Climate Investment Funds in Meeting Investment Needs. Authored by Chiara Trabacchi, Jessica Brown, Rodney Boyd, David Wang, and James Falzon.

[43] Others have included the novelty of the topic (especially for adaptation), difficulties in identifying appropriate counterparts, unfavorable investment climates, and limited MDB private sector pipelines in some of the sectors and countries covered by the SCF programs (e.g., forestry and renewable energy and energy access in least developed countries).

especially in low and/or least developed countries where the formal private sector is small in size and the investment environment is challenging.[44]

To create incentives for private sector engagement in PPCR, FIP, and SREP countries, the SCF TFC and program Sub-Committees developed a PSSA process in 2012, as described in Section 2.1. The set-asides were designed to be allocated to both public sector investments that remove barriers and private sector investments, although in practice mostly projects working through the MDB private sector arms were submitted and approved, with two exceptions: one FIP project in Burkina Faso for cashew agro-sylvo production that is managed by the public sector arm of African Development Bank (AfDB), and one PPCR project managed by IDB in Bolivia.

The PSSAs took a very different approach to engaging the private sector than the CTF DPSPs. The PSSAs were not run collaboratively, as has been the model for DPSP, but rather competitively, with MDBs and countries submitting concepts for ranking and selection by an expert review panel. Nor did the PSSAs identify thematic areas on which projects should focus. Instead, the PSSAs were focused on the explicit contribution of set-aside projects to the countries' IPs/SPCRs, and the programmatic country objectives described in those plans. Expert reviewers rated project concepts based on criteria that included the alignment with or potential to advance the objectives of the country IP/SPCR, although this was the lowest weighted of the five criteria. Eleven projects were funded in nine countries, and the PSSAs are now closed. Learning from these lessons, the CIF designed new private sector windows for the PPCR and SREP that more closely resemble the DPSPs, but these are still awaiting funding approval. [45]

The evaluation found limited evidence that the PSSA projects managed by the MDB private sector arms have been fully integrated with the country programs, although the public sector-managed project in Burkina Faso is clearly considered part of the overall FIP portfolio. One reason is that private sector projects are monitored and reported on through separate channels and thus have not necessarily been engaged at annual M&R stakeholder workshops. The recent M&R stocktaking found that FIP government focal points are not always aware of the progress of private sector-led projects.

4. Outcomes from the Use of the Programmatic Approach

This section focuses on analyzing the outcomes to which the use of the CIF programmatic approach has contributed and how effectively its potential mechanisms have worked, following the structure of the theory of change presented earlier in Section 2.3. It starts with a discussion of outcomes and mechanisms related to the contribution of the CIF programmatic approach to coordinated and transformational efforts at the country level (**4.1**), followed by those related to strengthening government ownership, institutions, processes, and policies (**4.2**). The CIF programmatic approach's contribution to strengthening partnerships with non-governmental stakeholders is addressed next (**4.3**),

[44] Climate Policy Initiative. 2016. The Role of Climate Investment Funds in Meeting Investment Needs. Authored by Chiara Trabacchi, Jessica Brown, Rodney Boyd, David Wang, and James Falzon.

[45] A separate review of the PSSAs was conducted by Vivid Economics. The PPCR window was approved by the PPCR Sub-Committee but is awaiting funding, while the SREP window has not yet been approved.

followed by a discussion of enhanced programmatic learning (**4.4**). The section concludes with observations on the outcomes of the programmatic approach for scaling up climate investment (**4.5**).

4.1. A coordinated and transformative approach

4.1.1. Mechanisms

Using the CIF's programmatic approach was expected to lead to the development of strategically linked investments and activities that would achieve synergistic results beyond what a project-by-project approach could achieve—supporting transformational change processes. A collaborative MDB and participatory programmatic planning process would identify these investments and activities, and the programmatic activities in the project implementation phase would help ensure that synergies are achieved.

4.1.2. Findings

The CIF experience demonstrates how features of the programmatic approach can contribute to the dimensions of transformational change (relevance, systemic change, scaling, sustainability), even in countries and programs where not all features have been activated. The linkages between these features and dimensions are discussed below.

The programmatic planning process generally yielded IPs/SPCRs that were linked to national strategies and priorities (relevance) and that addressed transformational change concepts, including through taking a wider system perspective to investment planning (systemic change). The country case studies illustrated the many different visions among government and MDB task teams of how investments might be strategically linked—both among themselves and to broader national programs. In Zambia, for example, parallel approaches to community-based adaptation planning were jointly designed by both the World Bank and AfDB in different geographies, and have helped lead to a proposal to the GCF to scale up this approach in another part of the country. In Mexico, FIP projects are aligned with the existing policy framework and climate mitigation and adaptation activities focused on forests and land management, and target key strategic issues within a larger national program.

Through its coordinated MDB investment planning process, the programmatic approach also contributed to designing large-scale, coherent investment packages that may support scaling. In Turkey, for example, a mix of public and private investments are being used effectively to implement and scale energy efficiency programs through different business models, with observed progress toward systemic changes (financial de-risking, cost reductions, increased regulatory certainty, and participation of market actors including financial intermediaries and leasing companies) that can support continued scaling.

A predictable funding stream, combined with the momentum gained through the strategic planning process, was also conducive to the development of innovative or first-of-a-kind projects that require more substantial preparation, compared to a competitive project-by-project approach. Across all programs, but especially in **CTF** and **PPCR**, MDB stakeholders pointed to the CIF's upfront planning processes and resource certainty as positively influencing how CIF resources could be used, through enhanced dialogue with government clients and more time to design and prepare innovative and potentially transformative project ideas. In **PPCR**, the planning process and readiness funds, combined with the predictability of available finance, led to some first-mover and coordinated projects that reflected programmatic objectives, taking both horizontal and vertical approaches to mainstreaming climate resilience.

The case of Zambia illustrates how the programmatic approach can contribute to multiple dimensions and signals of transformational change, such as: establishing a new national climate change secretariat in a central ministry; mainstreaming climate change into the National Development Plan and sector strategies; increased national budget allocations directed toward climate resilience initiatives; coordinated design of two innovative investment projects that supported vertical and horizontal mainstreaming of climate resilience into sub-national planning processes; new standards for climate-resilience roads; and a proposal to scale up participatory adaptation investments in northern Zambia, with GCF funding. (See Box 6 and Box 15 on the Zambian experience.)

In the investment planning phase, government leadership and the depth of MDB collaboration were significant influences on the extent to which strategically linked investments and activities were developed. In Zambia (PPCR), all accounts point to very active collaboration between the task team leaders for AfDB and the World Bank in designing the investment projects from the ground-up—going as far as navigating MDB legal requirements to allow for joint project preparation and safeguard assessments. In Rwanda, strong government leadership led to an innovative project with possible transformative potential. In Mexico, the government had a strong vision of how best to use FIP resources to advance the national vision and build on the comparative advantages of the MDBs.

The use of a programmatic approach in the CTF also helped support more strategic private/public sector linkages than commonly observed in country and MDB programming. Direct private sector investments account for about 30 percent of MDB-approved resources in the CTF. In Chile, the public-private sector interactions triggered by the CTF IP strengthened government commitment to address private sector investment constraints in renewable energy. Although underutilized, CTF programmatic value-added also worked through strengthening the private sector perspective in public policy making and by supporting the development of more conducive enabling policies, regulations, and coordination instruments, in particular for new renewable energy technologies and innovative energy efficiency mechanisms (Chile, Mexico, Colombia, Thailand).

4.2. Government ownership, institutions, processes, and policies strengthened

4.2.1. Mechanisms

The main CIF programmatic mechanisms to strengthen government ownership, institutional capacities, and policies and processes are the development and implementation of the country IPs/SPCRs and effective country coordination mechanisms (CCMs), with sufficient convening power. Enhanced inter-ministerial coordination and cooperation on climate change would lead to better long-term working partnerships and mainstreaming of climate change across sectors. Incorporating climate change in national policies, mainstreaming it throughout sectoral policies and strategies, and supporting enabling legal, fiscal, and regulatory environments for public and private investments would support outcome and impact achievement outside of specific project-related interventions. These mechanisms would be supported through IP/SPCR preparation grants (particularly for PPCR), CIF-funded investment project components and TA, the country programming budget, and programmatic M&R. Governments could also indirectly benefit from predictable resource frameworks and grants for developing private sector investments and innovations, including enabling environment frameworks.

4.2.2. Findings

4.2.2.1. The programmatic approach leading to ownership and commitment

The programmatic approach of investment planning supported the emergence of more climate change awareness among government actors and others, particularly in countries where climate change had not yet received much attention. The IP/SPCR development process and additional CIF resourcing were widely credited with stronger country ownership and commitment to climate change, although the lengthiness of program delivery sometimes reduced momentum.

In the **PPCR**, the significant investment resources made available to support the use of a programmatic approach contributed to strong government ownership and high-level dialogue in many countries, at least in the investment planning phase. When the PPCR was launched in 2009, investment in climate resilience was scarcer than it is today. PPCR country resource allocations were seen as significant opportunities to make change in many countries. Where commitments to climate change action were pre-existing, the programmatic approach enabled country governments to better act on these promises and to increase ownership, such as by establishing sectoral climate change platforms in Zambia and regional linkages in Grenada and Dominica. In Niger, Zambia, and Tajikistan, the entire process of dialogue around SPCR development was crucial for stronger engagement and ownership among key actors, including sub-national government entities.

FIP country governments were often already committed to climate change action when the CIF started, particularly in countries with ongoing REDD+ process. In Burkina Faso, the IP process was instrumental for the Ministry of Environment, Green Growth, and Climate Change, as well as the government as a whole, to raise awareness and knowledge about climate change issues. There, the main challenge for commitment was found in mid-level technocratic and sub-national staff lacking capacities to fully understand and advance the climate change agenda, a deficiency that FIP capacity building in Burkina Faso is addressing. In Mexico and Lao PDR, creating new private sector instruments and strengthening law enforcement in forests deepened commitment. In the **CTF**, the significant resources allocated to countries contributed to high government commitment in the investment planning phase; beyond that, government ownership was mostly observed through a project lens, with some exceptions.

Commitment and ownership depended on changing political and institutional landscapes. A government change in the Maldives meant lower commitments to strong pro-green, carbon neutrality goals that the **SREP** IP was built on. And, in Ethiopia (SREP), the replacement of senior government officials and a changing political landscape negatively affected continued commitment. In contrast, the latest changes in the Government of Colombia increased the momentum for CTF implementation.

4.2.2.2. The programmatic approach contributing to institutional strengthening

Country coordination mechanisms

Effective CCMs were found to be the central factor for facilitating and sustaining a programmatic approach, in IP/SPCR preparation and project implementation. Strong and motivated CCMs with convening power and the ability to build capacities served both as a programmatic vehicle and an important outcome for the programmatic approach in the CIF. They included CIF steering committees and coordination units, broader committees and councils,[46] and individual CIF focal points. Often, the extent to which there were CIF-specific CCMs depended on the overall scope and nature of the CIF country program and how it was embedded in broader programmatic climate change initiatives and mechanisms beyond the CIF. Many CTF and SREP programs do not have CIF committees or units (e.g., Mexico, Colombia, Rwanda, Nepal), and instead rely on individual CIF focal points to coordinate the program, mostly to limited effect. The relevance of the CIF's programmatic approach to strengthening institutional capacity to coordinate across climate change programs was lessened when CIF programs were executed exclusively or predominantly through a single project or agency (e.g., Rwanda SREP, Grenada PPCR, Ethiopia SREP, and Lao PDR FIP).

Post-IP/SPCR endorsement, CCMs were more present and effective in the PPCR and FIP, where programmatic structures were generally better established. Composition, qualification, and professional background of members of CIF CCMs (or focal points) were important for programmatic performance. The more technical they were, especially in CTF and SREP, the less they tended to engage in broader capacity building, policy decision-making, knowledge management, or stakeholder involvement.

The contribution of the programmatic approach to institutional strengthening was more evident where the CIF had a role in establishing or influencing country coordination arrangements (CCMs)—most notably in PPCR and FIP—and where resources were provided to this end. The PPCR commonly

[46] For example, committees, councils, and technical working groups on climate change, environment, sustainable development, or planning.

provided financial support for the CCM when a new institutional body was being convened, typically as a component embedded in an investment project (Zambia, Niger) or as stand-alone TA (Tajikistan).

In Zambia and Burkina Faso (FIP), the programmatic approach—through its capacity building support for the CCM—strengthened the capacity of those units to monitor and manage the country's climate change programs.[47] (See also Box 14 on programmatic M&R.) In Brazil, a separate TA project was approved to oversee the FIP program, although this is found to be an exception to the trend among FIP countries, given the prevalence of REDD+ structures. In Vietnam (CTF), the Ministry of Environment managed to assert more strongly its coordination role after obtaining a grant of $1 million.

The evaluation did not find much evidence of lead MDBs, or other MDBs, taking major initiatives during implementation to support the programmatic approach and coordinating functions, with the exception of PPCR countries where institutional support components were embedded in MDB investment projects. In some programs, the MDBs collated project specific data for CIF reporting and took the lead when IPs were revised (mostly in CTF). Beyond that a common view was that "the government is the convener," as it was articulated by one MDB CIF focal point.

A challenge to the programmatic approach has been the changing of responsibilities for coordination and focal points after IP/SPCR endorsement, especially when there was no proper transition or communication on continued programmatic priorities. Typically, the Ministries of Finance or Planning, and occasionally Environment, led the IP design, but sector ministries and other agencies usually are responsible for project execution and program implementation. For Mozambique, moving coordination responsibilities and the focal point from the Ministry of Planning to the Ministry of the Environment after IP endorsement undermined CIF convening power. SREP is an exception as the Ministry of Energy was usually in charge of both planning and implementation, but even then planning and implementation responsibilities may vary (as in Nepal).

While it is too early to determine whether institutional strengthening associated with the CIF programmatic approach will be sustained in most countries, the experience of a few countries points to a recognition of the value of national coordination, as supported through the programmatic approach. The experiences of Tajikistan, Zambia, and Niger—three PPCR countries with new institutional mandates stemming from the PPCR programmatic approach—offer some early observations. Zambia's Interim Climate Change Secretariat (ICCS), set up with PPCR support, was dissolved after the 2016 national policy on climate change put responsibilities for climate change policy coordination and mainstreaming in the Ministry of National Development Planning and responsibilities for implementation oversight in the Ministry of Lands and Natural Resources. In Niger, the strategic coordination unit was also recently dissolved, but efforts are under way to reconstitute and sustain this unit. These experiences illustrate the challenges posed by changes in government administration, but also provide indications of the perceived value of continued coordination and leadership on climate action, and potentially strengthened capacity for that coordination.

[47] As evidenced through interviews and a stakeholder survey.

Convening power

The extent to which the country coordinating mechanisms and focal points are empowered is highly relevant for the quality of CIF coordination, program identity, and performance. By mandate, the central ministries of finance and planning have strong convening power but are not necessarily interested, or even mandated, to assume this power after IP/SPCR endorsement, unless specifically tasked and supported. Where they were (Zambia, Tajikistan), climate change considerations were mainstreamed into national development strategies. Government focal points in sectoral or environment-related ministries and departments within ministries were found to often have very little convening power, particularly during implementation. In many cases focal points simply had no interest to convene, did not see much added value, or did not regard it as part of their tasks under the CIF except for organizing some regular meetings to coordinate programmatic reporting to the CIF. In the Caribbean PPCR regional program, the regional coordination mechanism presently involves only relevant regional entities, with weaker linkages to national counterparts.

Anchoring the CCM in a central ministry helps but is not sufficient to ensure effective coordination or mainstreaming. The case of Niger illustrates this finding. The government placed the CCM in a powerful Ministry (Planning), but various political factors and low management capacity in the CCM at the outset limited its ability to mainstream resilience at scale (e.g., in policy decisions and investment planning). The Government of Zambia set up an interim institutional arrangement under the Ministry of Finance (moved to Ministry of National Development Planning, and since dissolved) to coordinate the country's entire climate program, which strengthened its convening power. Bringing ministries and agencies together around resilience spilled over into other strategic dialogues.

By definition, multi-sectoral CIF steering committees have convening power, but more often in terms of oversight. They were rarely reported as sufficiently instrumental to have a lasting effect on CIF convening power at the working level.

Inter-ministerial collaboration and mainstreaming

Inter-ministerial collaboration is strongest in PPCR and FIP; intra-ministerial collaboration is also important for a programmatic approach. PPCR is by definition about mainstreaming climate change across sectors, therefore inter-sectoral and inter-ministerial coordination assume high importance. One of the main early achievements of the Zambia PPCR was to establish four multi-sector, -ministry, -stakeholder platforms that were active during SPCR development, of which two are continuing. The implementation of Zambia's two PPCR projects both integrated vertical collaboration with inter-ministerial coordination. Strengthened partnerships among government ministries was ranked as the most important (or second most important) outcomes of using a programmatic approach in Zambia, among government officials surveyed. Similarly, the preparation of Dominica's SPCR influenced the orientation of its National Climate Change Coordinating Committee, building its awareness and encouraging it to regularly consider climate information in project design, think across multiple sectors, envision new ways of responding to climate vulnerability, and also to be proactive in guiding project activities. This thinking is reflected in its structure, which is broad-based and involves multiple ministries (finance, planning, water, housing, environment, health, transportation), the military (security), the private sector, and civil society organizations. Dominica further demonstrated effective multi-sectoral collaboration when joint working groups established a common hydro-meteorological system with technical specifications reflecting various sectoral needs.

Inter-ministerial collaboration was achieved in Burkina Faso (FIP) through other ministries seconding staff to the FIP coordination unit, in particular from the highly relevant Ministry for Agriculture and Livestock. Formal protocols of collaboration with other ministries, public entities, and other departments in the Ministry of Environment, Green Growth, and Climate Change were made. In Grenada (PPCR), there was little evidence for stronger partnerships across ministries, but a bright spot has been the technical working group within the Ministry of Agriculture, Lands, Forestry, Fisheries & the Environment, which is coordinating activities and information across sectors within that Ministry.

For **CTF** in Turkey, inter- and intra-ministerial collaboration exists but is limited to those directly involved in CIF projects. Inter-ministerial collaboration and coordination were not found to be critical for CTF project success in specialized sub-sectors. For instance, the CTF investment focus in Indonesia is fully on the country's vast geothermal resources, but CTF does not drive the strategic discussion in the country. Yet the example of geothermal energy in Chile shows that the CTF can positively contribute, in this case through a separate TA, to broadening the discussion around a specific technology type to bring all relevant actors together, including those from interested other ministries, such as Environment, Finance, and Planning.

4.2.2.3. The programmatic approach influencing policies, strategies, and processes

The PPCR is leading the CIF's efforts on mainstreaming climate change into countries' policies, strategies, and regulations, particularly through the SPCR preparation grants. In Zambia, IPPG-funded activities had a dedicated component on mainstreaming climate resilience into national development planning. With support from PPCR, the Government of Zambia adopted a programmatic approach to climate change across all of government, mainstreaming climate resilience in its Sixth National Development Plan, which gave line ministries a mandate to work on specific climate change programs within their sectors because the Plan is linked to the budget. In Niger, the SPCR process was aligned fully with the government's 2012 3N strategy (Nigeriens Feeding Nigeriens) to strengthen the government's mainstreaming of climate change. In Mozambique, the Ministry of Planning effectively mainstreamed climate change through linking PPCR interventions and analytical work to three development policy loans.

