LEARNING-ORIENTED REAL-TIME IMPACT ASSESSMENT (LORTA) PROGRAMME

Workshop (Inception) Report 2022

Independent Evaluation Unit, Green Climate Fund

LEARNING-ORIENTED REAL-TIME IMPACT ASSESSMENT (LORTA) PROGRAMME

WORKSHOP (INCEPTION) REPORT

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THE CENTER FOR EVALUATION AND DEVELOPMENT

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ABBREVIATIONS

ABD	Adjohoun, Bonou and Dangbo
ABSA	Amalgamated Bank of South Africa
AE	Accredited Entity
AEPC	Alternative Energy Promotion Centre
APV	Agrophotovoltaic
ARIs	Acute respiratory infections
ASER	Senegalese Agency for Rural Electrification (Agence Sénégalaise d'Électrification Rurale)
BESS	Battery energy storage system
BOAD	Banque Ouest Africaine de Développement
C4ED	Center for Evaluation and Development
CABEI	Central American Bank for Economic Integration
CRA	Climate resilient agriculture
CRDB	Cooperative and Rural Development Bank
CSA	Climate smart agriculture
CSE	Centre de Suivi Écologique
CSO	Civil Society Organization
CVDs	Cardiovascular diseases
DAE	Direct Access Entities
DBSA	Development Bank of Southern Africa
DFI	Development Finance Institutions
DiD	Difference in differences
EbA	Ecosystem-based adaptation
EDGE	Excellence in design for greater efficiencies
EWS	Early-warning system
FMCN	Mexican Fund for the Conservation of Nature (Fondo Mexicano para la Conservación de la Naturaleza A.C.)
FNEC	Fonds National pour l'Environnement et le Climat
FSM	Federated States of Micronesia
GCF	Green Climate Fund
GHG	greenhouse gas
GIS	Geographic Information Systems

IAE	International Access Entity
IEU	Independent Evaluation Unit
IGA	income generating activities
ISDC	International Security and Development Center
LFI	Local Finance Institutions
LORTA	Learning-Oriented Real-Time Impact Assessment
IEW	Impact Evaluation Workshop
M&E	Monitoring & Evaluation
MoU	Memorandum of Understanding
MSME	Micro, Small and Medium Enterprises
NHBRC	National Home Builders Registration Council
NDA	National Designated Authority
NDCs	Nationally Determined Contributions
NGO	Non-Governmental Organization
NRSP	Natural Rural Support Programme
PAP	Pre-Analysis Plan
PPF	Project Preparation Facility
RCT	Randomized controlled trial
RDD	Regression discontinuity design
RED	Randomized encouragement design
REDD+	Reducing emissions from deforestation and forest degradation
RFP	Rapid-fire presentation
SME	Small and Medium Enterprises
SMMEs	Small, Medium and Micro Enterprises
ToC	Theory of Change
UNDP	United Nations Development Programme

EXECUTIVE SUMMARY

This report provides a description of the Learning-Oriented Real-Time Impact Assessment (LORTA) programme's Impact Evaluation Workshop (IEW) 2022, which took place from the 27th of June to the 19th of July and was organized by the Green Climate Fund's (GCF) Independent Evaluation Unit (IEU) in collaboration with the Center for Evaluation and Development (C4ED). The IEW's overall goal was to enhance the capacity of Accredited Entities (AE) and implementing partners on Impact Evaluations (IEs). Under the guidance of IE specialists from IEU and C4ED, participants received capacity building on experimental and quasi-experimental IE methods, ethical standards, and monitoring. In addition, they had the opportunity to develop a Theory of Change (ToC), formulate evaluation questions and indicators, and discuss viable IE designs for their own projects. At the end of the three-week long virtual workshop with a total of 16 projects participated, promising GCF-funded projects or proposals were identified and will be invited to join the LORTA programme's inception and engagement phase 2022-2023.

The report first describes the LORTA programmed and proceeds to outline the set-up of the workshop, timeline, number of participants, topics discussed during the webinars, the selection criteria employed, and process followed for the selection of the projects into the LORTA portfolio. This is followed by summaries of the results from breakout session groups are also provided. These summaries contain details on each project's goal, timeline, Theory of Change (ToC), the suggested IE design including evaluation questions and indicators. Lastly, the report formulates lessons learnt and recommendations for the next workshop and highlights key takeaways from the workshop which were provided by participants.

The LORTA programme's continuous goal is to improve and optimize and learning results from each year's LORTA IEW. To do so, the LORTA team is aiming to apply new approaches to each year's workshop taking into account the lessons learned from previous years. The continuous improvement is particularly important as in the last three years the workshops have taken place in an online format which has brought challenges in terms of capturing full participant availability, diverse time zones, weak internet connections, and overall, less engagement of participants due to the distance. The new approaches introduced to this year's IEW include the workshop's duration, the inclusion of current LORTA projects to provide participants with successful examples of the LORTA engagement, the increase flexibility on the types of projects considered for participation, and (partially) the arrangement of the content from the webinars and breakout sessions so that they become more comprehensible for participants. In particular, the IEW's overall duration was reduced to three weeks, compared to eight to ten weeks of overall duration in prior years. This was done to enhance the overall participant engagement and their workshop learning outcomes. Another approach was to improve interaction between project teams by including discussion rounds into the last two webinars, in which participating projects presented their IE design and plan developed during breakout sessions. This was achieved by having one project act as a discussant for another project's presentation. In addition, three of the current LORTA portfolio's successful projects were invited to contribute so-called "champion videos" in which they shared their experience with the LORTA programme and the IE process of their projects. This was done to provide participants concrete examples of successfully conducted IEs with the support of the LORTA team. Another novelty from past years is that for this year's LORTA IEW not only approved GCF-funded projects were considered, but

also DAEs with proposals in the pipeline or project concept notes. These projects allowed for the consideration of potential challenges while designing IEs with the goal of addressing these by finding innovative approaches and solutions to ensure that an IE tailored to the project's needs can be conducted. Some of these projects have even proven suitable for an IE and could be considered to join the LORTA programme. Lastly, external keynote speakers were invited to the webinars and two further topics on ethics and monitoring were added to share more IE-relevant knowledge with participants.

At the end of the workshop the participants outlined the following four key takeaways from the workshop: (i) Understanding the importance and scientific rigor of IE and Monitoring and Evaluation (M&E), (ii) importance of IE planning and budget at the early stage, (iii) the advantage of the guidance provided by experts in project planning and implementation, and (iv) the consideration of ethical requirements.

As mentioned above, the LORTA IEW 2022 was held in a shorter timeframe which increased the intensity of interaction with participants and enhanced their engagement compared to previous years. Overall, the IEW ran smoothly without technical difficulties and the specialists cover all relevant topics for conducting an IE with the participants. The webinars benefited from having external speakers and two additional topics on ethics and monitoring compared to the previous year. During the last two days project teams were paired and participated in the rapid-fire presentations[1] as discussants, which made this session more interactive than in previous years. While this was the third workshop organised in virtual format and many challenges have been addressed from the experiences of the last two years, many lessons can still be drawn from this year's workshop. Firstly, the time available for the workshop and in particular for the breakout sessions was considered to be too short to allow for in-depth discussion of technical topics. Secondly, public holidays in participating countries should be considered for the timing of the workshop, to make sure that all participants can attend all sessions. Thirdly, because some webinar presentations included new concepts, it could be more helpful to deliver these into more separate sessions and create an extra window to discuss requested topics such as sample size that were requested for and considered important by participants that responded to the post-workshop survey. Different actions such as increasing the length of the workshop by 1-2 weeks, reducing the number of breakout sessions (but increasing their length), and potentially conduct an in-person workshop can help to mitigate these challenges and keep improving the IEW. Moreover, it is recommended to invite current LORTA project teams to the introductory webinar of the workshop to give a presentation. This would allow participants to have first-hand insights on the LORTA experience and also would give them the opportunity to ask questions. Lastly, for the rapid-fire presentations, discussion teams should be matched at the group level to facilitate the dialogue.

This type of capacity-building workshop aims to strengthen the technical capacity and knowledge of the Accredited Entities (AEs) and Executing Entities (EEs) working on climate change-related projects around the world on different aspects of developing a rigorous impact evaluation. Most of the time, projects are familiar with monitoring but are less knowledgeable about rigorous impact evaluations which are key to reducing evidence gaps, informing policymakers, and directing future funding decisions.

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[1] Presentation session in which all teams presented the deliverables from their breakout sessions with a maximum of 3 slides and each presentation not exceeding a timeframe of 5 minutes.

I. INTRODUCTION TO THE LORTA PROGRAMME

Evaluating the impact of development projects and programmes has gained importance in recent years. IE allows not only for increased transparency by measuring outcomes but also the opportunity to design and implement development projects more effectively. To contribute to this development, in 2018 the IEU of the GCF started the multi-year LORTA programme to keep track of the impact of GCF investments. The goal is to measure if GCF projects lead to lower greenhouse gas (GHG) emissions and enhanced resilience to climate change, and if so, by how much. This can be measured with the help of rigorous impact assessments. Empirical evidence on impacts of climate-related projects is rather scarce, which adds to the importance of this programme.

The LORTA programme has the following aims:

- Embedding real-time IEs into approved projects so that GCF project managers can quickly access accurate data on the quality of implementation and likelihood of impact.

- Building capacity within projects to design a suitable rigorous evaluation and construct high-quality data sets, which aid the measurement of causal change and impact.

The LORTA programme not only informs on the returns of GCF investments, but it also helps GCF projects to track implementation fidelity. To do so, LORTA incorporates state-of-the-art approaches for measuring results and informing effectiveness and efficiency into funded projects. It considers mixed methods approaches that involve quantitative and qualitative data collection methods and analysis. Theory-based counterfactual impact assessments are based on experimental or quasi-experimental research designs; real-time measurement systems and qualitative data help project teams measure progress in implementation and provide rapid lessons even during early stages of the projects.

It is envisioned that the GCF-funded projects will be enabled to increasingly use theory-based IEs. The purpose of these evaluations is to measure the change in key result areas of the GCF that can be attributed to project activities. In sum, LORTA has the following objectives:

- Measuring the overall change (outcome or impact) of GCF-funded projects and enhancing learning.

- Understanding and measuring results at different parts of ToCs.

- Measuring the GCF's overall contribution to catalyzing a paradigm shift and achieving impacts at scale.

The IEU contracted the C4ED for consultancy services to develop IE designs for selected GCF projects and to provide relevant technical advice and quality assurance throughout the IE phases. This is always carried out as a collaborative effort between the IEU, C4ED, accredited entities, project teams and other stakeholders. Therefore, an important pillar of LORTA is the buy-in of AE and project staff into the overall idea of incorporating causal designs and theory-based IEs as part of the overall project.

II. THE LORTA IMPACT EVALUATION WORKSHOP

A. The LORTA Impact Evaluation Workshop's goal

Since the launch of the LORTA programme in 2018, IEU and C4ED organize the annual LORTA IEW. Participants of the workshop are mainly representatives from different divisions within the GCF, including the IEU, IE specialists from C4ED and other entities, as well as representatives of AEs, direct access entities (DAEs), implementing partners and project staff of different GCF-funded projects, which are the main target audience of the workshop.

The aims of the workshop are manifold:

1. *Increase of understanding among project representatives of the importance of impact*

assessment and rigorous measurement systems.

2. *Give participants the opportunity to gain basic knowledge or further increase their knowledge about IEs, learn from case studies and be introduced to different IE methods (especially randomized and quasi-experimental designs).*

3. *To show participants how to create and improve a ToC, evaluation questions, and indicators, develop a timeline and budget for an IE and increase their awareness of how monitoring could be incorporated into project implementation and the ethical considerations of an IE.*

4. *Provide project representatives the opportunity to critically discuss viable IE designs for their respective projects, under the guidance of experienced and qualified IE specialists.*

5. *Give project representatives the opportunity to apply the impact assessment tools learnt and discussed during the workshop to their own project and to strengthen the technical capacity of colleagues and other respresentatives engaged in GCF projects*

6. *Identification of promising GCF-funded projects for which IE designs will be developed in the remaining inception and engagement phase 2022-2023 of the LORTA programme.*

So far, each year's workshop contained various elements and capacity-building activities. Since the beginning of the COVID-19 pandemic, the LORTA team started to use various digital formats, such as online video-conferencing platforms, online learning videos, and digital reading material. The workshop generally addresses important elements of IE procedures, such as ToCs, evaluation questions and indicators (also for behavioural interventions), experimental and non-experimental IEs, timeline and budget for IEs within the GCF-funded projects.

Similar to previous years, the LORTA IEW 2022 aimed at meeting the aforementioned objectives, while introducing some modifications regarding the structure of the workshop and topics covered. This is undertaken to put into practice the recommendations and lessons learnt from the preceding workshops to improve the capacity-building and learning effects within the workshop. The following sub-section elaborates on this year's IEW.

B. The LORTA Impact Evaluation Workshop 2022

The fifth LORTA IEW was again organized by the IEU and the C4ED. As previously mentioned, due to the COVID-19 pandemic this year's IEW was also held virtually consisting of different parts. In contrast to last year, the LORTA IEW 2022 was organized over a period of three weeks (from the 27th of June to the 19th of July over a video-conferencing platform. Participants of the workshop were representatives from different divisions within the GCF, including the IEU, IE specialists from C4ED, as well as representatives of 15 DAEs (4 regional DAEs and 11 national DAEs) and 1 international access entity (IAEs), implementing partners and project staff from 16 national small-scale projects. Other than the approved GCF-funded projects, DAEs with proposals in the pipeline or project concept notes were invited to the LORTA IEW 2022 and offered the opportunity to address challenges while designing an IE and finding innovative approaches in doing so. Similar to the previous year, this year's IEW's main target audience were the DAEs in order to rebalance the LORTA portfolio, which in previous years mainly included IAEs.

The workshop consisted of different elements and capacity-building measures using various digital formats, such as live webinars, a learning video for each topic of the webinar, additional reading material as well as online breakout group sessions (for the full workshop agenda, please refer to Annex I). In total, six webinars took place each Friday and Tuesday between the 27th of June and the 19th of July. In so doing, it was envisioned to conduct two webinars each

week and shorten the workshop's overall duration. This is based on the shared goal of IEU-C4ED to constantly develop and maximize the learning results from the LORTA IEW. By boosting participant engagement, it is intended to increase their workshop learning outcomes as well.

During the six webinars, the following topics were discussed:

1. *Webinar 1: What are LORTA and impact evaluations? What LORTA can offer to the projects approved by GCF?*

2. *Webinar 2: Theories of Change, evaluation questions and indicators*

3. *Webinar 3: Experimental and non-experimental impact evaluation methods*

4. *Webinar 4: Monitoring, timeline, budget and ethics*

5. *Webinar 5: Rapid-fire presentations*

6. *Webinar 6: Rapid-fire presentations, a guest presentation and closing remarks*

For all the webinars except webinars 5 and 6, a learning video as well as reading materials were shared with the participants in advance to increase the understanding of the topics of the webinar. All learning videos that lasted approximately between 20 and 40 minutes were recorded by the IEU and. The reading material consisted of papers, book chapters and guidelines, and aimed to deepen and add to the knowledge that was conveyed through the videos. Most of the webinars consisted of three or four parts, while the first and second part offered talks given by IEU staff or partners of the LORTA programme. Furthermore, each webinar had a Question and Answer (Q&A) session and a final quiz. During the last two webinars on Friday 15th and Tuesday 19th of July, each project team presented their initial IE design and plan to other participants, (summaries of the outcomes of the group work can be found in Annex III). In contrast to last year's IEW, each project team acted as a discussant for one presentation from a different

project team to increase discussion and interaction in the rapid-fire presentations.

An innovation for this year's workshop was the inclusion of the so-called "champion videos" in which three successful projects that are currently part of the LORTA portfolio (Guatemala, Madagascar, and Bangladesh) gave an insight into their experience with the LORTA programme and with the IE process of their projects. In addition, for three of the webinars keynote speakers were invited from the King Climate Action Initiative of the Abdul Latif Jameel Poverty Action Lab (J-PAL), the Food and Agricultural Organisation (FAO), and the International Security and Development Center (ISDC). Moreover, Professor Markus Frölich from C4ED delivered a presentation in the opening webinar.

