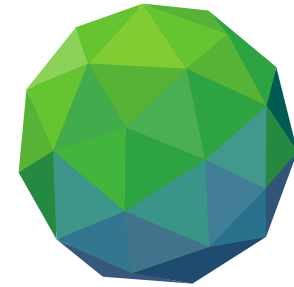


MEET ITAP LESSONS LEARNED

Independent Technical Advisory Panel
Songdo, Republic of Korea
01 October 2021



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Agenda

From	To	Agenda item	Presenter Name
23:00	23:05	Welcoming remark and moderating	Abdullah Bikzad, Operations Consultant to the Independent Technical Advisory Panel – iTAP
23:05	23:15	Brief introduction to the Independent Technical Advisory Panel (ITAP)	Daniel Nolasco, Chair of independent Technical Advisor Panel – iTAP
23:15	23:55	Theory of Change for Funding Proposals (FPs)	Claudia Martinez Zuleta, Member of Independent Technical Advisory Panel – iTAP
23:55	00:25	Q&A Sessions	Claudia and Daniel
00:25	00:30	Closing Remarks	Daniel Nolasco, Chair of iTAP



INTRODUCTION OF THE INDEPENDENT TECHNICAL ADVISORY PANEL (ITAP)

WHAT IS ITAP

- The ITAP was established based on Board decision B07/03:

“The Board, through its decision B.07/03, agreed to establish an independent Technical Advisory Panel (the Panel) to provide an independent technical assessment of, and advice on, funding proposals. The Panel will operate as an independent technical advisory body, and will be accountable to the Board. ”
- With terms of reference established by GCF/B.09/09, February 2015:

“The Panel, in the conduct of its technical assessment of funding proposals, will be provided with the final funding proposal...”

WHO WE ARE



Daniel Nolasco (Chair)

Former Director of the International Water Association and the Water Environment Federation. Fellow of University of California's Water-Energy Nexus Group. Consultant to water utilities and advisor to boards of private sector institutions on climate change issues. Co-author of six books and over 100 technical papers.

Ahsan Uddin Ahmed

A member of IPCC since 1995. Specialized in designing and evaluating adaptation projects. Associated with scientific networks. Currently a freelance consultant.

Felix Dayo

Previously Member, CDM Executive Board's CDM Methodology Panel, Small Scale CDM Working Group and CDM Registration and Issuance Team. Presently Adjunct Professor of Engineering and Public Policy, Carnegie Mellon University, USA; Visiting Professor of Energy and Environmental Engineering, Emerald Energy Institute, University of Port Harcourt, Nigeria.

WHO WE ARE



Claudia Martinez

Director of E3-Ecologia, Economia y Etica. Chair of the Food and Land Use Coalition- FOLU-Colombia. Former Vice-president for Social and Environmental Development and Director for Sustainable Development at the Latin American Development Bank (CAF). Former Deputy Minister of Environment of Colombia

Marina Shvangiradze

Former member of CDM Executive Board, Expert Group on Technology Transfer and CDM Accreditation Panel. Acting member of CDM RIT. Manager of Georgia's second and third national communications, technology needs assessment and other climate change related projects.

Andreas Biermann

Director at Globalfields Ltd. Member of the Technical Panel for Climate Bonds Initiative Grids Standards. Former Head of Climate Finance at EBRD. Former Deputy Director Mitigation at the Green Climate Fund

WHO WE ARE



Caroline Petersen

Director at Prosper with Nature. Former Global Head of Ecosystems & Biodiversity for United Nations Development Programme (UNDP), with 13 years of experience supporting developing country governments to access GEF, GCF and other funds. Member of the National Council of the Botanical Society of South Africa.

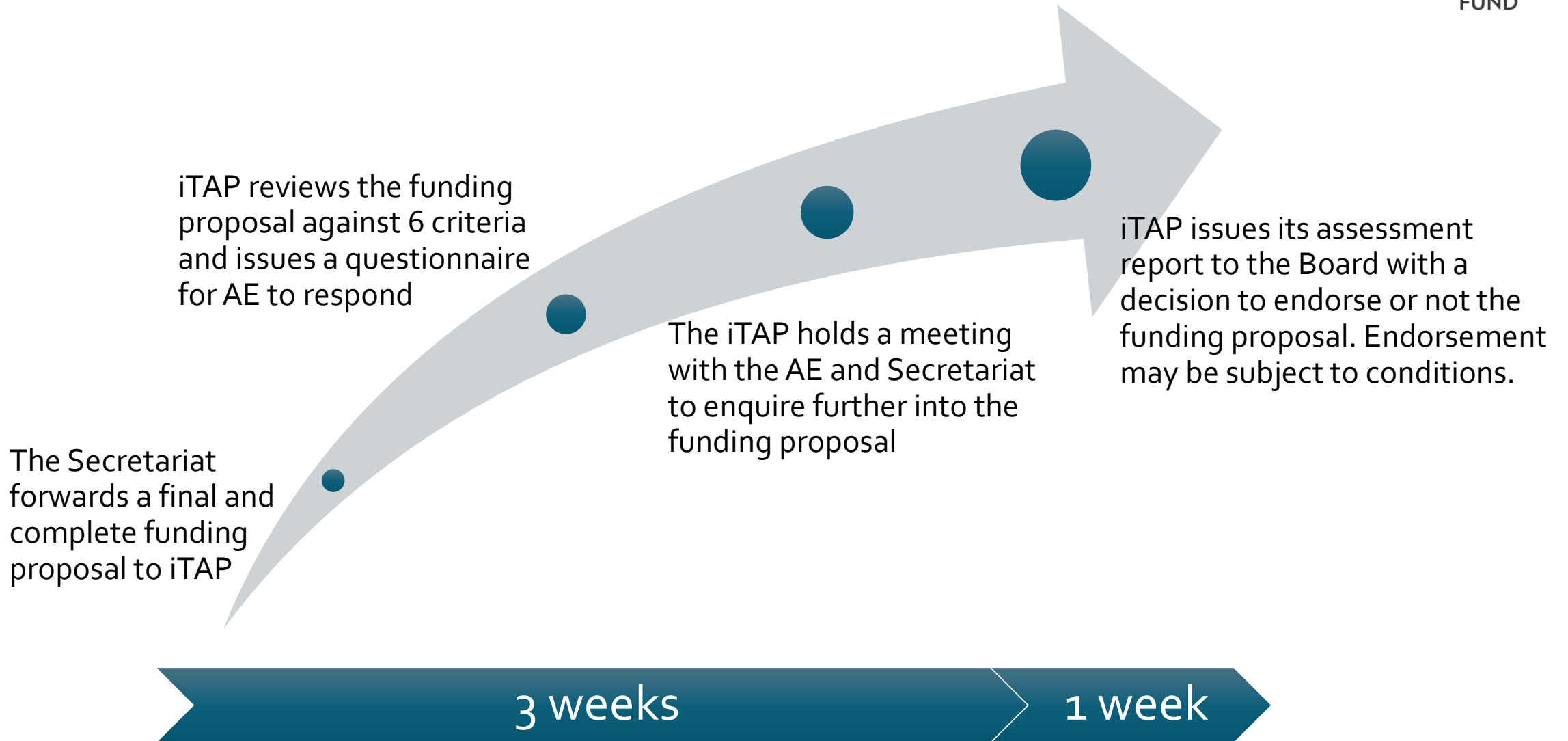
Rey Guarin

21 years as independent climate change advisor/ consultant on mitigation, adaptation and finance covering various public and private sector policies, programs, plans, strategies, projects in Asia Pacific region.

Ricardo Nogueira

Ricardo Nogueira is an independent expert on climate finance, international development, and sustainable investing. His clients include major philanthropies, governments, and multilateral development banks. Rick is also a Member of the Board of Washington, DC's Green Finance Authority, the first municipal Green Bank in the world.