In addition, the programmatic approach to M&R (see Box 14 below) has also contributed to the mainstreaming of PPCR and FIP indicators into some national systems. Samoa has integrated all five PPCR core indicators into the country's national planning framework for development. Nepal's Climate Change Program Results Management Framework also uses the PPCR indicators to track national progress.

In the SREP and FIP, the use of a programmatic approach contributed to the inclusion of policy components in country investment plans. In the SREP, some evidence suggested that the use of a programmatic approach led countries to include some policy components that the government may not otherwise have prioritized. The FIP portfolio generally reflects the REDD+ readiness of its pilot countries, with about half of the portfolio focused on demonstration investments (the so-called "missing middle" of REDD+ implementation) and the other half directed at strengthening the enabling environment. Coordinated efforts by the World Bank and IFC supported policy change in Lao PDR, as discussed in Box 12. In the CTF, there may have been less demand for policy and regulatory changes in more mature CTF-related sub-sectors and markets.

BOX 12: CONTRIBUTIONS OF A PROGRAMMATIC APPROACH TO POLICY REFORM

In Lao PDR, the FIP had some indirect influence through a long-running, high-profile and FIP co-financed World Bank forestry project (SUFORD-SU). Among others, government was supported through regulatory framework initiatives and support for strengthening forest law enforcement and monitoring through joint efforts by the World Bank and IFC. Specifically, the project supports enforcement of the Forestry Law and the Wildlife and Aquatic Law by the Department of Forest Inspection (DOFI). Consistent monitoring and reporting on this law enforcement has been expanded to all 18 provinces with FIP resources. There has been high demand from the Lao government for advice on revising its laws, particularly on land tenure and management to facilitate sustainable forest management.

In Chile, the private sector-dominated CTF program is almost exclusively hardware oriented. There would have been opportunities to complement private sector investments with TA grants to increase their effectiveness through more sector-wide analysis, enabling policy and capacity support and assessment of alternative technology options under change, such as in energy efficiency, self-supply or work with municipalities. But, throughout CTF implementation, there has been limited attention to public goods, sector economics, externalities, and social objectives. Where TA grants exist, they are project specific, carried out by MDB staff or consultants to plan and follow-up on projects. One opportunity for broader, sector dialogue has been the recently launched Chilean roundtable on geothermal energy, through a CIF-funded TA grant administered jointly by the World Bank and the Chilean Government.

4.3. Partnerships with non-governmental stakeholders strengthened

4.3.1. Mechanisms

Since 2008, the CIF has declared its commitment to programming through constructive consultations involving country governments, MDBs, and key stakeholders including civil society, indigenous people, and the private sector. The stated objective of constructive consultation was to mainstream an understanding of climate change in society while developing IPs/SPCRs that align with and reinforce national development priorities. In addition, the CIF aims to enhance the ability of civil society to respond effectively to a changing climate in the context of securing their livelihood base. The engagement of non-state actors is understood as a significant feature of the programmatic approach and important for achieving transformational change.

In the investment planning phase, the mechanism for engaging non-government stakeholders is clear: consultation during IP/SPCR development.[48] After IP/SPCR endorsement, stakeholder engagement can

[48] The CIF has made known the framework within which its operational processes should work with regards to CSO engagement, including principles and methods for information sharing, consultations and partnerships. The CIFs have not commissioned or endorsed its own guidance outlining comprehensive approaches to CSO or stakeholder engagement that fit within its framework. At the project level, the CIF has relied on MDB guidelines for stakeholder consultation.

continue through several programmatic pathways. In PPCR, non-governmental organizations have played a role in activities funded through the IPPG, such as communication and outreach. Non-governmental stakeholders could participate in country coordinating mechanisms, such as a multi-stakeholder steering group, that guides the CIF program in implementation. In 2014, the CIF issued new guidance to enhance country coordination[49] in part through stakeholder forums that were to be held periodically and engage relevant national and subnational agencies, non-governmental organizations (NGOs), civil society organizations (CSOs), community and indigenous people's organizations, the private sector, as well as the MDBs and other development partners.

Enhanced stakeholder engagement was also aimed at strengthening learning from program experience, maximizing synergies, and keeping the programmatic approach on track, while ensuring issues and constructive suggestions from stakeholders are addressed substantively and transparently. Country programming budget allocations were made available for all four CIF programs, for stakeholder review meetings to be held every other year, preferably jointly with programmatic M&R workshops held in FIP and PPCR countries. The related responsibilities of the country focal point are to "communicate on a regular basis with the stakeholder community relevant to the investment plan" and to "organize the annual/biennial meetings on the investment plan implementation progress with a wide range of stakeholder groups."

4.3.2. Findings

The evaluation found that the use of a programmatic approach has contributed to non-governmental stakeholder engagement in all SCF countries in the investment planning phase, as described in Section 2.4 above. This engagement has contributed to increased multi-level country buy-in and useful feedback on IP/SPCR and project design.

In the project implementation phase, the CIF programmatic approach has been a stronger driver of non-governmental stakeholder engagement where it has led to new institutional arrangements that prioritize involvement by non-state actors, where there is strong government ownership of the program, where there are program-level M&R processes (i.e., in the PPCR and FIP), and where there is an active local or national NGO/CSO sector. It is also important to note that beyond the reach of the programmatic approach, non-governmental stakeholders have a role at the CIF project level—in consultative processes as mandated by MDB guidelines and safeguards as well as in implementation. In the PPCR, and FIP particularly, NGOs/CSOs have often been service providers and facilitators with local communities (e.g., for community forest management or community-based adaptation). However, no evidence was found of the programmatic approach being a particular driver *per se* of this type of engagement of non-governmental stakeholders.

[49] CIF. 2014. Guidance Note: CIF Programmatic Approach – Roles and Responsibilities in Developing and Implementing CIF Investment Plans, September 2014.

Across the countries studied in this evaluation, contribution was most evident in PPCR and FIP countries. In **PPCR**, some SPCRs describe a role for NGOs/CSOs during implementation at the program-level, including participation in awareness-raising activities, in cross-sectoral dialogue, and in technical working groups to provide input. The country case studies showed mixed experiences in this regard (see Box 13). The PPCR's programmatic M&R annual workshops also involve NGOs/CSOs, although a recent stocktaking suggested that there is room for stronger engagement; NGOs were found to be minimally represented in 10 of 14 country workshops, and with limited robustness, depth, and breadth. Local and indigenous communities were the least represented.

BOX 13: CASE STUDIES OF CONTRIBUTIONS BY USING A PROGRAMMATIC APPROACH TO SUPPORT CSO/NGO ENGAGEMENT

CSOs/NGOs had significant roles in some PPCR countries. In Tajikistan, the Committee for Environmental Protection was very proactive in meeting with CSOs/NGOs. NGO input was strongest at the sub-national level. At the national level, NGOs were involved in developing knowledge products and developing and managing a platform as part of an investment project to share knowledge products, in addition to ongoing consultation during MDB review and planning missions. In Zambia, NGOs were involved in SPCR planning platforms and have been involved in annual reviews coordinated by the Ministry of National Planning's Interim Climate Change Secretariat, although some prominent climate change NGOs were not represented. NGOs/CSOs are also involved as service agencies facilitating community risk assessments for the preparation of demand-driven activities being implemented in two projects. National NGOs involved in SPCR planning are not the same as those engaged in district-level project implementation; their role in national M&R reviews appears to be poorly informed. National NGOs also have representation on the technical committee through the Zambia Climate Change Network, a consortium of NGOs working on climate change.

CSOs/NGOs had very limited roles in other PPCR countries. In Grenada, there was little evidence of sustained government partnerships with CSOs/NGOs related to developing or reviewing resilience strategies, plans or projects, or in related accomplishments. Although consultations were held during SPCR planning, there was limited mobilization of CSOs/NGOs for stakeholder consultation forums following SPCR endorsement. In Dominica, the Project Coordination Unit for the single investment project leads the national process for M&R and consultation; coordination with CSOs/NGOs was limited.

The large majority of **FIP** IPs describe institutional arrangements for coordinating the FIP program, but less than half (six) specifically mention the inclusion of non-governmental stakeholders (NGOs/CSOs or private sector) in those arrangements. Most FIP countries rely on pre-existing coordinating structures usually tied to the country's REDD+ process, and the use of a programmatic approach is not found to be a specific driver of non-governmental stakeholder engagement in program coordination. A recent stocktaking on the FIP M&R system found that FIP government focal points are not always aware of the progress of private sector-led projects or of the DGM projects in their countries, suggesting future opportunities for strengthening those relationships. At the same time, the participatory M&R system is also seen to reinforce the programmatic nature of the FIP, engaging civil society, indigenous peoples groups, and private sector, alongside government.

In most **SREP** countries, engagement started with CSOs/NGOs in the investment planning phase but has not been maintained in implementation, despite the long history that CSOs/NGOs often have in community-scale renewable energy and energy access projects. Only four of 19 endorsed IPs describe institutional arrangements for coordinating the SREP program that include private sector or NGOs/CSOs.

National-level stakeholder workshops are not convened for M&R purposes under the SREP, since results are reported by the MDBs at the project level. No country programming budget has been requested to convene stakeholder review meetings or forums, as were described in the 2014 CIF guidance. No evidence was found of strengthened partnerships with CSOs/NGOs in **CTF** countries, as these stakeholders have generally not had a prescribed role in IP development or implementation. Some evidence suggests that the use of a programmatic approach in the CTF—through the appointment of a government focal point or through key contacts in project implementing ministries and agencies —may lead to more coordination between government agencies and private sector for private sector projects.

The evaluation identified several systemic and case-specific challenges to engaging non-governmental stakeholders. Institutional mechanisms have not been set up for the CTF and SREP after IP endorsement. In the FIP and PPCR, especially in large countries, inclusion of stakeholders can be costly. Guidance and resources offered from the CIF have not been sufficient in influencing countries to conduct annual stakeholder review meetings (alongside M&R workshops) and sustain meaningful engagement. Incentives and accountability are lacking for continuing the engagement of non-government stakeholders—outside of project requirements and modalities—into the project implementation phase.

BOX 14: THE ROLE OF ANNUAL STAKEHOLDER MEETINGS AND PROGRAMMATIC MONITORING AND REPORTING PROCESSES IN THE CIF'S PROGRAMMATIC APPROACH

Annual M&R and regularly held stakeholder meetings in the CIF are intended to bring CIF stakeholders together, including the MDBs, to assess and report on progress against the IP/SPCR and to promote programmatic learning. For NGOs/CSOs and the private sector, these meetings also are an opportunity to "challenge the Government" as one interview partner in this evaluation said. These programmatic activities are pointed frequently to as key for sustaining a programmatic focus in the project implementation phase.

In recent years, annual M&R meetings have become more regular in PPCR and FIP, with strong capacity building support provided from the CIF AU in many countries, and sometimes from lead MDBs (as in Lao PDR). Some countries include stakeholder consultations and discussions at a sub-national level (Burkina Faso, Zambia). The Mexico FIP has been holding joint missions and stakeholder meeting every year, including civil society, academia, and local government and also involving non-MDB donors. For CTF and SREP country programs, such meetings are rare or non-existent since much of the CIF reporting for these programs is done on a project-basis—collated by the MDB focal points. In these countries, broader stakeholder participation mostly occurs through projects, if at all.

The programmatic value of such meetings has been less evident to its participants while projects were still in early days, focused on start-up and procurement and not yet producing outputs and outcomes. For previous years, several countries reported reluctance by some MDBs to participate in these annual gathering as their projects had not been very advanced (Niger, Lao PDR). Where MDBs have had significantly different timelines for project implementation times, this has challenged the program focus of these meetings. A review of meeting records by this evaluation in several countries showed indeed broad participation in these meetings. Now finally there are some results to get together around.

In some programs, discourse and reporting around the M&R framework provide a good support for the programmatic approach. PPCR and FIP M&R frameworks emphasize programmatic results at the country level more strongly than those of CTF and SREP, which focus more on specific project outputs and outcomes. PPCR and FIP M&R frameworks include institutional capacities and legal and regulatory outcomes, the rights of local communities and indigenous peoples, leveraging public and private resources (such as for REDD+ in the FIP), as well as knowledge management and integrated learning shared across projects and programs.

An M&R stocktaking, carried out in 2017 by the CIF AU, found that the programmatic approach added value, but was difficult to report on. Most PPCR and FIP countries provided programmatic indicators in 2016 and 2017, a review by the CIF AU and by this evaluation found few reports that were sufficiently comprehensive and concise, to aggregate, analyze and compare programmatic achievements across countries. Another issue is the relatively early stage of implementation and manifestation of results in many of these programs. Thus, the M&R stocktaking provided an opportunity for PPCR and FIP to test and fine-tune reporting categories and indicators, as well as methods and frequency of reporting. There is more emphasis now on narrative reporting than on score cards. It was also realized that programmatic reporting may be most relevant and important at mid-term and after completion, rather than annually.

4.4. Programmatic learning enhanced

4.4.1. Mechanisms

CIF stakeholders see enhanced knowledge and learning across CIF-funded projects as an important outcome of the programmatic approach in all four programs.[50] The CIF's goal was for every IP/SPCR to incorporate a learning component—either at the project or program level—that addresses and contributes to the country program's objectives and challenges, and that could also contribute to CIF program-wide lessons-sharing efforts.[51] Enhancing knowledge and learning would be supported through the programmatic M&R process—bringing stakeholders together to discuss progress and lessons learned—as well as by the CCM (or focal point), whose responsibilities include capturing and discussing lessons learned from the implementation of projects, including at relevant meetings at the country and global levels. Country programming budget was also made available for knowledge products or activities that support the development and implementation of IPs/SPCRs.

4.4.2. Findings

Among the four CIF programs, PPCR has most strongly incorporated information sharing and lessons learning (ISL) through the programmatic approach. Three-quarters of endorsed SPCRs include strong ISL components; the remaining quarter is rated moderate. Some PPCR pilot countries explicitly tasked their newly established coordination mechanism with responsibilities for ISL activities across CIF-funded investment projects and activities (e.g., Zambia, Niger, Tajikistan). Bangladesh is currently implementing a stand-alone TA establishing an information knowledge management network to collect, generate, and analyze knowledge related to climate change resilience. Many approved PPCR projects include indicators on knowledge products, systems, and studies.

The **FIP** and **SREP** showed mixed performance in terms of incorporating ISL elements into IPs endorsed by 2014, with about a third of IPs each rated strong, moderate, and weak in this regard. Although the CIF AU issued more guidance that year on integrating ISL through the programmatic approach, more recently endorsed IPs do not show significant improvement. Among the five additional FIP IPs endorsed by June 2017, four give little attention to learning elements, and one proposed to finance strategic program coordination that would enable ISL within its FIP projects and components, but these elements do not appear to have been carried through to the approved project. Overall, across the SCF, most IPs/SPCRs make general reference to ISL in the description of the country program, but the institutional and resource arrangements to support such ISL components are less frequently clear.

[50] Learning is a central principle of the CIF and is supported through many other channels in addition to the use of a country programmatic approach. For instance, the CIF AU and the MDBs facilitate opportunities for learning through global and regional events (such as pilot country meetings), technology or theme specific knowledge activities (such as workshops or commissioned knowledge products on climate services or geothermal), and other activities, which benefit country programs and proponents. This section looks specifically at the effectiveness of the CIF's programmatic approach at facilitating country-managed information sharing and lessons-sharing activities across CIF-funded investment projects and activities.

[51] CIF. 2014. Guidance on CIF Programmatic Approach: Integrating Information Sharing and Lessons-learning in CIF Country Programs and Projects, 2014.

Incorporation of learning elements in original **CTF** IPs was weak to non-existent—reflecting the lack of reference to learning in CTF investment criteria—although about half of the revised plans were strengthened in this regard. In the CTF, most country-managed lessons learning remains project-oriented. Negligible country programming budget has been requested for CTF countries for knowledge management activities. In interviews, some stakeholders questioned the value of cross-project learning in CTF countries where projects span multiple sectors and use different approaches (such as transport, renewable energy, and energy efficiency).

Limited evidence was found in the country case studies of the use of a programmatic approach enhancing learning across each country's program, although knowledge and learning have been supported through other channels. In Lao PDR (FIP), differences in project implementation timelines limited the opportunity for learning, although scope for such programmatic learning also was not in the project's terms of reference. In Niger (PPCR), there was disappointment that the PPCR strategic coordination unit did not manage to influence the project design or processes to support cross-project learning. In Chile (CTF), confidentiality concerns in the private sector projects limited the opportunity for such learning. Nepal (SREP) had no institutional structure to support a programmatic learning objective.

Learning was enhanced most where ISL activities were identified and budgeted for, a country coordination mechanism was convened, institutional arrangements were centralized (i.e., one government unit manages or is reported to on CIF-funded projects), multiple CIF-funded projects were implemented concurrently, and M&R was done at the program-level (i.e., in PPCR or FIP). Nearly all PPCR and FIP countries report using their respective M&R systems for learning purposes, such as sharing information and knowledge generation. Dedicated learning and exchange forums (e.g., SCF pilot country meetings, PPCR regional dialogues, and thematic events, such as on hydromet for PPCR, mini grids for SREP, and geothermal for CTF) have also provided support for a programmatic approach. These learning events have allowed for formal and informal information exchange and dialogue among country partners on their sector and CIF experiences, and contributed to building knowledge, professionalism, and networks among key country officials and experts.

Fieldwork indicated a number of challenges to enhancing learning through the use of a programmatic approach. CIF government focal points are sometimes over-burdened civil servants with limited capacity, incentives, and convening power to facilitate such crosscutting learning. Limited country programming budget has gone toward knowledge work at country level, and to a limited number of pilot countries. If ISL elements are not supported at the program level (e.g., through programmatic M&R or a country coordination mechanism tasked with this responsibility), they can be incorporated into project design, but challenges have been faced here too. If ISL activities are not designed into the project results framework (i.e., the results for which the project is accountable) or in the terms of reference for executing entities, they are unlikely to happen. Confidentiality concerns with private sector limits information sharing in those projects. Thematic programs, such as those pursued under the DPSPs, seem to offer significant potential for programmatic learning, but that opportunity has not been fully realized.

4.5. Climate investment scaled up or influenced

4.5.1. Mechanisms

Interviews and CIF documentation point to an expectation that the use of a programmatic approach would contribute to scaling up climate finance through two pathways. The first pathway is that the use of a government-led, MDB-supported, participatory investment planning process would crowd in more co-financing or parallel financing around the strategic vision of the IP/SPCR. In other words, because other development partners would perceive the process as analytically robust, consultative, and country owned, they would be more likely to commit complementary resources. Indeed, the CIF architects originally envisioned that the IPs/SPCRs would go beyond programming the CIF resource envelope, to use the strategic plans as a platform for dialogue with other development partners, although this concept was not followed through fully.[52] The second pathway involves the contribution of a programmatic approach to influencing other resources, such as domestic or donor funding, which are not necessarily associated with CIF-funded projects. For instance, if CIF support for institutional capacity and coordination helped enable country readiness to seek and receive additional climate finance (e.g., from GCF), or if CIF-supported policy revisions helped allocate additional domestic resources to climate change mitigation or adaptation.