The breakout group sessions were organized in parallel to the webinars, such that the breakout sessions took place following each week's webinar. Breakout groups were formed by team members from two different projects/DAEs, led by one IE specialist or representative from C4ED and/or IEU. During the group work sessions, the corresponding topic of the week was discussed and applied to the respective project.

At the end of the workshop 57 out of 71 (80%) participants that attended all sessions were awarded with completion certificates.

C. Projects participating in the LORTA IEW 2022

Group 1

A) SAP016: Fiji Agrophotovoltaic Project in Ovalau (AE: Fiji Development Bank)

This project will start in December 2022 with a lifespan of 20 years. The Fiji Development Bank hopes to reduce CO_2 emissions through the adoption of renewable energy solutions. The project's two main components are (i) Strengthening the Capacity for Low-carbon Generation and Microgrid Stabilization; and (ii) Technical Assistance – Strengthening adaptive capacity and reducing exposure to climate risks of women, men, and at-risk communities.

The first component includes the installation of a 4 MW solar agrophotovoltaic system and 5MW battery energy storage system (BESS), and the construction of a research facility and technical assistance support to the community. The second component focuses on specific training for the locals, creating awareness about climate threats, and creating a specialized climate finance facility together with the Ministry of Economy.

The first component is the most suitable for IE. Therefore, depending on data availability on comparable islands a counterfactual for the total energy demand/production without the renewable energy system might be constructed to use a synthetic control approach.

B) Concept Note: Direct financing for communities and businesses to respond to climate change in the Cook Islands (AE: Ministry of Finance and Economic Management, Cook Islands)

The project will span over eight years. The Ministry of Finance and Economic Management aims at reducing the direct losses (an average of 4,5 million USD per year) from damage to buildings caused by extreme weather events via direct financing of individuals, households, and/or businesses. After the GCF investment, the DAE has planned a Revolving Fund mechanism to ensure the provision of the budget needed.

This project is divided into two components: (i) Implementing capacity building and technical assistance; and (ii) Funding grants. The first component is implemented via a media campaign to engage stakeholders with training and capacity building activities. Ideally, to measure the impact of these activities a baseline assessment can be conducted as well as a mid-term and end-of-project IEs. The second component provides two types of funding grants to different groups and have different purposes. The purpose of fund 1 is to provide support to community groups, non-governmental organizations (NGOs), civil society organizations (CSOs) and local governments to fight climate change. The purpose of fund 2 is to reduce climate risk through ecosystem

adaptation and it is directed to most vulnerable, outer islands and private sector businesses.

For component 2, beneficiaries of fund 2 are considered the most suitable for an IE. After assessing and scoring each tier/category based on vulnerability and need, grants are distributed accordingly. The methodological approach suggested is a regression discontinuity design (RDD) comparing those applicants with a score just above the cut-off to those with a score just below.

Group 2

A) Concept Note: Financing Mitigation and Adaptation Projects in Micro-, Small-, and Medium- Sized Enterprises (MSMEs) (AE: Small Industries Development Bank of India)

The project is expected to start in 2023 and run for 15 years until 2038. Its key objective is to develop and demonstrate an ecosystem to promote climate financing in MSMEs in India. The project aims to remove some of the major barriers that Indian MSMEs face related to lack of awareness of low carbon transition technological opportunities, limited technical know-how, low technology levels, limited access to modern technologies and high cost of capital, among others. The project aims to achieve its objective by providing financial support under project component (i): improving the affordability and accessibility of finance for MSMEs to cleaner technologies for abatement of GHG emissions and technical support under project component; and (ii): increasing the awareness about climate change adaptation and mitigation measures for MSMEs.

For this project, the AE needs 1.332 billion USD. This amount is partially expected to be provided by the GCF in the form of a subordinated debt of 200 million USD, a technical assistance grant of 20 million USD, and 500 million USD via co-financing.

B) Pipeline: Making coastal communities climate resilient (AE: National Rural Support Programme, Pakistan)

Due to the fact that the LORTA IEW 2022 took place during the Eid al-Adha[2] celebrations in Pakistan, the participants from the Natural Rural Support Programme (NRSP) could only send the title of the pipeline project and attend the second day of the breakout session. Given that the team did not participate throughout the whole workshop, no further information on this project can be offered in this report.

Group 3

A) FP107: Supporting Climate Resilience and Transformational Change In The Agriculture Sector in Bhutan (AE: United Nations Development Programme (UNDP), Bhutan)

The project started in 2020 and will last until 2025. It aims to enhance the resilience of smallholder farms to climate change impacts in eight districts. It promotes climate resilient agricultural (CRA) features and practices in water and land management to increase household resilience and the adaptative capacity of smallholder farmers. GCF grants (around 25 million USD) and Royal Government of Bhutan (RGoB) co-financing (around USD 32.5 million) promote CRA practices among 64 thousand smallholder farms. The project analyses the adoption of these techniques, the yield of the crops, and the increase in income, profits, and household opportunities.

For the impact evaluation, there are "hard" investments (in irrigation schemes and road rehabilitation) and "soft" components (i.e., information delivery and training in climate-resilient practices and sustainable land and water management). For the assessment of the "hard" investments, the proposed methodological approach is to use the double difference method, while for the "soft" components, the selected evaluation approach is a phase-in RCT.

B) Concept Note: Local governments and climate change (AE: National Committee for Sub-National Democratic Development in Cambodia)

In a span of five years, the National Committee for Sub-National Democratic Development aims at scaling up the Performance-based Climate Resilience Grants (PBCRG) programme in 50% of all rural districts. The cost of scaling up this project could be covered by the GCF with 10 million USD and further 20 million USD co-financed by local governments. The programme aims to provide climate change resilience solutions for poor communities in terms of food security and by strengthening the capacity of climate-vulnerable local governments. In addition, the project wants to provide better support to policies and programmes that dispense sub-national adaptation investments. By increasing awareness and providing training at different levels, the project would promote the implementation of climate adaptation investments in agriculture and the water sector.

No IE design has been proposed as this programme is still at the preliminary concept note stage.

Group 4

A) Readiness programme: Strengthening the Foundation for a Climate Responsive Agricultural Sector in the Caribbean (Multi-country) (AE: Inter-American Institute for Cooperation in Agriculture (IICA), Costa Rica)

The project started in April 2014 and will last until April 2023. It focuses on improving access to climate finance for building resilience and promoting low-carbon development in the agricultural sector in the Caribbean area. As this project of the size of one million USD is coming to an end, the main focus of this group was on finding better indicators at three different levels: national designated authorities (NDAs), stakeholders, and community.

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[2] One of the two main holidays celebrated in countries with a Muslim majority.

Because of the project's time horizon as well as the multi-country approach, no IE design was proposed.

B) PPF/SAP040: Enhancing resilience of communities, smallholders and ecosystems to climate change impacts through adapting and scaling up land/resources used systems in the Marajo archipelago in Brazil (AE: Fundación Avina, Brazil)

Starting from the third quarter of 2023 until the end of the second quarter of 2028, Fundación Avina addresses climate change impacts on food production in the Marajo archipelago through the implementation of diversified agroforestry systems. The project aims at strengthening the implementation of climate resilient solutions offered by local governance and improving the resilience and adaptive capacities to climate change of small holders via implementing different agroforestry systems and enhancing access to markets and finance for diversified agroforestry products. The expected budget is 10 million USD, most of it (9.5 million USD) financed by the GCF.

The group focused mainly on the timeline, the key evaluation questions (both at farmer and institutional level), and on indicators. No IE design was agreed on as the project team was not sure at which level the implementation will be done and hence, the project team was unsure which evaluation method would fit best.

Group 5

A) Concept Note: Building sustainable and climate resilient agri-food systems with a gender approach in Colombia (2023-2028) (AE: Fondo para la Acción Ambiental y la Niñez, Colombia)

This project will last five years from 2023 until 2028 and has three goals: (i) identify the agri-food systems that have to be strengthened through a participatory approach also analysing gender dynamics, adaptation measures and offers, (ii) enhance adaptive capacity by promoting productive associativity based on climate resilient, organizational and financial capacity building that facilitates access to

markets and income diversification. and (iii) reduce the vulnerability of rural women and communities by implementing agri-food systems securing food and climate resilient livelihood. The project needs around 10 million USD, of which 66% could be provided by the GCF and 34% via co-financing.

A phase-in RCT involving 1,920 rural households was discussed as a potential IE design. In case the rollout cannot be pre-determined, there is still the possibility of using matching.

B) Pipeline: Peruvian Amazon Eco-Bio Business Facility (Amazon EBBF) (Profonanpe) (AE: The Peruvian Trust Fund for National Parks and Protected Areas)

This project is planned to start in 2023 and continue until 2033. It aims at (i) promoting sustainable management and conservation of Peruvian forests by investing in eco-bio businesses (EBBs) and by assisting the EBBs both technically and with seed capital funding (repayable); and (ii) supporting REDD+ infrastructure and nesting small scale intervention under the national framework. The budget is around 10 million USD, mostly (9 million USD) financed by the GCF, and the rest co-financed by Profonanpe and the Ministry of Environment (MINAM).

The main challenge of this project is the sample size as it includes only 55 eco-bio businesses. Since the selection happens through a call for proposals where only the best ones to work with are chosen, it is difficult to design an IE.

C) FP174: Ecosystem-based Adaptation to increase climate resilience in the Central American Dry Corridor and the Arid Zones of the Dominican Republic (AE: Central American Bank for Economic Integration (CABEI))

This project has been approved by the GCF and has an implementation period of 7 years, which did not start yet. Its main goal is to strengthen the adaptive capacity of vulnerable people, including smallholder and commercial farmers, as well as entrepreneurs in rural communities in the Dry Corridor and Arid Zones. There are two main components to the project: (i) mainstreaming of ecosystem-based adaptation

(EbA), water-efficient technologies and natural resource-based businesses into selected catchments; and (ii) financing and implementation of EbA as well as water- and resource-efficient technologies across selected catchments. The main intervention of the evaluation is the technical assistance to farmer organizations for technical capacity, while focusing on information and promotion campaigns to identify communities/organizations and trainings for technical skills and access to finance. This intervention is targeting over 1 million rural farmers across 7 countries. A randomized phased-in design was discussed as a potential IE approach.

Group 6

A) Case study project: Bridge City Towers (AE: Development Bank of Southern Africa (DBSA))

The Bridge City Towers project will last approximately 48 months and wants to improve living standards by reducing poverty and carbon emissions. The Development Bank of Southern Africa (DBSA) will build 1130 EDGE[3] certified social housing units reducing carbon emission by 1,362.85 tCO_2eq per annum through embodied green material usage. This project aims also to create more than a thousand new jobs in construction and operations.

The project cost amounts to 31.5 million USD covered mostly by the government (58%) and financial institutions (DBSA 20% and Amalgamated Banks of South Africa (ABSA) 21%), leaving the rest as equity.

With sufficient funding, a difference-in-differences design combined with matching would be possible. Due to funding constraints the suggested evaluation approach is a pre-post design.

B) Concept Note: Fueling Green Recovery in Armenia – advancing forest infrastructure and creating sustainable jobs for rural communities

(AE: Environmental Project Implementation Unit, State Agency of the Ministry of Nature Protection, Armenia)

The concept note was first submitted to the GCF in 2021 and the project is expected to last for five years. However, it is still to officially start given that the concept note is yet to be approved by the GCF. The project's goal is to increase forest coverage in Armenia by involving vulnerable households in the process to increase their resilience. This project aims to scale up afforestation/reforestation capacities acting at the national, community, and household levels. For the latter, it is prospected to achieve the establishment of a thousand backyard tree nurseries that would increase employment and self-employment opportunities at the community level for afforestation/reforestation and "non-timber" activities and engagement in supply chains. The project budget is 17.56 million USD, out of which 10 million USD is planned to be provided by the GCF and the rest via co-financing.

The suggested evaluation approach is an RCT where a lottery can be used to select the beneficiaries.

Group 7

A) Concept Note: Improving the resilience of the vulnerable communities of Adjohoun, Bonou and Dangbo (ABD) to malaria, cardiovasular diseases (CVDs) and acute respiratory infections (ARIs) in the context of Climate Change (AE: Fonds National pour L'Environnement, Benin)

Fonds National pour l'Environnement et le Climat (FNEC) expects to implement this project across five years. The goals of the project are (i) to improve health resilience to climate change of the ABD health zone, (ii) to contribute to achieving a community-focused health sector's vision that includes improved early-warning system (EWS) and to disseminate

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[3] EDGE (Excellence in Design for Greater Efficiencies) is a green building certification system focused on making buildings more resource efficient.

information to the targets with channels adapted to all communities, and (iii) to supply the healthcare centers with climate resilient and sustainable technologies and infrastructure. By strengthening the EWSs, increasing the staff capacity and technological level of the healthcare centers, and providing the most vulnerable communities information to raise disease prevention awareness, the project aims to enable the communities to take appropriate action to put a stop to malaria, CVDs and ARIs.

A grant of 8.6 million USD from the GCF and 0.45 million USD co-financed by FNEC and the Ministry of Health will cover the budget planned for this project.

Since a randomization is not feasible, the possible IE design is a Difference-in-Differences (DiD) approach with matching.

B) Concept Note: Scaling up ecosystem-based approaches to managing climate-intensified disaster risks in vulnerable regions of South Africa (AE: South African National Biodiversity Institute (SANBI))

Currently, the project is in the development phase and has an estimated implementation of seven years. It aims at reducing the risk of disasters due to climate change, especially those related to floods, fires, and droughts. There are three components to the project: (i) the rehabilitation of vulnerable catchments, (ii) the integration of ecosystem-based approaches into settlement planning and disaster risk reduction, and (iii) upscaling these across South Africa. In particular, the component on settlement disaster risk reduction includes implementing Ecological Infrastructure (EI) and green-gray technologies.

The project will be supported by the GCF with 20 million USD and 28.9 million USD in co-financing. The IE approach suggested is a (non-experimental) regression discontinuity design at the community level. Since there is an expected high demand together with limited budget and capacity, the selection will be based on a continuous ranking with a cut-off. The feasibility of this design is yet to be confirmed and may be supplanted by a DiD combined with matching design.

Group 8

A) FP003: Accroître la résilience des écosystèmes et des communautés à travers la restauration des bases productives des terres salées (Increasing the resilience of ecosystems and communities through the restoration of the productive bases of salinized lands) (AE: Centre de Suivi Écologique (CSE))

The project implementation started in 2019 for a period of four years and aims at overcoming barriers and constraints related to the progressive salinization of land in the Sine-Saloum zone. The objective includes three components: (i) strengthening individual and institutional capacities of municipalities and districts of the project's intervention area for better land management aiming at reducing salinization, (ii) reducing salinization of agricultural, pasture and forest land in the project's intervention area, and (iii) improving communities' resilience to salinization through the socio-economic valorisation of salt lands. Among other activities, the project includes training and supply of phosphate for Senegalese producers so that the mineral amendment increases the fertility of the agricultural land.

The total budget of 8.16 million USD is covered by a 7.6 million USD grant from the GCF and around half a million USD via co-financing. The methodological approach for the IE is ex-post matching.

D. Key takeaways from participants

During the workshop, the participating groups were asked to provide some key takeaways that can be grouped into four main categories: the importance and scientific rigor of IE and M&E, the importance of IE planning and budget at the early stage, how useful the guidance of experts in project planning and implementation is, and ethical requirements. For each of these categories we provide more details below:

The importance and scientific rigor of IE and M&E

Most of the groups mentioned that they appreciated the reliability that the measurements and indicators of IE and M&E as fundamental supports to answer questions. They also

understood the importance to follow diligently the methodologies to obtain reliable results (e.g., how to avoid sample selection issues, randomization, etc.). A group also suggested that participants should be given more time to work on the concepts and the applications of IE methods.

The importance of IE planning and budget at the early stage

Given the value of the tools and techniques of IE and M&E, some participants realized the importance of planning ahead the amount of budget required in particular to design and evaluate the impact.