ITAP ASSESSMENT PROCESS





Theory of Change

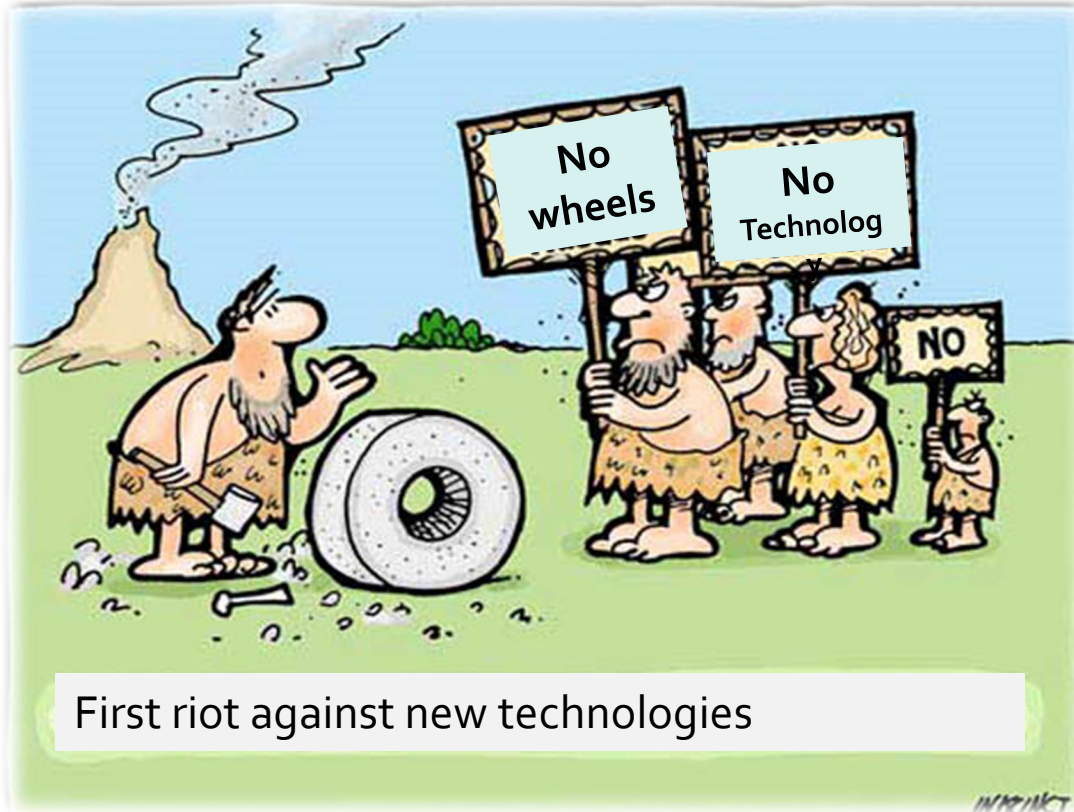
Claudia Martínez Zuleta

DEVELOPING A THEORY OF CHANGE GCF Projects

Independent Technical Advisory Panel - iTAP



WHAT IS THEORY OF CHANGE?



First riot against new technologies



'Theory of change' is an outcomes-based approach which applies critical thinking to the design, implementation and evaluation of initiatives and programs intended to support change in their contexts.

WHAT IS A THEORY OF CHANGE



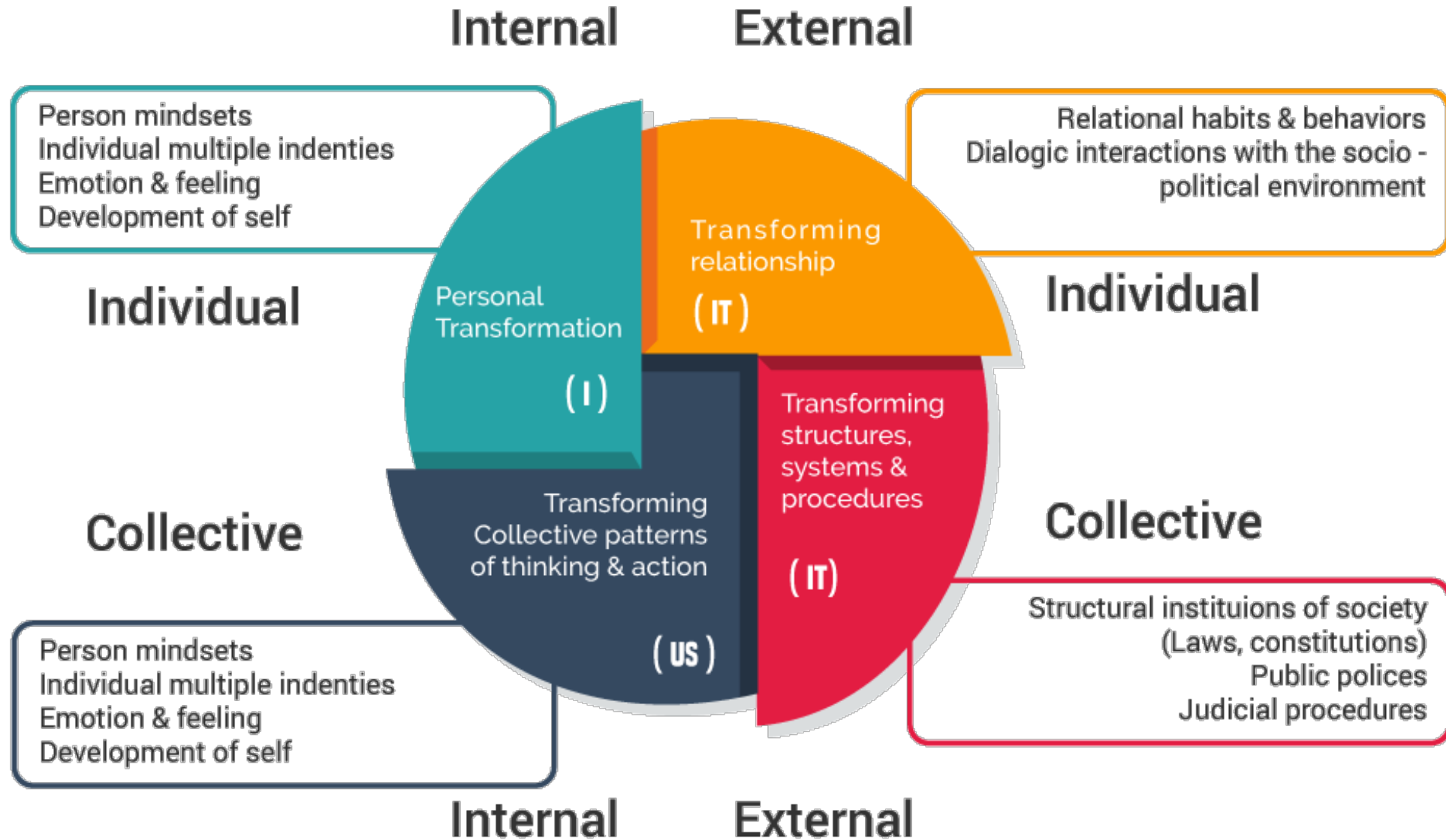
- ✓ An ongoing **process** of reflection to explore change and how it happens – and what that means for the part we play in a particular context, sector and/or with a group of people:
 - *It considers a programme or project within a wider analysis of how change comes about.*
 - *It makes us explain our understanding of change – but also challenges us to explore it further.*



The focus is on what we think will change, not on what we plan to do.

Source: INTRAC 2016

Dimensions of Change

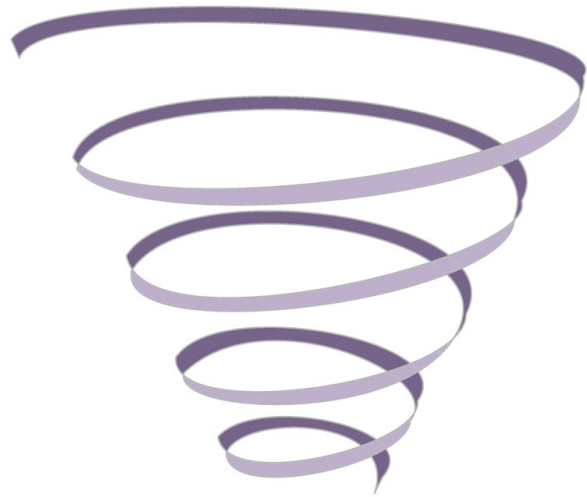




**Drop in the Ocean well placed
may tip the scales**



1: How Change Happens Big Picture Thinkings



- Thinking about How Change could happen in relation to a particular issue:
 - What factors in the external context help or hinder change?
 - Who has the power to influence change either positively or negatively
 - What/who needs to change? At what level?

This thinking goes beyond your own intervention and considers all aspects of addressing identified issues

Understanding Power



Understanding power is fundamental if you are to understand how change happens.

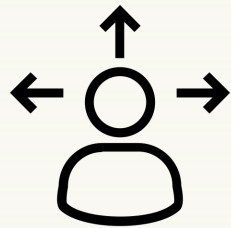
- What is it?
- Who has it?
- How it is exercised?

What are the dynamics of power in X Country/region?

Can we influence structures of power that are more horizontal and that really empowers society at large?