4.5.2. Findings

The evidence points to the programmatic approach being generally less of a specific driver for crowding in co-financing or parallel financing than anticipated. In six of eight case study countries,[53] actual crowding in of additional finance for, or aligned with, CIF-funded investments has been less than was foreseen in the IPs/SPCRs. In Lao PDR, FIP funds were processed as additional finance to pre-existing MDB projects, which were in their second or later phases. In Burkina Faso, other donors are not contributing to the extent planned in the FIP IP. The same has been true in Zambia's PPCR program.[54] In Nepal (SREP), co-financing was reduced between IP and project appraisal.[55] In Rwanda, the SREP IP included provisional co-financing from MDBs of $30 million to augment the SREP's $50 million for the

[52] SREP guidance is the most explicit in this regard, aiming to "crowd in appropriate activities and resources to align them with the objectives and goals of the SREP programmatic approach" and calling for "additional free standing resources secured to complement SREP funding should be indicated in the investment plan."

[53] In Grenada, $10 million in IDA co-financing was anticipated and provided for the Disaster Vulnerability and Climate Risk Reduction Program, along with $1 million parallel financing from GFDRR. In Turkey, approximately the same amount of co-financing presented in the IP was also identified at MDB approval.

[54] For example, Zambia's SPCR anticipated $63 million in co-financing from government and bilaterals for the World Bank-implemented Strengthening Climate Resilience project ($36 million in PPCR funding), none of which materialized (although programmatic activities have influenced climate funding in other ways, as described in the main text below). The AfDB-implemented Strengthening Climate Resilience in the Kafue Sub-basin project faced a similar situation, with $40 million in co-financing anticipated in the SPCR, and $0.72 million committed at from the Government of Zambia at the time of project appraisal, along with several million in parallel finance from the Nordic Development Fund. Neither project in Zambia includes MDB co-financing. For the World Bank, the project appraisal document notes that Zambia's limited $100 million per year IDA allocation will be unable to support the project costs.

[55] For the Rural Electrification through Renewable Energy project. ADB responses to TFC comments on this project state that the project design has evolved and the ADF allocation has been reduced taking into account the ongoing NRREP and capacity of AEPC.

Rwanda Renewable Energy Fund; this co-financing was not included at the time of World Bank Board approval, nor was parallel finance from bilateral partners assured. The Rwanda Renewable Energy Fund is anticipated to leverage significant resources from the private sector, however.

Several factors contribute to this outcome. Although bilateral and multilateral development partners were engaged in the IP/SPCR development process, in some countries, it was not clear to some of those partners how they fit within or alongside the MDB projects identified. Some development partners had existing programs and priority interests that were in different areas than those identified in the IP/SPCRs. In some instances, government officials also preferred not to pool MDB or other donor resources in CIF-funded projects; they wished to use those resources, including their MDB envelopes such as World Bank International Development Association (IDA) allocations, differently. As noted above, the use of MDB pipeline projects in countries like Lao PDR was a limiting factor for crowding in additional resources. Interviews also suggested that the desire for co-financing was not felt as strongly at the project level and that additional climate finance was generally less available for certain areas and topics, including forestry.

Among the country case studies, contribution to the second pathway—influencing other resources (such as domestic or donor funds) that are not directly linked to CIF-funded projects—was observed where the programmatic approach had a stronger emphasis on national institutional arrangements (e.g., a strategic coordination unit for the country) and government ownership was high. The evaluation found evidence in one of the case study countries of programmatic activities—together with the investments—contributing to influencing other resources, as described in Box 15. Several other countries also expressed aspirations that the activities funded by the CIF would lead to opportunities to scale up with or gain access to the GCF and other funders (Grenada, Dominica, Niger, Lao PDR).

BOX 15: SCALING UP CLIMATE FINANCE THROUGH A PROGRAMMATIC APPROACH IN ZAMBIA

In Zambia, the programmatic approach facilitated scaled up climate finance through support provided under the IPPG and leadership from the country coordinating mechanism. The IPPG supported the comprehensive mainstreaming of climate resilience into the Sixth National Development Plan, followed by a pre-budget preparation workshop.

These efforts began to produce results from 2014 on in terms of sector budgets. Most sectors now have climate resilience strategies embedded in their planning documents, with increasing budgetary allocations to these climate change activities. These impacts were also supported by the use of IPPG funding to develop a budget-tracking tool to identify climate resilient budget allocations, prepared by the Zambian Climate Change Network, a national NGO.

The Zambian Interim Climate Change Secretariat, established and supported with funds from the IPPG and subsequent project resources, was also instrumental in identifying opportunities for scaled up investment. The successful CIF-funded piloting of participatory adaptation investments—identified through mainstreaming climate resilience in local development plans and through participatory decision-making processes facilitated by local NGOs—led to a proposal by the government to scale up this approach in northern Zambia, with funding from GCF.

4.6. Summary across outcomes and CIF programs

The table below summarizes the findings on programmatic approach outcomes, illustrating the different levels of achievement by program. The next section of the report (**5**) describes factors that help explain these differences.

Table 4: Summary of Programmatic Outcomes Across CIF Programs

Programmatic approach outcomes	CTF	FIP	PPCR	SREP
A coordinated and transformative approach				
Strategically linked investments and activities with synergistic results	Evidence of systems-level thinking in IPs; innovative projects facilitated; more public-private linkages; limited synergies in implementation	Evidence of systems-level thinking in IPs; limited synergies in implementation	Evidence of systems-level thinking in SPCRs; innovative projects facilitated; limited synergies in implementation	Evidence of systems-level thinking in IPs; limited synergies in implementation
Government ownership, institutions, processes, and policies strengthened or influenced				
Ownership, commitment, and awareness	Commitment mainly generated through IP design process and strong ownership of individual investment projects	Strong ownership and commitment generated and deepened through up-scaled and new FIP forestry activities	PPCR process designed to deliver enhanced ownership among key actors, and did in many ways	Commitment mainly generated through IP design process and ownership of individual investment projects
Country coordination and institutional capacities	Active programmatic country coordination not led by CIF during implementation	Extent of FIP playing an active role depended on pre-existing, forest-related activities and institutions	Relatively effective; IPPG and PPCR projects supported coordination and institutional capacity	Institutional structures not consistently identified in IPs, nor supported in implementation
Inter-ministerial coordination and collaboration	Some, but mostly during IP design	Limited to steering committees, occasional overlap with agriculture	Strongly emphasized and applied through inter-ministerial platforms and working groups	Some, but mostly during IP design; single-sector entry point
Policies and regulations	Occasionally addressed in the context of projects	Addressed in some projects (e.g., studies on legal and tenure issues, support for forest law enforcement)	Influenced through IPPG activities and PPCR projects; national strategies influenced in some countries	Occasionally addressed in the context of projects
M&R and stakeholder meetings	M&R not done programmatically; no stakeholder meetings	M&R stakeholder meetings increasingly used to promote programmatic approach and indicators	M&R stakeholder meetings important for constituency building, transparency and learning	M&R not done programmatically; no stakeholder meetings

Programmatic approach outcomes	**CTF**	**FIP**	**PPCR**	**SREP**
Partnership with CSOs, private sector, and other stakeholders				
Civil society and local communities	Very low or non-existent involvement in IP design; some involvement in investment projects	Strong involvement, mostly in IP preparation, steering committees and through DGM; some stakeholder review meetings	Strong involvement in SPCR preparation; wide participation in project implementation and program oversight; IPPG activities partly carried out by NGOs	Engagement during initial design phase, but not maintained throughout IP implementation
Private sector (PS)	PS strongly engaged in PS project execution; increased public/private dialogue	PS efforts made, but PS in forestry is weaker, few opportunities with some exceptions	PS engaged in SPCR development and in some countries through projects	PS engaged in IP development and in some countries through projects
MDB collaboration	Much collaboration in IP design; limited during implementation, with exceptions	Strong collaboration in IP design, modest to non-existent in implementation, with exceptions	Strong collaboration in design; modest in implementation	Much collaboration in IP design, but limited during implementation
Other climate change investments scaled up or influenced				
Co-finance: crowding in joint or parallel funding into CIF investments	Significant contribution, through scale, resource predictability and flexibility	Very limited, only with MDB 'parent' projects where they exist	Less than anticipated	Less than anticipated
Increased climate change finance: scaling up	Significant contribution through risk mitigation and tipping markets	Limited; current priority on disbursing FIP funds; recently GCF funds sought to scale up	Some evidence of influencing national budget allocations; GCF funds sought to scale up	Not evident
Learning across CIF investments enhanced				
Learning across CIF investment projects	Almost none at country level; value of cross-sectoral learning questioned due to heterogeneous sectors/projects	Some; 25% percent of IPs have strong learning component	Some; 75% of SPCRs have strong learning component; focal point capacity and resources not always conducive for learning	Almost none at country level
Knowledge and learning for broader audience	Some learning within sub-sector programs, e.g., geothermal energy	Some, but still limited as programs not sufficiently advanced; global pilot country learning events offered good opportunities	Some; global pilot country learning events offered good opportunities; some dedicated learning through South-South exchanges	Some learning within sub-sector programs, e.g., geothermal energy, mini-grids

5. Factors That Influence the Effectiveness of a Programmatic Approach

Section 3 examined the experience of the programmatic approach in each of the four CIF funds and in private sector programs, and Section 4 assessed the achievement of programmatic outcomes according to the theory of change. This section takes a step back to first identify broader factors that influenced the understanding and effectiveness of the CIF programmatic approach across the CIF programs and countries. These relate to context, agency, and support.

The context of climate change engagement in the countries was important to understanding and designing the CIF's programmatic approach. The national climate change context that the CIF entered into—in terms of the extent of existing national strategies and planning, institutional structures and mandates for climate change, and ongoing relevant projects and programs, including of the MDBs—and how the CIF fit itself into this context are critical considerations. In some programs and countries, the CIF was more complementary; in others, it was more catalytic. The evaluation identified two broad models for the CIF programmatic approach in practice:

- Countries where the CIF programmatic approach took a clear separate identity, sometimes even a high-profile, visible approach, focusing on process, institutional structures, portfolio, and programmatic emphasis (e.g., Zambia, Tajikistan, Niger, Burkina Faso).
- Countries where CIF was integrated into ongoing climate change and sectoral efforts, be they project or programmatic ones, often with a scaling up or supplementary role (e.g., Turkey, Chile, Mexico, Colombia, Indonesia, Lao PDR, Ethiopia, Bangladesh, Grenada, Dominica).

Neither of these two broad models determines *a priori* the relevance, effectiveness, or value added of the use of a programmatic approach. The programmatic features of developing an investment plan that is country owned, informed by multi-stakeholder consultation, supported by MDB coordination, and associated with predictable and scaled up finance have been shown to be relevant and effective under both models. Still, the different models may warrant different ambitions and content. In particular, the country case studies showed that the use of the latter approach presented more risk for the programmatic approach and its main defining features of institutionalization, cross-project learning to get "lost" in implementation, especially in lower capacity countries.

The prevalence of each model differed quite a bit between CIF programs. Most CTF and SREP countries took the second model. Ethiopia, for example, considered SREP programming in the broader context of its existing Growth and Transformation Plan. Many of CTF's middle-income countries had a long history of sustainable energy and transport projects, including with the MDBs. The case of Turkey illustrates this model, where CIF funding scaled-up ongoing MDB efforts and contributed to reducing barriers for expanded renewable energies through blending of finance and better public-private linkages.

PPCR pilot countries followed both models, depending on the extent of existing climate change planning and other influential factors discussed below, including government leadership and commitment. In

Tajikistan, where the climate resilience agenda was nascent and government commitment was strong, the PPCR program had a clear identity. In other PPCR countries where climate-related natural disasters, such as hurricanes, had led to significant reconstructive investments, CIF resources did not take on the same prominence.

In most FIP countries, the existing REDD+ architecture provided a nested home for a FIP programmatic approach. The experience of FIP in Mexico exemplifies the importance of nesting the CIF-funded investments in the context of a broader and well-integrated community development program—when such a national program exists—and not forcing a stand-alone or CIF-centric program. In Mexico, the FIP supports complementary components, up-scaling, and innovative elements in this broader program, including innovative finance mechanisms for productive forest use.

The scale of CIF operations, importance for the sector or sub-sector in a given country, and nature of the CIF portfolio itself (such as the extent of private sector programming in the mix) also mattered for which model was followed and the relevance of the CIF's programmatic approach. For CTF, the size of energy and transport sector investments and MDB portfolios in many middle-income countries called for a well-targeted and integrated CTF approach. In practice, in some countries and programs, the CIF was strategically instrumental and highly visible in certain sectors or sub-sectors, such as geothermal energy (Chile, Indonesia) or energy efficiency (Mexico), or in the promotion of particular instruments, in particular risk-mitigation, but less so on a broad, national scale.

A second key factor relates to agency, and specifically the leadership of and capacity for a programmatic approach, particularly by government partners and MDBs. The CIF could try to stimulate or promote government engagement, but ultimately the decisions are those of the country authorities. The evaluation identified strong champions for climate change (Zambia, Tajikistan, Burkina Faso, Mexico) as well as government officials tasked with leading the CIF program who did not have the interest, capacity, or necessary time available to do so. Anchoring the country coordination mechanism and/or focal point in a strong ministry was a supportive but not sufficient factor to lead to programmatic outcomes. Government leadership and capacity were important for achieving programmatic outcomes.

The MDBs were critical catalysts in the planning process, but took a step back in the project implementation phase in most countries, reverting to normal implementation practices, to the detriment of the CIF's programmatic thrust. The cases of Zambia and Burkina Faso illustrate the positive contribution of lead MDB engagement to programmatic successes. Activities to support the strategic national program were embedded as a component in the World Bank's investment project, and additional country programming resources were requested by the World Bank for South-South learning exchanges with Zambian officials. In Tajikistan, joint MDB missions empowered the country coordination mechanism. A very proactive, joint role of World Bank and AfDB in Burkina Faso during implementation helped the FIP and its Coordination Unit to become a laboratory and voice for climate change in the country and to spearhead this role in the Ministry of Environment, Green Growth, and Climate Change.

Lastly, the extent of support for the programmatic approach in terms of guidance, mechanisms, and resources and operational delivery influenced programmatic effectiveness. This factor helps explain differences in programmatic outcomes achieved among the CIF programs and between the investment planning and project implementation phase. On the whole, where sufficient guidance and resources were provided by the CIF programs, support mechanisms, and CIF AU, the programmatic approach was implemented with the intended results. In the investment planning phase, SCF guidelines for MDB joint missions and stakeholder consultation, along with IPPGs, contributed to generally well-consulted IPs/SPCRs that identified priority investments. In the project implementation phase, however, the CIF lacked clear mechanisms and accountability measures to maintain many expected features of the programmatic approach. Programmatic expectations were poorly communicated and the transit from preparatory phase to implementation after IP endorsement did not sufficiently clarify how key roles would be supported by the CIF. In several countries, there was a perception that the role of the CIF focal point is primarily to coordinate the annual M&R process. Accountability for delivering on the programmatic features in the project implementation phase was limited.

Critically, the expectations for sustaining the programmatic approach were not fully aligned with the operational or incentives systems of the MDBs. For example, although optional resources were made available to the MDBs through the country programming budget to support programmatic features in the project implementation phase (such as convening stakeholder review meetings or conducting country-level knowledge and learning activities), MDBs saw the process to access these resources as onerous relative to the small grant size. This contributed to the country programming budget being under-utilized to support implementation. Furthermore, the country programming budget was not available to support all tasks identified for lead MDBs in CIF guidelines, such as supporting general coordination of the IP/SPCR implementation or supporting the country focal point in fulfilling his/her leadership role. As such, the extent to which lead MDBs fulfilled their expected role in implementation depended partly on the initiative and capacity of individual project leaders and partly on the extent to which this role was designed into investment projects, as an accountability measure. Because incentive structures for MDB country teams are strongly determined by project delivery and related key indicators in project design reports, programmatic features that were directly referenced in project documents (e.g., support for country coordination mechanisms in PPCR countries) tended to receive much more attention than those that were not.

Other operational considerations also influenced the effectiveness of the programmatic approach, especially in implementation. Some of these were: differences in the timing of investment projects across MDBs (e.g., where projects intended to be implemented in parallel were not, due to delays in one project but not another, limiting the opportunity for cross-program coordination and learning, such as in Lao PDR and Niger), challenges in procurement (e.g., in contracting CSOs/NGOs to support programmatic elements, such as outreach), and differences among MDB procedures that are difficult to overcome (e.g., project safeguards, timing of supervision missions). Where differences among MDB procedures were overcome, countries benefited from the programmatic alignment—but it was time intensive to achieve (Zambia, Tajikistan). Changing staff and responsibilities in governments and MDBs and institutional memory played a large role in maintaining or curtailing the programmatic approach in CIF, in transition from IP/SPCR preparation to implementation, but also during implementation.

6. Looking to the Future

This section looks toward the future use of a programmatic approach, starting with a discussion on how the international institutional architecture for climate change has evolved since the CIF began nearly a decade ago and how the CIF has also changed, and concluding with a summary of the implications of these changes on a programmatic approach.

The international institutional context for climate finance has changed significantly since the CIF began nearly a decade ago. The CIF's emphasis on national planning was valuable in that historical context, given that many countries, particularly the lower income countries, were in more nascent stages of climate change planning and priority setting seven to ten years ago. Since then, many new initiatives, agreements, and national planning exercises have launched. In the energy space, the UN formed the Sustainable Energy for All (SEforALL) initiative to mobilize strategies and financing to accelerate energy access, renewable energy, and energy efficiency. In the adaptation arena, the Parties to the UNFCCC established a National Adaptation Plan (NAP) process to help countries do comprehensive medium- and long-term climate adaptation planning, aiming at an approach that integrates climate risk into national development planning, policies, and programs. The newest actor in the multilateral climate finance architecture, GCF, became operational in 2015 and has since approved $3.7 billion in funding for 76 projects and programs. In 2015, international leaders came together for the Addis Ababa Action Agenda for financing development, new Sustainable Development Goals (SDGs), and the Paris Agreement that pledges to keep global warming to well below 2°C by 2100 and make best efforts to limit warming to 1.5°C. Under the Paris Agreement, 169 countries have submitted Nationally Determined Contributions (NDCs) to reduce national GHG emissions and adapt to the impacts of climate change. MDBs have also committed to raising their ambition and investment volumes to further scale up climate action. Their future investments will be shaped at least in part by the new global climate change architecture for climate action and climate finance, including national commitments through NDCs and NAPs.

With these significant evolutions, future programmatic approaches could tend more toward a model of being strategically complementary, but a less distinct national program. That potential reality does not *a priori* limit the relevance or effectiveness of using a programmatic approach, with emphasis on sustainable institutions and processes, broad stakeholder involvement, enabling policy and regulatory environments, cross-project learning, scaling up, and mainstreaming. A strategically complementary model supports continued engagement in considered and participatory investment planning to ensure that projects are mutually reinforcing and aligned with other complementary investments, to push toward transformational change. It can also support seeking opportunities to strengthen the broader country coordination and mainstreaming of climate change efforts as they relate to other donors, and domestic investments. A strategically complementary programmatic approach can also build on existing national climate change plans, such as NDCs and NAPs, to identify a program of synergistic investments that achieves more than a project-by-project approach, without reinventing the wheel. Designing such an approach to complement existing and evolving UNFCCC architecture will be key and require a flexible and transparent approach.

The CIF experience also suggests that the focus of a programmatic approach could evolve over the program lifetime to provide most value. A programmatic approach could effectively begin with strategic dialogue and fostering inter- and intra-institutional coordination, add learning elements at country or thematic levels as project implementation progresses, and shift toward program-level review of results and opportunities for scaling up and deepening and broadening the transformational change processes.