The useful guidance of experts in project planning and implementation

Many groups were thankful for the possibility to have experts from C4ED or IEU guiding them into applying the concepts to their own projects. It allowed them to better understand the practical aspect of IE and M&E, and how they could use this concept to improve the IE practices within their own organizations.

The importance of adhering to ethical requirements

Some participants put focus on the importance of ethical committees (or the lack of them) in validating research and analysis tools.

Results from pre-workshop and endline survey

Besides the above key takeaways, pre-workshop and endline online surveys were conducted with participants. The findings of these surveys demonstrate that the workshop enhanced participants' understanding of the significance of integrating IEs at early project stages. According to the majority of survey respondents, the workshop had an impact on their project design. Moreover, among the subjects, the webinar on theory of change was considered to be "extremely useful", in contrast to the subjects of experimental and non-experimental evaluation methods, which were seen as less useful. However, it must be highlighted that the respondents were already familiar with the concept of theory of change, evaluation questions and indicators, and monitoring, while being less familiar with RCTs, statistical analysis and evaluation ethics.

This might have affected the scoring of each webinar during the endline survey.

E. New projects invited to the LORTA programme

Based on the rapid-fire presentations, as well as the experience of the specialists, 16 projects were assessed to determine their eligibility for LORTA. The following strategic criteria and guiding principles served as base for the discussion:

- **Feasibility of IE design**: The project, or at least a sub-component of the project has the potential to be rigorously evaluated.

- **Commitment of project team**: Project selection considers the interest, commitment, and engagement of the project team to conduct a rigorous IE.

- **Budget**: The project needs to be aware of the budget implications of an IE and be willing to make sufficient budget available to conduct data collection(s).

- **Level of innovation for LORTA**: The LORTA workshop seeks to add projects with innovative interventions to the overall LORTA portfolio.

- **Level of innovation for GCF and the climate change space**: The evidence gained from the IEs of the selected projects should be innovative to enlarge the learning within GCF and the global research on climate change.

- **Regional distribution**: the region of implementation of the project ensures an even uniform-like geographical distribution within the LORTA portfolio.

Following the LORTA IEW 2022, staff members of the IEU and C4ED held a virtual meeting to discuss the evaluability of the 16 projects. The discussion considered the criteria

described above. Out of the 16 projects, 10 were first longlisted and were further assessed during a following meeting with the GCF Secretariat.

One week after the workshop, the IEU consulted with relevant divisions of the GCF Secretariat to build consensus regarding the most appropriate and eligible projects for the LORTA programme against the criteria above. One important object of discussion was the extent to which projects that are not yet approved by the GCF Board for funding could be part of the LORTA programme. Each division brought invaluable insight into the projects' details and the broader dynamics within the GCF. Staff members of the GCF echoed the keen interest expressed by workshop participants and conveyed their continued support for the LORTA programme moving forward. Discussions from these consultations were synthesized to inform the final deliberation of shortlisted projects. The shortlisted projects included (in order of prioritisation beginning with the most preferred project):

FP107 – Bhutan - Supporting Climate Resilience and Transformational Change in the Agriculture Sector in Bhutan (UNDP, Bhutan): Besides being an approved GCF project, there is budget available as well as capacity and commitment of the team.

PPF/SAP040 – Brazil - "Enhancing resilience of communities, smallholders and ecosystems to climate change impacts through adapting and scaling up land/resources used systems in the Marajo archipelago in Brazil" (Fundación Avina, Brazil): the Project Preparation Facility (PPF) funding application for this project was approved and support from the GCF is needed to conduct studies to strengthen the overall strategic direction of the funding proposal. There is a budget allocation available for the IE. While it is not yet clear which evaluation design would be more appropriate, the project team is interested in conducting the IE. However, it needs to be considered that this project is not yet a GCF approved project.

Concept Note – Colombia - "Building sustainable and resilient agri-food systems with gender approach in Colombia" (Fondo para la Acción Ambiental y la Niñez, Colombia): This project is not yet approved by the GCF, but the team hopes to receive approval soon. They presented a Phase-in RCT as the evaluation design which is more robust than a quasi-experimental design. Although the implementation activities are not so innovative as it is similar to what other projects in the LORTA portfolio are doing, the team has a great interest in evaluating the intervention.

Concept Note – Armenia - "Fuelling Green Recovery in Armenia – advancing forest infrastructure and creating sustainable jobs for rural communities" (Environmental Project Implementation Unit, State Agency of the Ministry of Nature Protection, Armenia): The project team is open to the possibility of conducting an RCT. However, it was not entirely clear the availability of funds and the capacity of the project team as only one member attended the workshop.

Concept Note – Cook Islands - "Direct financing for communities and businesses to respond to climate change in the Cook Islands" (Ministry of Finance and Economic Management, Cook Islands): This project showed great commitment during the entire workshop. They joined all webinars and breakout sessions even though sometimes they were taking place in the middle of the night for them. The team is also experienced with the statistical software STATA as well as with data collection and monitoring. An RDD was selected as the most feasible design but an RCT around the cut-off point could be implemented if there will be enough observations. One concern is the budget availability and that this project is not yet approved by the GCF.

Concept Note – South Africa - "Scaling up ecosystem-based approaches to managing climate-intensified disaster risks in vulnerable regions of South Africa" (South African National Biodiveristy Institute (SANBI), South

Africa): The project team was very committed in conducting an IE. As with the previous projects, a concern is that this is not yet an approved GCF project.

As of now, the projects FP107 Bhutan, PPF/SAP040 and Armenia (concept note) will be informed that they have been selected to be part of the LORTA programme. If they accept to join LORTA, they will receive a Memorandum of Understanding (MoU), which they will be requested to sign. The MoU lays out the intention of the collaboration between the IEU and the AE, and sets forth its objectives, the scope and the terms. While the IEU commits to provide technical, advisory and quality control for the IE, the AEs commit to actively engage, collaborate and work closely with the IEU throughout the evaluation, comply with timelines and quality standards, allocate the necessary budget for data collection, and give the right to access and use all data collected during the IE.

Once the selected projects are informed, the signing procedure of the MoUs will be initiated. Therefore, the final project list for LORTA Phase I 2022/2023 is yet to be confirmed.

Regarding the four remaining projects, the IEU will continue the consultations with the GCF Secretariat to identify the best time to reach out to these projects. Yet, it was explicitly mentioned during the shortlisting meeting, that an early engagement can be beneficial for these teams as they could add the necessary budget for an IE in their proposals.

F. Next steps for selected projects

Engagement with stakeholders and formative work

For each of the selected projects, an evaluation team will be formed consisting of one or two IE specialists from C4ED and one IEU staff member per project. The task of the evaluation teams will be to engage closely with key stakeholders of the projects – namely, NDAs, DAEs, implementing agencies, and project staff – to ensure their interest, understanding and sense of ownership for the planned theory-based IEs.

Each evaluation team will conduct a (probably virtual) inception mission, where it will hold capacity-building workshops with key stakeholders. These meetings will also aim at fostering collaboration and trust between the evaluation team and the onsite parties involved. A further aim of the inception mission is to emphasize the benefit of having a counterfactual and real-time learning and measurement.

Under the guidance of the evaluation teams, IE designs will be developed or refined for each of the selected projects. The evaluation teams will conduct context analyses, examine the existence of appropriate counterfactuals (i.e., comparable treatment and control groups), elaborate a ToC, assess the availability of baseline administrative and secondary data sources, and acquire budget information. For the capacity-building, close cooperation with the project teams, NDAs, DAEs and other stakeholders will be indispensable.

Reports

The LORTA team will produce a Pre-Analysis Plan (PAP) report for each of the selected projects that join the portfolio. These will include a justified, relevant empirical strategy on the measurement of causal change, including potential challenges and an implementation tracking and measurement framework, agreed upon by the evaluation team and key stakeholders. The PAP will consist of a detailed description of the project, ToC, evaluation questions and indicators, evaluation design, implementation tracking and real-time measurement system, calculated sample size, timeline and budget. The PAP is submitted to IEU after the inception mission takes place. Upon approval by the IEU, the PAP is shared with the project team for feedback.

III. Lessons Learnt and Recommendations

Similar to the previous two years, the IEW 2022 was conducted in an online format and given the variety of countries, it was organized in a way that was favorable for most participants' time zones. Overall, the workshop ran smoothly without technical problems and capacities were

quickly mobilized so that all interested AEs/DAEs could participate, even those that expressed interest shortly before the start of the workshop.

In the following paragraphs we provide lessons learnt and recommendations for future IEWs with regard to the overall workshop, the webinar sessions (excluding the Rapid-Fire Presentations (RFPs)), the breakout sessions, and the RFPs.

General lessons learnt and recommendations

As mentioned above, this year's workshop was significantly shorter compared to the previous years and hence the interaction with participants was more intense. We believe this enhanced engagement as the participation during the webinars as well as during the breakout sessions was relatively high and remained constant over the period of the workshop. Yet, the **time period might have been too short and required to keep the discussion of technical topics also short.** This somehow affected the quality and depth of the IE designs, evaluation questions and indicators that were presented during the rapid-fire session. **We suggest increasing the workshop duration by 1-2 weeks** so that certain topics can be discussed in more detail and that AEs/DAEs can have more time to discuss internally which IE design suits best their goals. In addition, the timing of the workshop was not ideal as it took place during the Eid al-Adha. For this reason, the participants from NRSP Pakistan missed most of the webinars and breakout sessions and hence could not benefit from the capacity building and take part in the rapid-fire session. For the next IEW organization, **long public holidays in participating countries should be considered so that they do not affect assistance and engagement in the workshop**. Besides this team, all other entities handed in a final presentation for the rapid-fire session.

As mentioned above, a novelty for this year's workshop, **the LORTA team asked three projects that are currently in the LORTA portfolio and that are considered "champions" to make a video where they share their experience with LORTA and with the IE process.** All three projects were happy to send their videos and all of them were of great quality and interesting content. However, since watching the video material was not mandatory and not discussed during the webinars/breakout sessions, **we cannot be certain how effective these efforts were and to what extent projects could gain insights from LORTA through these videos.** To give more visibility of the current efforts that the LORTA and the country teams make, we recommend that projects are rather invited to the introductory webinar and give a short presentation to the audience. This would also allow participants to ask questions and learn first-hand from on-going LORTA projects.

Finally, an important issue that was particularly observed during this workshop is in relation to managing expectations regarding GCF's approval of funding proposals. We recommend that at the time of inviting the AEs/DAEs, it should be made clear that participating in the IEW does not guarantee any positive response from the GCF in regard to the approval of proposals. Furthermore, it should be made clear that breakout sessions can enrich the project proposals, but the specialists cannot prepare or provide feedback on GCF's approval of funding proposals.

Lessons learnt and recommendations for webinar sessions

In particular to the webinar sessions, we believe that **it was a great add-on that more speakers were invited for this year's IEW**. The presenters covered each of the topics both theoretically and practically by providing many examples during their talks. Thanks to the engagement of external organizations, **participants could have first-hand insights** into other institutions that implement IEs on similar topics. Moreover, **two important topics were added to this year's workshop: ethics and monitoring**. This aligns with recent standards of IE methods and goes in line with questions that were raised during the previous workshops.

Potentially, **certain webinars could take longer or be divided in two different sessions.** For instance, during the breakout sessions participants suggested that it would be beneficial to dedicate more time to explaining the ToC as

this is the core facet of any evaluation and hence, they are interested in learning more about how other institutions develop their ToCs. In addition, participants expressed interest in learning tips/techniques on how to create a strong ToC. We believe that this year's webinar on ToC provided a very good overview of IE, but it should have focused exclusively on the ToC.

Moreover, we suggest dividing the webinar on IE design into two webinars, one for experimental and another one for non-experimental IE methods. This is how it was performed in previous years. Through the interaction with participants, we recognized that they were confused about the different methods and that the webinar was in itself too dense with very technical information. This observation was also underpinned by the endline survey results, where participants suggested to have more time for experimental and quasi-experimental methods and to use actual cases to portray how and when these different methods can be applied.

Similarly, other important **topics such as sample size calculations should be included in the webinars** as participants often ask how large the sample should be. As of now power calculations are not part of the workshop. A short and less technical session on this topic could be included. For instance, specialists from C4ED or IEU could give examples using ongoing IEs as an illustration. That way participants can get an insight into the implementation of other projects. Alternatively, as done in previous years, this can be presented by current LORTA projects. Besides discussing the sample size, invited projects can also discuss their design and the barriers and challenges they are facing. This goes hand-in-hand with the suggestion to engage current LORTA projects in the IEW. Because of the potential adjustments, extending the workshop's length for 1-2 weeks can be optimal.

Lastly, we think that although the webinar from Professor Bruck was very insightful, his presentation focused mostly on projects related to violence and not so much on environmental or climate-related topics. We suggest that speakers tailor their presentations to exclusively climate-related topics as this is what participants are more familiar with and where they can draw more theoretical and practical learnings. Besides this, Abdul Latif Jameel Poverty Action Lab (J-PAL)'s presentation on the experience in evaluating climate projects within the King Climate Action Initiative was reflecting on a relevant topic for the LORTA programme and gave innovative impulses.

Lessons learnt and recommendations for breakout sessions

As mentioned above, weekly breakout sessions of two hours each were taking place. This aimed to keep the momentum and encourage projects to devote the necessary time to capacity-building within a short amount of time.

While all relevant topics were covered during the breakout sessions and many activities were created to make the sessions more interactive and entertaining, the **timing of the sessions was falling short and there was not much time in between the sessions for reflection**. In addition, the structure was **perceived as too intense by participants** as it was difficult for them to allocate two hours on two consecutive days to join the breakout sessions (in addition to the webinars). Based on this experience, **we recommend that one longer breakout session (about 3 hours) takes place every week** so that projects receive enough guidance, but also have more time to discuss internally in between the breakout sessions. **Specialists can also design "homework" that can be internally discussed and prepared by project teams and sent back to specialists between the breakout sessions. During the meetings the specialists can provide feedback on the homework** so that the meeting time is used more efficiently.

An important challenge of this year's IEW was that **most projects from the participating AE/DAEs were at a very early stage (concept note stage).** This made the **breakout sessions more challenging** compared to previous years as many questions could not be answered by the participants due to their projects being at very early stages. Consequently, some of the activities had to be done using hypothetical scenarios to meet the workshop's main aim of

providing capacity building to participating entities. Furthermore, **the time to produce a ToC, indicators and research questions was very short.** In total each participating entity had about four hours as the breakout session was shared with other AE/DAE. In our experience this time is not sufficient as projects usually have many questions and concerns about the evaluation design which usually is the step that requires more time. This time shortage was reflected in the quality of the rapid-fire presentations as some participants could not decide on an evaluation design and some had still very broad ToC, evaluation questions and indicators.

In addition, participating entities brought projects with very long implementation timelines (more than 10 years), with a multi-country coverage and some with readiness components. These three points represented a challenge for the shortlisting committee, as usually it is hard to plan, guide, budget, and gain sufficient commitment for such a long-term IE. Currently, the projects in the LORTA portfolio have a time span of 3-5 years. Moreover, multi-country projects are difficult to evaluate as, 1) a representative sample should be used from each country making the IE more expensive compared to a single country evaluation; 2) this requires the buy-in of a large number of stakeholders which usually results in complexities and delays.

Despite these shortcomings, the breakout sessions worked relatively well, and the entities received enough guidance to learn the concepts, integrate them into their projects, and finalize the rapid-fire presentations. In particular, we want to highlight that giving the opportunity to AEs/DAEs to prepare a short presentation on the project was very beneficial and helpful to smoothen the conversation and flow of the breakout sessions. As a result, many topics such as timeline, beneficiaries and sample could be addressed at an earlier stage compared to previous workshops.

In addition, it was very useful to use breakout rooms so that project teams could internally discuss and prepare the activities and then present to the specialist and the other group members. Even though the time for the activities was too short (especially for the ToC, evaluation design and monitoring), the breakout rooms could still be implemented in future. As mentioned above, it will be important to keep in mind that either the breakout sessions should be longer or that less activities should be discussed in these rounds and hence more activities should be left as "homework".

Lastly, we recommend adjusting the budget session. Instead of asking the entities for prices or quantities, which most of the times they do not know or are not sure about, the LORTA team creates rough ranges depending on key characteristics of the data collection (sample size, face-to-face or phone, etc.). That way participants can have a rough estimate in their mind and consider different options for the data collection.