DIMENSIONS OF POWER IN DECISION-MAKING



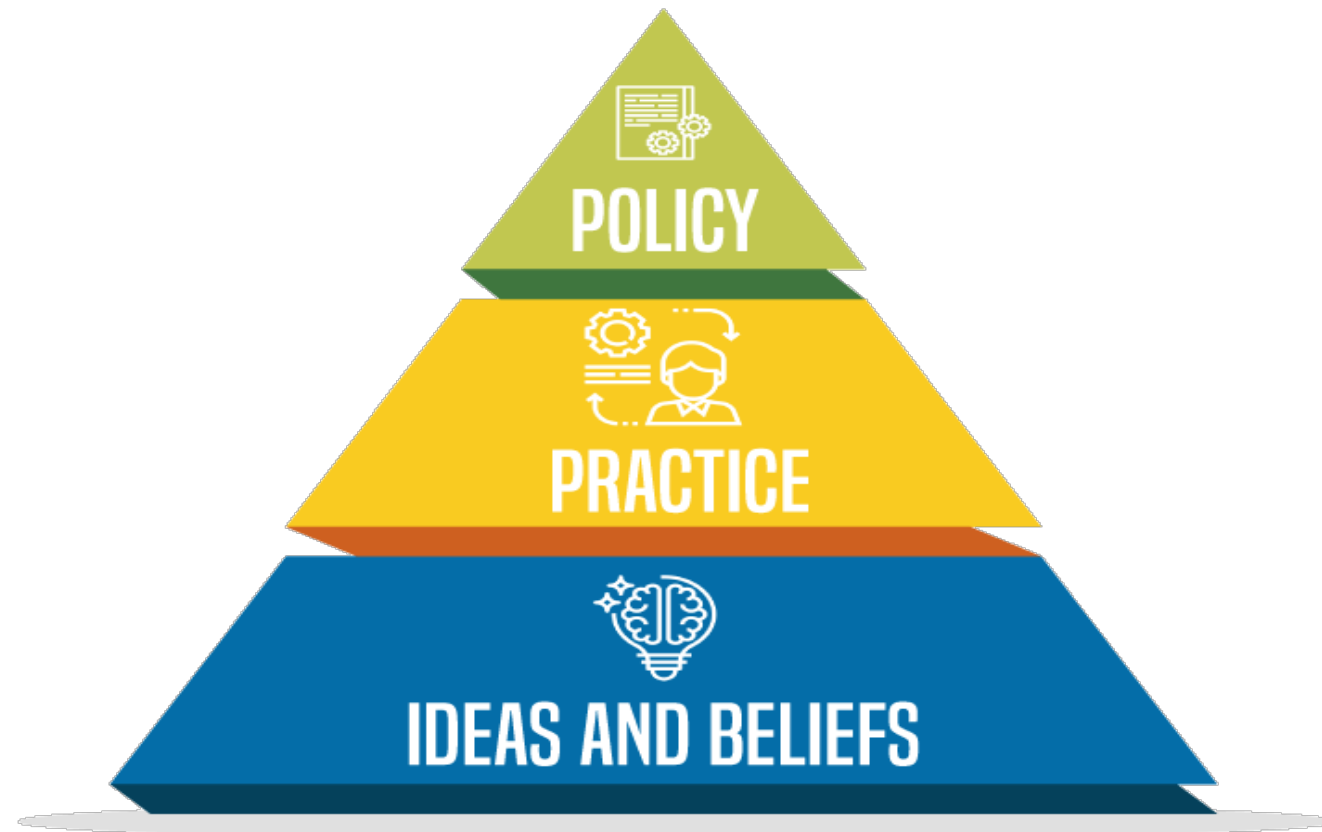
- Visible**
- Hidden** – e.g. operates behind the scenes
- Invisible** - based on ideology or beliefs. Who decides what's 'normal'?



- Made in **closed** groups (formal or informal)
- With **invited** parties
- Created** (e.g. when less powerful actors set up own structures and set own agendas)

...And made at what level – household, local, national, global

WHAT CHANGE IS NECESSARY?

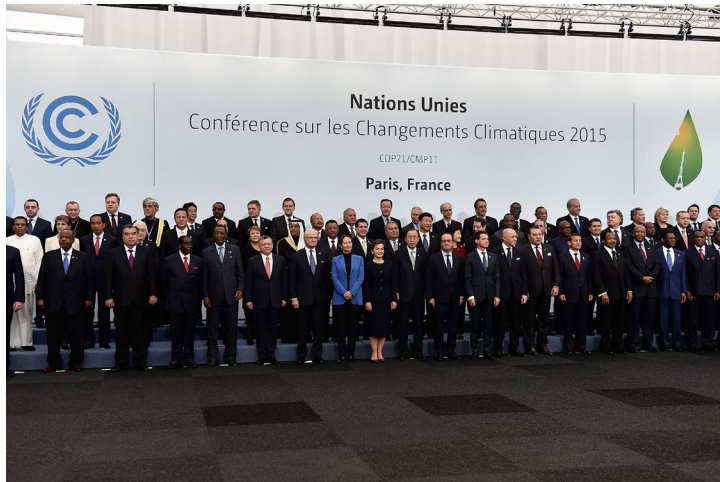


At what level:

Household
Community
Subnational

National
Global

WHO INFLUENCES CHANGE? (ACTORS)



Organisations



Organised People



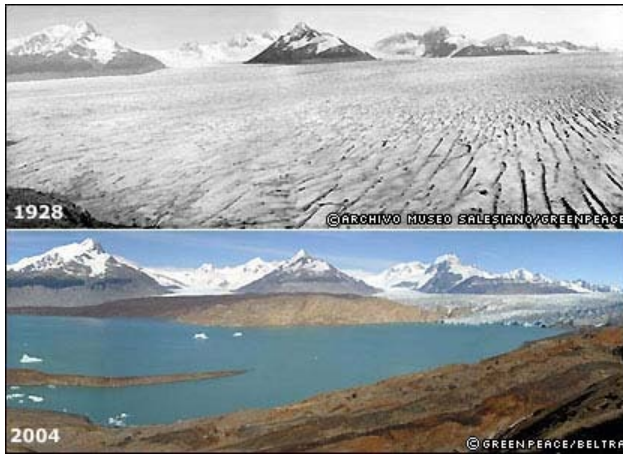
Individuals

DO WE UNDERSTAND THE ACTORS?



Understanding
social,
environmental and
cultural realities

WHAT LONG TERM AND IMMEDIATE FACTORS MIGHT HELP OR HINDER?



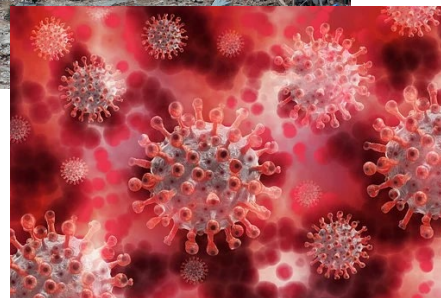
climate change



Social norms - Empathy



Shocks to the system



New technology

Key Questions: Opportunities and Critical Junctures



- Who is interested in change?
- What is already happening we could add value to?
- What capabilities could we build on?
- What spaces/openings exist?
- What external factors in the context might help us?
- Are there new technologies or methodologies which might make a difference to our efforts?





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Identify your role



ANALYSIS OF YOUR PROGRAMME'S SPECIFIC CONTRIBUTION TO CHANGE



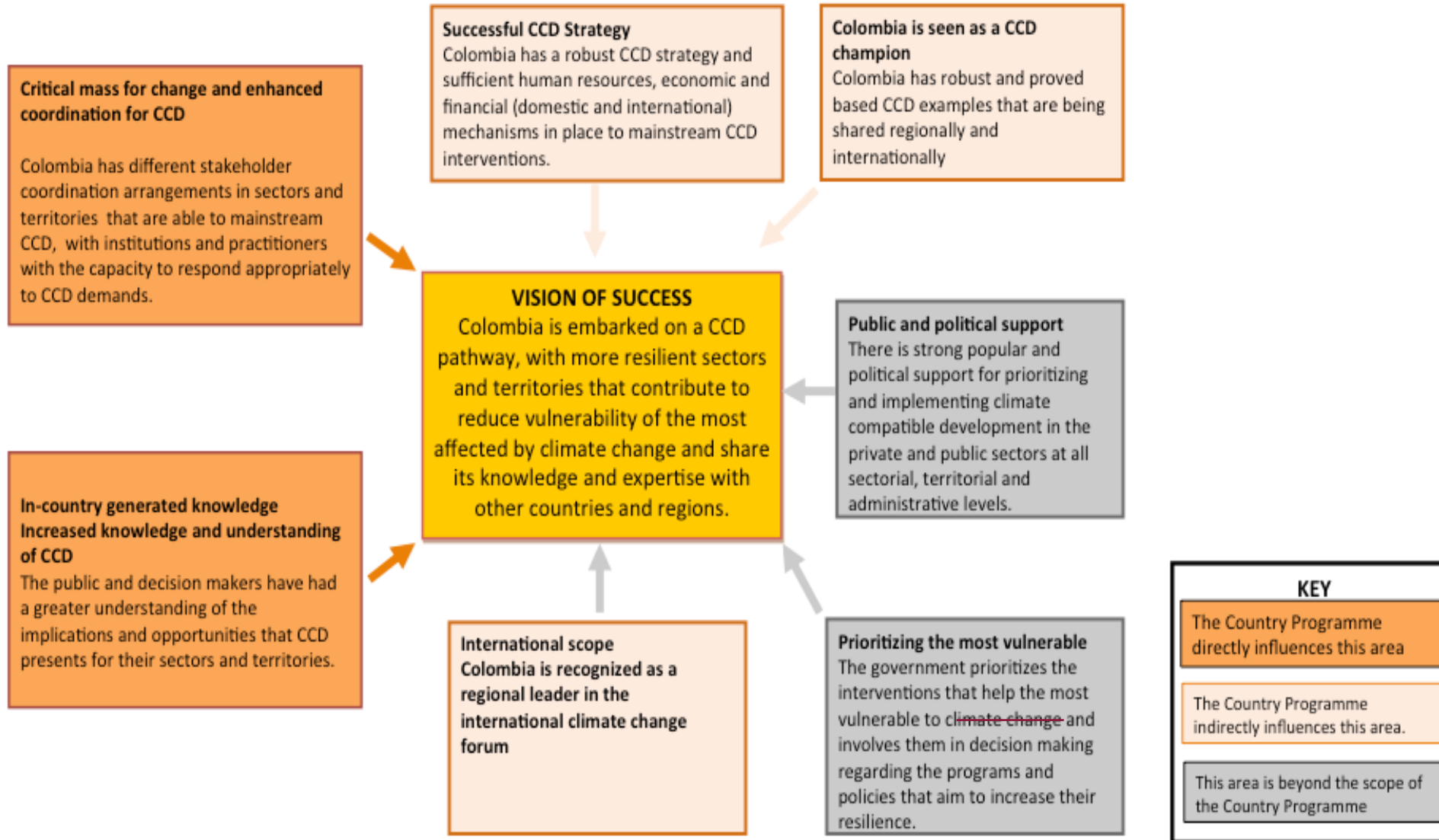
Given this vision and top level changes that are required, and a clear analysis of other actors in the picture, potential allies and barriers and your own strengths and focus, **what exactly can GCF programmes contribute:**