The experience of new SCF pilot countries also emphasizes the importance of certain key elements, including resource certainty and accountability, for ensuring an effective programmatic approach. Interviews suggest that both countries and MDBs were, in some cases, less interested in preparing IPs/SPCRs without linked commitments for investment resources. For the FIP IPs and PPCR SPCRs that were recently endorsed at the June and December 2017 TFC meetings, it is premature to evaluate whether the investment planning processes will lead to programmatic outcomes for these countries. Still, some available evidence gives some indication of the potential. The new IPs/SPCRs have been prepared through consultative processes, present priority investments, and reference relevant international processes (e.g., NDCs, NAPs). But, they show less evidence of clear institutional arrangements for the project implementation phase and inclusion of strong learning elements, especially in the FIP, which are important for supporting a programmatic approach. Most recently endorsed SPCRs describe institutional arrangements to coordinate the PPCR program, but few explain how the new institutions proposed—with new responsibilities—will be resourced, and few include components to support such institutional capacity building embedded in the prioritized investment projects or as stand-alone projects. These mechanisms have been shown by this evaluation to be important for sustaining the programmatic approach.

7. Conclusions

The following section draws from the evaluation findings on the CIF's programmatic approach to present overall conclusions in response to the key evaluation questions.

Overall, the evaluation has shown that the CIF's programmatic approach can lead to strong outcomes with potential to contribute to the transformational change dimensions of relevance, systemic change, scaling, and sustainability. Partway through the project implementation phase, the evaluation findings point to this potential and to good practice examples where programmatic outcomes strongly support change processes that are amplified through the investment projects themselves.

The programmatic approach is one of the original core design elements of the CIF and is seen as integral to the CIF's ambition to achieve transformational change. The CIF was the first climate fund to use a programmatic national investment planning approach as its primary delivery modality. The CIF's programmatic approach encompasses the development and implementation of a country-led IP/SPCR—supported by MDB collaboration, informed by multi-stakeholder consultation, and associated with a predictable and flexible resource envelope—that sets out synergistically and strategically linked investments, unified by an overarching vision. Other important features of the programmatic approach vary by CIF program. To complement the country-driven IP/SPCR programmatic approach model, and channel funds specifically to private sector investments, the CIF has also used dedicated private sector windows, which were designed with some features of the country programmatic approach that is the focus of this evaluation, including joint MDB planning (in the DPSPs) and resource flexibility.

In practice, in the investment planning phase, the use of the programmatic approach had significant advantages over a project-by-project approach that contributed to important outcomes. At the outset, the programmatic approach offered an organized and consultative way to prioritize investments, a unique and valuable platform for MDB cooperation, and the certainty of available scaled-up resources. Across all programs, these programmatic features contributed to increased ownership, awareness, and a willingness for broader strategic dialogue within government. The programmatic planning process generally yielded IPs/SPCRs that were linked to national strategies and priorities and that addressed transformational change concepts, including through taking a wider system perspective to investment planning.

Across the four CIF programs, linking the strategic planning process to the certainty of available investment resources was an important feature of the programmatic approach. Interviewees indicated that the predictable funding stream lent gravity to the investment planning process and was especially conducive to the development of innovative or first-of-a-kind projects that require more substantial preparation, compared to a competitive project-by-project approach.

- In the **CTF**, as mentioned, the certainty of available scaled-up resources helped to facilitate the design of some innovative projects. Joint MDB planning contributed to country IPs with a set of well-aligned projects aimed at transformational change, such as in Turkey and Morocco. A government-led investment planning process contributed to better linkages between private sector projects and public sector actors. Across CIF programs, but especially in the CTF, the flexibility to reallocate resources to reflect changing conditions has been highly valued by stakeholders.
- In the **PPCR**, the programmatic approach helped to establish a common multi-sectoral vision for climate resilience that aligned with national development priorities in its pilot countries, particularly in those where climate adaptation efforts were just emerging in the early 2010s. This process, combined with the predictability of available finance, led to some first-mover and coordinated projects that reflected programmatic objectives, taking both horizontal and vertical approaches to mainstreaming climate resilience. Additional resources provided to PPCR in the SPCR planning phase helped support institutional readiness and policy change in some countries, such as integrating climate resilience into national development and sector plans, as in Zambia.
- Stakeholders saw the **FIP** programmatic approach as a chance to address more, or more comprehensively, the drivers of forest degradation and deforestation. The FIP programmatic approach also contributed to the participatory process in support of national REDD+ efforts and partnership building. The investment planning process helped to enable high level political engagement and lend a voice to responsible ministries, who otherwise have often limited ability to convene inter-sectoral dialogue. Given the wide diversity of country circumstances in FIP countries, the flexibility of the programmatic approach has been an asset, with approaches ranging from

nesting into a long-standing national program, as in Mexico, to initiating cross-sectoral discussion and a national dialogue on REDD+ in Burkina Faso.

- In the **SREP**, the programmatic approach provided an opportunity to address energy sector-wide challenges and to link resources to strategic planning, which helped bring government and other actors to the table for high-level dialogue. Strategic dialogue and resource predictability in the investment planning process helped identify potentially transformative investments in some countries, especially when government leadership was strong, like in Rwanda. The focus of the programmatic approach on combining TA with investment to support first-mover projects also led some governments to include some TA or capacity building components in their IPs that may not otherwise have been country or MDB priorities.

The programmatic approach has been less evident in the project implementation phase, with some differences across programs. In the CTF—working in middle income countries with greater institutional capacity to manage and coordinate their own programs—the primary value of the CIF programmatic approach was seen in the investment planning phase, as described above. In the SCF programs, many countries with strong programmatic features in the investment planning phase ceded to a project-oriented approach in the project implementation phase. MDB collaboration was modest, at best, in project implementation at the country operational level. Annual or biennial stakeholder review meetings have been infrequently held, although program-level monitoring and reporting processes have helped address this gap in PPCR and FIP. One important exception is that across CIF programs, but especially in the CTF and PPCR, the predictability and flexibility of resources has remained a valuable feature in the implementation phase. This feature has enabled recipient countries to reallocate resources within or across MDBs to reflect changing country and market circumstances.

Among the three SCF programs, the programmatic approach has been better sustained in PPCR and FIP countries, owing to their requirements for program-level M&R and emphasis on country coordination mechanisms. In the FIP and PPCR, the requirement for M&R at the country program level helped sustain the programmatic approach by supporting broader stakeholder engagement and providing an annual platform for multi-sector collaboration and climate change awareness raising among and beyond government actors. In PPCR, country coordination mechanisms helped to sustain the programmatic focus, especially in countries where dedicated support and resources for such institutional coordination were provided through components in the CIF-funded investment projects. In FIP, linkages to national and REDD+ program processes provided some support to the CIF's programmatic emphasis. Overall, however, where country coordination mechanisms were weaker, program-level annual M&R processes were not sufficient to maintain high-level strategic dialogue to advance program goals, support the delivery of synergistic benefits among projects and MDBs, or identify ways to scale up a program.

In PPCR and FIP countries where the programmatic approach was more fully applied, outcomes have been achieved that go beyond what would likely be achieved through an individual project—demonstrating the potential of the approach. The use of a programmatic approach contributed to stronger government coordination and institutional capacities, as well as cross-sectoral and vertical collaboration and mainstreaming, in the PPCR especially. In several PPCR countries, programmatic M&R helped to mainstream climate change indicators into national systems.

Across both the investment planning and project implementation phases, the CIF experience demonstrates the importance of government ownership and institutional capacity for the effective application of a programmatic approach. The CIF experience also shows that programmatic approaches require mechanisms, incentives, and accountability measures to support them, and that those measures must be aligned with operational and incentive systems of their delivery partners to be effective.

Key questions for the CIF, or other development partners considering the use of a programmatic approach, are: **When is a programmatic approach most needed, and when, if ever, should it not be used?** This evaluation has shown that a programmatic approach in the investment planning phase is relevant and can generate important outcomes across a broad range of country contexts—in both cross-sector and single-sector programs, in advanced and nascent national development and climate change policy contexts, and in least developed and low- and middle-income countries. The programmatic features of predictable and flexible scaled-up resources, development partner coordination, multi-stakeholder engagement, and seeking synergies and complementarity among projects and programs to support transformational change have offered advantages to recipient countries. The programmatic feature of support for readiness activities—including readiness to apply a programmatic approach—is more relevant for lower-income and lower-capacity countries.

In the project implementation phase, the evidence suggests that the programmatic features of a government institutional structure to coordinate the program and annual program review through stakeholder workshops and program-level M&R works well in programs focused on lower-income and lower-capacity countries and in programs focused on multi-sectoral systemic change. In these contexts, the programmatic approach can contribute to sustaining inter- and intra-ministerial engagement, mainstreaming climate change into development, and identifying opportunities for scale-up.

In middle-income and higher-capacity countries, such as in the CTF, the evidence shows that the use of a programmatic approach in the investment planning phase can generate important outcomes, without the need for sustaining certain features into the project implementation phase. In particular, where some features can be effectively led by national governments (e.g., coordination), they may not need to be designed into climate funds' programmatic approaches. Similarly, when alternative approaches to support programmatic features, such as cross-project learning at global rather than country levels, can be effectively employed, they may not be necessary features of the country programmatic approach.

8. Recommendations

The following recommendations are made in light of the findings and conclusions of the evaluation:

1. **Continue to use a programmatic approach.** The CIF's programmatic approach is a distinctive and valuable feature of its overall approach to climate finance. The evaluation has found that the CIF programmatic approach has demonstrated strong potential and had important outcomes beyond a

project-by-project approach, where embraced by government and MDB leadership and supported with resources and mechanisms (e.g., processes, institutional structures, and accountability measures). The CIF should continue to support critical core features of the programmatic approach, including the development of IPs/SPCRs that are led by country governments, supported by MDB collaboration, informed by multi-stakeholder consultation, and that set out strategically linked investments. The strategic planning process should be associated upfront with a predictable and flexible resource envelope, for best effectiveness. In certain cases, the country programmatic approach could be complemented by other approaches offering more flexible and adaptive responses to country and program circumstances such as dedicated private sector windows. The programmatic approach also can be complemented effectively by other approaches to support programmatic features like cross-project learning at regional or global levels, such as those focused on thematic issues or specific technologies.

2. The following measures are recommended to further strengthen the relevance and effectiveness of the programmatic approach within the CIF, and as good practices that may be relevant to other development partners considering or using programmatic approaches:

    a. **Clearly communicate roles and responsibilities for maintaining a programmatic approach in the project implementation phase** to government officials and project task teams, from the outset. For a programmatic approach to be effective, key actors must understand and see value in their role in the overall program.

    b. **Ensure that specific mechanisms to sustain the programmatic approach in the project implementation phase are established**, such that government officials and project task teams are supported and motivated to carry out their programmatic roles. Such mechanisms (e.g., for coordination, learning, convening stakeholders) should preferably be designed into individual projects as part of their delivery modality and theory of change, to provide incentives and support accountability.

    c. **Relatedly, build stronger capacities in governments to lead and coordinate a program strategically.** Programmatic approaches may require stronger capacities than projects in terms of execution—coordination, negotiation, strategic planning, knowledge and learning, outreach—and these can be supported by development partners. Government leadership is critical; the MDBs can support that leadership, but the approach must be fully government-owned to be sustainable.

    d. In the evolving international context for climate action, **focus more squarely on an approach that clearly integrates with national programs or frameworks**. Where the CIF program was most perfectly aligned with and integrated into national efforts, the opportunity was greater. Although the CIF has always aimed to align with government-led development and climate change strategies, moving forward, building on NDCs, NAPs, and other national plans will continue to be critical to maintain relevance. Programmatic approaches could focus on tackling a part of a country's NDC, for example, in an integrated and complementary way. A flexible approach, tailored to country circumstances, could enable shortening of investment planning processes in countries where considerable analysis and prioritization has already been done through national processes, and more extensive processes in countries where additional work is needed to elaborate strategies or action plans.

3. Recognizing the distinct differences among the four CIF programs, the following measures are also recommended:

    a. In the **CTF**, keep the programmatic approach as a flexible planning tool (i.e., a business plan plus), that can support identification of strategic entry points in each country context. Focus the programmatic approach on supporting constructive interaction between the public and private sectors and facilitating scaling-up to reinforce or amplify the program results. Develop mechanisms for the **DPSPs** to support the programmatic approach in the project implementation phase.

    b. Continue the strong multi-sectoral focus in the **PPCR** programmatic approach. Ensure that programmatic elements are supported through projects, that institutional arrangements (and the capacity to use them effectively) are prioritized, that mainstreaming is focused on processes that matter (e.g., those that are linked to budgets), and that IPPGs are used most effectively to set the groundwork for program success, where it is needed.

    c. In the **FIP**, continue to use a flexible programmatic approach that reflects the unique circumstances of each country to provide complementary support. Link FIP interventions to national priority agendas including REDD+, but also rural and economic development strategies, where appropriate, to support country ownership. Use the programmatic approach to continue capacity support of sustainable institutions to lead and mainstream forestry concerns across relevant sectors.

    d. Use **SREP** planning resources to apply a coordinated and inclusive process to identify investments and TA that are strategically aligned with the existing national strategy and project landscape (e.g., NDCs, SE4ALL). Consider piloting more robust support for sustaining the programmatic approach in SREP in the project implementation phase, such as through program-level M&R and the inclusion of dedicated TA components in projects or stand-alone TA that supports country capacity to coordinate delivery of its national climate change and energy strategies.

4. **Continue dialogue with others to share experience on programmatic approaches and align such approaches, as appropriate.** The CIF has pioneered the use of a programmatic approach in climate finance and its experiences will be of interest and use to other climate change funds, including the GEF and GCF. Sharing those experiences would be consistent with the overall piloting and learning objectives of the CIF.

Appendix A. Original Terms of Reference for the Evaluation of the CIF Programmatic Approach

I. Background

The Climate Investment Funds (CIF) were established in 2008 to provide scaled-up climate financing to developing countries to initiate transformational change toward low-carbon, climate-resilient development. Channeled through the multilateral development banks (MDBs), the CIF encompass two funds: the Clean Technology Fund (CTF) and the Strategic Climate Fund (SCF), which includes three targeted programs – the Forest Investment Program (FIP), the Pilot Program for Climate Resilience (PPCR) and the Program for Scaling Up Renewable Energy in Low-Income Countries (SREP). Contributor countries to the CIF have pledged more than USD 8.3 billion to fund preparatory activities and investments in 72 countries.

The CIF Evaluation and Learning Initiative was approved by the Joint Meeting of the Trust Fund Committees (TFC) in May 2015. The overarching purpose of the Initiative is to capture evidence and lessons to inform both ongoing CIF activities and future climate finance investments.

The E&L Initiative Business Plan, approved in June 2016, commits to undertaking catalytic evaluation and learning activities that are demand-driven, relevant, and applied to important decisions and strategies. The Business Plan identifies four priority learning themes to guide a focused learning agenda through the first year of the initiative. This evaluation aligns with the priority learning theme "CIF Design and Approach," which aims to assess unique aspects of the CIF's structural design and implementation model in order to identify lessons learned and enable continuous improvement.

The use of a programmatic approach is often cited as a distinct feature and comparative advantage of the CIF. The CIF is the only climate fund to date to prioritize a programmatic approach as its primary model of delivery. The Global Environmental Facility (GEF) also offers a programmatic approach to supplement its project-based approach, but this is not its main modality of delivery. The GEF was created primarily to have a "piloting" "catalytic role" for innovation at the project scale. The Green Climate Fund is currently undertaking a competitive project by-project approval process, but recently adopted a Programmatic approach to funding proposals that will guide its future operations. This provides an important opportunity for leaning and exchange and enhancements that will benefit both national and financing partners.

The CIF programmatic approach has several notable features, such as:

- A nationally driven strategic plan and investment pipeline developed to mainstream and advance the thematic issue of the relevant CIF program (SREP, PPCR, FIP) within a country's larger development context
- MDB coordination and collaboration at the planning and investment levels, and inter-ministerial coordination and policy dialogue at the highest levels to enhance national impacts of climate investment
- Multi-stakeholder consultation in the design and implementation of investment plans

- Predictability of resource availability from the outset
- Linking of public and private sector investments
- Programmatic results measurement
- Efforts to enhance knowledge and learning, as well as gender and social inclusion across countries' programs

Through the national investment planning process, the CIF seeks to stimulate a transformational shift from the "business as usual" sector-by-sector and project-by-project approaches to promote a participatory approach toward development of a broad-based strategy to achieving low carbon and climate resilience at the national level in the medium and long-term. The process involves a broad range of in-country stakeholders from cross-sectoral government departments, non-government actors, including civil society groups and highly affected communities, and the private sector. This process is intended to bring strong country ownership and leadership to CIF-funded activities, while building on the MDBs' abilities to mobilize climate financing at scale, assist in building country-level capacity, and leverage partnerships by engaging other development partners in the process. In recipient countries, the Country Investment Plan[56] (IP) or Strategic Program for Climate Resilience[57] (SPCR) is a core facet of this approach, which sets the stage for individual project investments as part of a wider country strategy.

To date, no comprehensive evaluation has been conducted specifically focusing on the CIF programmatic approach. However, in 2014, an independent evaluation of the CIF focused on its organizational effectiveness pointed to a number of strengths and weaknesses in the early implementation of the CIF programmatic approach. These include—but not exclusively—a more inclusive consultation process for the SCF programs compared to the CTF; effective collaboration between MDBs and governments to develop investment plans; effective engagement of development partners in almost all planning processes as well as concerns about the quality and depth of stakeholder engagement in countries and the fact that the length of the planning process has undermined private sector engagement. This evaluation was primarily formative and covered the first six years of the CIF operation, during which time most CIF projects were still in the pipeline or in early execution.

Since 2014, the climate finance landscape has changed significantly with new major actors such the GCF becoming operational, and the adoption of Sustainable Development Goals (SDGs) and the Paris Agreement with countries developing their Nationally Determined Contributions (NDCs). The CIF itself has grown significantly (72 countries compared to 34). More projects have been approved, are under implementation, and are achieving tangible results. Several country programs are more mature and their programmatic experience provides a learning opportunity.

In May 2014, 38 new countries have been invited to join the CIF and are currently preparing their investment plans in a completely different context and dynamism compared to the original countries. On the one hand, with no funding available under the CIF programs to finance the projects and programs that may be proposed under the new IPs, new countries and MDBs have been requested by the SCF Sub-committees to be more proactive and design IPs that will attract funding from other sources, including the GCF. They were especially encouraged to further collaborate with GCF on the development of IPs to facilitate compatibility with GCF's investment criteria. On the other hand, in

[56] Investment Plans are used for the CTF, SREP, and FIP.

[57] SPCRs, which are essentially equivalent to Investment Plans, are used for PPCR.

countries where two or three SCF programs co-exist, new countries and the MDBs have been invited to explore synergies between the programs (e.g., FIP and PPCR or PPCR and SREP) in developing and implementing these investment plans as well exploiting any programmatic and operational efficiencies that may exist while respecting the mandates of each program.

Moreover, the CIF, seeking to build on past experiences, is taking a more forward-looking, longer-term view of its future including its business model. The 2016 paper "Strategic Directions for the Climate Investment Funds" proposes that an **enhanced programmatic approach** be adopted for CTF (CTF 2.0). This approach draw on the benefits of both country-led investment plans that focus on strategic areas prioritized by the countries and thematic and technology-based programs across countries and regions, as exemplified by the Dedicated Private Sector Programs (DPSP)[58]. The PPCR and the FIP are envisaging developing **strategic thematic programs** based on the DPSP model that will respectively provide horizontal support for global adaptation and forest challenges that affect different countries simultaneously. SREP is proposing that an **Enhanced Private Sector Program for Energy Access** be established to respond to rapid market growth and high country demand for SREP support. This new approach is intended to supplement the current programmatic approach of country investment planning.