Lessons learnt and recommendations for rapid-fire presentations

Overall, the rapid-fire sessions went well and compared to previous years, there was less rush and more room for discussion.

A novel element implemented during the rapid-fire presentations was the inclusion of discussants. AEs/DAEs were matched based on project thematic focus. After each AE/DAE finished the presentation, a discussant asked some questions to the presenter to gain understanding of the project or to provide feedback. **This activity worked well and made the sessions more interactive compared to previous years.** Probably, for future sessions, the matching should be at the group level so that discussants are able to provide more comprehensive feedback or ask more complex questions as they have more understanding of their matching project.

To conclude this section on lessons learnt and as general recommendation for future workshops, we would like to reiterate that clear communication with participants can avoid raising expectations regarding the GCF's approval of their proposal/concept note. In addition, we believe that in-person workshops could solve many of the shortcomings that the LORTA team has faced in the previous

workshops. More time can be allocated for the different activities, participants can spare the time to focus on the activities and on the material that is being shared with them, and overall, it will enhance the buy-in of projects to enrol into the LORTA portfolio.

ANNEX I - WORKSHOP AGENDA AND STRUCTURE

The LORTA IEW 2022 offered webinars on different topics to learn about the LORTA programme and IE. Breakout sessions were used to prepare participants on the topic of each forthcoming webinar. The IEW's final week was dedicated to rapid-fire presentations of participants, where each project was given time to present their results.

TOPICS OF THE WEBINARS FOR EACH WEEK

Each week of the workshop was dedicated to a specific topic:

1ˢᵗ week (June 27ᵗʰ ⁻ July 3ʳᵈ): Introduction to the LORTA programme, impact evaluations and the programme's added value to GCF projects.

2ⁿᵈ week (July 4ᵗʰ ⁻ 10ᵗʰ): ToC, Evaluation questions, indicators, and methods (experimental and non-experimental).

3ʳᵈ week (July 11ᵗʰ ⁻17ᵗʰ): Monitoring, timeline, budget, ethics and other evaluation standards.

4ᵗʰ week (July 18ᵗʰ ⁻25ᵗʰ): No webinars (rapid-fire presentations only).

BREAKOUT SESSIONS

During the breakout sessions, one impact evaluation specialist from IEU or C4ED guided a group with one or two projects, for a total of eight groups. In every breakout session, the groups discussed how to apply the concepts learnt in the webinars to their own projects. In particular, the three breakout sessions focused on:

- Developing a ToC, evaluation questions and indicators for the project;

- Discussing experimental and quasi-experimental designs that could be applied;

- Discussing monitoring, timeline, budget, ethical considerations and evaluation standards to improve the quality of the project.

The agenda for the LORTA IEW 2022 is provided below.

AGENDA

Date of weekly webinars	Led by	Contents of webinar	Breakout sessions	Led by	Content of the breakout session
Monday, June 27th	N/A	There is no webinar this day Participants will receive the learning materials for the workshop	N/A	N/A	N/A
Friday, July 1 **9:00 – 10:30 pm KST**	**Moderator**: Martin Prowse (IEU) **Speaker 1**: Andreas Reumann (IEU) **Speaker 2**: Markus Frölich (C4ED)	**Webinar 1 – What are LORTA and impact evaluations? What LORTA can offer to the projects approved by GCF?** 1. Presentation summarizing LORTA 2. Presentation on the importance of impact evaluation 3. Q&A	N/A	N/A	N/A
Tuesday, July 5 **9:00 – 10:45 pm KST**	**Moderator:** Asha Warsame (IEU) **Speaker 1** Anastasia Aladysheva (IEU) **Speaker 2:** Silvio Daidone (FAO)	**Webinar 2 – Theories of Change, evaluation questions and indicators** 1. Theory of change, evaluation questions and indicators 2. Quiz 3. Presentation on impact evaluation at the Food and Agricultural Organisation 4. Q&A	Any time before Webinar 3 Time and duration agreed between AE, and technical assistance teams (IEU / C4ED)	IEU and C4ED specialists	Technical assistance teams work with project teams to develop and refine a theory of change, evaluation questions and indicators
Friday, July 8					Technical assistance

Date of weekly webinars	Led by	Contents of webinar	Breakout sessions	Led by	Content of the breakout session
9:00 – 10:45 pm KST	**Moderator:** Anastasia Aladysheva (IEU) **Speaker 1** Martin Prowse (IEU) **Speaker 2:** Claire Walsh (JPAL)	**Webinar 3 - Experimental and non-experimental impact evaluation methods** 1. Presentation on experimental and non-experimental impact evaluation methods 2. Experience in evaluating climate projects within the King Climate Action Initiative (JPAL) 3. Q&A 4. Quiz	Any time before Webinar 5 Time and duration agreed between AE, technical assistance teams (IEU / C4ED)	IEU and C4ED specialists	teams work with project teams to discuss experimental and quasi-experimental designs
Tuesday, July 12 **9:00 – 10:45 pm KST**	**Moderator**: Anastasia Aladysheva (IEU) **Speaker 1:** Alexander Mewes (C4ED) **Speaker 2**: Saesol Kang (IEU) **Speaker 3**: Rishabh Moudgill (IEU)	**Webinar 4 – Monitoring, timeline, budget, ethics and other evaluation standards** 1. Presentation on Monitoring for an impact evaluation (C4ED) 2. Presentation on Timeline and budget of an impact evaluation 3. Presentation on Ethics and other evaluation standards 4. Q&A 5. Information about rapid-fire presentations 6. Quiz	Any time before Webinar 5 Time and duration agreed between AE, technical assistance teams (IEU / C4ED)	IEU and C4ED specialists	Technical assistance teams work with project teams to discuss monitoring, timeline, budget, ethics and other evaluation standards
Friday, July 15		**Webinar 5 – Rapid-fire presentations**	N/A	N/A	N/A

Date of weekly webinars	Led by	Contents of webinar	Breakout sessions	Led by	Content of the breakout session
9:00 – 10:30 pm KST	**Moderator:** Martin Prowse (IEU) Rapid-fire ppts	Eight project teams will present their impact evaluation designs on Friday 15th July, and eight teams will present on Tuesday 19th July. Each project team will act as a discussant for another team's presentation.			
Tuesday, July 19 **9:00 – 11:00 pm KST**	**Moderator:** Asha Warsame (IEU) Rapid-fire ppts **Speaker 1:** Tilman Brueck (ISDC) **Closing remarks:** Andreas Reumann (IEU)	**Webinar 6 – Rapid-fire presentations, a guest presentation and closing remarks** Eight teams will present on Tuesday 19th July. Each project team will act as a discussant for another team's presentation. Presentation by Tilman Brueck (ISDC) and Q&A Closing remarks by Andreas Reumann (IEU)	N/A	N/A	N/A

ANNEX II - PARTICIPANTS AND PARTNERS

WORKSHOP KEYNOTE SPEAKERS			
#	Name	Organization	Topic	Date of weekly webinar
1	Silvio Daidone (Impact Evaluation Specialist)	FAO	Presentation on impact evaluation at the Food and Agricultural Organization	Tuesday, July 5 9:00 – 10:45 pm KST (Webinar 2)
2	Claire Walsh (Associate Director of Policy)	JPAL	Presentation on the experience in evaluating climate projects within the King Climate Action Initiative	Friday, July 8 9:00 – 10:45 pm KST (Webinar 3)
3	Rishabh Moudgill (Communications and Uptake Associate)	IEU	Presentation on Ethics and other evaluation standards	Tuesday, July 12 9:00 – 10:45 pm KST (Webinar 4)
4	Alexander Mewes (Research Manager)	C4ED	Presentation on Monitoring for an impact evaluation	Tuesday, July 12 9:00 – 10:45 pm KST (Webinar 4)
5	Tilman Brueck (Director)	ISDC	Presentation	Tuesday, July 19 9:00 – 11:00 pm KST (Webinar 6)

| PARTICIPATING ACCREDITED ENTITIES AND INTERNATIONAL ACCESS ENTITIES				
#	AE	Country	Type	Sector
1	Centre de Suivi Ecologique	Senegal	National	Public
2	Central American Bank for Economic Integration	Honduras	Regional	Public
3	Development Bank of Southern Africa	South Africa	Regional	Public
4	Environmental Project Implementation Unit, State Agency of the Ministry of Nature Protection	Armenia	National	Public
5	Fiji Development Bank	Fiji	National	Public
6	Fondo para la Acción Ambiental y la Niñez	Colombia	National	Public
7	Fonds National pour L'Environnement	Benin	National	Public
8	Fundación Avina	Brazil	Regional	Public
9	Ministry of Finance and Economic Management, Cook Islands	Cook Islands	National	Public
10	Instituto Interamericano de Cooperación para la Agricultura	Costa Rica	Regional	Public
11	National Committee for Sub-National Democratic Development	Cambodia	National	Public
12	National Rural Support Programme	Pakistan	National	Public
13	Peruvian Trust Fund for National Parks and Protected Areas	Peru	National	Public
14	Small Industries Development Bank of India	India	National	Public
15	South African National Biodiversity Institute	South Africa	National	Public
#	IAE	Country	Type	Sector
1	United Nations Development Programme Bhutan	Bhutan	International	Public

ANNEX III - RESULTS FROM BREAKOUT SESSIONS

GCF approved: Project was approved by GCF in 2020.

Goal: Creating a renewable energy source which resolves the conflict of interest between photovoltaic (PV) development and climate-resilient agriculture development and to serve as pilot to be imitated on other islands as well.

Overall timeline: In December 2022 the capacity building activities as well as the construction and installation of agrophotovoltaic (APV) system will start. Project duration is until 2025.

Theory of change: The ToC associated with the APV project is laid out below and relies on several crucial assumptions being fulfilled. The assumptions to be fulfilled for a given link to work are indicated by the numbers 1-4 in the figure and are listed below.
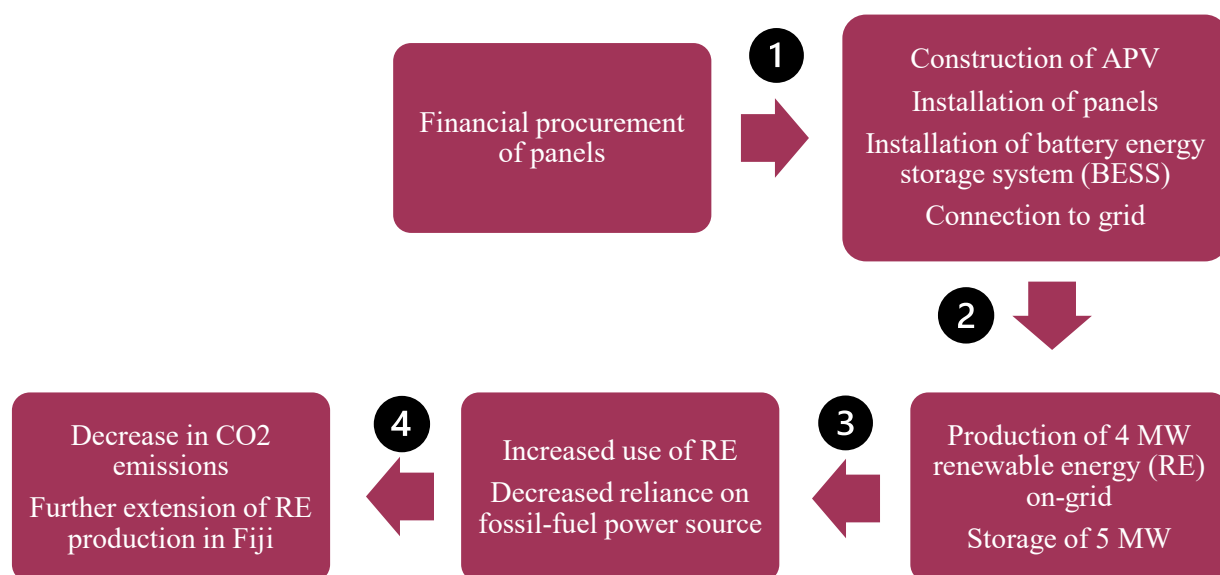
1

- APV technology is suitable for Ovalau.
- Interest rate concessionality is available.
- Supply of APV and expertise for installation is available.

2

- Technology is maintained and works as intended.
- There is no disruption in the supply chain.
- There are no increases in the costs.
- The tariff is viable for the private investor(s).

3

- Tariff rate is constant such that providers buy the RE.
- The RE production is sufficient to serve demand.
- Fossil-fuel based energy is replaced with RE.

4

- Renewable energy source has fewer CO_2-emissions than the replaced fossil-fuel based production.
- Government policy continues to encourage nationwide RE prodcution.

Evaluation Questions and Indicators:

- Main intervention(s) of the evaluation:

  o Installation of the APV and BESS system.

- Targeted beneficiaries of intervention(s) most suitable for evaluation:

  o Inhabitants of Ovalau.

Evaluation questions	Outcome Indicators	Data source
To what extent did prices of input materials affect the construction of the APVs & Battery installations? To what extent are APV and BESS installed?	• No. of Panels installed • No. of BESS activated	Monitoring
To what extent was the RE production and storage enough to satisfy consumption/demand?	• KW of RE generated for grid • KW of RE stored in BESS	Monitoring
To what extent were the access to RE made possible to the entire island? To what extent was production of energy from fossil fuel-based sources reduced/replaced by the APV system?	• No. of Communities covered by RE grid • KW produced and dollars ($) spent on fuel-based power plant	Monitoring and data from energy supplier
To what extent did the APV project ASSIST reduce CO_2 emission in Fiji?	• Estimated annual emission of CO_2	Estimation based on KW produced and supplied by RE and fossil-fuel based sources

Evaluation Design: A counterfactual for the total energy demand/production without the renewable energy system might be constructed based on a model that incorporates historical data of Ovalau on production, prices for the import of fossil-fuels, and other relevant factors. If other islands can be deemed comparable and historical data on production is available, then a synthetic control approach might be suitable.[4]

Monitoring System already in place: At the moment of writing there was no monitoring system in place. Yet, the project team knows the importance of a monitoring system and this topic was also discussed during the workshop. The project team will develop a monitoring system before the installation of the APV and BESS systems takes place.

Ethical concerns about the evaluation: No particular ethical concerns were raised by the project team.

Key takeaways:

- Clarity on Theory of Change – *its importance to performance measurement*
- Effective use of IE information for future intervention – *project planning & budgeting*
- Learning the different versions of IE & their applications

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[4] The synthetic control method is a method that evaluate treatment effect in comparative case studies. It creates a synthetic version of treated units by weighting variables and observations in the control group.

GCF approved: Project has not yet been approved. It is at the Concept Note stage.

Goal: Increased resilience to extreme weather events by upgrading 50% of private dwellings.

Overall timeline: At the moment of writing, a project starting date was not yet set, but the project horizon is of 8 years. The first year includes media campaign and stakeholder engagement and capacity building activities as well as finalizing the administrative and governance arrangements for both grants. Over the first 5 years there will be calls for applications for both funds and grants. The funding will be awarded on a yearly basis. Sub-project implementation is monitored and reported in the beginning of year 4 and will continue until the end of the project. Baseline data collection is planned for year 1, mid-term data collection for year 4, and at the end-of-project (year 8) assessments and evaluations are planned. The results are planned to be communicated in years 7 and 8 during which also an evidence-based scale up strategy will be developed.