- Directly?
- Indirectly? What is beyond your sphere of influence? (mark with red dots)

It should be Country Driven



COLOMBIA COUNTRY PROGRAMME VISION OF SUCCESS





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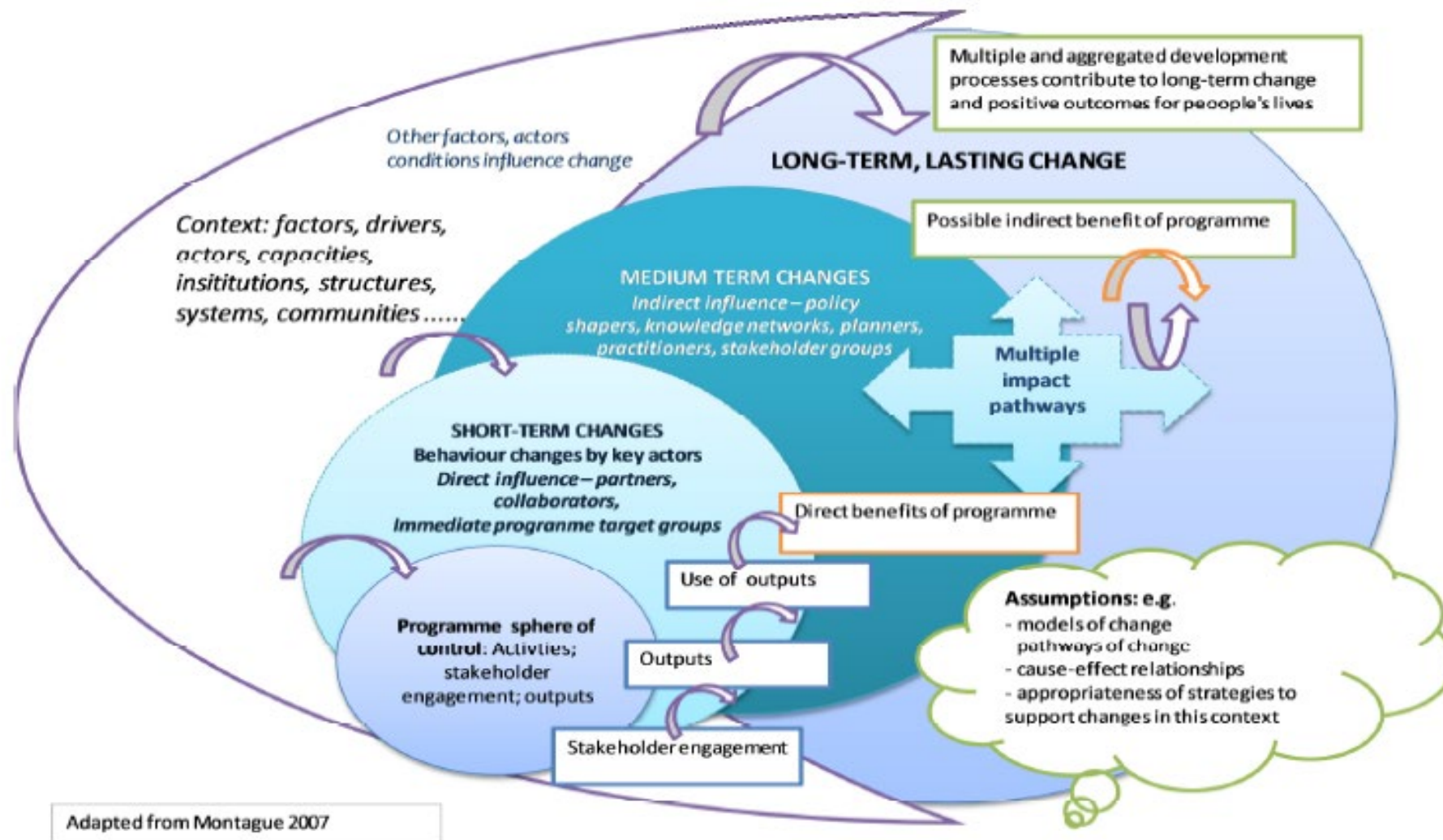
Develop a pathway

1. DEVELOPING YOUR CHANGE PATHWAY



- ❑ This relates directly to your understanding of how change happens
- ❑ It describes in detail your unique ways of understanding and addressing these issues, including:
 - Who you work with
 - How you work with them
 - To achieve or influence what changes
 - The assumptions that you have made in designing this pathway

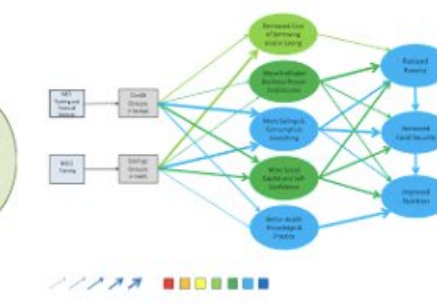
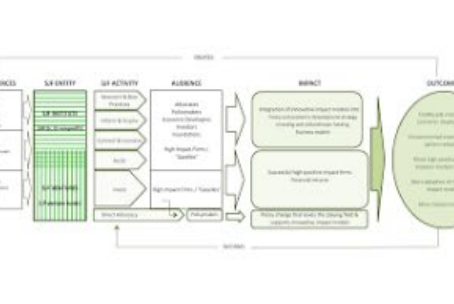
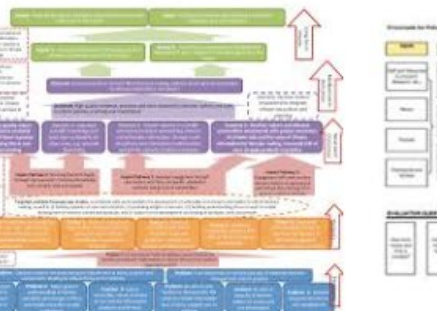
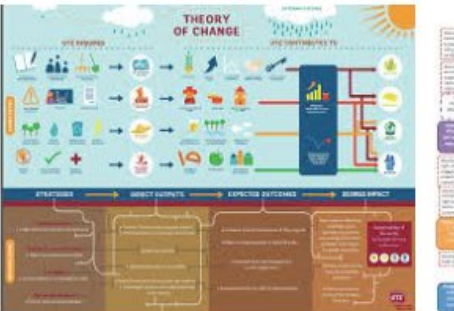
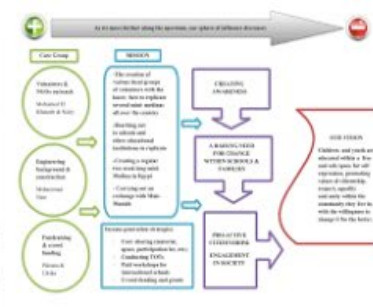
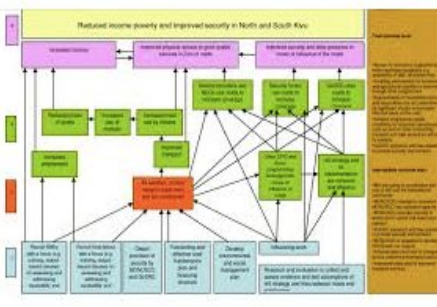
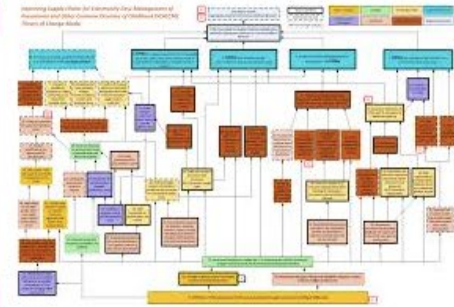
THEORY OF CHANGE: AN INTEGRAL PATHWAY