In consultations, the full range of CIF stakeholders emphasized the need to further explore and extract lessons learned regarding the CIF programmatic approach, to better understand its contribution toward transformational change in countries and sectors, as well as any constraints or efficiency implications it has.

Several countries are arriving at the midpoint of implementing their IPs/SPCRs, and as such it is a timely period to take stock of implementation processes and progress against goals through a mid-term evaluation. This evaluation will be also relevant and beneficial for new CIF countries that are currently developing their IP/SPCR through the SCF programs as well as informing with concrete evidence the future direction of the CIF. Likewise, the Board of Directors of the Green Climate Fund (GCF) has recently adopted key tenets of a program-based approach, and this evaluation based on CIF experience can help to inform its implementation. The implementation of the Nationally Determined Contributions (NDCs) after the Paris Agreement could also benefit from the recommendations of this evaluation.

The CIF Administrative Unit seeks a firm to carry out this evaluation of the CIF Programmatic approach to provide an independent assessment of the implementation of this approach. The CIF is envisaging a constructive, forward-looking evaluation that reveals real improvement potential of the programmatic approach based on its past and ongoing performance. The evaluation will focus primarily on the programmatic approach within countries (original and new), particularly those chosen for an in-depth case study analysis as part of the evaluation. Additional recipient countries will be consulted through regular interviews. The evaluation will also consider cross-country and cross-program lessons where information to support this kind of analysis is available.

II. Purpose and use

The two-fold purpose of this mid-term evaluation is:

[58] The DPSPs were launched in 2013 to finance operations that can deliver scale (in terms of development results and impact, private sector leverage and investment from CTF financing) and speed (faster deployment of CTF resources, more efficient processing procedures), while at the same time maintaining a strong link to country priorities and CTF program objectives.

a) To inform enhancements to the programmatic approach in countries within CIF programs in FY 17 and beyond, and in so doing increase the effectiveness of this approach; and

b) To identify good practice examples and lessons learned thus far for the benefit of other climate finance mechanisms such as the Green Climate Fund.

The primary users of the evaluation findings are the CIF AU, including program and thematic coordinators; CIF MDB focal points and task teams; recipient country focal points; as well as donor country representatives. Together these users will collectively use the evaluation findings to enhance the design and implementation of the programmatic approach across programs and countries. The CIF TFC will also benefit from increased understanding of how the programmatic approach is working, to inform any policy decisions regarding an enhanced programmatic approach. The GCF and other climate finance institutions may also use learning from this evaluation as they further develop/implement program-based approaches as well as countries seeking optimal options to implement their NDCs.

III. Key learning questions

The evaluation is anticipated to explore the following key learning questions:

1. **How is the concept of the "programmatic approach" understood? What is the theory of change behind it?**
    a. What are the essential elements of the CIF programmatic approach and what make it unique?
    b. How is the programmatic approach understood by various stakeholders of the CIF (recipient countries, donor countries, CIF AU, MDBs, broader development community, etc.)?
    c. What are the key features and differences of the programmatic approach for each of the four CIF funds (CTF, PPCR, SREP and FIP)?
    d. What is the valued added of the programmatic approach as compared to project-by-project approaches?
    e. Are there other types of programmatic approach outside the CIF and what are the key elements of these?
    f. What elements of other programmatic approaches may be relevant to the CIF programmatic approach compared to programmatic planning processes undertaken by countries themselves (e.g., National Development Program) or by other funds (e.g., GEF, and GCF) or Banks (e.g., World Bank)?

2. **How is the programmatic approach being implemented, and what difference has it made?**
    a. To what extent are CIF investment plans aligned with existing national strategies and programs?
    b. To what extent have the investment plan processes triggered institutional, sectoral, procedural or other innovations at the national level? How and why has this occurred in different contexts?

   c. 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 the investment plans, how has this carried through to project preparation and implementation?

   d. To what extent have the involved MDBs effectively coordinated with each other in the preparation and implementation of national investment plans? How is this different from other partner collaborative programs? Is there room for synergies?

   e. What have we learned about the cost-effectiveness and possible sustainability of the programmatic approach at the country level?

   f. Is the programmatic approach, as embodied in the CIF country investment plans, an effective and efficient way to achieve scaled-up climate action? Was there further scale up beyond what was initially programmed?

   g. How has the programmatic approach contributed to country advancements and results? What are the success factors in these instances? What have been the challenges, obstacles or missed opportunities?

   h. Are some sectors/programs more responsive or conducive to programmatic approaches than others? Which ones, and why?

   i. Are there any limitations/challenges related to the programmatic approach? Where and why have these occurred and how have these been resolved (if appropriate) – and lessons that have been learned?

   j. Can the CIF programmatic approach be effectively implemented by other funds? What are the opportunities for this, and what may be some inherent governance/operational challenges that prevent this model from being applied by other funds?

3. **What is the value addition of the programmatic approach for CIF private sector operations** compared with other private sector investments within normal MDB operations?

   a. To what extent have the CIF dedicated private sector windows (DPSPs and PSSAs) been successful in implementing the programmatic approach?

   b. Does the programmatic approach have advantages compared to a project-based approach in financing private sector operations? Does the programmatic approach facilitate financing for key sectors such as renewables?

   c. What are recommendations for future CIF private sector operations with regards to the programmatic approach?

4. **How can the programmatic approach be strengthened within the CIF** by program/sector, actor (e.g., MDB, country-level focal points, country ministries, etc.)?

   a. What elements are core parts of the programmatic approach? What elements could enhance the programmatic approach scope, design, delivery and/or implementation/uptake?

   b. What resources, including training, capacities, and/or other resources are needed to actualize the programmatic approach as envisioned?

c. Are there particular lessons and recommendations improving implementation and results of the programmatic approach for specific sub-funds (CTF, PPCR, SREP, FIP) in particular contexts?

These questions may be further refined and some questions may be identified as key or crucial in the inception phase of the evaluation, based on further scoping and input from the selected evaluator and evaluation reference group.

IV. Scope of Work and Methodology

Consistent with the nature of a mid-term evaluation, the focus would be on processes of implementation and progress to date, in order to inform the second phase of the programmatic approach in the select countries as well as the wider approach used in programs. The evaluation questions are the main entry point to addressing these overarching issues.

The evaluation should employ mixed methods, including a meta-analysis of the programmatic approach and 6-8 country cases[59] associated with the 4 CIF programs[60]. A purposive country selection for field visits will be made by the evaluator and should include at least representation across, new and original countries, programs, regions, and MDBs. Specific methods chosen for this evaluation considering the context and evaluation questions may be proposed by evaluators, but should include at a minimum a theory of change assessment, document review, interviews, site visits for country case studies, and other methods of stakeholder feedback.

An independent evaluation reference group consisting of 8-10 stakeholders and experts will be formed by the CIF AU. The reference group will be involved in reviewing the inception, interim, and draft final reports. The reference group will serve an advisory function rather than an approval or decision making function. Monthly calls and/or email communication with the reference group is expected.

An important contingency to this work is establishing productive and effective collaboration with MDBs, select recipient country governments, and other relevant stakeholders. This includes a willingness to engage, sufficient time availability, and access to relevant documentation, data and other information. The CIF Admin Unit will seek to assist in facilitating this wherever possible, and these factors will be a key element informing the selection of country evaluations.

Activities

The consultant(s) is expected to design, lead, and undertake the evaluation through the following activities:

1. **Inception Consultation and Report:** Initial scoping activities are likely to include a set of preliminary scoping discussions with stakeholders, preliminary document review, and development of an Inception Report, which will further detail the key learning questions,

[59] Case study countries are to be determined. The objective will be to select a range of countries with at least one CIF program that is in implementation. An illustrative list of possible country options includes: Bangladesh, Cambodia, Jamaica, Indonesia, Mexico, Mozambique, Nepal, Tajikistan, Vanuatu, and Zambia.

approaches and methodologies (including data collection and analysis), plans for stakeholder engagement, plans for communication with the evaluation reference group and CIF AU, routine communication and reporting plans, anticipated key resources and resource gaps, and a detailed timeline.

2. **Data collection and analysis:** Data collection and analyses are expected to use mixed methods, including desk review, interviews, country case studies including in-person site visits, and both quantitative and qualitative analytical approaches. Evaluators may suggest specific methodologies, techniques and tools that are suitable for this kind of evaluation and the evaluation's particular context and questions. Data collection will include fieldwork in 6-8 purposively selected countries, to be used as case studies. The fieldwork will analyze the implementation and achievements of the programmatic approach in each country, as well as analyze the differences in the approach across countries and programs.
3. **Ongoing stakeholder communication:** Ongoing communication with key stakeholders is expected throughout the process of the evaluation in order to keep stakeholders up to date on the evaluation's progress and any initial findings that may be timely and appropriate to share. Key stakeholders include the CIF AU and MDBS, recipient countries and country focal points, CIF donors, representatives of other climate finance institutions, and other stakeholders involved in implementing the programmatic approach through CIF projects (particularly within case study countries). Communication mechanisms may be proposed by the evaluator and decided upon during the inception phase. They may include, for example, updates through email/listserves, conference calls, websites, and discussions during already-schedule meetings. Where possible, existing communication channels would be utilized instead of creating new ones.
4. **Communication with evaluation reference group:** Working closely with the CIF AU, the evaluators will communicate via conference calls/webinars or email with the reference group at least monthly. Feedback from the reference group is anticipated at least three times (as noted above).
5. **Communication of findings with key stakeholder groups:** Once the evaluation has identified findings, communication of these findings and any associated recommendations should be tailored to each key stakeholder group/user. It is not expected that a traditional evaluation report will be the most effective modality for communicating with each group, and alternative ways of communicating (e.g., briefings, presentations, discussions, or other creative modalities) can be proposed. At a minimum, a final evaluation report, a set of associated fact sheets or briefings tailored to different users as needed, and a presentation on the findings and recommendation are expected.
6. **Routine communication and reporting:** Evaluators will set up a routine communication protocol with the CIF AU, to likely include biweekly check in calls and monthly project reporting. Reporting will cover progress to date, milestones reached, expenditures, important preliminary findings, key issues to be aware of, and any anticipated changes to the schedule or other aspects of the original plan. Additional or alternative reporting and communication mechanisms may also be useful.

V. Key Deliverables and Milestones

The assignment will entail the following key deliverables:

- Inception Report

- Inception workshop/consultation
- Routine communication and reporting, every two/four weeks
- Two drafts of evaluation report including the findings and results of the key activities listed above, circulated to the reference group and other relevant stakeholders for feedback. A debriefing call and/or presentation on the draft report will also be held with relevant stakeholders.
- Final evaluation report detailing the analysis, findings and conclusions. The report should be no more than 40 pages in length, excluding annexes, and contain, at a minimum, the following sections or elements:
    - Executive summary of five pages or less
    - Background
    - Methodology
    - Key findings
    - Conclusions and recommendations
    - Data collection tools and sources in annex
- 3–4 short briefings on evaluation findings and recommendations
- Communication strategy
- Regional workshops to present findings and recommendations
- Any raw data gathered and analyzed during the assignment, including databases, spreadsheets, etc., must also be submitted along with the final report. (Anonymity and confidentiality, if it applies, will be respected. In these cases, attributed information does not need to be shared.)

An indicative timeline for activities and deliverables is as follows:

Activity/deliverable	Responsible	Approximate Timing
Prepare, solicit feedback, and finalize TOR	CIF AU	September–November 2016
Formalize evaluation reference group	CIF AU	November 2016
Issue Request of Expression of Interest, review proposals and finalize consultant selection	CIF AU	November 2016–March 2017
Prepare inception report and circulate for feedback	Consultant(s)	April 2017–May 2017
Conduct data collection, including field visits and analysis	Consultant(s)	April–August 2017
Prepare interim report and circulate among key stakeholders for feedback/inception workshop/consultation	Consultant(s)	August–October 2017
Presentation of Interim findings and recommendations at CIF TFC	Consultant(s)/ CIF AU	December 2017
Prepare final draft of evaluation report	Consultant(s)	November–December 2017
Develop management response to evaluation report	CIF AU	December 2017

Activity/deliverable	Responsible	Approximate Timing
Final delivery of report/publications and related communications	CIF AU 2017	January 2018
Regional workshops to present findings and recommendations	Consultant(s)/ CIF AU	Through Year 2018 (TBD)

VI. Reporting

The consultant(s) will report to the CIF AU Monitoring and Evaluation Specialist and Senior Evaluation and Learning Specialist. S/he will also work with other CIF AU and MDB staff, consultants working with the CIF AU on the Evaluation and Learning Special Initiative, and the evaluation reference group and others in the CIF AU and MDBs.

VII. Key Qualifications

The consultant or team of consultants are expected to demonstrate the following skills, experience and expertise:

- Experience designing and implementing evaluations of complex, multi-component programs and funds, particularly in MDB or other multilateral settings;
- Knowledge of and track record in using a range of evaluation methods and analytical tools and approaches (quantitative and qualitative) on a fit-for-purpose basis;
- Experience with low-income, least-developed, or other countries receiving international climate change finance from CIF and/or other multilateral or bilateral funding institutions;
- Demonstrated understanding of relevant evaluation standards and norms and familiar with relevant evaluation codes of conduct and ethics;
- Experience with innovative and creative data collection, analytical, and communication methods appropriate for this kind of evaluation;
- Strong analytical, writing, and presentation skills;
- Excellent organizational skills and attention to detail;
- Strong teamwork, collaborative and relationship-building skills in a multi-cultural setting;
- Knowledge and experience with CIF funds and programs preferred.

Appendix B. Stakeholders Interviewed

Headquarters

Affiliation	Name
CIF Administrative Unit	Zhihong Zhang (CTF and SREP) Rachel Allen (PPCR) Lorie Rufo (PPCR) Ian Gray (FIP) Christopher Head Sandra Romboli
CIF Administrative Unit (former)	Patricia Bliss-Guest Funke Oyewole Andrea Kutter
ADB	Ancha Srinivasan
AfDB	Gareth Phillips
IDB	Gloria Visconti Claudio Alatorre Pamela Ferro Cornejo
IFC	Joyita Mukherjee Andrey Shlyakhtenko
World Bank	Kanta Kumari Kazi Ahmed

CTF: Chile

Affiliation	Name	Position	Gender
NATIONAL GOVERNMENT			
Ministry of Energy Renewable Energy Division	Christian Santana Oyarzún	Division Chief, Renewable Energy Division and CTF Focal Point	M
	Marcel Silva Gamboa	Unit Chief, Self-consumption Development Unit, Renewable Energy Division	M
Ministry of Energy Energy Efficiency Division	Ignacio Santelices R.	Division Chief, Energy Efficiency Division	M
Ministry of Energy, Chile International Relations	Mijal Brady	Coordinator of Sectoral Issues	F

Affiliation	Name	Position	Gender
Ministry of Economy, Development and Tourism CORFO – Chilean Economic Development Agency	Manuel Martinez	Office of Investment and Financing	M
MDBs			
Inter-American Development Bank Climate Change and Sustainability Division	Claudio Alatorre Frenk	Sr. Climate Change Lead Specialist	M
Inter-American Development Bank IIC (Inter-American Investment Corporation)	Elizabeth Robberechts	Investment Officer	F
Inter-American Development Bank/IIC Buenos Aires	Alfredo Idiarte	Sustainable Energy & Climate Investment Specialist	M
Inter-American Development Bank/IIC	Christoph Tagwerker	Clean energy advisor (CSP project; now with KfW)	M
Inter-American Development Bank/based at Ministry of Energy, Santiago, Feb. 2012-Jan.2014	Daniel Perdomo-Rodríguez	CTF program coordinator; currently Senior Manager, Strategy & Business Development, Latin America - The Carbon Trust	M
World Bank Group Energy and extractives	Patricia Marcos Huidobro	Energy specialist	F
DEVELOPMENT PARTNERS			
GIZ Renewable Energy and Energy Efficiency Program	Rodrigo Vásquez Torres	Advisor, Renewable Energy and Energy Efficiency Program	M
	Marlene Görner	Technical Expert	F
KfW	María Paz de la Cruz Sepúlveda	Independent Consultant	F
CSOs/RESEARCH			
University of Chile, FCFM Energy Center	Dr. Guillermo A. Jiménez-Estevez	Director, Energy Center	M
	Marcelo Matus Acuña	Deputy Director, Energy Center	M
Chile Foundation	Fernando Coz	Leader, Energy Policy and Strategy	M

Affiliation	Name	Position	Gender
	Carlos Jorquera	Advisor, Energy Policy and Strategy	
PRIVATE SECTOR			
Energy Development Corporation	Camila Manzano Moroso	Legal Counsel and HR Officer	F
	Carolina Rodríguez Soto	Senior geologist	F

CTF: Turkey

Affiliation	Name	Position	Gender
NATIONAL GOVERNMENT			
Ministry of Energy and Natural Resources – Directorate General of Renewable Energy	Dr. Yüksel Malkoc Ersoy Metin Umit Calikoglu	Deputy Director General Head of Energy Efficiency Department Energy and Natural Resources Expert	M M M
Ministry of Environment and Urbanization	Tugba Icmeli	Head of Unit, Department of Climate Change	F
Ministry of Development	Izzet Ari	Head of Department of Environment and Sustainable Development	M
SUBNATIONAL GOVENMENT			
Turkish Electricity Transmission Corporation (TEIAS)	Nevin Erturk	Investment Manager	F
MDBs			
World Bank	Yeşim Akçorlu Yasemin Örücü Jas Singh	Lead Energy Specialist Energy Specialist Senior Energy Efficiency Specialist	F F M
EBRD	Oksana Pak Miroslav Maly Emre Oguzoncul Bengisu Kilic	Deputy Head of Turkey, Financial Institutions Principal Energy Efficiency Specialist Principal Analyst	F M M F
IFC	Ilker Cetin	Principal Investment Officer	M
DEVELOPMENT PARTNERS			
UNIDO	Mr. Senol Ataman	Technical Coordinator	M
UNDP	Nuri Özbağdatlı	Environment and Climate Change Program Manager	M
NGOs/CSOs			

Affiliation	Name	Position	Gender
World Energy Council	Murat Becerikli	Chair, Turkey	M
BCSD Turkey	Munevver Bayhan	Manager	F
Private Sector			
Development Bank of Turkey (TKB)	Sati Balco Sedat Nuri Ayanlar Recai Biberoglu Ender Dincer	Acting Deputy CEO – Loans Head of Department – Loans Head of Department – Financial Institutions Manager	F M M F
MWH	Murat Sarioglu Guliz Ornek Arif Ergin	Managing Director Project Manager Head of Corporate Communications	M F M
Turkiye IS Bankasi	Meryem Onel Goksel Ozkul Isil Ercan Burcu Altintas	Assistant Manager Assistant Manager Assistant Manager Assistant Specialist	F F M F
Sekerbank	Oua Sari Aslihan Gemici Enus Bulca	Head of Structured Finance and Investor Relations Division Head, Corporate and Commercial Banking Division Head, Small Enterprises Banking	F F M
MWH	Deniz Yurtsever	PLUTO Program Manager	F