Theory of change: The ToC associated with the direct financing project by the Ministry of Finance and Economic Management and Bank of the Cook Islands is laid out below and relies on several crucial assumptions being fulfilled. The assumptions to be fulfilled for a given link to work are indicated by the numbers 1-5 in the figure and are listed below.
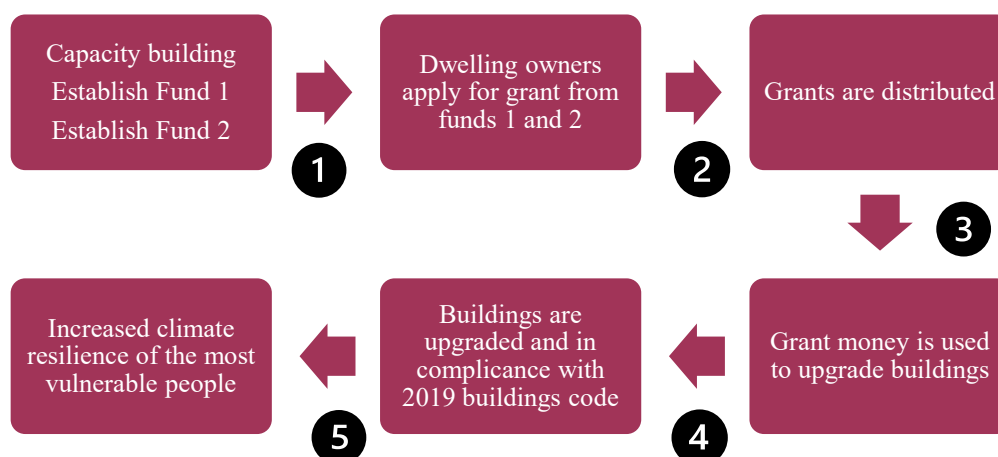
1

- Communities and building owners are aware of the funding opportunities through the call for proposals.
- Grants are attractive to buildings owners and communities (high demand).
- Application process is accessible to building owners and communities, in particular the most vulnerable.

2

- Grants are awarded and distributed efficiently.

3

- Money is accessible to dwelling owners.
- There is enough supply and workforce to upgrade buildings.

④

- Grant money is sufficient for necessary upgrades.
- Necessary upgrades can be done for buildings.
- Construction work is not disrupted.

⑤

- Compliance with building code ensures resilience against extreme weather events.
- Beneficiaries continue to maintain their buildings.

Evaluation Questions and Indicators:

- Main intervention(s) of the evaluation:

  - Distribution of grants through fund 1 (for community groups, NGOs, CSOs and local governments) and fund 2 (for most vulnerable, outer islands (Pa Enua) and private sector).

- Targeted beneficiaries of intervention(s) most suitable for evaluation:

  - Beneficiaries of fund 2, in particular the most vulnerable and those in Pa Enua/geographical isolations, are the most suited for the evaluation.

Evaluation questions	Outcome Indicators	Data source
To what extent did marginalised / vulnerable groups apply for funding?	• # of individuals who have undertaken Capacity training courses • # of applicants disaggregated by gender • # of marginalized and vulnerable groups who have applied for grants	Monitoring data
To what extent are grants awarded?	• # of buildings upgraded (number of houses with water tank installations etc) • # of grants awarded to community groups and local governments • #of grants awarded to businesses and individuals Disaggregated by building ownership (women, marginalized groups, etc.)	Monitoring data
To what extent are buildings from grant recipients more climate resilient?	• # of buildings that meet the 2019 Building Code • # of properties with at least cat 3 protection as a result of the project • Changes in repair and maintenance costs of vulnerable/marginalized groups	Monitoring and survey data
To what extent are beneficiaries less impacted by extreme weather events?	• # of dwellings not impact by extreme weather • Damage repair costs	Survey data

Evaluation Design: For each fund there are separate tiers/categories and within each tier applications are assessed and scored based on vulnerability and need. Given that the grants are planned to be distributed according to the scores, the most suitable evaluation design is a regression discontinuity design that compares applicants with a score just above the cut-off to those with a score just below. Applicants will be then categorized into 3 groups: i) those that always receive the grant, ii) those that could receive the grant, and iii) those that are not eligible. Potentially, a randomization of applicants that fall under second group can be performed based on probabilities that are proportional to the scores can be performed. This would then determine the selection of the participants for the treatment and the control group.

Monitoring System already in place: At the time of writing there was no monitoring system in place. Yet, the project team knows the importance of a monitoring system and this topic was also discused during the workshop. The project team will develop a monitoring system once the funding is distributed to the selected applicants.

Ethical concerns about the evaluation: A randomization was considered inappropritate by the project team based on ethical concerns of potetnitally denying benefits to the most vulnerable.

Key takeaways:

- Realizing importance of integrating and embedding measurement systems from concept note development through to project implementation
- The importance of developing and refining targets and indicators for measurement of results and impacts
- Absorbing all this information and being able to now take it away and embedded it into our concept notes and full proposals that we are currently working on
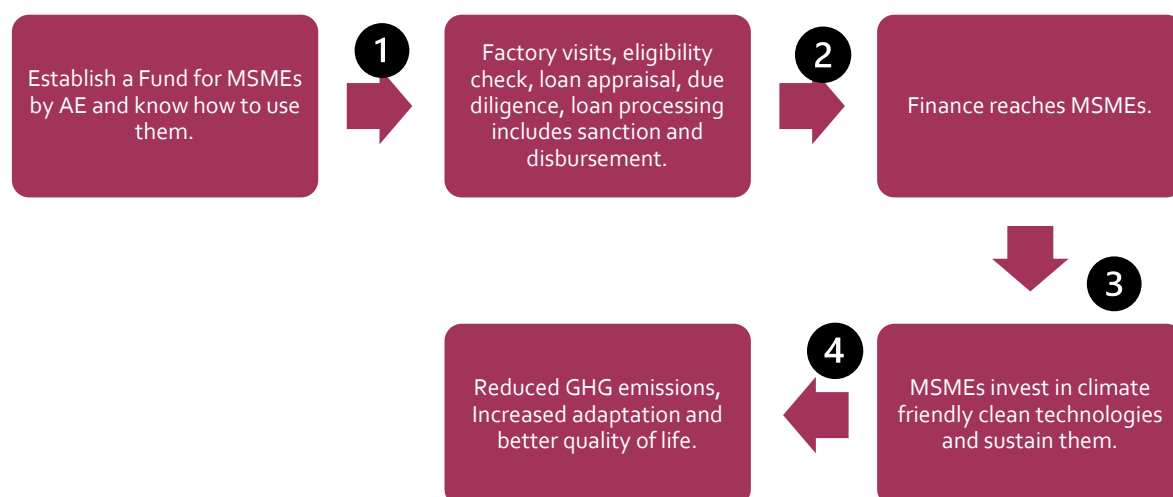
GCF approved: Project has not yet been approved. It is at the Concept Note stage.

Goal: The project key objective is to develop and demonstrate an ecosystem where institutional finance is available to Micro, Small and Medium Enterprises (MSMEs) at a concessional cost to minimize/overcome the incremental cost of clean/green technologies.

Overall timeline: The project is expected to start in 2023 and run for 15 years (until 2038).

Theory of change: The ToC associated with the "Financing Mitigation and Adaptation projects in MSMEs" project is laid out below and relies on several crucial assumptions being fulfilled.

```
┌─────────────────────┐      ┌─────────────────────┐      ┌─────────────────────┐
│ Establish a Fund for│  ①   │ Factory visits,     │  ②   │                     │
│ MSMEs by AE and know│ ───► │ eligibility check,  │ ───► │ Finance reaches     │
│ how to use them.    │      │ loan appraisal, due │      │ MSMEs.              │
│                     │      │ diligence, loan     │      │                     │
│                     │      │ processing includes │      │                     │
│                     │      │ sanction and        │      │                     │
│                     │      │ disbursement.       │      │                     │
└─────────────────────┘      └─────────────────────┘      └─────────────────────┘
                                                                    │ ③
                                                                    ▼
┌─────────────────────┐      ┌─────────────────────┐
│ Reduced GHG         │  ④   │ MSMEs invest in     │
│ emissions,          │ ◄─── │ climate friendly    │
│ Increased adaptation│      │ clean technologies  │
│ and better quality  │      │ and sustain them.   │
│ of life.            │      │                     │
└─────────────────────┘      └─────────────────────┘
```

Evaluation Questions and Indicators:
▪ Main intervention(s) of the evaluation: The project has two main components, i) financial support (providing loans to MSMEs for innovative mitigation and adaptation projects), and ii) technical support (capacity building) and both components were considered for the evaluation.

▪ Targeted beneficiaries of intervention(s) most suitable for evaluation: 2600 MSME Units across India.

Evaluation questions	Outcome Indicators	Data source
To what extent are MSME receiving the financial support?	- Proportion of MSME units (out of 2625 MSMEs) that availed the loan during the given period	Secondary data (monitoring)
To what extent are loans disbursed by AE for adopting clean technical practices by MSMEs?	- Amount of loans disbursed by AE in the last 12 months - Proportion of loans that is spent for mitigation and adaptation	Secondary data (monitoring)
To what extent is MSME energy efficiency increased due to the adoption of clean techs?	- Proportion of MSMEs having decreased/increased their SEC-Specific Energy Consumption in the last 22 months	Primary data (MSME survey)

	- Quantity of energy saved in the last 12 months - Savings in costs (e.g. electricity bills)	
To what extent does the MSMEs contribute to GHG emission reductions and water savings?	- Savings in time and money of the household (which earlier was consumed in fetching water) - Number of sick days - Number of employment opportunities	Primary data (MSME survey)

Evaluation Design: The evaluation design to measure the impact of the project's interventions was discussed following the decision tree presented below. After the LORTA and the project teams went through each step of the decision tree, it was agreed that a quasi-experimental design, namely a matching design, could be a viable option. A quasi-experimental was found most suitable because the selection of programme beneficiaries (MSMEs) is performed on a rolling basis depending on the demand from the MSMEs. Because of this reason, a randomization (i.e. an experimental design) was not feasible.

The MSMEs will be divided into clusters depending on their economic activities. All MSMEs within a cluster are eligible to apply for the loan/training to be provided by the project. One potential difficulty with the martching design would be to find a comparable MSME cluster. Ideally, a sufficient numbers of MSMEs fall under similar categories so that a sufficient sample size can be used for the impact evaluation. The points highlighted in the yelow boxes below provide explanation on each arrow of the decision tree leading to the choosen evaluation design.
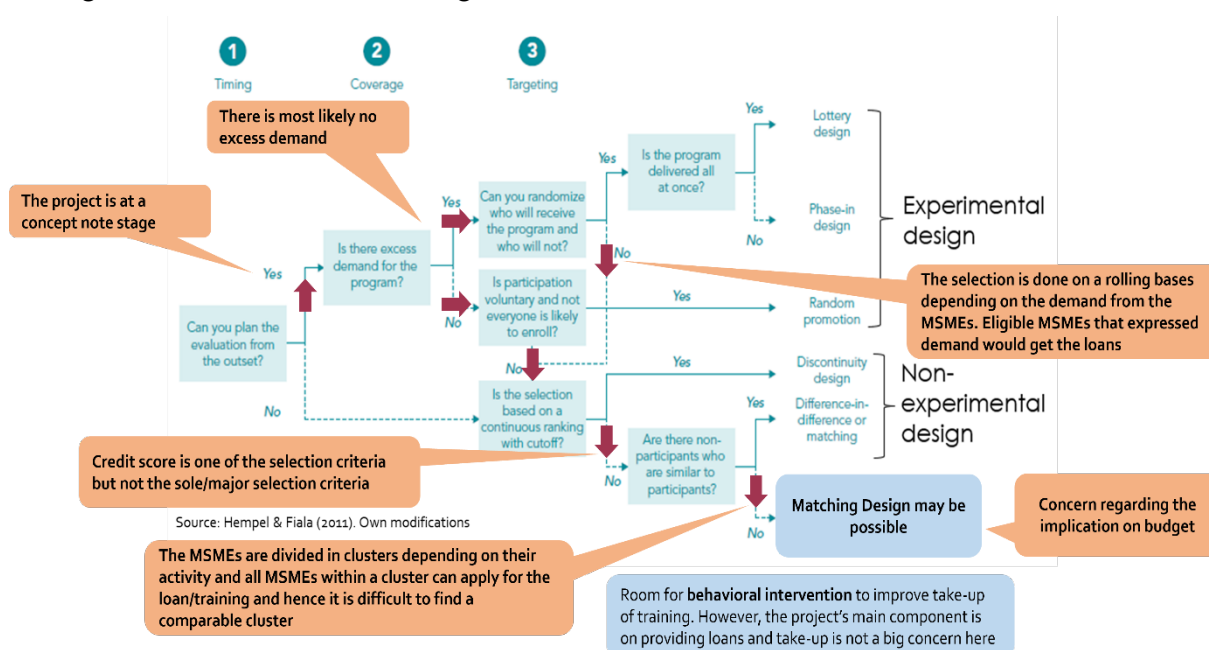
Source: Hempel & Fiala (2011). Own modifications

Monitoring System already in place: At the moment of writing there was no monitoring system in place. Yet, the project team knows the importance of a monitoring system and this topic was also discussed during the workshop. The project team will develop a monitoring system once the loans start to be distributed to the selected MSMEs.

Ethical concerns about the evaluation: The project team mentioned that the workshop increased their awareness about the importance to integrate the ethics aspect during the data collection processes.
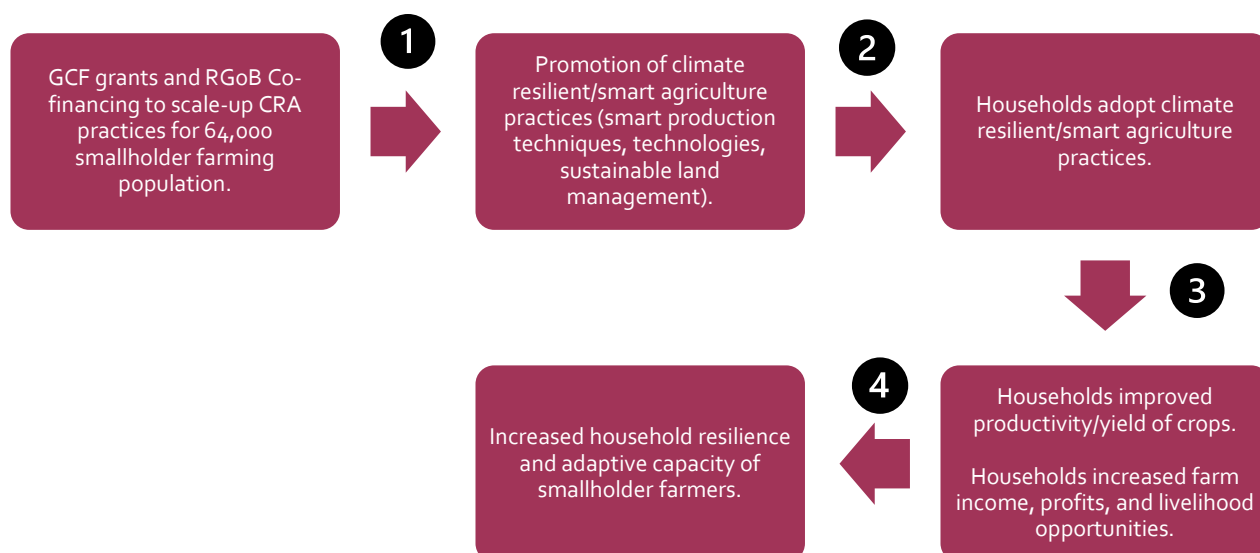
GCF approved: Project was approved by GCF in 2019.

Goal: The project addresses the urgent needs and priorities of the agriculture sector in adapting to climate change. The project's objective is to enhance the resilience of smallholder farms to climate change, especially variation in rainfall and frequent occurrence of extreme events. The project aims to enhance resilience of smallholder farms to climate change impacts, through three complementary outputs:

(i) Promotion of resilient agricultural practices; (ii) Integration of climate resilient features into water and land management practices; and (iii) Reduction of risk and impact of climate-induced landslides on market access.

Overall timeline: The project covers 8 districts from 2020 to 2025. The project will benefit more than 118,000 people in eight districts in Bhutan.

Theory of change: The theory of change for the impact evaluation of the promotion of resilient agricultural practices is illustrated below. It illustrates that GCF grants, and Royal Government of Bhutan co-financing is being provided to scale-up CRA practices for 64,000 smallholder households. The project is promoting and delivering a range of climate resilient/smart agriculture practices including smart production techniques, technologies, and sustainable land management practices. Following adoption of these techniques, households are expected to improve crop productivity, increase farm production, income and have wider livelihood opportunities. The project's impact is increased household resilience and adaptive capacity of smallholder households.