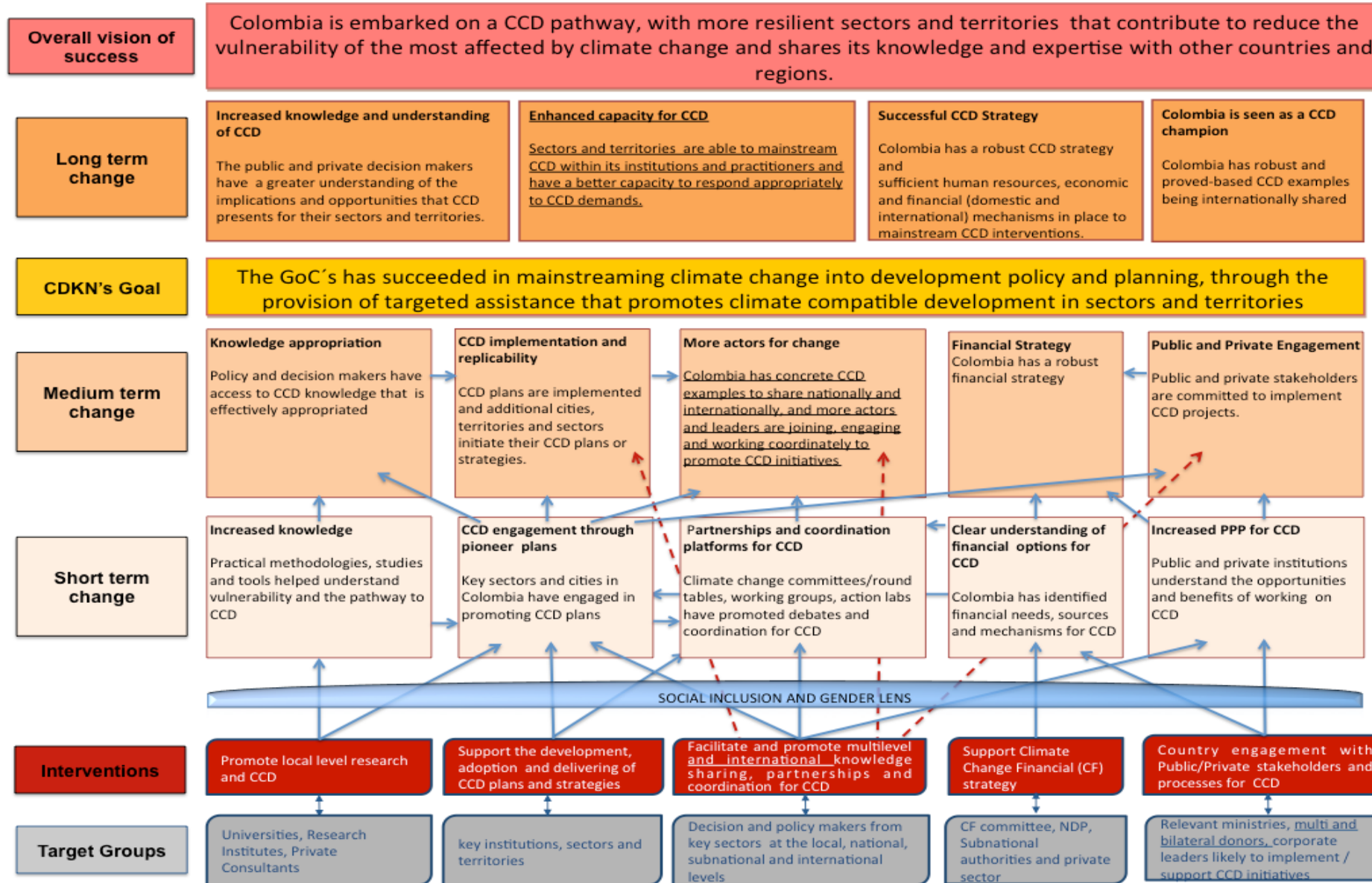
DIFFERENT WAYS IN WHICH TOC ARE UNDERSTOOD AND PRESENTED



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COLOMBIA THEORY OF CHANGE CDKN - 2016



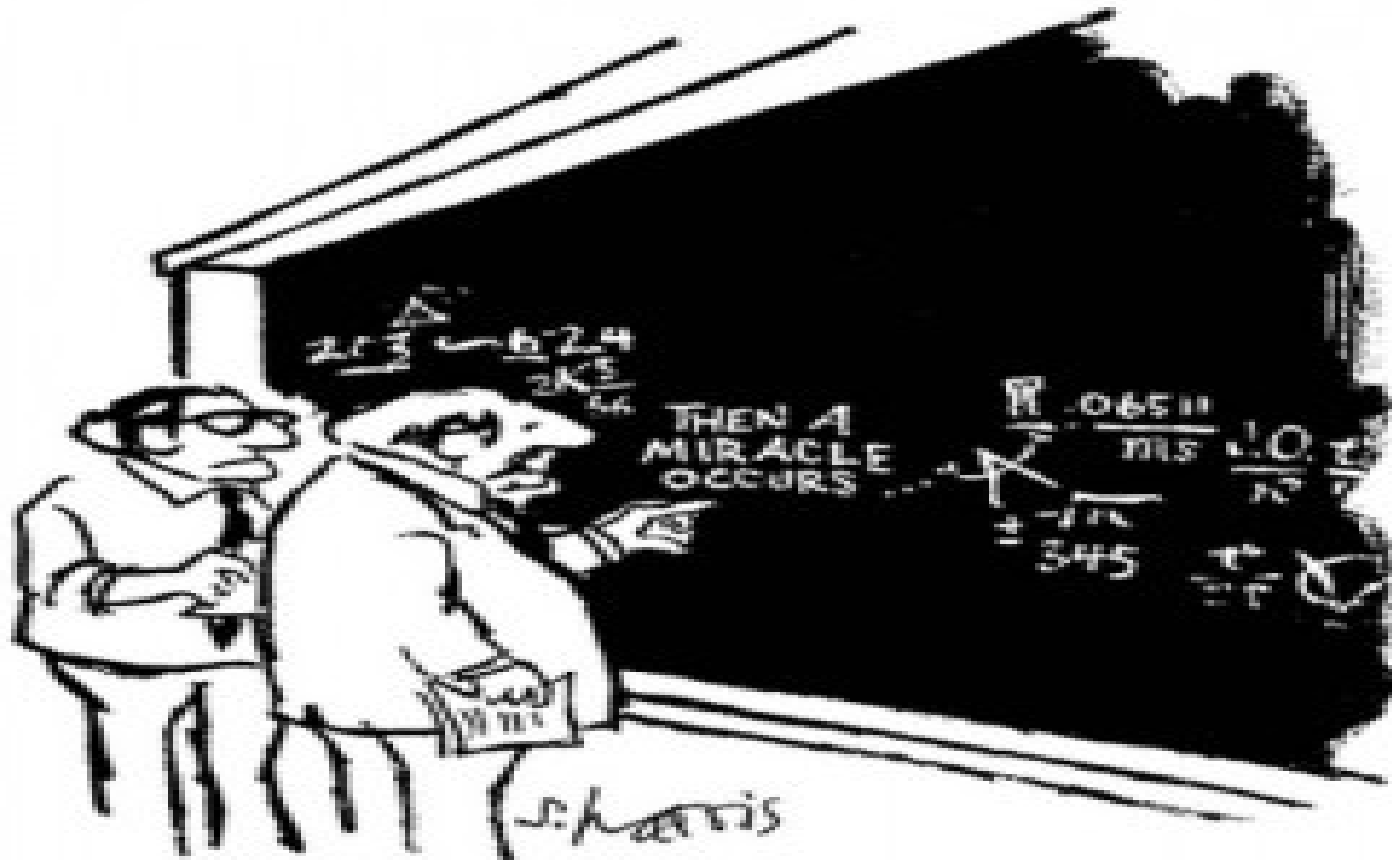


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Identify the assumptions

BEING CLEAR ABOUT THE CHANGE PATHWAY



"I think you should be more explicit here in step two."

WHAT IS AN ASSUMPTION?



- ❑ Assumption = something accepted as true or certain to happen but there is no proof (yet)
- ❑ Good practice in theories of change says “Assumptions must be made explicit, categorised and linked to specific aspects of the change pathway”



Testing the logic and your assumptions



‘Stress Test’:

- Why did you think that xxx would lead to yyy?
- What might hinder this from happening (e.g. costs, opposing views, lack of trust/ capacity/technology?)
- Are there any missing links?
- Are there things you are not sure/confident about?
- Where are the ‘leaps of faith’?
- Looking at the pathway again, are there better ways of getting to your goal?