PPCR: Grenada

Affiliation	Name	Position	Gender
NATIONAL GOVERNMENT			
Ministry of Economic Development, Trade & Planning (DETC) – Economic & Technical Cooperation Division	Mr. Fitzroy James Mr. Titus Antoine	National PPCR Focal Point (and Focal Point for GCF, National Designated Authority) Project Officer-PPCR	M M
Ministry of Finance – Project Coordination Unit-PCU (PPCR)	Mr. Ronnie Theodore	Program Manager	M
National Disaster Management Agency (NaDMA)	Ms. Samantha Dickson Mr. Kenron DuFont Mr. Sean Charles	National Disaster Coordinator Deputy Disaster Coordinator and Technical Officer (Ag) Consultant	F M M
Airport Authority of Grenada (AAG)	Ms. Wendy Williams	General Manager	F
Met Office, Airport Authority	Mr. Hubbert White	Head Meteorologist	M

Affiliation	Name	Position	Gender
Ministry of Works, Physical Planning Unit	Mr. Fabian Purcell	Senior Planning Officer	M
Grenada Solid Waste Management Authority	Mrs. Karen Roden-Layne	General Manager	F
Ministry of Health	Mr. Andre Worme	Chief Environmental Health Officer	M
Ministry of Agriculture, Forestry and Fisheries – Land Use Division	Mr. Trevor Thompson Mr. Kenton Fletcher	Land Use Officer System Administrator – National Water Information System	M M
National Water and Sewage Authority (NAWASA)	Mr. Whyme Cox Mr. Christopher Husbands	Planning and Development Manager General Manager	M M

PPCR: Zambia

Affiliation	Name	Position	Gender
NATIONAL GOVERNMENT			
Interim National Climate Change Secretariat, Ministry of National Development Planning	Chitembo K Chunga Carol Mwape Zulu Martin Sishekanu	Acting Manager Environment and Social Inclusion Manager	F F M
PPCR Project Implementation Unit (AfDB Kafue Sub Basin)	Dr. Evans Mwengwe Kenneth Kaoma Bridget Mwale	Team Leader M&E Officer Procurement Officer	M M F
Electoral Commission of Zambia	Dr. Emily Sikazwe	Commissioner	F
Disaster Management and Mitigation Unit-DMMU, Office of the Vice President	Esnart Makwakwa Lenganji Sikaona	System Analyst Principal Research and Planning Officer	M F
Zambia Environmental Management Agency (ZEMA)	Charity Mundia	Principal Climate Change Officer	F
Ministry of Lands and Natural Resources	Ignatius Makumba	Director of Forestry	M
Department of Maritime and Inland Waterways	Barrytone Kaambwa	Acting Director	M
Zambia Meteorological Department	Mutau Mutau Lyson Phiri	Senior Engineer Senior Meteorologist	M M
Ministry of Local Government and Housing	Numeral Banda Mukuka Chibwe	Director	M

Affiliation	Name	Position	Gender
	Cecilia Mwengwe		
Road Development Agency (RDA)	Eng. Nicholas Mulenga Eng. Joseph Goma	Project Manager Research Director	M M
SUBNATIONAL GOVERNMENT			
District Commissioner, Sibuyunji	Jairos Simukoko	District Commissioner, Sibuyunji	M
PPCR Project Implementation Unit (World Bank, Mongu)	George W. Sikuleka	Project Manager	M
PPCR Project Implementation Unit (World Bank, Mongu)	Dr Martin Mbewe	Adaptation Expert for Agriculture and Natural Resources	M
Acting Town Clerk, Mongu	Shilla C Sogolo	Acting Town Clerk, Mongu	F
District Commissioner, Mongu	Susiku Kamona	District Commissioner, Mongu	M
MDBs			
World Bank	Iretomiwa Olatunji	TTL	M
African Development Bank	Lewis Bangwe	Sr Agriculture Specialist	M
World Bank	Kisa Mfalila	Sr Environmental Specialist	F
IFC	Joyita M. Mukherjee	CIF Manager	F
DEVELOPMENT PARTNERS			
UNDP	Winnie Musonda	Assistant Resident Representative and Environment Advisor	F
GIZ	Peter Cattelaens	Head of Component, Water Resources Management	M
NGOs/CSOs			
Centre for Energy, Environment & Engineering of Zambia (CEEZ)	Nancy Serenje Ng'oma	Centre Coordinator	F
Zambia Climate Change Networks	Emmanuel Mutamba	Board Member	M
Zambia Red Cross	Samuel Mutambo	Disaster Response Officer	M
PRIVATE SECTOR			
Lloyds Financials/Africa Carbon Credit Exchange	Sabera Khan	Director	F

FIP: Burkina Faso

Affiliation	Name	Position	Gender
NATIONAL GOVERNMENT			
	Sibiri Kabore	National FIP Coordinator	M

Affiliation	Name	Position	Gender
Ministry of the Environment, Green Economy and Climate Change (*MEEVCC - Ministère de l'Environnement, de l'Economie Verte et du Changement Climatique)*	Samuel Yeye	Former Coordinator and REDD+ Focal Point. Now Senior Advisor to the FIP Coordinator	M
	Pauline Yameogo/Zaba	M&E Specialist	F
Forest Investment Program			
	Boukary Savadogo	Land Specialist	M
	Aminata Drabo	Livestock Specialist	F
MEEVCC	Dr. Sidibou Sina	Secrétaire Général	M
MEEVCC – DGESS General Directorate for Studies and Sector Statistics	Michel Ouaba	Administrator	M
MEEVCC –SPCNDD Permanent Secretariat/National Council for Sustainable Development	Pamoussa Ouedraogo	Technical Coordinator, GEF Focal Point	M
MEEVCC – DGEVCC General Directorate for Green Economy and Climate Change	Lamine Ouedraogo	Director General	M
MEEVCC – DGEF Forest and Water General Directorate	Paul Djigumde	Director General	M
MEEVCC – Project Barefoot College Burkina Faso	Lassané Ouedraogo	Project Leader	M
SUBNATIONAL GOVERNMENT			
MEEVCC Regional Office Koudougou	Jerémy Nagalou	PIF Coordinator	M
Commune de Siby, Province de Balé	Issifou Ganou	Mayor	M
MDBs			
World Bank	Loic Braune	Task Team Leader	M
African Development Bank	Laouali Gharba	Chief Climate Change Officer	M
NGOs/CSOs			
Amicale des Forestières du Burkina (AMIFOB)	Cécilia Some	Présidente	F
IUCN/CSO platform	Digim Zéba	Président	M

Affiliation	Name	Position	Gender
Association Nationale Action Rurale	Saoudaya Aboubacrine	Président	F
Apisavana – Le miel du Burkina	Désiré Marie Yameogo	Coordinator	M
Tiogo Forest	Bakou Adama and	Member of the Forest Management Committee	M
	Kandolo Vinatha	Member of the Forest Management Committee	M
Consultants			
	Professor Edouard Bonkoungou	Consultant	M
	Edmond Ouedraogo	Consultant	M

FIP: Lao PDR

Affiliation	Name	Position	Gender
NATIONAL GOVERNMENT			
Ministry of Agriculture and Forestry, Department of Forestry, REDD+ Division	Dr. Kinnalone Phommasack	National Coordinator for Climate Protection through Avoided Deforestation project (CliPAD), supported by GIZ and KfW	F
	Dr. Khamsene		M
Ministry of Agriculture and Forestry, Department of Forest Inspection	Mr. Thongphanh Ratanalangsy	Deputy Director General	M
Ministry of National Resources and the Environment, Department of Land Management	Mr. Vongduean		M
Ministry of Agriculture and Forestry, Department of Forestry – SUFORD-SU Project	Mr. Bounpone Sengthong	Deputy Director General, FIP Focal Point, SUFORD-SU National Coordinator	M
	Mr. Esa Puustjarvi	Chief Technical Advisor, SUFORD-SU	M
Ministry of Agriculture and Forestry, Department of Forest Resource Management – BCC Project	Mr. Bouaphanh Phanhthavong	Deputy Director General, BCC National Coordinator	M
	Mr. Outhai Vongsa		M
	Mr. Kevin Smith	GIC Team Leader	M
	Mr. Venevongphet		M
Ministry of Agriculture and Forestry, Department of	Mr. Khanxay Xayavong	Implementing entity of SUFORD-SU	M

Affiliation	Name	Position	Gender
Agriculture Extension and Cooperatives			
Lao Women's Union	*Waiting on name*		F
Lao National Front for Construction, Ethnic Division	*Waiting on name*		M
Ministry of Interior, Department of Ethnic Affairs	*Waiting on name*		M
National Committee for Advancement of Women/MAF Sub-Committee	*Waiting on name*		F
SUBNATIONAL GOVERNMENT			
Ban Namon		Village Head	M
		Village Security	M
Vang Vien Province Forestry Section		Deputy Head	M
Kasi District		Foresters	M
MDBs			
World Bank	Mr. Robert Davis	Senior Forestry Specialist; TTL, SUFORD-SU	M
	Ms. Soudalath Silaphet	Climate Smart Investment Specialist	F
Asian Development Bank	Ms. Sisavanh Phanouvong	Senior Project Officer, TTL – BCC	F
International Finance Corporation	Mr. Michael Brady	TTL – Smallholder project	M
	Ms. Sisomsouk Saimoungkhoun		F
DEVELOPMENT PARTNERS			
GIZ	Dr. Jens Kallabinski	Project Director - CliPAD	M
NGOs/CSOs			
Lao Biodiversity Association	Mr. Houmphanh	President	M
	Mrs. Kabang	General Manager	F

SREP: Nepal

Affiliation	Name	Position	Gender
NATIONAL GOVERNMENT			
Ministry of Finance	Mr. Baikuntha Aryal Mr L B Khatri Mr Subhas Parajuli	Joint Secretary (SREP FP) Under Secretary Section Officer	M M M

Affiliation	Name	Position	Gender
Ministry of Population and Environment	Dr Ram Prasad Lamsal	Joint Secretary	M
National Planning Commission (NPC)	Dr. Prabhu Budhathoki Mr. Biju Kumar Shrestha Mr Mahesh Kahrel,	Honorable Member of NPC Joint Secretary Programme Director	M M M
SUBNATIONAL GOVERNMENT			
Alternative Energy Promotion Centre (AEPC)	Mr. Ram Prasad Dhital Mr. Nawa Raj Dhakal Mr. Prakash Aryal Dr. Narayan Adhikari Mr. Sushim Man Amatya Mr. Manu Binod Aryal	Executive Director Director Senior Officer Assistant Director Senior Programme Officer, Waste to Energy and Large Biogas Sub-Component Specialist, CREF Secretariat	M M M M M M
MDBs			
World Bank	Mr. Rabin Shrestha Dr. Xiaoping Wang	Senior Energy Specialist Senior Energy Specialist	M F
Asian Development Bank	Mr. Pushkar Manandhar Mr. Jiwan Acharya Mr. Aiming Zhou Ms. Sugar M. Gonzales	Project Officer Senior Energy Specialist Senior Energy Specialist CTF and SREP support	M M M F
IFC	Mr. Bhishma Pandit	Operations Officer, Energy & Water	M
DEVELOPMENT PARTNERS			
Norwegian Agency for Development Cooperation (NORAD)	Mr. Bivek Chapagain	Energy Advisor	M
GIZ	Mr. Binod P. Shrestha	Deputy Chief Technical Advisor	M
United Nation Development Programme (UNDP)	Mr. Vijaya P. Singh	Assistant Country Director, Energy, Environment, Climate & Disaster Risk Management Unit	M
NGOs/CSOs			
Biogas Sector Partnership - Nepal	Mr. Bala Ram Shrestha Mr. Prakash Lamichanne,	Executive Director Director	M M
Independent Power Producer Association of Nepal	Mr. Shailendra Guragain	President	M
Practical Action	Ms. Pooja Sharma Mr. Gehendra Bahadur Gurung	Head of Programme-Energy Head of Programme, Disaster Risk Reduction & Climate Change	F M

SREP: Rwanda

Affiliation	Name	Position	Gender
NATIONAL GOVERNMENT			
Ministry of Infrastructure - MININFRA SREP Focal Point	Ms. Peace Kaliisa Eng. Robert Nyamvumba	Coordinator, Donor & External Links Energy Division, Manager	F M
Rwanda Development Bank (BRD)	Dr. Livingstone Byamungu	Chief Investment Officer	M
Energy Development Company Limited-EDCL	Morris Kayitare	Director of Primary and Social Energies Development	M
FONERWA, Rwanda's Green Fund	Alex Mulisa	Coordinator	M
MDBs			
World Bank	Dr. Yadviga Viktorivna Semikolenova Ms. Norah Kipwola, MR. Federico Querio	TTL Energy Specialist Energy Specialist	F F M
African Development Bank	Eng. Humphrey Ndwiga-Richard	Principal Power Engineer	M
DEVELOPMENT PARTNERS			
KfW – at GIZ	Yves Tuyishime	Advisor	M
GIZ-EnDev – embedded in EDCL	Simon Rolland Selen Kasrelioglu	EnDev County Manager EnDev Advisor	M F
Belgian Embassy	Carlos Lietar	Counselor Development Cooperation	M
European Union-EU	Massimiliano Pedretti Lenaic Georgelin	Program Manager, Energy Team Leader, Infrastructure	M M
SNV	Analet Ndahimana	Country Project Manager, Renewable Energy/Youth	M
Energy for Impact – E4I	Herbert Njiru Nyaga Victor Hakuzwumuremyi	Rwanda Country Manager Program Technical Manager	M M
PRIVATE SECTOR			
Serve & Smile	Amri Hategekimana	Managing Director	M
Rwanda Energy Developers Association-EDA	Edouard Ndayisaba	Vice Chairperson	M
Neseltec	Aloys Ntihemuka	Managing Director	M
Mobisol	Mr. Dario Simbizi, Ms Sylvie Kanimba, Ms Joelle Nzambimana	Head of EU project Country Manager Chief Admin Officer	M F F

Additional Country Study Interviews

Affiliation	Program	Name	Country/Region
Mona Office of Research and Innovation Physics Department	PPCR	Georgiana Gordon-Strachan Michael Taylor	Caribbean Region
Ministry of Environment, Natural Resources, Physical Planning and Fisheries Ministry of Finance	PPCR	Davis Letang Harold Guiste Rosamund Edwards	Dominica
Ministry of Planning	PPCR	Chaibou Dan Bakoye	Niger
National Forest Commission	FIP	Berenice Hernandez Toro Diana Nacibe Chemor Salas Francisco Quiroz Acosta	Mexico
World Bank	SREP	Monyl Toga	
National Planning Department	CTF	Monica Penuela Jaramillo	Colombia
World Bank	CTF	Peter Johansen	Indonesia
Asian Development Bank	CTF	Tristan Knowles	Asia
African Development Bank	CTF	Leandro Azevedo	Africa
Inter-American Development Bank (Inter-American Investment Corporation) IIC	CTF	Maria Tapia Bonilla	Mexico
Inter-American Development Bank	CTF	Raul Delgado	Mexico
World Bank	PPCR	Angela Armstrong	Tajikistan
World Bank	PPCR	Drita Dade	Tajikistan
World Bank	PPCR	Dahlia Lotayef	Niger
World Bank	SREP	Raihan Elahi	Ethiopia
World Bank	PPCR	Yohannes Kesete	Dominica
World Bank	PPCR	Nicholas Callendar	Dominica
World Bank	SREP	Sandeep Kohli	Maldives

Appendix C. Background on Programmatic Approaches

Additional Documentary Evidence on the Vision for the Programmatic Approach in the CIF Programs

Clean Technology Fund

References to a programmatic approach are scarce in CTF guidelines and policy documents, although various governing documents mention elements that are associated with the programmatic approach. The *Governance Framework for the CTF* (adopted 2008, amended 2011) identifies as one of the objectives of the CTF "[…] to finance transformation actions by […] promoting scaled-up deployment, diffusion and transfer of clean technologies by funding low-carbon programs and projects that are embedded in national plans and strategies to accelerate their implementation." The *Governance Framework* also directs that "investment programs will be developed on a country-specific basis to achieve nationally-defined objectives."

The CTF *Guidelines for Investment Plans* (2008) state that the CTF IP is the "'business plan' of the MDBs, developed under the leadership of the government." The IP "should be a clearly articulated multi-year proposal that would describe the proposed uses of CTF resources, identifying the 'slice(s)' of the country's existing strategies and plans that could be co-financed by the CTF."

The preliminary review conducted for this Inception Report did not identify any additional guidance specifically related to a programmatic approach for CTF. In 2016, however, a paper on *CTF Future Strategic Direction* (CTF/TFC.17/4) noted that:

> "The CTF has employed a ***programmatic approach*** as its primary model of delivery. The CTF programmatic approach has several notable features, such as:
>
> a. MDB coordination and collaboration at the planning and project levels, and inter-ministerial coordination and policy dialogue at the highest levels to enhance national impacts of climate investment;
> b. Predictability of resource availability;
> c. Linking of public and private sector investments;
> d. Programmatic results measurement; and
> e. Efforts to enhance knowledge and learning, as well as gender and social inclusion across countries' programs."

Pilot Program for Climate Resilience

The design document for the Strategic Climate Fund (2008) refers to the proposed PPCR as being "designed to provide ***programmatic*** finance for country-led climate-resilient national development plans. The PPCR aims to provide transformational and scaled-up support for both the development and implementation of such plans." It also refers to PPCR results measurement at "***programmatic***, country and institutional levels."

Although not explicitly mentioned in the PPCR design document (PPCR/SC.1/CRP.1), the *Programming and Financing Modalities for PPCR* (2009) states that the "PPCR will complement yet go beyond currently available adaptation financing, in providing finance for ***programmatic*** approaches to upstream climate resilience in development planning, core development policies, and strategies. Importantly, the PPCR is designed to catalyze a transformational shift from the 'business as usual' sector-by-sector and project-by-project approaches to climate resilience." Expected PPCR outcomes are specifically defined on a program level:

a) "Improved integration of climate resilience into planning, processes, and implementation (as appropriate to each country);
b) Increased consensus on an approach to climate-resilient development appropriate to each country;
c) Increased finance availability (e.g., scaled-up investment commitment) in approaches to climate-resilient development;
d) Enhanced learning and knowledge sharing on integration of climate resilience into development, at the country, regional and international levels."

The Strategic Program for Climate Resilience (SPCR), prepared by each pilot country, "may set ***programmatic*** goals and activities beyond those that can be financed through the PPCR." Pilot countries are instructed to "summarize the overall ***programmatic*** approach and rational for components" in their SPCR.

Less formal documentation (e.g., presentations from the CIF Administrative Unit and MDBs) elaborate on elements of the programmatic approach. For instance, a 2013 CIF AU presentation to the PPCR Pilot Countries' Meeting refers to the following elements of the PPCR programmatic approach: "national coordination mechanism; comprehensive stakeholder engagement platform which includes the private sector; knowledge management; and results monitoring and adaptive management." The objectives of the programmatic approach are characterized as:

- "Support national and regional efforts toward a climate-resilient development;
- Foster systemic and transformational changes in sectors and across sectors affected by the impacts of climate change and vulnerability;
- Involve relevant stakeholders and work toward a common vision;
- Create synergetic benefits and results which will go above and beyond individual project results."

A 2014 study on *Key Lessons from the PPCR* offers a definition of a ***programmatic*** approach; it "entails a long-term and strategic arrangement of linked investment projects and activities aimed at achieving large-scale impacts, taking advantage of synergies and co-financing opportunities."