Evaluation Questions and Indicators:

Evaluation questions	Outcome Indicators	Data source
To what extent were the CRA interventions implemented by the project?	– No. of farmers trained/participated on CRA practices – % of farmers receiving alternative and innovative technologies – Hectare(s) of agriculture land covered under the SLM regime	Surveys
To what extent have households adopted the interventions?	– % of trained farming households using/applying CRA practice (by gender) – Change in level of knowledge and adoption of CRA and sustainable crop production practices by beneficiary households	Surveys
To what extent has productivity improved?	– % Increase in crop yield and productivity	Surveys
To what extent have household incomes increased?	– % Increase in average household income from sale of farm produce	Surveys
To what extent have farmers climate resilience and adaptive capacity increased through the project?	– **Human Capital:** % of population with skills to manage land degradation – **Social capital:** Access to information, services and decision making on climate resilient farming practices – **Productive capital:** % of farmers access to climate resilient inputs and technologies – **Food security:** % of farm household who experienced food insufficiency in last 12 month (i.e., not enough food to feed all household members).	Surveys

Evaluation Design: The project can be seen as a package of interventions. For the impact evaluation, we can distinguish between "hard" investments in irrigation schemes and road rehabilitation and "soft" ones, i.e., information delivery and training in climate-resilient practices and sustainable land and water management done by agricultural extension agents. For the assessment of the "hard" investments, we propose to use the double difference method, the most widely used quasi-experimental approach.

For the "soft" components, we are proposing a random phase-in design throughout the project duration as this is not expected to be disruptive to the project operations, nor is it expected to be ethically controversial. It simply requires planning activities on the ground in a manner that is compatible with the random phase-in required to draw the valid counterfactual group.

Monitoring System already in place: The project team has already a monitoring system in place.

Ethical concerns about the evaluation: The project has approval from the Internal Review Board and will register with a trial registry.

Key takeaways: Impact evaluation is a rigorous method, but yet time and cost intensive. A baseline survey should be conducted (ideally) prior to implementation based on a clear ToC, Evaluation Questions, and indicators. Impact evaluation and monitoring play different roles for policymakers. LORTA is an excellent program for joint collaboration to strengthen project results and enhance learning for future replication and scale-up.

GCF approved: Project is at the Concept Note stage.

Goal: The goal of the project is that poor and vulnerable households and communities in at least 60 districts have increased resilience to climate change. In addition, it aims that climate-vulnerable local governments strengthened their capacity and that policies and programmes supporting sub-national adaptation investments are defined and strengthened.

Overall timeline: The project aims to scale up an existing programme to approximately 50% of all rural districts over a five-year period.

Theory of change: The project aims to deliver institutional, technical, and financial support through a Simplified Approval Process (SAP) to deliver awareness and response training to administrators and community actors, as well as development knowledge products to increase awareness, advocacy, and use. This training and awareness raising is expected to build capacity of institutions in selected districts. In addition, it is expected that institutional and community climate adaptation capacity is strengthened and embedded. The project outcomes are expected to be the adoption, utilisation, and implementation of climate adaptation investments in agriculture and water sectors.

Evaluation Questions and Indicators:

Evaluation questions	Outcome Indicators	Data source
To what extent were the project interventions related to awareness and training implemented (including coaching)?	Proportion of LGUs with awareness and response training sessions completed	Qualitative methods
To what extent did the intervention lead to the implementation of knowledge products including social media and other channels?	Number of knowledge products development across different channels	

To what extent was the project effective in building awareness and capacity of administrators and beneficiaries?	Percentage change in knowledge perception and awareness of administrators and beneficiaries through spot checks and reflection workshops	Survey
To what extent have communities adopted, utilised and implemented climate adaptation investments in agriculture and water sectors?	Proportion of beneficiaries that have adopted adaptation investments Frequency of use of adaptation investments in water and agriculture	Survey
To what extent have beneficiaries improved their food access, availability, utilisation and stability?	Increased incomes More stable prices in local markets Greater on-farm food production Better nutrition Smoother prices for purchases and sales	Survey

Evaluation Design: As is clear from the ToC, evaluation questions and indicators, the project interventions are aimed at adminisrative units (at the sub national level). Yet the propsective outcomes are at the level of communities and households. Different alternatives for an impact evaluation design were discussed with the project team but no final impact evaluation design was selected. Potentially a Difference-in-Differences (DiD) approach with matching can be implemented to evaluate this project, where treated households (located in benefitted administrative units) are matched to control households (located in not benefitted administrative units).

Monitoring System already in place: At the moment of writing there was no monitoring system in place. Yet, the project team knows the importance of a monitoring system and this topic was also discused during the workshop. The project team will develop a monitoring system before the intervention starts.

Ethical concerns about the evaluation: The project team did not identified ethical issues that should be taken into account for the impact evaluation.

Key takeaways: The project team gained more knowledge on impact evaluation to help structure the concept note and learnt a series of tools to support M&E activities. The team from the National Committee for Sub-National Democratic and Development Secretariat will use the materials from the workshop to foster cross-learning and promote impact evaluation within their organisation and with partners.

Group 4.A) Strengthening the Foundation for a Climate Responsive Agricultural Sector in the Caribbean' (Multinational) (GCF Readiness and Preparatory Programme) - Inter-American Institute for Cooperation on Agriculture - IICA

GCF approved: Project is at proposal stage (Readiness Programme).

Goal: Strengthen the foundation for climate responsive (adaptation and mitigation) agriculture in the Caribbean as an approach for building more resilient food systems.

Overall timeline: April 2014 - April 2023

Theory of change: The ToC associated with the Strengthening the Foundation for a Climate Responsive Agricultural Sector in the Caribbean project is laid out below. The main intervention of the evaluation is to provide technical, political, and financial support to strength the foundation of the region's agricultural sector. It targets the following countries of the region: The Bahamas, Belize, Dominica, Haiti, Saint Kitts and Nevis, Saint Lucia (lead), Saint Vincent and The Grenadines (Suriname, Trinidad and Tobago). The project will prioritize investments for resilience and for improved reporting on greenhouse gas emissions in specified agricultural value chains (local level). The targeted beneficiaries of the intervention are:

o   Ministries of agriculture, environment and others; and Caribbean NDAs at country level.

o   National and sub-national stakeholders: public sector, private sector, civil society, academia, and farmers organizations → they will be engaged in order to ensure that the project and deliverables are grounded in the needs, concerns and priorities for the agriculture and linked sectors in each country.
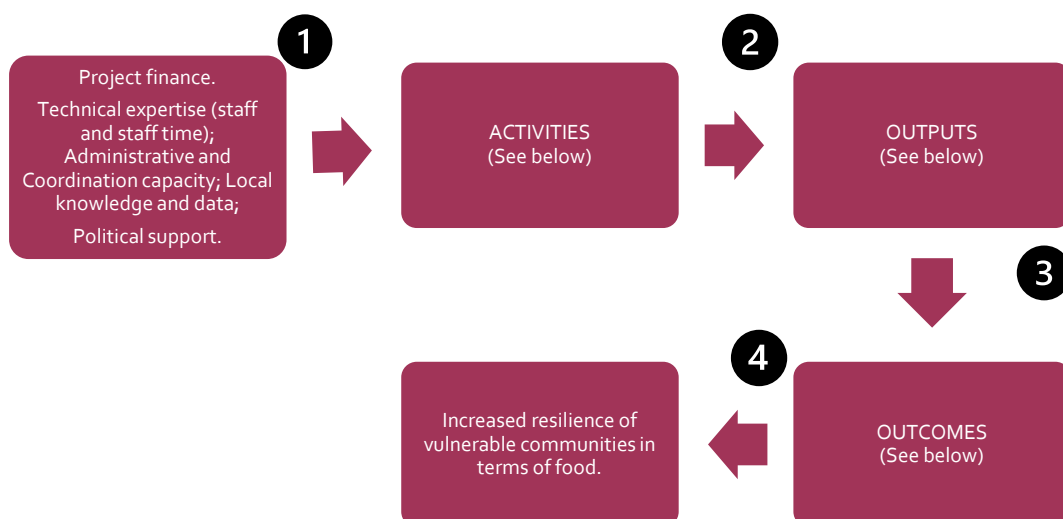
ACTIVITIES:

- Evaluate the effectiveness of current NDA mechanisms for multi-stakeholder engagement to improve the inclusivity of agricultural stakeholders in GCF programming.
- Conduct a regional scoping study to take stock of how the agricultural sector is positioned in current Nationally Determined Contributions (NDCs) in the Caribbean.
- Identify and compile ideas for the project pipeline development that aligns with public and private sector interests to invest in climate resilient recovery from Covid-19 in the agriculture sector.
- Prepare ten case studies on farm and in-field good and climate responsive agricultural practices and effective tools, methods, systems, innovations, technologies and pilot projects across the region.

OUTPUTS:

- Processes and guidelines for engaging and informing agricultural stakeholders input in GCF programming and broader climate-related decision-making are developed and validated.
- Training programmes developed and executed to build the competence of agricultural stakeholders in engaging in GCF's programming processes and using evidence-based decision-making for climate responsive agricultural sector.
- Consolidated and validated data framework and workflow (i.e., methodologies, tools and analyses) for evidence-based positioning of the agricultural sector in climate-related planning, targeting (BDCs) and GCF programming in low-emission investment.
- Two multi-country concept notes for strengthening climate resilience in the agricultural sector developed and submitted to GCF.
- Climate change and agricultural case studies and a knowledge management portal developed and readily accessible.
- Regional occupation competency standards and a workplan including of advocacy action and an updatable roster of youth volunteers to engage in climate responsive agriculture and developed and validated and adopted.

OUTCOMES:

- Relevant country stakeholders (which may include executing entities, civil society organizations and private sector) have established adequate capacity, systems, and networks to support the planning, programming, and implementation of GCF-funded activities.
- GCF recipient countries have developed or enhanced strategic frameworks to address policy gaps, improve sectoral expertise, and enhance enabling environments for GCF programming in low-emission investment.
- An increase in the number of quality project concept notes developed and submitted investment.
- Best practices with respect to institutional capacity building and coordination, direct access, and pipeline development are developed and disseminated to strengthen engagement by NDAs DAEs, and delivery partners with the GCF.

Evaluation Questions and Indicators:

Main evaluation question	Outcome Indicators	Data source[5]
Have the countries improved their access to international climate finance for building resilience and promoting low-carbon development in the agricultural sector?	NDA level: • No. of NDA committees at country level that have information systems in place available to agriculture stakeholders (9 countries) • No. of processes and guidelines to access international funding • Awareness and knowledge of the needs of the agricultural sector • No. of agreements between NDAs and different sectors (private, public) • No. of best practices identified and shared among NDA committees and Agriculture ministries. Stakeholders level: • No. country stakeholders that have developed capabilities, • No. of coordinating mechanisms to support the planning, programming and implementation of GCF funded activities. • No. of quality agricultural concept notes and proposals submitted and validated by NDA • No. of partners engaged in developing CNs and proposals Community: • More engagement and information exchange with the local communities (indigenous people, gender, youth) – No. of meetings and no. of representatives of non-gov't organizations in the meetings (for developing projects' proposals)	Surveys and secondary information provided by IICA

Evaluation Design: Given that the beneficiaries of this project are at the country level, it is not possible to identify a control group. Because of this reason, a pre/post design was suggested to the team in order to track the project's achievements with the implementation. To conduct the pre/post more efficiently, one country can be picked as a pilot.The project is aware that a pre/post design cannot riguriously evaluate impact.

Monitoring System already in place: At the moment of writing there was no monitoring system in place. Yet, the project team knows the importance of a monitoring system, especially as no IE can be conducted. This topic was also discussed during the workshop. The project team will develop a monitoring system in order to track the collection of information.

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[5] For more information see Readiness Proposal:
https://www.greenclimate.fund/sites/default/files/document/strengthening-foundation-climate-responsive-agricultural-sector-caribbean.pdf

Ethical concerns about the evaluation: Due to time constraints this topic could not be covered. Yet, the LORTA team does not identify ethical issues that should be of concern.

Key takeaways: Given the nature of the project, formulating a project timeline is challenging. In addition, the is a challenge in conducting an impact evaluations when projects are at the meso-level, which in this case is at country level. The last key take-away refers to political ethics. In particular, on how to deal with the political ethics when the projects are being formulated and presented to the GCF.

Group 4.B) Enhancing resilience of smallholders and ecosystems to climate change impacts through adapting and scaling up land/resources used systems in the Marajo Archipelago in Brazil (SAP040) - Fundación Avina

GCF approved: Project was approved by GCF in 2021.

Goal: Enhance the capacities of smallholders in Marajo to deal with climate change impacts on food production through the implementation of diversified agroforestry systems.

Overall timeline: 5 years

Theory of change: The detailed ToC associated with the SAP040 project is laid out in the approved Project Preparation Facility (PPF) funding proposal on page 30.

Evaluation Questions and Indicators:

- Main intervention(s) of the evaluation: Increasing resilience of farmers to climate change and providing access to local markets.

- Targeted beneficiaries of intervention(s) most suitable for evaluation: Households in rural areas, women and youth, local authorities in three municipalities, local cooperatives.

Main evaluation questions	Outcome Indicators	Data source
Has smallholder farmers' resilience to climate change increased because of the project?	Knowledge of climate information, food security, income, access to markets, etc.	project proposal + work during BS
Sub-questions (farmer level)	**Outcome Indicators**	**Data source**
Do smallholder farmers have access to climate related information, and do they understand the risks of the climate change?	Smallholders' knowledge on climate is strengthened to deal with climate change impacts	project proposal + work during BS
Does the project provide the systems? Do smallholders have technical capacity to implement DAS?	Smallholders are more resilient to climate change through the practice of diversified agroforestry systems (DAS)	project proposal + work during BS
Do smallholders have access to markets and financial support?	Smallholders' livelihoods improve due to access to markets and financial products and services for agroforestry-based products	project proposal + work during BS
Sub-questions (institutional level)	**Outcome Indicators**	**Data source**
Has local governance strengthened for the implementation of climate resilient solutions?	Local governance is strengthened for the implementation of climate resilient solutions • Adaptation strategy/local policy instrument adopted • Increased social cohesion and trust	project proposal + work during BS
Do the existing institutions (NGOs, municipalities, extension agencies, sub-ministries) capable in providing means/tools for implemented climate-resilient solutions?	• Existence and provisions of such tools • Capacity indicators: some levels of institutional development, number of staff, meetings, etc.	Administrative data, focus groups

Evaluation Design: Given that the project team is not sure at which level the implementation will be conducted, two potential evaluation types were discussed. A diference-in-difference design if the evaluation is at the household level, or a pre-post if the implementation occurs at the district/municipality level.

Monitoring System already in place: At the moment of writing there was no monitoring system in place. Yet, the project team knows the importance of a monitoring system and this topic was also discused during the workshop. The project team will develop a monitoring system before the start of the implementation.

Key takeaways:

1. The workshop was fundamental in highlighting the importance of including sufficient budget to conduct an impact evaluation.

2. The workshop was fundamental to acquire expertise, within the organization, on impact evaluation and on how to selected adequate and robust IE methods in the future.

3. It is essential for Fundación Avina to work closer with the GCF to continue learning evaluation methods.

GCF approved: Project is at the Concept Note stage.

Goal: Technical and financial capacity building and provision of technological offer (Bio-inputs, water harvesting).

Overall timeline: The project expects to run for about 5+ years and to benefit ~400 farmers per year.

Theory of change: Due to time constraints we were not able to develop a full theory of change.

The activities include providing the following services to farmers:

- Technical and financial capacity building and inputs (1920 farmers)
- Create of self-managed savings and credit groups (92 groups)

Evaluation Questions and Indicators:

▪ Main intervention(s) of the evaluation: Technical and financial capacity building and inputs.

▪ Targeted beneficiaries of intervention(s) most suitable for evaluation: 1920 farmers.

Evaluation Design: Taking into account ethical and political aspects, a phased-in randomized controlled trial is a feasible and preferred option for the project team. However, if the implementation rollout is too slow or cannot be pre-determined, a propensity score matching design will be the most preferable option for the impact evaluation.