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Estage 5&6

Monitoring and Impact assessment



Why Assess Impact



- To understand the implications of our work
- To become more accountable to those we work with (stakeholders)
- To support institutional learning and decision making and improve future work
- To contribute to policy development and effective advocacy
- To help demonstrate organisational performance

The Challenge



In Monitoring and Evaluation (M&E) there are ***three critical questions***:

- Are we doing what we said we would do?
(Internal Validity)
- Are we making a difference?
(Impact Assessment)
- Are these the right things to do?
(strategic relevance)

Key areas of enquiry for impact



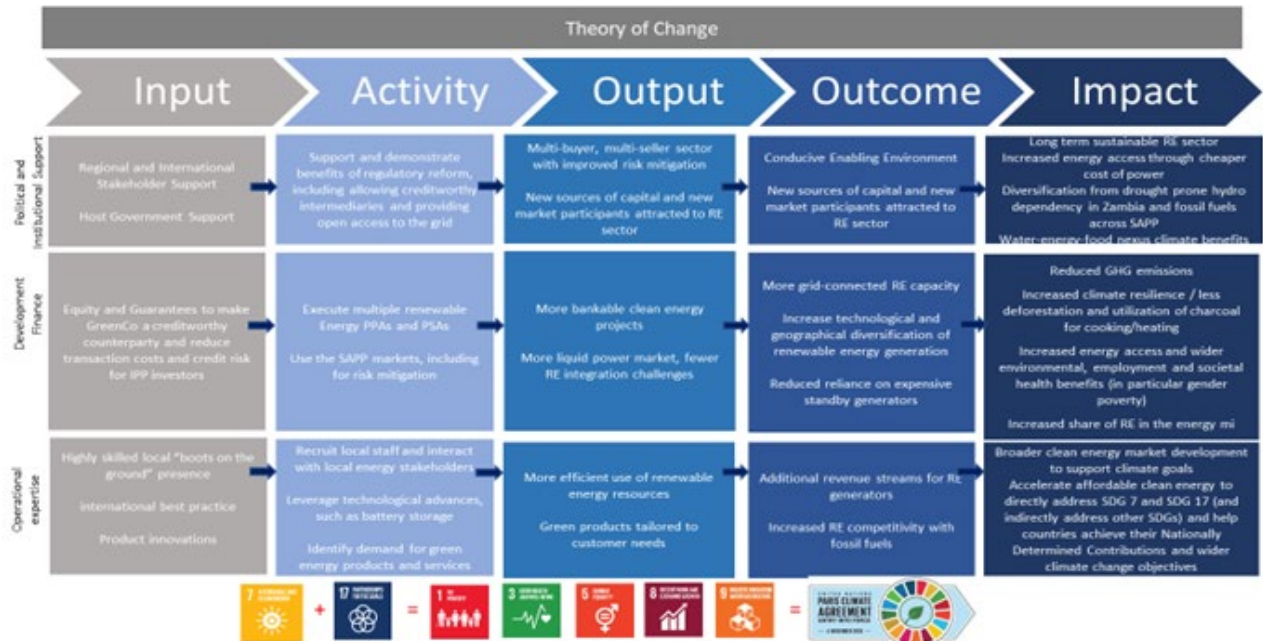
Five essential questions:

- What has changed? For whom? (different target groups)
- How did the changes come about? (actors/ factors/ processes)
- How significant were these changes?
- What, if anything did our programme contribute to these changes?
- So what should we do differently next time? (to have a greater impact....)



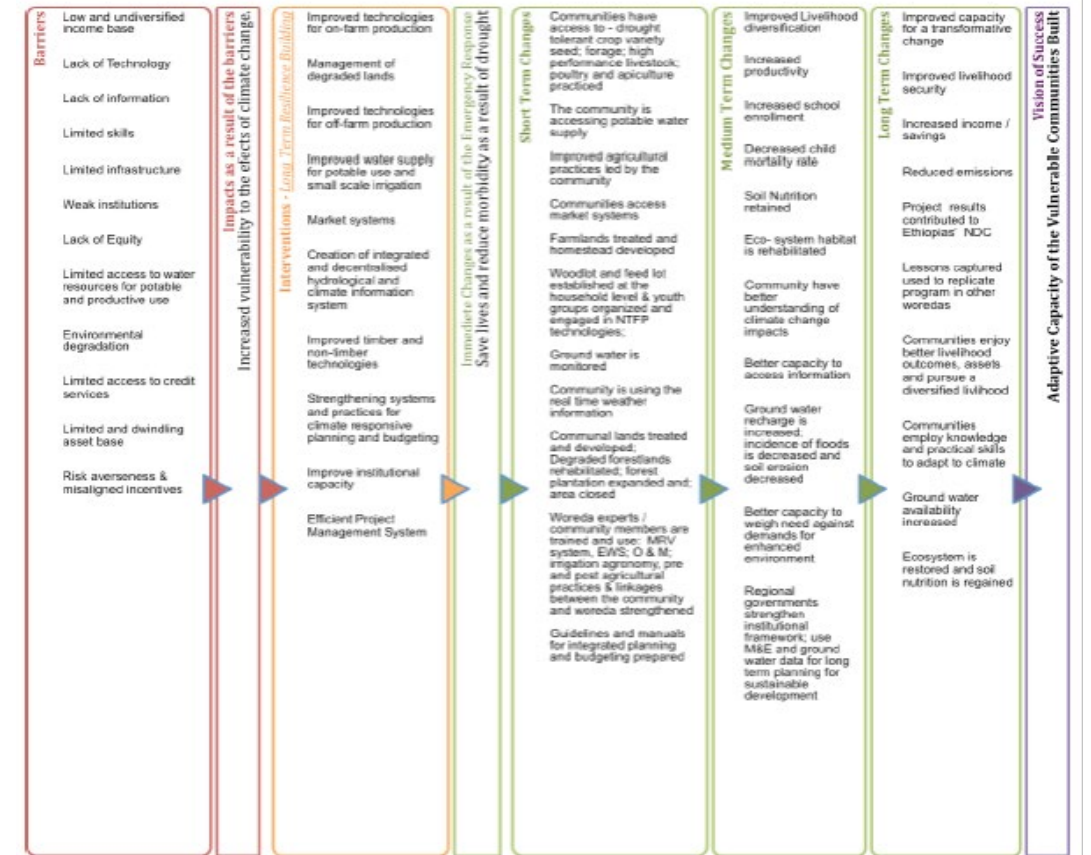
HAVE THE GCF AEs USED THE
THEORY OF CHANGE TO DEVELOP
BETTER PROJECTS?

EXAMPLES OF GCF TOC PATHWAYS



Africa GreenCo: Catalyzing Renewable Energy Investment in SADC for a Creditworthy Intermediary Off-taker - Development Bank of South Africa

Figure 7: Impact Pathways Underlying the Resilience-Building Process

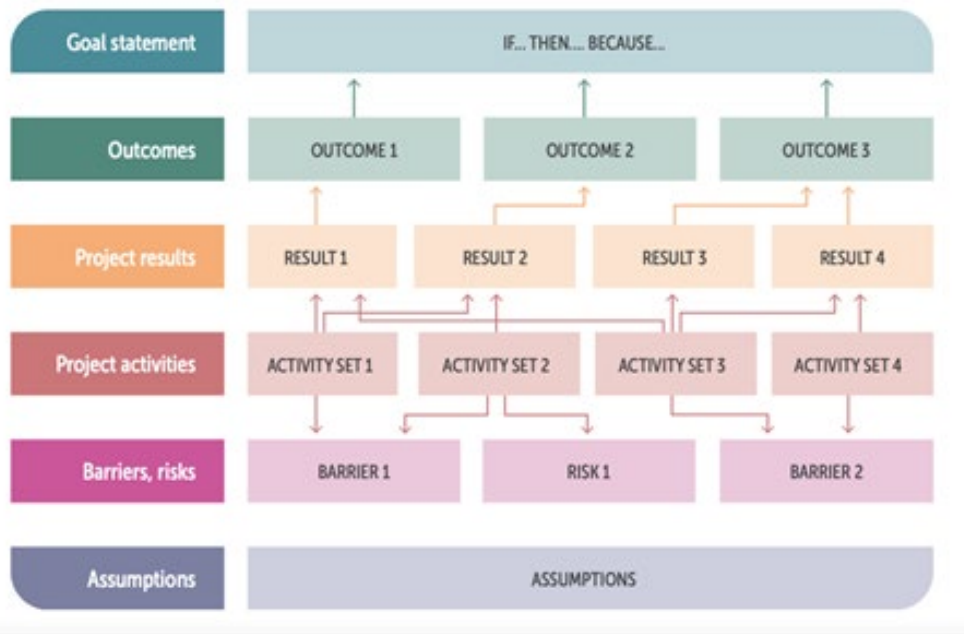


Ethiopia
Responding to the increasing risk of drought: building gender responsive resilience of the most vulnerable communities- UNDP

GCF PROGRAMMING MANUAL (2020)



FIGURE 21. EXAMPLE OF A COMPLETED THEORY OF CHANGE

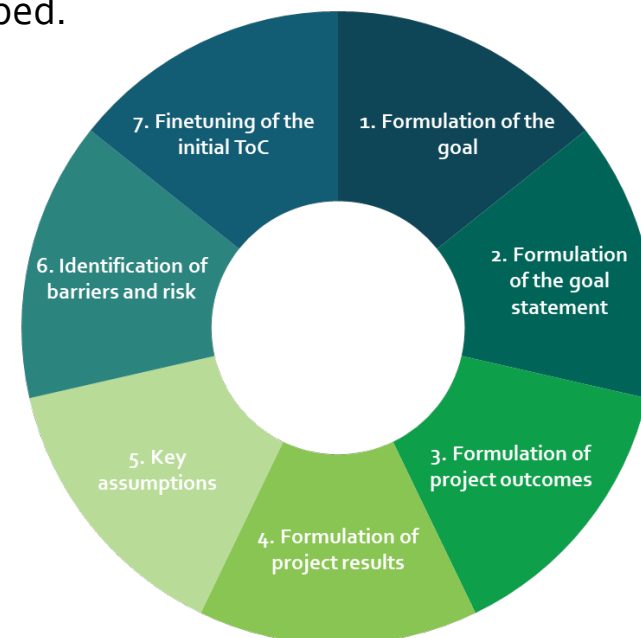


AEs are requested to provide a diagram of the theory of change as part of section B.2 of the funding proposal, along with a description of the diagram.