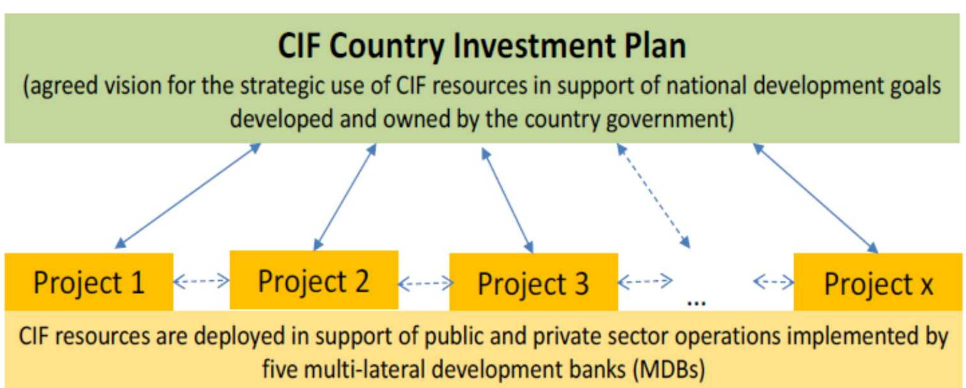
The 2016 *PPCR Semi-annual Operational Report* (PPCR/SC.18/4) describes "a two-phase, ***programmatic*** approach:

> Phase 1: Assistance to national governments to develop a holistic and integrated strategic Program for Climate Resilience that meshes with development planning across sectors and stakeholder groups. This entails a long-term, strategic arrangement of linked investments that mutually reinforce each other to effect systemic, sustainable transformation.
>
> Phase 2: Provision of additional funding to put the SPCR into action, and in so doing, pilot innovative public and private sector solutions to pressing climate-related risks."

The same report asserts that the programmatic approach has "deepened country ownership of the climate resilience agenda, due to its alignment with national priorities and the highly participatory process of developing SPCRs; the programmatic approach has also been seen as "a valuable resource to ensure more strategic use of adaptation resources in focusing activities on specific priorities and building key partnerships across sectors, ministries, and diverse stakeholders. The strength of this convening platform by the PPCR has allowed for the building up of both formal and informal relationships in many PPCR countries." Building on the programmatic approach, according to the 2016 *PPCR Operational Report*, will "help to pilot additional innovative approaches to resilience and climate adaptation."

Forest Investment Program

FIP Operational Guidelines (2010) state that the country-level investment plan "should adopt a ***programmatic*** approach, building on and avoiding duplication of existing work and development strategies." A 2015 presentation by the CIF AU on the FIP describes the ***programmatic*** approach as "composed of two-levels, forming a country program" as depicted in the figure below.



Source: Sareen, J. 2015. The Experience of the Forest Investment Program in Channeling Multilateral Funding. Presentation at World Forestry Congress in Durban, South Africa.

Scaling Up Renewable Energy in Low-Income Countries Program

The *Design Document for the SREP* (2009) sets as one of the design principles of the fund to "take a ***programmatic*** and outcome-focused approach for investing in renewable energy as an alternative to conventional sources, such as fossil fuels and inefficient use of biomass." In this particular reference, programmatic appears to refer to an approach that involves "both renewable energy investments […] and technical assistance, together with support for policy changes." In SREP's design, each country's SREP funding plan was expected to "demonstrate how it will lead to transformative change in achieving national-scale outcomes and the delivery of SREP aims and objectives."

SREP Programming Modalities and Operational Guidelines (2010) is one of the most explicit of the CIF guiding documents in terms of describing the programmatic approach.

> "SREP investment plans should be designed to support a country-level ***programmatic approach*** to scaling up renewable energy. An emphasis should be put on the long-term transformative outcomes and successful market transformation rather than individual investments or activities. […] The aim should be to create national platforms to 'crowd in' appropriate activities and resources to align them with the objectives and goals of the SREP ***programmatic approach***. Additional free standing resources secured to complement SREP funding should be indicated in the investment plan. [An SREP investment plan] should be a clearly articulated multi-year proposal that would describe the ***programmatic goals*** for creating new economic opportunities and increasing energy access through the use of renewable energy, proposed uses of SREP resources, and proposed activities of other development partners that could contribute to achieving the ***programmatic goals***."

This document also makes reference to learning lessons from the pilots at the "***programmatic***, country, and investment level."

Brief History of Programmatic Approaches in Development Cooperation

The concept of a program-based or programmatic approach is not a new one in the development cooperation context. The idea emerged in the late 1980s in the context of the aid effectiveness agenda. A program-based approach was developed as a response to concerns around the project modality, including slow progress in achieving impact in developing countries and the perceived unsustainable nature of a project-by-project approach. Some of the key contributing factors were seen as scattered projects that were neither coordinated with one another nor with national policies—which was increasingly difficult for countries to manage—and a lack of ownership by recipient countries, given that project aid was often being delivered outside recipient country systems. A United Nations (UN) resolution in 1989 (44/211) called for a program approach, which was defined in 1993 as the "[…] pursuit of national development goals through cohesive national programs," where a program "[…] is a coherent set of policies, strategies, activities, and investment designed to achieve a specific time bound national development objective or set of objectives."[61]

The focus on bolstering coordination, maximizing impact, reducing transaction costs, and strengthening national ownership mounted in the 1990s and 2000s, leading to several major international policy responses, including the 2000 Millennium Development Goals, the Monterrey Consensus of 2002, and the 2003 Rome Declaration on Harmonization. In 2004, the OECD formalized a definition of program-based cooperation (see textbox below). The Paris Declaration on Aid Effectiveness in 2005 marked a watershed agreement establishing principles that govern programs and programmatic approaches (see textbox below); these were followed by the Accra Agenda for Action in 2008 and the Busan High Level forum on Aid Effectiveness in 2011.

Guiding language for program-based approaches to development aid

The OECD defines programme-based approaches (PBAs) as "a way of engaging in development co-operation based on the principles of co-ordinated support for a locally-owned programme of development, such as a national development strategy, a sector programme, a thematic programme or a programme of a specific organisation. Programme-based approaches share the following features: i) leadership by the host country or organisation; ii) a single comprehensive programme and budget framework; iii) a formalised process for donor co-ordination and harmonisation of donor procedures for reporting, budgeting, financial management and procurement; iv) efforts to increase the use of local systems for programme design and implementation, financial management, monitoring and evaluation."

Source: DCD/DAC(2007)39/FINAL/CORR2. Available online at: http://www.oecd.org/dac/stats/44479916.pdf

The Paris Declaration outlines the following five fundamental principles:

1. Ownership: Developing countries set their own strategies for poverty reduction, improve their institutions and tackle corruption.
2. Alignment: Donor countries align behind these objectives and use local systems.
3. Harmonisation: Donor countries coordinate, simplify procedures and share information to avoid duplication.
4. Results: Developing countries and donors shift focus to development results and results get measured.
5. Mutual accountability: Donors and partners are accountable for development results.

Source: Available online at: http://www.oecd.org/dac/effectiveness/parisdeclarationandaccraagendaforaction.htm

Throughout this history, bilateral, multilateral, and other aid organizations have developed numerous operational mechanisms to implement the concept of a program-based or programmatic approach. Program-based approaches can be focused more on the national policy objectives (on multi-sectoral, sectoral or sub-sectoral levels), on thematic issues, or involve multi-project programs. While not an exhaustive list, the table below provides an overview of the main characteristics of commonly used program types that have emerged and examples of where they have been used.

Sector-focused programmatic approaches—such as Sector Investment Programs (SIPs) and Sector-wide Approaches (SWAps)—have been used often in the health and education sectors, with more limited application in the environment space. This is likely partly because the environment is not seen as a

[52] UNDP. 1998. The Program approach: ownership, partnership and coordination.

traditional sector, and many countries do not have a single, integrated environmental policy around which a SWAp or a SIP could organize. In addition, the relative weakness of environmental ministries, the fact that many climate-relevant responsibilities are shared among different ministries (e.g., environment, energy, infrastructure, water, agriculture), and the historical tendency to use grants rather than lending to address environmental issues may have discouraged the development of such sector- or policy-based programmatic approaches.

Thematic development and investment funds have also emerged, which represent current practice in terms of integrated approaches to development assistance.[62,63] These funds channel investment funding with a thematic focus often on cross-sectoral issues and a stronger emphasis on access by non-governmental partners, largely the private sector. The thematic funds also provide a platform where donor coordination can be pursued around joint objectives (reducing transaction costs), shared methodologies and approaches, knowledge sharing, and common monitoring and reporting frameworks. Most thematic funds combine programmatic and project-based modalities; for example, these funds are often delivered to some extent through projects, but those projects are articulated together through a common framework. The CIF are most closely aligned with this thematic fund approach.

Multi-project programs (MPPs) differ from the approaches described above in that they make no assumptions about the degree of donor coordination or country ownership. Rather, they are aid delivery instruments comprised of a set of projects or initiatives interlinked by a unifying principle—regional geography, specific theme, common methodology, or another unifying feature.[64] MPPs allow for country ownership, but in a more flexible manner than other programmatic approaches where a single policy is the basis for donor engagement. The recent evaluation of programmatic approaches in the GEF identified advantages of MPPs as promoting learning and sustainability, flexibility, enabling higher-level impact monitoring, and fewer transactions to channel larger amount of financial assistance. Disadvantages include potentially increased transaction costs associated with working across multiple countries, sectors, or administrative, legal, and currency systems, as well as creating multiple structural layers that can create issues with accountability and delays.

Table 5: Program Typology

Program Type	Key Characteristics	Examples of Program Type
Sector-level program-based approaches		
Sector Investment Programs	• Channel large-scale, long-term investment into specific economic sectors by targeting themes and topics that go beyond traditional economic sectors • Direct funding to cover all expenditures, including recurrent and investment ones of a given sector	• No notable examples in the environment area

[62] GEF IEO. 2016. Evaluation of Programmatic Approaches in the GEF, Volume 2.
[63] World Bank. 2016. Strategic Investment Funds: Opportunities and Challenges.
[64] GEF IEO. 2016. Evaluation of Programmatic Approaches in the GEF, Volume 2.

	• Have to be based in national strategy and policy framework • Government or private sector has to manage the expenditure and policies • Promote use of local capacity • Use multi-donor and multi-stakeholder approach • Mostly, or at least partially, loan-financed	
Sector-wide Approaches	• Derived from SIPs but more strongly promote use of national systems for expenditures and monitoring and can coordinate multiple sources and types of financing under the umbrella of a sector policy or plan • Funds are used for a sector-specific defined policy under the government leadership • Usually a framework setting a direction of change • Use multi-donor and multi-stakeholder approach • Target social sectors in highly dependent and low-income countries • Contribute to facilitate the dialogue between donors and government and so strengthen the government leadership and coordination • Can be delivered through multiple modalities, including projects, common basket funds and pooled arrangements, sector budget support, and general budget support	• Use has been limited in environment area
Thematic or strategic program-based funds		
Strategic Development and Investment Funds	• Operationally similar to SIPs, but targeting themes and topics that go beyond traditional economic "sector" definitions • Commercial oriented investment focused on leveraging public sector investment by crowding in new sources of funding from private sector • Involve multiple stakeholders, larger institutional setups and institutional layers but also provide coordination around joint objectives, shared methodologies and approaches • Used to support large-scale environmental sector programming • Allow for knowledge sharing, and some reduction of transaction costs at the donor level	• Africa Renewable Energy Fund (AREF), Renewable Energy Asia Fund (REAF), Global Energy Efficiency and Renewable Energy Fund (GEEREF)
Thematic Program-based Funds	• Could be multi-sector or sub-sector, but focused on a specific theme or topic (such as climate change) • Support locally owned development programs and are aligned with national policies, strategies, and priorities • Donor coordination and harmonization around joint objectives • Use of multi-donor and multi-stakeholder approach and multi-type of financing • Allow for knowledge sharing, and some reduction of transaction costs at the donor level • Program-level monitoring and reporting	• CTF, PPCR, FIP, SREP, DPSP
Multi-project programs		
Multi-Project Programs	• Most widely used type of programmatic approach • Make no assumptions about the degree of donor coordination or country ownership	• GEF programs, such as the recent

• Use of multi-donor and multi-stakeholder approach and multi-type of financing • Comprise projects that must be linked among them by some kind of unifying principle (e.g., regional unity, specific theme, common methodology) • Offer flexibility, allow for higher-level impact monitoring and provide the possibility for donors to channel larger amount of financial assistance in a smaller number of transactions	Integrated Approach Pilots

Source: Adapted from GEF IEO. 2016. Evaluation of Programmatic Approaches in the GEF, Volume 2.

Appendix D. Survey Results

Background

The evaluation team administered a survey electronically (using Survey Monkey) to the full contact database of the CIF AU, covering all TFC members and observers, MDB focal points, and country focal points for all CIF recipient countries. A link to the survey was sent to 323 email addresses and bounce-back or undeliverable messages were received from 40 of those addresses. Forty-three survey responses were received, for an adjusted response rate of 15 percent.

The majority of respondents were from recipient country governments (23), followed by MDBs (9), observers or others (7), and contributor country governments (4). Most respondents had been involved with the CIF (e.g., serving on a Trust Fund Committee or Sub-committee, or serving as a Government or MDB focal point) for 3-5 years (19); a further 16 respondents had been involved with the CIF for 1-2 years, and 9 respondents selected 6 or more years. Among the four CIF programs, respondents indicated most familiarity with the PPCR (14), followed by FIP (12) and SREP (11), and least familiarity with the CTF (5).

Main Survey Findings

Closed responses

To what extent do you agree that the following are key features of the CIF's programmatic approach?

Question	Program	Strongly Agree		Agree		Neither Agree nor Disagree		Disagree		Strongly Disagree		Don't Know or N/A	
Development of a country-led Investment Plan or SPCR	CTF	4	57%	1	14%	2	29%	0	0%	0	0%	0	0%
	FIP	5	42%	5	42%	0	0%	1	8%	1	8%	0	0%
	PPCR	9	64%	5	36%	0	0%	0	0%	0	0%	0	0%
	SREP	8	80%	2	20%	0	0%	0	0%	0	0%	0	0%
Inter-ministerial dialogue to inform the Investment Plan or SPCR	CTF	2	29%	3	43%	0	0%	1	14%	1	14%	0	0%
	FIP	5	42%	5	42%	1	8%	1	8%	0	0%	0	0%
	PPCR	8	57%	3	21%	2	14%	0	0%	0	0%	1	7%
	SREP	3	30%	3	30%	4	40%	0	0%	0	0%	0	0%
Engagement of a range of stakeholders in the development of the Investment Plan or SPCR	CTF	4	57%	3	43%	0	0%	0	0%	0	0%	0	0%
	FIP	8	67%	1	8%	2	17%	0	0%	1	8%	0	0%

Question	Program	Strongly Agree		Agree		Neither Agree nor Disagree		Disagree		Strongly Disagree		Don't Know or N/A	
(e.g., Government, MDBs, and non-Government stakeholders such as civil society organizations and private sector)	PPCR	10	71%	4	29%	0	0%	0	0%	0	0%	0	0%
	SREP	7	64%	3	27%	1	9%	0	0%	0	0%	0	0%
Technical and/or institutional analysis to inform the Investment Plan or SPCR	CTF	2	29%	4	57%	1	14%	0	0%	0	0%	0	0%
	FIP	5	42%	6	50%	0	0%	0	0%	1	8%	0	0%
	PPCR	5	38%	8	62%	0	0%	0	0%	0	0%	0	0%
	SREP	2	18%	9	82%	0	0%	0	0%	0	0%	0	0%
Government capacity building and/or training to support the implementation of the Investment Plan or SPCR	CTF	1	14%	4	57%	1	14%	0	0%	1	14%	0	0%
	FIP	3	25%	5	42%	3	25%	0	0%	1	8%	0	0%
	PPCR	5	36%	7	50%	2	14%	0	0%	0	0%	0	0%
	SREP	3	27%	6	55%	1	9%	1	9%	0	0%	0	0%
Predictability of resource availability	CTF	2	29%	3	43%	2	29%	0	0%	0	0%	0	0%
	FIP	4	33%	2	17%	3	25%	2	17%	1	8%	0	0%
	PPCR	3	21%	5	36%	3	21%	0	0%	2	14%	1	7%
	SREP	0	0%	6	55%	3	27%	1	9%	1	9%	0	0%
MDB coordination and collaboration during the development of the IP/SPCR (i.e., at the planning level)	CTF	3	43%	3	43%	1	14%	0	0%	0	0%	0	0%
	FIP	5	42%	4	33%	1	8%	2	17%	0	0%	0	0%
	PPCR	5	36%	8	57%	1	7%	0	0%	0	0%	0	0%
	SREP	6	55%	4	36%	1	9%	0	0%	0	0%	0	0%
MDB coordination and collaboration during the implementation of the CIF-funded projects (i.e., at the project level)	CTF	2	29%	4	57%	1	14%	0	0%	0	0%	0	0%
	FIP	2	17%	2	17%	5	42%	2	17%	1	8%	0	0%
	PPCR	3	21%	8	57%	1	7%	0	0%	0	0%	2	14%
	SREP	1	9%	8	73%	1	9%	1	9%	0	0%	0	0%
Strategically linked investments that mutually reinforce each other	CTF	1	14%	6	86%	0	0%	0	0%	0	0%	0	0%
	FIP	5	42%	5	42%	1	8%	0	0%	1	8%	0	0%
	PPCR	5	36%	6	43%	2	14%	1	7%	0	0%	0	0%
	SREP	2	18%	6	55%	1	9%	0	0%	0	0%	2	18%
	CTF	1	14%	3	43%	2	29%	1	14%	0	0%	0	0%
	FIP	5	42%	4	33%	2	17%	0	0%	1	8%	0	0%

Question	Program	Strongly Agree		Agree		Neither Agree nor Disagree		Disagree		Strongly Disagree		Don't Know or N/A	
Identification and use of an institutional structure to coordinate the program (e.g., a country coordination mechanism)	PPCR	7	50%	6	43%	1	7%	0	0%	0	0%	0	0%
	SREP	2	18%	6	55%	3	27%	0	0%	0	0%	0	0%
Results measurement at the country program level	CTF	0	0%	4	57%	2	29%	1	14%	0	0%	0	0%
	FIP	3	27%	5	45%	3	27%	0	0%	0	0%	0	0%
	PPCR	6	43%	5	36%	2	14%	1	7%	0	0%	0	0%
	SREP	2	18%	5	45%	4	36%	0	0%	0	0%	0	0%
Annual or biennial stakeholder review meetings during the implementation phase	CTF	1	14%	0	0%	4	57%	2	29%	0	0%	0	0%
	FIP	3	25%	6	50%	2	17%	0	0%	1	8%	0	0%
	PPCR	3	21%	7	50%	2	14%	1	7%	0	0%	1	7%
	SREP	1	9%	6	55%	1	9%	3	27%	0	0%	0	0%
Knowledge and learning activities at the country program level	CTF	2	29%	1	14%	3	43%	1	14%	0	0%	0	0%
	FIP	1	8%	9	75%	1	8%	0	0%	1	8%	0	0%
	PPCR	4	29%	8	57%	0	0%	1	7%	0	0%	1	7%
	SREP	2	18%	3	27%	3	27%	3	27%	0	0%	0	0%

What are your expectations for the outcomes and/or value added of using the CIF's programmatic approach? Compared to a project-by-project approach, the use of the programmatic approach should result in:

Question	Program	Strongly Agree		Agree		Neither Agree nor Disagree		Disagree		Strongly Disagree		Don't Know or N/A	
Stronger inter-ministerial coordination	CTF	3	43%	2	29%	1	14%	1	14%	0	0%	0	0%
	FIP	7	58%	2	17%	2	17%	0	0%	1	8%	0	0%
	PPCR	7	54%	3	23%	3	23%	0	0%	0	0%	0	0%
	SREP	4	36%	5	45%	2	18%	0	0%	0	0%	0	0%
Stronger government awareness of and commitment to climate change action	CTF	3	43%	3	43%	1	14%	0	0%	0	0%	0	0%
	FIP	4	33%	6	50%	1	8%	0	0%	1	8%	0	0%
	PPCR	7	54%	6	46%	0	0%	0	0%	0	0%	0	0%
	SREP	3	27%	7	64%	1	9%	0	0%	0	0%	0	0%
	CTF	1	14%	4	57%	2	29%	0	0%	0	0%	0	0%

Question	Program	Strongly Agree		Agree		Neither Agree nor Disagree		Disagree		Strongly Disagree		Don't Know or N/A	
Stronger government capacity to manage and/or monitor climate change programs	FIP	5	42%	5	42%	1	8%	0	0%	1	8%	0	0%
	PPCR	5	38%	8	62%	0	0%	0	0%	0	0%	0	0%
	SREP	4	36%	5	45%	1	9%	1	9%	0	0%	0	0%
Relevant government policies strengthened or influenced	CTF	1	14%	3	43%	3	43%	0	0%	0	0%	0	0%
	FIP	3	25%	7	58%	0	0%	1	8%	1	8%	0	0%
	PPCR	5	38%	8	62%	0	0%	0	0%	0	0%	0	0%
	SREP	6	55%	5	45%	0	0%	0	0%	0	0%	0	0%
Stronger country ownership of CIF-funded projects	CTF	3	43%	3	43%	1	14%	0	0%	0	0%	0	0%
	FIP	5	42%	4	33%	1	8%	0	0%	2	17%	0	0%
	PPCR	8	62%	5	38%	0	0%	0	0%	0	0%	0	0%
	SREP	3	27%	4	36%	3	27%	1	9%	0	0%	0	0%
Stronger partnerships with non-governmental stakeholders	CTF	1	14%	4	57%	1	14%	1	14%	0	0%	0	0%
	FIP	3	25%	5	42%	3	25%	0	0%	1	8%	0	0%
	PPCR	3	23%	7	54%	3	23%	0	0%	0	0%	0	0%
	SREP	3	27%	5	45%	2	18%	1	9%	0	0%	0	0%
More strategic linking of public and private sector investments	CTF	2	29%	5	71%	0	0%	0	0%	0	0%	0	0%
	FIP	4	33%	2	17%	3	25%	2	17%	1	8%	0	0%
	PPCR	2	15%	7	54%	3	23%	1	8%	0	0%	0	0%
	SREP	4	36%	5	45%	2	18%	0	0%	0	0%	0	0%
More co-financing or parallel financing "crowded in" for CIF-funded projects	CTF	2	29%	2	29%	1	14%	2	29%	0	0%	0	0%
	FIP	2	17%	4	33%	5	42%	0	0%	1	8%	0	0%
	PPCR	2	15%	7	54%	4	31%	0	0%	0	0%	0	0%
	SREP	1	9%	8	73%	1	9%	0	0%	0	0%	1	9%
Increased availability of climate change finance (e.g., through scaled-up investment commitment or domestic finance)	CTF	3	43%	1	14%	2	29%	1	14%	0	0%	0	0%
	FIP	3	25%	5	42%	2	17%	1	8%	1	8%	0	0%
	PPCR	5	38%	4	31%	3	23%	1	8%	0	0%	0	0%
	SREP	3	27%	6	55%	1	9%	0	0%	1	9%	0	0%
	CTF	2	29%	3	43%	2	29%	0	0%	0	0%	0	0%

Question	Program	Strongly Agree		Agree		Neither Agree nor Disagree		Disagree		Strongly Disagree		Don't Know or N/A	
Enhanced quality of project design for CIF-funded projects	FIP	3	25%	4	33%	3	25%	1	8%	1	8%	0	0%
	PPCR	5	38%	8	62%	0	0%	0	0%	0	0%	0	0%
	SREP	4	36%	3	27%	3	27%	1	9%	0	0%	0	0%
More innovative climate solutions through CIF-funded projects	CTF	3	50%	1	17%	1	17%	1	17%	0	0%	0	0%
	FIP	3	25%	5	42%	3	25%	0	0%	1	8%	0	0%
	PPCR	4	31%	9	69%	0	0%	0	0%	0	0%	0	0%
	SREP	5	45%	3	27%	3	27%	0	0%	0	0%	0	0%
Synergistic benefits and/or results that go above or beyond individual project results	CTF	2	29%	5	71%	0	0%	0	0%	0	0%	0	0%
	FIP	4	33%	4	33%	3	25%	0	0%	1	8%	0	0%
	PPCR	5	38%	5	38%	3	23%	0	0%	0	0%	0	0%
	SREP	4	36%	7	64%	0	0%	0	0%	0	0%	0	0%
Fostering transformational change	CTF	2	29%	4	57%	0	0%	1	14%	0	0%	0	0%
	FIP	4	33%	3	25%	3	25%	1	8%	1	8%	0	0%
	PPCR	4	31%	9	69%	0	0%	0	0%	0	0%	0	0%
	SREP	4	36%	5	45%	2	18%	0	0%	0	0%	0	0%
Enhanced knowledge and learning across CIF-funded projects	CTF	3	43%	2	29%	1	14%	1	14%	0	0%	0	0%
	FIP	2	17%	5	42%	4	33%	0	0%	1	8%	0	0%
	PPCR	5	38%	8	62%	0	0%	0	0%	0	0%	0	0%
	SREP	5	45%	5	45%	0	0%	1	9%	0	0%	0	0%

Please indicate the extent of your agreement with the following statements:

Question	Program	Strongly Agree		Agree		Neither Agree nor Disagree		Disagree		Strongly Disagree		Don't Know or N/A	
The CIF has sufficiently resourced its programmatic approach during the design phase (i.e., during the preparation of the investment plan or SPCR, up to endorsement).	CTF	2	29%	5	71%	0	0%	0	0%	0	0%	0	0%
	FIP	3	25%	3	25%	2	17%	4	33%	0	0%	0	0%
	PPCR	5	45%	5	45%	1	9%	0	0%	0	0%	0	0%
	SREP	1	11%	7	78%	1	11%	0	0%	0	0%	0	0%
	CTF	2	29%	3	43%	2	29%	0	0%	0	0%	0	0%

Question	Program	Strongly Agree		Agree		Neither Agree nor Disagree		Disagree		Strongly Disagree		Don't Know or N/A	
The CIF has sufficiently resourced its programmatic approach during the implementation phase (i.e., after endorsement of the investment plan or SPCR, during project implementation).	FIP	1	9%	3	27%	5	45%	2	18%	0	0%	1	8%
	PPCR	2	20%	4	40%	4	40%	0	0%	0	0%	1	9%
	SREP	0	0%	5	56%	3	33%	1	11%	0	0%	0	0%
The role of the lead MDB in sustaining the programmatic approach during the implementation phase is clearly understood.	CTF	2	29%	3	43%	0	0%	2	29%	0	0%	0	0%
	FIP	2	17%	4	33%	4	33%	2	17%	0	0%	0	0%
	PPCR	2	20%	6	60%	2	20%	0	0%	0	0%	1	9%
	SREP	1	11%	3	33%	2	22%	2	22%	1	13%	0	0%
The role of the Government focal point in sustaining the programmatic approach during the implementation phase is clearly understood.	CTF	1	14%	5	71%	1	14%	0	0%	0	0%	0	0%
	FIP	3	25%	3	25%	4	33%	1	8%	1	11%	0	0%
	PPCR	2	18%	7	64%	2	18%	0	0%	0	0%	0	0%
	SREP	1	13%	4	50%	1	13%	1	13%	1	14%	1	11%
The use of a dedicated program approach in the CTF facilitates private sector involvement.	CTF	2	29%	3	43%	2	29%	0	0%	0	0%	0	0%
	FIP	1	11%	1	11%	6	67%	1	11%	0	0%	3	25%
	PPCR	1	14%	4	57%	2	29%	0	0%	0	0%	4	36%
	SREP	0	0%	3	50%	2	33%	1	17%	0	0%	3	33%
The use of a dedicated program approach in the SCF facilitates private sector involvement.	CTF	2	29%	1	14%	4	57%	0	0%	0	0%	0	0%
	FIP	1	9%	1	9%	6	55%	2	18%	1	10%	1	8%
	PPCR	1	13%	4	50%	2	25%	1	13%	0	0%	3	27%
	SREP	0	0%	3	43%	2	29%	1	14%	1	14%	2	22%

Open-ended responses

Respondents were asked to briefly describe the CIF's programmatic approach in one or two sentences. Descriptions varied significantly across respondents and programs.

- In the **CTF**, responses ranged from the two-stage approval process (IP, then project/program approval), to a main project with child projects underneath, to a coordinated approach by MDBs and stakeholders.
- In the **PPCR**, respondents highlighted a coordinated approach around a strategic investment framework; a platform for strengthening cross-sectoral collaboration among stakeholders and in project implementation; a platform for knowledge and learning; and integration of climate resilience into the country development agenda through preparation and implementation of the SPCR.
- In the **FIP**, several responses focused on the role of the programmatic approach in providing an integrated approach to address drivers of deforestation and forest degradation, as well as a process for bringing stakeholders and MDBs together.
- In the **SREP**, several respondents described the programmatic approach as supporting countries in investing in or scaling up renewable energy projects, and demonstrating viability. Other respondents pointed to a consultative or comprehensive approach, and an approach that is anchored in national strategies, including for development, energy, and climate change.

Respondents were also asked to provide comments on outcomes and/or value added of using the CIF's programmatic approach (in addition to those identified in closed-answer questions, see below), as well as to provide examples for how they think the CIF's programmatic approach "works" and "could have worked better." Responses were highly individual, making it challenging to identify key themes across respondents and programs. Still, the following can be observed.

- In the **CTF**, the value of flexibility was raised by two respondents in terms of IP revision and child projects under the main mutually agreed project. One respondent believed that MDB collaboration could have worked better, and that government counterparts were often either too passive or too directive (e.g., prioritizing areas/sectors that were not ready for investments).
- In the **PPCR**, many respondents highlighted themes of a cross-sectoral and integrated approach, including one that encouraged mainstreaming into national and sector development. Two respondents also raised coordination between the SPCR and NAP. Several respondents pointed to the value of the program's monitoring and reporting approach, and learning- and capacity-oriented approach through pilot country meetings and cross-country learning. One respondent commented that the process of approval of the SPCR gives the document credibility. One respondent made the suggestion that the PPCR work on finding more effective ways of managing coordination.
- In the **FIP**, two respondents commented that "what works" is that the programmatic approach is holistic, with one respondent suggested that it could have worked better if it were anchored in other national planning processes and another respondent commenting that the FIP's role should be supportive, given the crowded field for technical support on national strategy. Two respondents

commented on the role of MDBs, calling for lower MDB fees, closer supervision of MDB advice, and MDBs to coordinate with bilateral donors for cofinancing. One respondent noted that the programmatic approach worked better in countries with the baseline capacity needed for such an approach, but less well in countries with lower capacity, and recommended a more consultative and supportive process is needed, before IP development. Another respondent pointed to the value of public and private coordination. In addition, a respondent commented that the programmatic approach does not work, while another respondent said that the approach was poorly understood by government and MDBs in the design stage.

- In the **SREP**, three respondents pointed to success factors for the programmatic approach: having a strong political champion within government, flexibility to respond to changes, and fulfilling national strategies on energy security (rather than creating a new strategy). Two respondents pointed to the role of the programmatic approach as putting recipient countries in the driver's seat. One respondent identified improving socio-economic development as an outcome of the programmatic approach; another identified cross-country learning. One respondent believed that the programmatic approach could have been linked and synchronized better with regular MDB country diagnosis/planning cycles.

Appendix E. Brief Reflections on Technical Methods

The evaluation team adhered closely to the approach, methods, and data collection tools described in the Inception Report (July 2017). Below is a brief post-evaluation description of the evaluation design and reflections on the suitability of the methods employed, adjustments made, limitations, and challenges. For more details on the evaluation design, please refer to the Inception Report.

E.1. Overview of evaluation approach and methods

A theory-based approach: developing, testing, and refining the theory. The evaluation team took a theory-based, realist-inspired approach to assessing what difference the use of the CIF's programmatic approach has made. This approach began with scoping interviews and a literature review—including of both CIF documentation and external literature on program-based approaches—to inform the development of a retrospective theory of change (ToC) for the CIF's programmatic approach. This initial ToC was presented in the Inception Report (July 2017).

The ToC was tested and refined iteratively over the course of the evaluation. The team first conducted two pilot country case studies to better explore and understand the underpinnings of the theory. Based on these pilot studies, the team developed hypotheses about the mechanisms that could lead to the anticipated programmatic outcomes. Six additional country case studies were conducted to test these hypotheses. The mechanisms were refined again to reflect the evidence of the eight country case studies, and "light-touch" country studies were pursued for 20 additional CIF countries.

Based on the evidence and findings from the country case studies, the team made further refinements to the ToC. The programmatic outcomes were consolidated from seven to five, to reflect broader categories of outcomes, and the understandings of the potential mechanisms (that did or did not fire) were again refined. In addition, the country case studies pointed to the importance of recognizing that the programmatic approach is a modality or a tool, whose outcomes could not be fully disassociated from the outcomes of the investment projects included in a country program. As such, the evaluation team also revised the ToC to embed it in the broader transformational change ToC for the CIF, developed by the CIF E&L Initiative's Transformational Change Learning Partnership in its Phase 1.

Contribution analysis. Contribution analysis was used for the iterative process of identifying and refining mechanisms, and for assessing whether there were plausible associations between the CIF's programmatic approach and the observed outcomes, accounting for other contributory factors and roles of different actors in achieving outcomes.

Data collection tools and methods. The evaluation used a range of tools and methods, as detailed in the inception report. These included semi-structured interviews with key stakeholders, focus groups, direct observations, compilation of relevant monitoring and implementation documents, and a survey. To ensure a systematic approach for the country case studies, data collection was directed by a field protocol that included sampling guidance, interview topic guides, a survey to be administered in-person, guidelines for secondary data review, and a format for cataloguing evidence. Evaluators were directed to triangulate evidence within interviews, across different interviewees, and across both primary and secondary data sources.

The sampling approach for the country case studies was purposive, with stakeholders selected based on their involvement in the planning and implementation phases of the programmatic approach. An initial sample was shared with the government focal point and MDBs and revised with their input, although the final selection was made by the evaluation team to avoid bias. Special efforts were made to speak with stakeholders who were deeply involved with in the country's IP/SPCR development, but had since left their positions, especially government officials and MDB staff.

Each country case study produced evidence that was catalogued in a systematic way, organized by the outcomes in the hypothesized ToC, and allowing space for unintended or unanticipated outcomes to also be catalogued. Enabling and detracting contextual factors, including those related to the assumptions in the ToC, were also catalogued.

Synthesis approach. The synthesis brought together evidence from the country case studies, additional key informant interviews, literature review, and online survey. With evidence catalogued systematically, content analysis was conducted to identify recurring themes and triangulate findings across countries and evidence sources. Triangulation was used as a means of assessing the strength of evidence behind the evaluation findings. Data analysis involved several team members for consistency. Several internal evaluation team workshops were held to jointly examine the data, identify evidence-based findings, and ultimately conclusions and recommendations. The results of the synthesis also informed final revisions to the ToC.

E.2. Reflections on methods, adjustments, limitations, and challenges

Appropriateness of the approach and methods. A theory-based approach worked especially well for this evaluation given that the subject of the evaluation—the CIF "programmatic approach"—was not explicitly defined by the CIF and required retrospective analysis to identify the key features of the approach and the anticipated outcomes. Contribution analysis was also well-suited because it allowed the evaluation team to iteratively develop and understand the mechanisms of the programmatic approach, and understand when they did or did not "fire." This iterative process was particularly useful given the diversity of understanding of the programmatic approach among stakeholders and across CIF programs.

With regard to data collection, primary data proved critically important, as documentation was limited on the activities of the programmatic approach and in some cases virtually non-existent on its outcomes. In anticipation of this, the evaluation team had designed its approach to attempt to collect a large amount of primary data, covering nearly half of CIF country programs, but faced some challenges as discussed below.

Limitations and challenges faced, and lessons learned. As mentioned above, the evaluation faced fairly significant limitations in terms of availability of documents that describe programmatic activities conducted in the planning and implementation phase, and the outcomes to which those activities contributed. In particular, completion reports for investment plan preparation grants, which would have been especially useful for PPCR countries that received additional readiness funds, were only available for a few countries. Limited country government documentation was available to validate the institutional arrangements that were described in the IP/SPCRs as being set up to coordinate the country program. These challenges put additional pressure on primary data collection, which also faced its own challenges.

For this evaluation, a relatively standard **positive confirmation bias**—that can arise from international evaluators interviewing in developing country government context, where the evaluators may be perceived as representing the international funder, and therefore give positive messages to support potential future funding—was **compounded by a limited understanding of the programmatic approach**. This meant that the evaluation team often had to simultaneously describe the expected features of the programmatic approach, while also asking whether such features had been experienced and what changes they had contributed to. The evaluators attempted to mitigate these biases in the interview processes by asking about programmatic features and outcomes from multiple angles with multiple interviewees (including those not directly receiving CIF funding) and by asking for specific examples to corroborate any claims of change. The evaluation team found these techniques reasonably effective, but they were time consuming and limited the breadth and depth of evidence that could be collected in an individual interview. Where feasible, the evaluators conducted follow up interviews with key informants—i.e., those with a long-term view of the CIF programmatic approach, stretching from the planning to the implementation phase—and these were very useful.

The evaluation also faced **non-response and potential positive selection bias** in the sampling of the remote country studies. The evaluation purposively selected 20 additional countries for primary and secondary data collection, beyond the 8 in-country studies. The in-country studies showed a wide variety of experiences and significant differences in the features of the programmatic approach in the implementation phase across the CIF programs, confirming for the evaluation team that more evidence was needed to produce robust findings. The evaluation team reached out to lead MDB and country focal points for each country but was only successful in scheduling interviews with counterparts in 10 of the countries, due to lack of response. Given the evidence collected for these additional countries, the evaluation team had the impression that the countries and individuals that responded to the request for interview had positive impressions of the CIF programmatic approach in most, although not all, cases. To mitigate this risk, and in recognition of the fact that the remote country studies were not as well-triangulated as the in-country studies, the remote country studies were not weighted as heavily as the in-country studies in the evidence synthesis.

A further challenge was related to **sampling,** in terms of stakeholder availability, and associated recall issues. A considerable challenge was that some IP/SPCRs had been developed nearly 10 years ago, so identifying and tracking down the involved individuals was difficult in some cases. The evaluation team used a snowball approach, to reasonably good effect, to attempt to identify key individuals involved at earlier stages of IP/SPCR development and implementation and to seek introductions by current stakeholders to their predecessors, especially for government focal points and MDB staff. Another challenge was the IP/SPCR development process involved a wide range and often large numbers of stakeholders, representing many constituencies. It was not feasible to speak with a representative sample of all stakeholders engaged in the process. Where possible, the evaluation team prioritized stakeholders that were engaged in both the planning and implementation phases (e.g., through consultations in the first phase and M&R processes in the second phase), and where not possible, chose a random sample. Still, this provided a somewhat limited view on the value of the planning process from the perspective of non-state actors, especially vulnerable and marginalized groups. It is valuable then, in the view of the evaluation team, that a separate evaluation has been commissioned to understand the value of local stakeholder engagement in CIF programmatic processes.