Monitoring System already in place: At the moment of writing there was no monitoring system in place. Yet, the project team knows the importance of a monitoring system and this topic was also discussed during the workshop. The project team will develop a monitoring system before the start of the implementation.

Ethical concerns about the evaluation: Since the project is aiming for a phased-in randomized control trial, there are no ethical concerns.

Key takeaways: The sample size is small, but not too small. This is a potentially interesting project, but the prospects of success are unclear.

GCF approved: Project has not yet been approved. It is at the Concept Note stage.

Goal: Technical and financial capacity building and provision of technological offer (Bio-inputs, water harvesting).

Overall timeline: 5+ years

Theory of change: Due to time constraints we were not able to develop a full theory of change.

Problem(s) that the project seeks to address:

1. High levels of deforestation.

2. Low scale and lack of access to invest sources.

Project key interventions to address these problems

1. Grants to eco bio business (business working with the environment).

2. Technical assistance to bio businesses.

Innovation with respect to other/previous interventions:

• Financial services / facilities. Not many services of this type in the area.

• Helping businesses to scale and technology usage.

• Improve overall business as well.

Evaluation Questions and Indicators:
▪ Main intervention(s) of the evaluation: Grants to eco bio businesses.
▪ Targeted beneficiaries of intervention(s) most suitable for evaluation: 55 bio businesses.

Evaluation Design: The selection of beneficiaries will be through a call for proposals and eco bio businesses will be selected based on a set of criteria. Given the small sample size (~55 beneficiaries) an impact evaluation is not feasible. In the scenario of a larger sample size, it would be possible to implement a regression discontinuity design where a set of projects, those below and above a predefined threshold/cut-off, can be compared. Another suggestion discussed during the workshop is to conduct a pre- and post-comparison with project beneficiaries 6 months after the end of the program.

Monitoring System already in place: At the moment of writing there was no monitoring system in place. Yet, the project team knows the importance of a monitoring system, especially as no IE can be conducted. This topic was also discussed during the workshop. The project team will develop a monitoring system in order to follow-up the grant beneficiaries.

Ethical concerns about the evaluation: No ethical concerns were mentioned as the grants will be given to the best proposals.

Key takeaways: The sample size is very small and the recommendation is to focus on M&E for now and not consider an impact evaluation at this time. For the future, it is important to consider impact assessment and its financing in an early stage of the project design.

Group 5.C) Ecosystem-based Adaptation to increase climate resilience in the Central American Dry Corridor and the Arid Zones of the Dominican Republic (FP174) -Central American Bank for Economic Integration (CABEI)

GCF approved: Project was approved by GCF in 2021.

Goal: Strengthen the adaptive capacity of vulnerable people, including smallholder and commercial farmers, as well as entrepreneurs in rural communities in the Dry Corridor and Arid Zones.

Overall timeline: 7 years.

Theory of change: Due to time constraints we were not able to develop a full theory of change.

Problem(s) that the project seeks to address:

1. Limited access to credit in general, especially for climate change adaptation

2. Limited knowledge on climate change (individuals and government)

Project key interventions to address these problems

- Provide technical assistance for implementation of ecosystem adaption

- Grant facility of local adaption activities

- Establish financial structure for lending facilities

- Establish regional knowledge hub

- Campaign to raise awareness of financial options

Innovation with respect to other/previous interventions:

- Financial services / facilities. Not many such services in these areas

Evaluation Questions and Indicators:

- Main intervention(s) of the evaluation:

  o Provide technical assistance to farmer organizations for technical capacity

    ▪ Information and promotion campaigns to identify communities/organisations

    ▪ Trainings to improve farmer's technical skills and increase their access to finance

- Targeted beneficiaries of intervention(s): over 1 million rural farmers across 7 countries (Costa Rica, Panama, Nicaragua, Guatemala, El Salvador, Honduras, República Dominicana).

Evaluation Design: As the project team aims to rollout the intervention in phases, a Phased In - Randomized Controlled Trial was selected as best fit for this project. A recommendation for an efficient and effective impact evaluation, is to choose one or two countries based on buy-in, sample size, and costs and focus the evaluation exclusively in those selected countries.

Monitoring System already in place: At the moment of writing there was no monitoring system in place. Yet, the project team knows the importance of a monitoring system, especially as it is needed to guarantee compliance with the phase-in design. The project team will develop a monitoring system before the start of the implementation.

Ethical concerns about the evaluation: Since the project is aiming for a phased-in randomized control trial, there are no ethical concerns.

Key takeaways: One of the main challenges for the program is the extensive geographical area. While CABEI has the largest network of intermediary institutions to channel resources in Central America, it is necessary to establish a sufficient budget to allow the design and implementation of detailed impact assessments. Overall, the LORTA Program strengthens AE in the conceptual design of impact evaluations with support of experts. More extensive accompanying processes are recommended to ensure knowledge transfer.

GCF approved: N/A (purely a case study project for the breakout sessions).

Goal: To reduce carbon emissions and the deficit of affordable housing through the construction of 1,130 EDGE certified (environmentally friendly) social housing units in Kwazulu-Nataal province, South Africa.

Overall timeline: 2019-2024.

Theory of change: The ToC associated with the Bridge City Towers project is laid out below and relies on several crucial assumptions being fulfilled. The assumptions to be fulfilled for a given link to work are also indicated in the figure below:
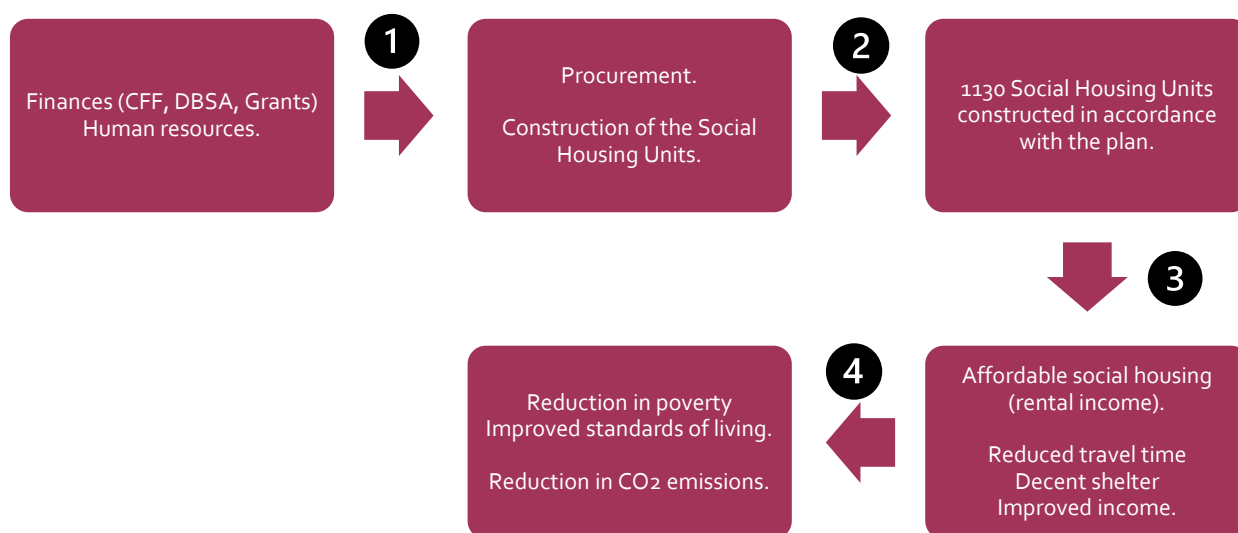
1

- Availability of funding.
- Capacity, knowledge and experience of resources.

2

- Construction in accordance with the National Home Builders Registration Council (NHBRC) and the Green Council norms and standards.
- No unforeseen events (e.g., Covid, July riots, …).
- Identify and find Social Housing Units with capacity and experience.

3

- Project completed on time.
- Technologies are installed according to the plan and function optimally.
- Available and budgeted maintenance plan.

4

- Eligible beneficiaries have access to the housing units.
- There is availability of transport.
- Benefits derived from improved technologies is realized.

Evaluation Questions and Indicators:

- Main intervention(s) of the evaluation: Construction of 1,130 EDGE certified (environmentally friendly) social housing units.

- Targeted beneficiaries of intervention(s) most suitable for evaluation: Low to middle income households in Kwazulu-Nataal province, South Africa earning between R3,500 –R15,000.

Evaluation questions	Outcome Indicators	Data source
To what extent does the construction of affordable, low cost and environmentally friendly housing improve living standards and reduce CO_2 emissions	Household self-reported satisfaction	Household survey
	Reduction in CO_2 emissions	Project monitoring data
	Increased household resilience	Coping strategies index

Evaluation Design: A pre-post design was chosen. This is owing to a lack of research funding which would prevent the use of a more rigorous quasi-experimental design. In the pre-post design, a sample of project beneficiaries would be surveyed by a small team of project staff, before and one year after taking up the housing. The allocation of housing to beneficiaries is yet to be done, permitting a before-after comparison. With sufficient funding, a difference-in-differences design combined with matching would be possible. This design, by requiring that a representative sample of eligible non-beneficiaries be included in the impact evaluation and thus be surveyed, thus involves substantially higher data collection costs. An experimental design was not feasible due to ethical concerns.

Monitoring System already in place: Yes. DBSA loan officers collect routine project implementation data on a regular basis from all financed projects including the Bridge City project. This routine project implementation data is fed into DBSA's M&E system used to track the project implementation. Both secondary data from project documentation as well as primary data from loan officer site visits is collected. It was thus envisaged that data collected from this system as well as this data collection system itself could be leveraged to also collect indicators of interest for the evaluation.

Ethical concerns about the evaluation: Yes.

- Implementation: There are ethical concerns in terms of the 'Protection of Personal Information Act'. To solve this, all personal identifiers (e.g., Identification Numbers) will be anonymized.
- Participants not selected to participate may feel discriminated against which is a sensitive issue within a South African context.
- Ethical clearance can be obtained from the Human Science Research Council (HSRC) (Statutory Research Agency in South Africa), which has a Research Ethics Committee.

Key takeaways:

- The importance of outlining a Theory of Change and its underlying assumptions.
- How to formulate evaluation questions and linking them to appropriate indicators.

- The distinction between non-experimental and experimental designs and circumstances under which each set of designs are most appropriate.
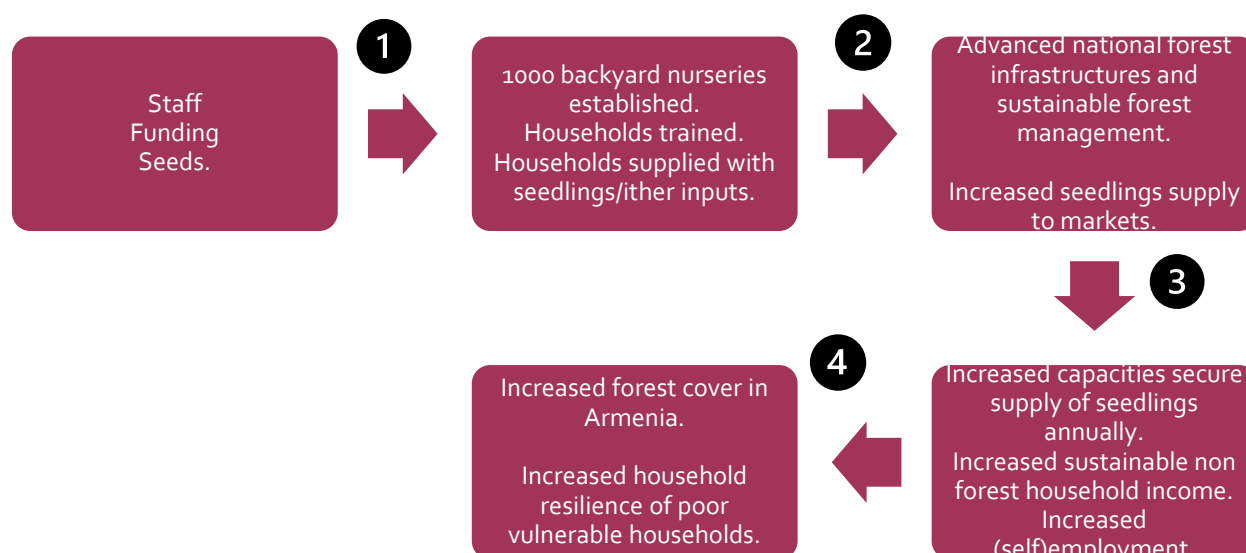
Group 6.B) Fueling Green Recovery in Armenia – Advancing Forest Infrastructure and Creating Sustainable Jobs for Rural Communities (Concept Note) - Environmental Project Implementation Unit (EPIU), Republic of Armenia

GCF approved: Concept note submitted.

Goal: To scale up afforestation/reforestation capacities of the key national actors through the advancement of forest infrastructure and expanding employment and self-employment opportunities for vulnerable population living in the adjacent areas in eight regions of Armenia.

Overall timeline: 2022-2027

Theory of change: The ToC associated with this project is laid out below and relies on several crucial assumptions being fulfilled. The ToC as well as the assumptions underlying it are shown below:

1

Staff
Funding
Seeds.

1

1000 backyard nurseries established.
Households trained.
Households supplied with seedlings/ither inputs.

2

Advanced national forest infrastructures and sustainable forest management.

Increased seedlings supply to markets.

3

Increased capacities secure supply of seedlings annually.
Increased sustainable non forest household income.
Increased (self)employment.

4

Increased forest cover in Armenia.

Increased household resilience of poor vulnerable households.

1

- Skilled and professional staff is engaged.
- Funding is provided in time.
- Sufficient number of seeds is provided.
- Training is effective.
- Households participate in trainings.

2

- Nurseries are established considering all the necessary requirements.
- Households are provided with seedlings to operate their nurseries.
- Training is organized.
- Households run by women account for 50% of participants.
- Households got all instructions and operated their backyard nurseries properly.

3

- The capacities of relevant public authorities to operate in forest sector are scaled up.
- Sustained political committment to Sustainable Forest Management (SFM) is secured.
- Seedling sales provide sufficient employment and income opportunities.

4

- Operational and proper use of backyard nurseries provide seedlings annually.
- Reforestation/afforestation processes are secured as do they do not depend on import of seedlings and other connected conditions anymore.
- Increased forest cover and reduced forest exploitation sufficiently reduce CO_2 emissions.
- Forest cover is enlarged.

Evaluation Questions and Indicators:

- Main intervention(s) of the evaluation: Establishment of 1,000 backyard nurseries.

- Targeted beneficiaries of intervention(s) most suitable for evaluation: Poor and vulnerable households living in communities adjacent to the forest areas in eight regions of the country.

Evaluation questions	Outcome Indicators	Data source
Does the establishment of backyard nurseries increase Armenia's forest cover and resilience of vulnerable HH?	Forest cover of targeted forests in km^2	Satellite imaging
	Household resilience index	Household survey
	Area of forests planted by national forest infrastructures	Project monitoring reports

Evaluation Design: Randomised Controlled Trial (RCT) with a lottery design, as:
- The scope and content of the activity allow to plan and design at least one prospective impact evaluation from the outset of project implementation.
- Considering that the project area covers 8 regions of the country the number of eligible beneficiaries will likely exceed the targeted beneficiaries across all regions (1000 households), so randomization will also permit the fairest selection of beneficiaries.
- All beneficiary households will be reached at once.

Monitoring System already in place: At the moment of writing there was no monitoring system in place. Yet, the project team knows the importance of a monitoring system, especially as it is needed to guarantee compliance with the RCT. The project team will develop a monitoring system before the start of the implementation.

Ethical concerns about the evaluation: As the participation of eligible beneficiaries will be voluntary and as we will have their consent and permission on information collection and use, we suppose the possibility of ethical issues' occurrence is minimum. In addition, once the participation of beneficiaries is approved by both sides, beneficiaries will be consulted about the risks/benefits of participating in the project.

Key takeaways (from the workshop): The workshop allowed for a deeper understanding of impact evaluation methods. In addition, it was an opportunity to apply and consolidate the acquired knowledge in practice during the breakout sessions. Similarly, the workshop was an opportunity to generate ideas on how impact evaluation practices and policies of EPIU can be improved.