The **theory of change** is a **methodological approach** that allows AEs and project developers to design and plan a project by first setting up the long-term project goals and objectives then mapping backwards to identify the necessary preconditions to meeting those goals, the project outcomes and outputs, as well as the assumptions under which the theory of change is developed.

TABLE 17. LEVELS OF THE LOGIC MODEL

Impact level	Aggregate changes achieved in the GCF key strategic results areas
Outcome level	Aggregate changes achieved in the country or region, as well as in the relevant policies and policy documents
Output/project result	Changes achieved as a result of project or programme activities
Activity	Direct services provided through GCF investments
Input	GCF grants, concessional loans, guarantees or other financial instruments, as well as human effort



EXAMPLES OF TOC B.30

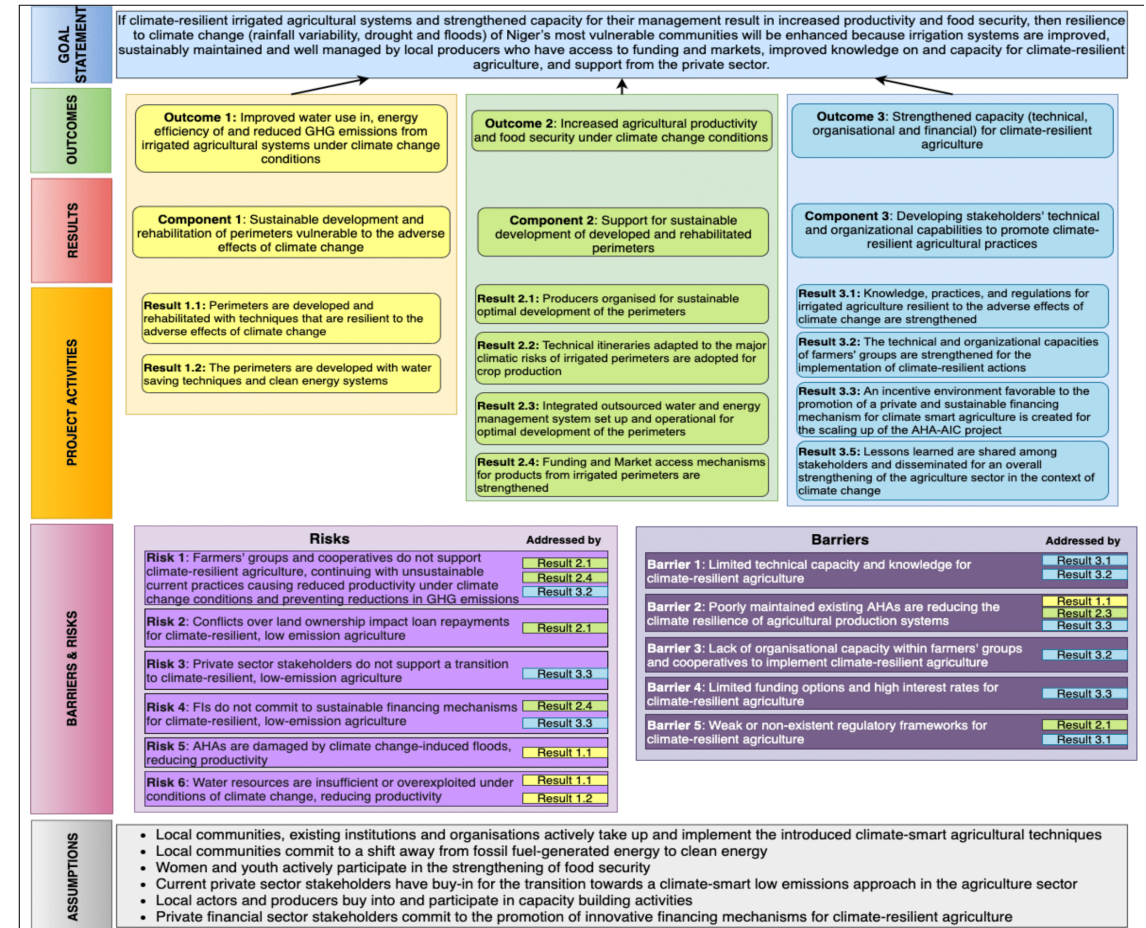
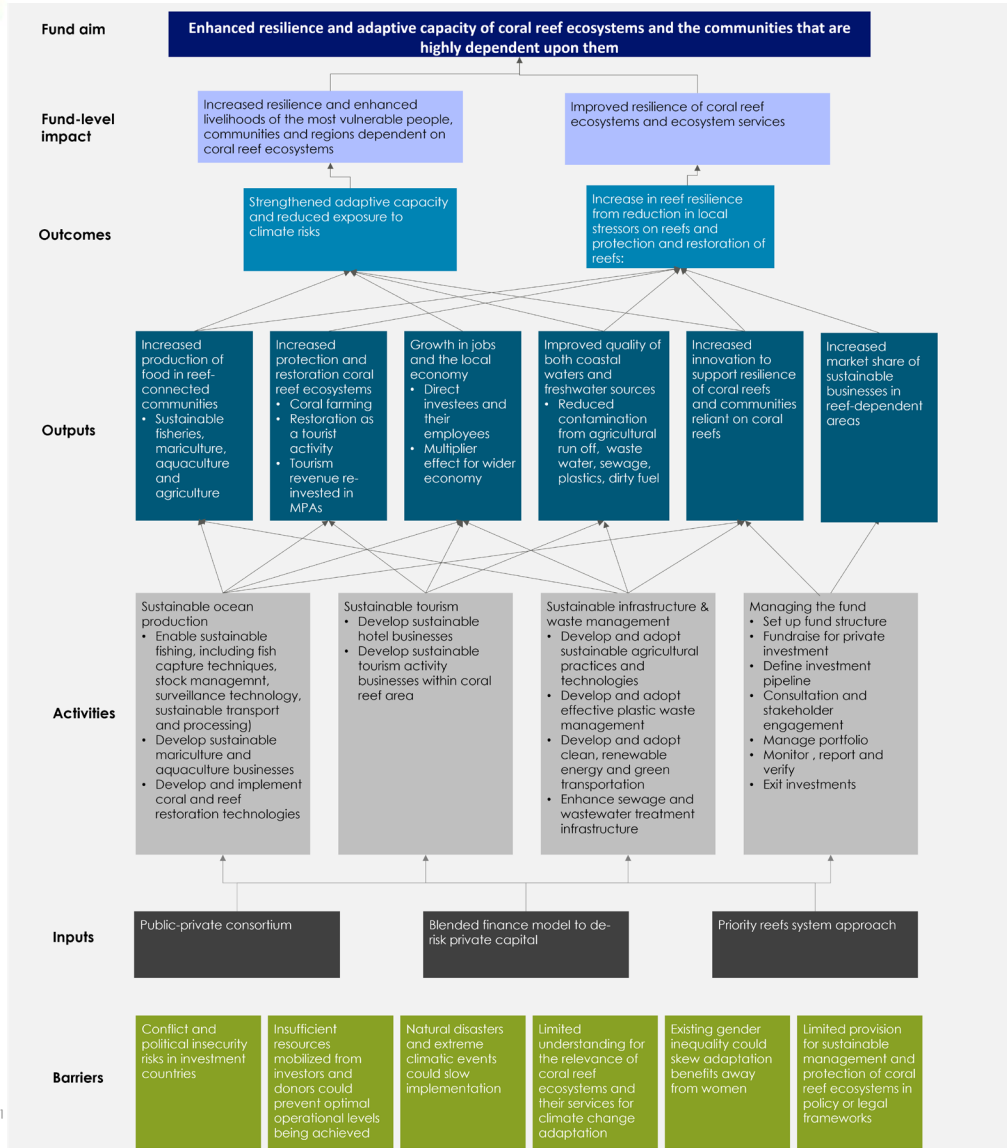


Figure 17: Project's theory of change diagram (project activities and results of the same color are linked)¹².

EXAMPLES OF TOC B.30

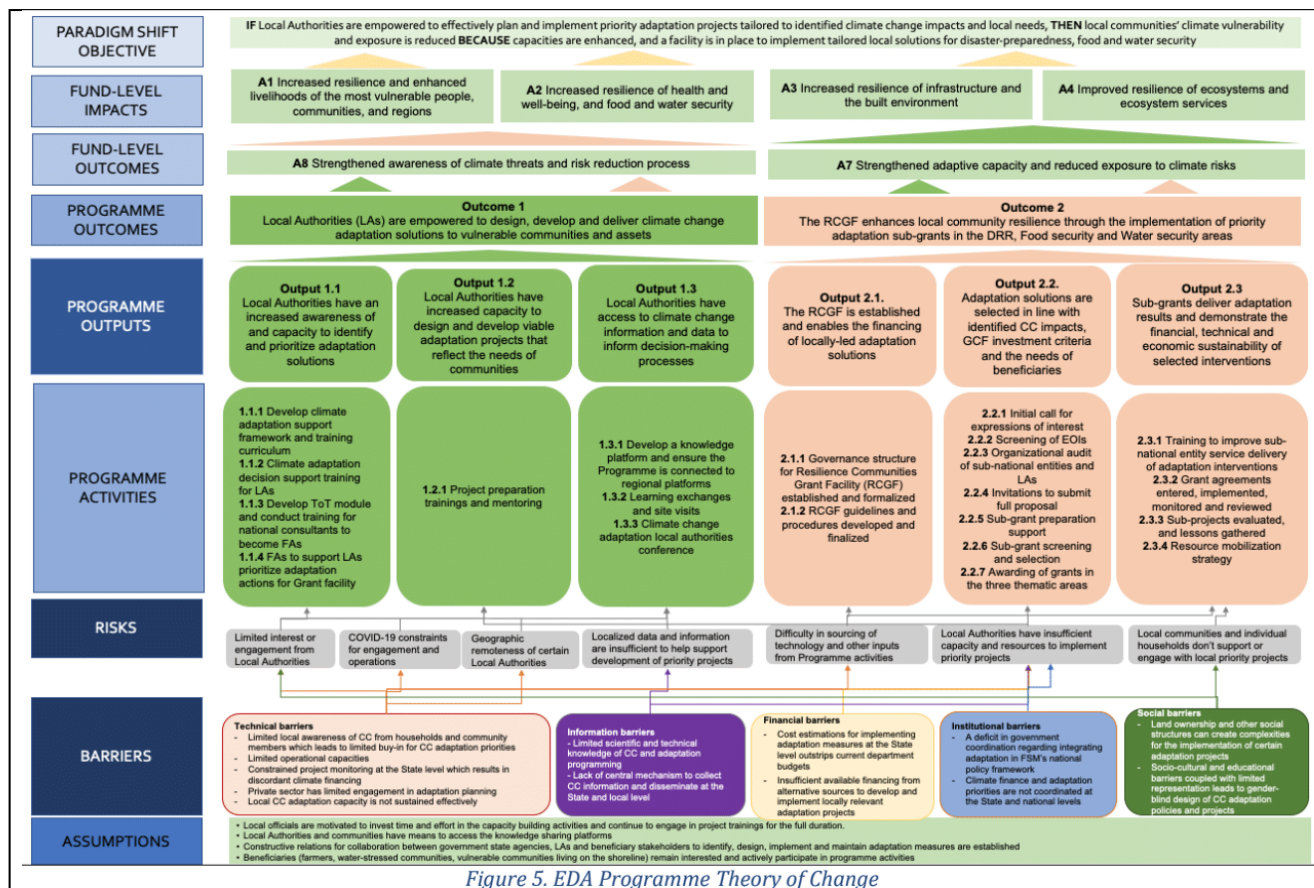
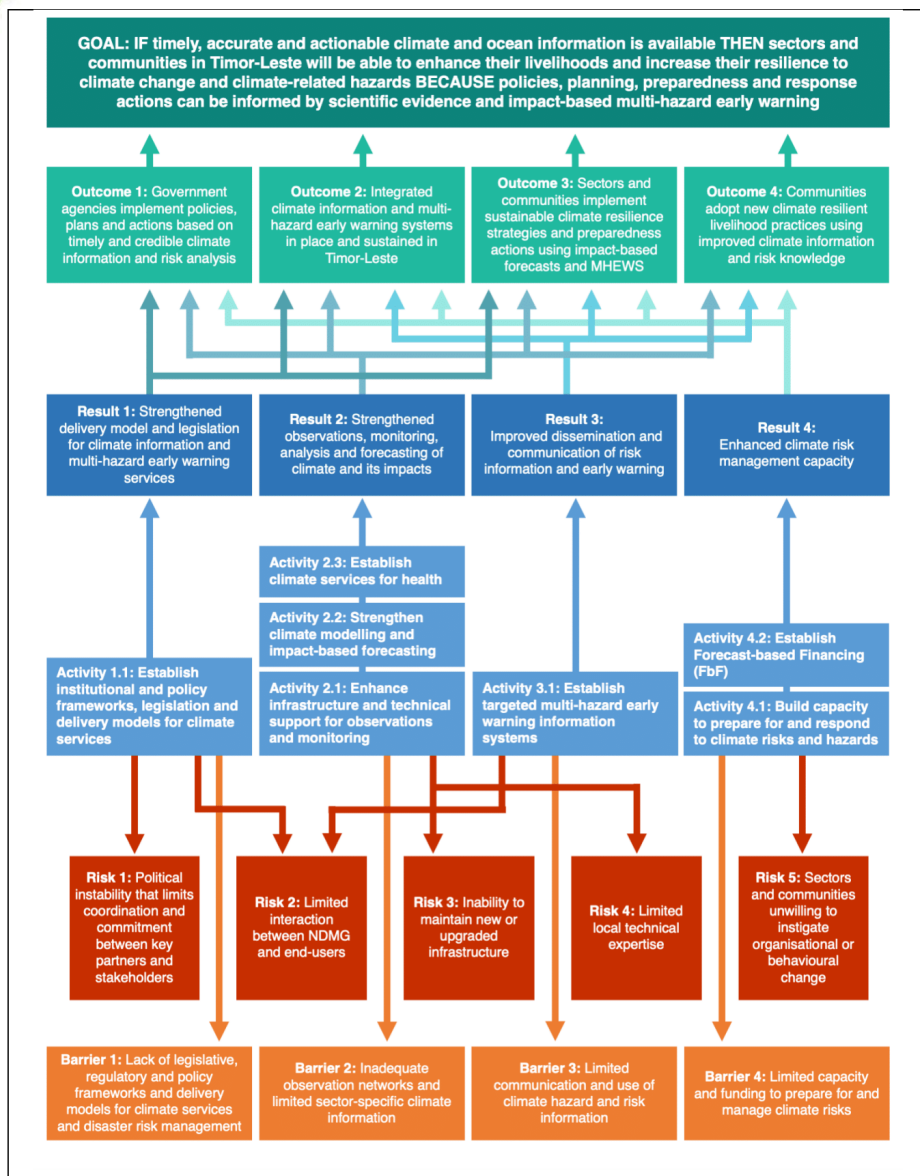


Figure 5. EDA Programme Theory of Change

Climate change adaptation solutions for local authorities in the Federal State of Micronesia - SPC

Enhancing Early Warning Systems to build greater Resilience to hydro-meteorological hazards in Timor-Leste -UNEP

What is iTAP seeing in GCF projects and the TOC?



- The process of developing a **TOC aims to support the project design**. In reality, we see that in most of GCF projects it ends up being a chart and a formality.
- The ToC should give the big picture of how the project is contributing to the proposed **vision of change and long-term Climate objectives?**
- The first step in developing the pathway is to identify the **vision of success** that should be deeply rooted in the ground. Then you frame your **long-term change/goal that you want to achieve**. Is a ... **be realistic**.
- Most of the TOC are presented just as charts, disconnected to the project structure and design. After the GCF **programming manual was approved in 2020** we are seeing more analysis on risks, barriers and assumptions. But **the approach is linear, and makes you design a logical model/framework....not necessarily a ToC**.
- Most of the TOC are too ambitious. You can not change the country, nor the sector with a Project. **Be realistic**.
- It is crucial to **understand the context**, where the project is happening and the future context: Human and institutional capacities, drivers, actions, etc. The factors in the context could have a **positive or negative influence** on the desired change.

What is iTAP seeing in GCF projects and the TOC?



- The **assumptions are often disconnected from the realities** of the countries and the subregions.
- **Listing the assumptions is not enough:** it is important to test them – not just at the design phase but throughout the lifetime of the Theory of Change.
- **A theory of change is not done in an office with few people: use the TOC to involve the relevant stakeholders** in the design of the Project. The casual pathway illustrates lots of meetings, discussions, thoughts, assumptions in a logical framework. **The purpose is to align the long-term vision.**
- **Map all relevant stakeholders, and their power and influence.** Make sure you are involving the right stakeholders.
- GCF Projects have a **timeframe** of around 5 years: GCF projects will achieve during the project duration only short and medium-term changesbut will they ensure also long-term changes and impacts?
- ToC are non-linear. **The long-term changes or outcomes are not separated building blocks:** they can have all sorts of relationships between them, which you must identify.

What is iTAP seeing in GCF projects and the TOC?

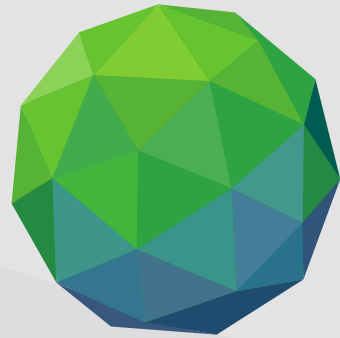


- The ToC should **support the constant revisions of the Project** and should also support the GCF secretariat to evaluate the outcomes of the Project.
- The focus of monitoring is not so much on the intervention itself, but on seeing **whether the desired change as described by the outcomes really takes place.**
- The monitoring of change goes hand in hand with the **examination of the assumptions.** Do they still hold true or not?
- The reason for this regular **monitoring and evaluation is not only to produce reports to the GCF secretariat,** but to **re-examine the strategy and programmes** from time to time.
- You can **always correct a theory of change....**In fact it should be revised periodically.

Q & A

Thanks





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