Group 7.A) Improving the resilience of the vulnerable communities of Adjohoun, Bonou and Dangbo to malaria, cardiovascular diseases and acute respiratory infections in the context of climate change (Concept Note) - Fonds National pour l'Environnement et le Climat

GCF approved: Project has not yet been approved. It is at the Concept Note stage.

Goal: Improving the health resilience of communities vulnerable to climate change in Benin, focusing on the regions of Adjohoun, Bonou and Dangbo, as well as malaria, cardiovascular diseases and acute respiratory infections.

Overall timeline: The project is planned for five years, with the start depending on whether/when the project will be approved.

Theory of change: For the purpose of the workshop, the project team decided to illustrate the workshop activities with the project activity related to the Early-Warning System (EWS). The ToC associated with this activity is laid out below and relies on several crucial assumptions being fulfilled. The assumptions to be fulfilled for a given link to work are indicated below each link of the ToC.
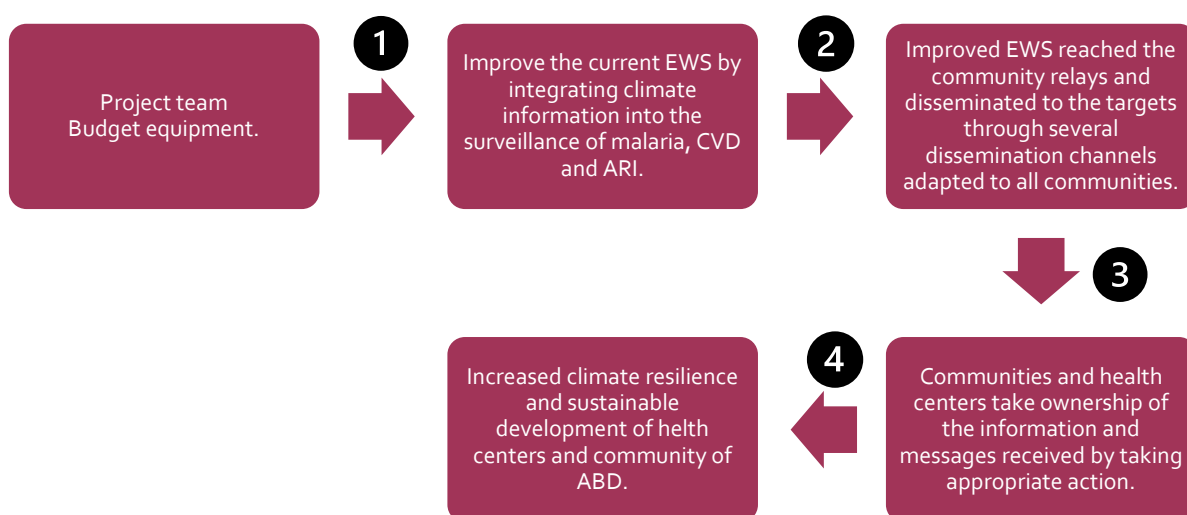
1

- Quality equipment is made available to Meteo-Benin.
- Meteo-Benin staff have the required capacity to produce climate information relevant to the surveillance of malaria, CVD and ARI.

2

- All stakeholders coordinate their actions effectively.
- All relevant communication channels were identified.

3

- Everyone targetes understands the importance of information/messages and the need to share them.

- The persons receiving information knows what actions need to be undertaken accordingly.
- There is no financial barrier or a lack of equipment preventing these persons from undertaking these actions.

4

- Actions of all stakeholders allowed to reduce risks of malaria, CVD and ARI.

Evaluation Questions and Indicators:

- Main intervention(s) of the evaluation: Improvement of the current national EWS by integrating climate information into health monitoring plans.

- Targeted beneficiaries of intervention(s) most suitable for evaluation: Health institutions and community members.

Evaluation questions	Outcome Indicators	Data source
To what extent did the equipment acquired meet the need expressed by the beneficiary institution?	• Number of equipment ordered and acquired • Share of equipment meeting the needs expressed by procurement	Secondary (monitoring)
To what extent do the target end-users receive reliable and usable information on risks of climate sensitive diseases?	• Number of end-users receiving EWS information during the last 12 months • Type of new information contained by the EWS during the last 12 months	Secondary (monitoring) and primary (survey)
To what extent do the target end-users take ownership of the messages?	• Share of target end-users having implemented the indicated measures, by type of end-users (health centers, community leaders, health professionals, men, women, pregnant women) • Number and categories of community relays set up • Number of participants in training and awareness sessions	Secondary (monitoring) and primary (survey)
To what extent does the additional information produced by Meteo-Benin contribute to increasing the climate change resilience of health centers and communities?	• Quality of health care services • Attendance rate of health care services • Decreased morbidity related to target diseases • Stakeholders' satisfaction	Secondary (administrative) and primary (survey)

Evaluation Design: A quasi-experimental evaluation design was recommended to the project team, in particular, a difference-in-difference with matching. The project aims at affecting all health institutions and community members of the intervention area. The project seeks to use all possible means of dissemination of climate information, preventing the use of an encouragement or phased-in design. Alternatively, identifying comparable communities around the intervention area can be possible. However, as individuals from other health zones can travel to the intervention area, sufficient buffer is required between the intervention area and comparable communities.

Monitoring System already in place: At the moment of writing there was no monitoring system in place. Yet, the project team knows the importance of a monitoring system and this topic was discussed during the workshop. The project team will develop a monitoring system before the start of the implementation.

Ethical concerns about the evaluation: An important concerned mentioned by the project team is to make sure that health-related information is collected and treated with care.

Key takeaways: A key contribution of this project is to foster the integration of climate information into health planning. This project may be best evaluated at the stakeholder level (e.g., health centers).

Group 7.B) Scaling up ecosystem-based approaches to managing climate intensified disaster risks in vulnerable regions of South Africa (Concept Note) - South African National Biodiversity Institute (SANBI)

GCF approved: Project has not yet been approved. It is at the Concept Note stage.

Goal: Enable scale-up of ecosystem-based approaches, buffering the impact of climate-intensifies extreme events, and enhancing the adaptive capacity of vulnerable communities.

Overall timeline: The project is planned for a period of seven years. The start of the project will depend on whether/when it is approved.

Theory of change: For the purpose of the workshop, the project team chose to focus on the activity related to the revision of the settlement disaster risk reduction strategies. The ToC associated with this activity is laid out below. It relies on several crucial assumptions being fulfilled. The assumptions to be fulfilled for a given link to work are indicated by the numbers 1-4 in the figure and are listed below.
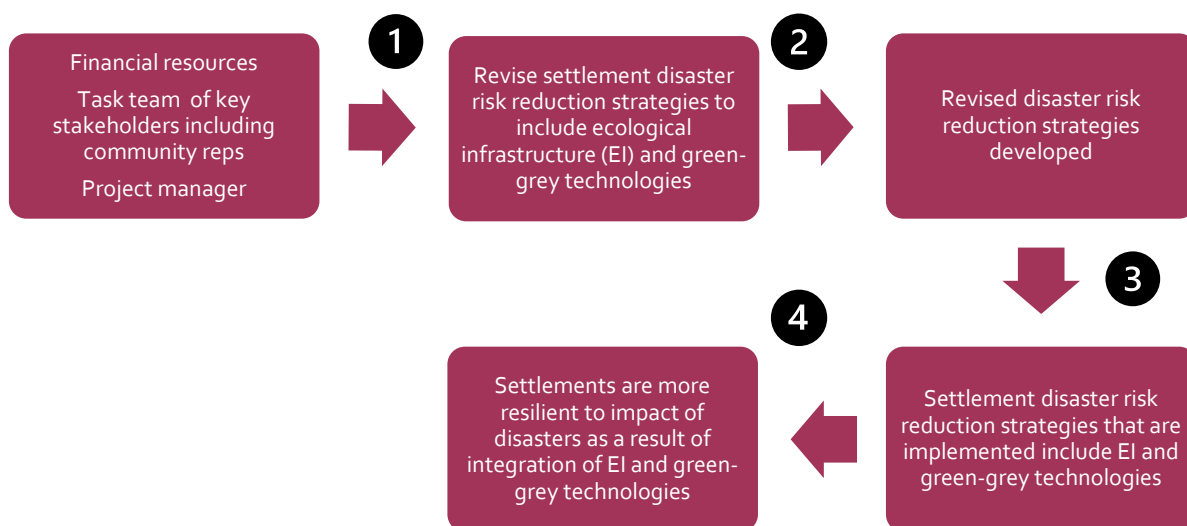
1
- Adequate resources are available
- All stakeholders understand the importance of including EI and green-grey technologies in settlement planning.

2
- Stakeholders reach consensus on the appropriate actions in the strategies.
- The new strategies are not more costly than current alternatives.
- The expertise and inputs required to implement these new strategies are available in the target areas.

3
- The local politicians are aware of the relevance and benefits of the new strategies and support their implementation.

4
- The selected strategies result are effective in improving resilience.
- Community members can access the new infrastructure and technologies, and these are used as planned.

Evaluation Questions and Indicators:

- Main intervention(s) of the evaluation: Revision of the settlement disaster risk reduction strategies.

- Targeted beneficiaries of intervention(s) most suitable for evaluation: Community members.

Evaluation questions	Outcome Indicators	Data source
To what extent are relevant stakeholders involved in the revision of the disaster risk strategies?	Number of sectoral stakeholders represented and involved in revision of strategies	Secondary (monitoring)
To what extent is there endorsement from the various sectors for the revised strategies?	Number of key sectors endorsing the revised strategies	Primary (survey)
To what extent do the implemented strategies include EI and green-grey technologies?	Multi-criteria assessment of integration of EI and green-grey infrastructure	Secondary (monitoring)
To what extent does the implementation of the settlement disaster risk reduction strategies lead to more resilient settlements?	Self-report on resilience to climate hazards (flood, fire and drought) in the last 12 months	Primary (survey)

Evaluation Design: The project activities are implemented at the community level. The project team expects an excess demand of the communites for the project activities. Interested communities will be ranked based on a multi-criteria assessment. The selection cut-off will be determined by the project budget. As such, the project lends itself to a regression discontinuity design at the community level, conditional on having a sufficiently larger enough number of communities close to the cut-off. We recommend implementing a difference-in-difference matching design at the household level within communities close to the cut-off, to account for remaining differences within communities.

Monitoring System already in place: At the moment of writing there was no monitoring system in place. Yet, the project team knows the importance of a monitoring system and this topic was discussed during the workshop. The project team will develop a monitoring system before the start of the implementation.

Ethical concerns about the evaluation: No ethical concerns were mentioned by the project team.

Key takeaways: The selection of sub-districts and communities is based on a variety of secondary and primary data that can be used to identify suitable comparison communities.

GCF approved: Project was approved by GCF in 2015.

Goal: Overcome barriers and constraints related to the progressive salinization of land in the Sine-Saloum zone.

Overall timeline: The project implementation has started end of 2019 in all target municipalities and is currently planned until end of 2023.

Theory of change: Theory of change: For the purpose of this workshop, the CSE team chose to look at the evaluation of one of the project activities, the phosphating of farmers' land. The ToC associated with this activity is laid out below. It relies on several crucial assumptions being fulfilled. The assumptions to be fulfilled for a given link to work are indicated by the numbers 1-6 in the figure and are listed below.
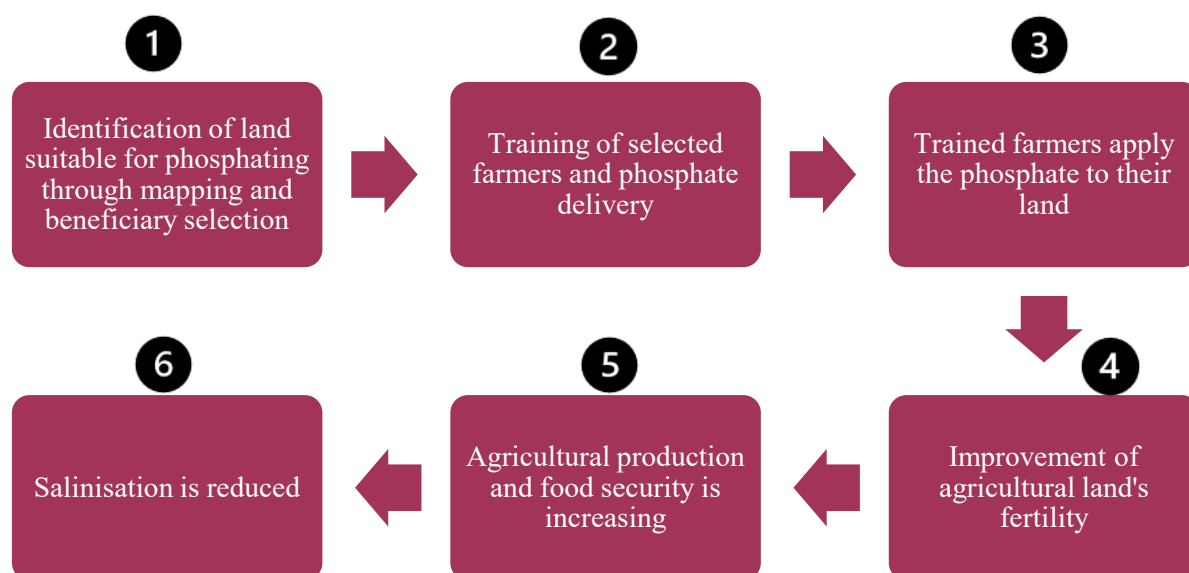
1
- Target beneficiaries are appropriately identified.
- Local context is suitably included.
- Activities are appropriately defined.

2
- Farmers are made aware of the activity.
- Farmers are interesting in taking part in the activity.
- The training takes place when farmers are available.

3
- Farmers receive the phosphate.
- Farmers attended the training attentively.
- Farmers do not sell out the inputs received.

4
- The phosphate was applied as preconized.
- Farmers received phosphate in sufficient quantity.
- Extreme weather events do not threaten soil fertilization.

5
- Farmers are cultivating the land where phosphate was applied.

- Farmers have enough inputs/resources to increase their production.

6 • Other factors of salinization do not offset the benefits of phosphating.

Evaluation Questions and Indicators:

- Main intervention(s) of the evaluation: The project team selected the phosphating activity as the main activity of interest for the purpose of illustrating the IE techniques during the workshop.

- Targeted beneficiaries of intervention(s) most suitable for evaluation: Beneficiaries of this activity are farmers owning between one and two hectares of land lacking phosphates. Priority is given to women and households with a low level of food security.

Evaluation questions	Outcome Indicators	Data source
To what extent do farmers participate to the training on phosphating and the delivery of inputs?	• Number of farmers participating in the training. • Number of farmers receiving phosphates.	Secondary (monitoring)
To what extent do farmers follow the recommendations in terms of phosphating?	• Number of hectares on which phosphates are applied. • Number of farmers applying phosphates to their land. • Share of farmers' land on which phosphates were applied.	Secondary (monitoring) and primary (survey)
To what extent has phosphating increased soil fertility?	• Soil measurement. • Agricultural yields three years after using phosphating.	Secondary (monitoring) and primary (survey)
To what extent does agricultural production and food security increase as a result of phosphating?	• Quantity of crops harvested three years after using phosphating. • Number of months of food storage following the last harvest. • Household income.	Primary (survey)

Evaluation Design: Based on discussions with the project team, we recommend an ex-post quasi-experimental design based on matching. While not all target beneficiaries of phosphating have yet received this activity, the indicators of interest are best observed at least three years after project implementation. Given the project's planned completion, the endline survey will have to take place in 2023. Hence, an ex-ante evaluation would only allow us to assess the impact of this activity after less than one year.

Monitoring System already in place: As the project had already started, the team had a monitoring system already in place. Because of time constraints, we chose not to discuss monitoring and to rather provide advice on impact evaluation and household surveys.

Ethical concerns about the evaluation: No ethical concerns were mentioned by the project team.

Key takeaways: The team demonstrated a real interest in learning about impact evaluations. However, given that the project was already advanced in its implementation, it proved difficult to find an evaluation design suitable to the project's current design, timeline and budget. Some participants had also the expectations of receiving direct guidance for their planned midline survey and reporting to GCF, which is outside of the scope of the LORTA program.

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