Approach Paper

Evaluation of Sustainable Landscapes

May 2021

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Acronyms

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>EAG</td>
<td>Evaluation Advisory Group</td>
</tr>
<tr>
<td>GGPI</td>
<td>Green Growth Planning and Implementation Division, GGGI</td>
</tr>
<tr>
<td>GHG</td>
<td>Greenhouse gas</td>
</tr>
<tr>
<td>IEU</td>
<td>Impact and Evaluation Unit, GGGI</td>
</tr>
<tr>
<td>IPSD</td>
<td>Policy Solutions Division, GGGI</td>
</tr>
<tr>
<td>KEQ</td>
<td>Key Evaluation Question</td>
</tr>
<tr>
<td>NDC</td>
<td>Nationally Determined Contributions</td>
</tr>
<tr>
<td>SO</td>
<td>Strategic Outcomes, GGGI</td>
</tr>
<tr>
<td>SL</td>
<td>Sustainable Landscapes</td>
</tr>
</tbody>
</table>
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Introduction

Evaluation has a valuable role to play in advancing GGGI’s mission of supporting Members in their economies to a green-growth model, as well as maximizing the impact and value for money of the Institute’s work. The evaluation function supports implementation of GGGI’s Strategy 2030 by generating and harnessing evidence on green growth to inform the learning, improvement, and accountability needs of the Institute, its Members, and its resource partners.

Each year, GGGI’s Impact and Evaluation Unit (IEU) selects thematic topics for evaluation in consultation with GGGI’s Management, based on the selection criteria contained in GGGI’s Evaluation Rules. The criteria include:

- Relevance to GGGI’s strategic, programmatic, or corporate priorities;
- Potential learning and improvement for program teams and the Institute;
- Alignment with areas of interest expressed by Members and resource partners;
- Operational factors, including budget, availability of key stakeholders, period since an evaluation was last conducted, and plans for future evaluations by other partners;
- Evaluability of the programs or thematic topics; and
- Potential contribution to the evidence base for green growth.

Since its establishment in 2017, the IEU has completed three strategic and thematic evaluations in additional country specific evaluations. These strategic and thematic evaluations have focused on:

Sustainable landscapes (SL) was selected for evaluation under GGGI’s Annual Evaluation Workplan 2020, in consultations with GGGI’s Management and Management and Program Sub-Committee. However, the delivery of this evaluation was significantly affected by the Covid-19 pandemic, with program teams working remotely and consultation with government partners.
slowing down in many cases. Moreover, at the request of Management, IEU focused resources in 2020 to lay the foundation for the implementation of Strategy 2030 and integrating the Impact Pathway Review into the annual results reporting within GGGI’s Project Management Cycle.

This Approach Paper describes the context, objectives, and implementation approach for the evaluation. It has been prepared to facilitate consultations on the evaluation design and guide its implementation once approved. The content of the Approach Paper follows that stated in GGGI’s Evaluation Rules.
Relevance of SL for green growth

Sustainable Landscapes contribute to multiple SDGs, including climate change mitigation, adaptation, and enhancement of biodiversity and ecosystem services. Sustainably managed forests and agriculture are key to sustain livelihoods and realize green economy ambitions of Members. Globally, around 23% of greenhouse gas (GHG) emissions come from the land use sector. It is widely acknowledged that forests can significantly, and cost effectively contribute to the 2 degrees Celsius target whilst also delivering sustainable development and adaptation benefits. Forests were prominent in the first round of Nationally Determined Contributions (NDCs), with over 75% of NDCs including forestry-related commitments, representing an estimated 25% of total planned emission reductions by 2030 (including conditional commitments). Despite this, deforestation continues at alarming rates and the sector has struggled to attract investment – less than 3% of international and domestic public finance for mitigation purposes has gone to forests.

Similarly, agriculture features prominently in the NDCs, with 67% of NDCs including the sector in mitigation efforts and 69% in adaptation efforts. Agriculture plays a key role in rural development and poverty reduction and is often the largest employer and contributor to GDP in developing countries. Some 2.5 billion people worldwide – mostly smallholder farmers – depend on agriculture for their livelihoods. As agriculture in many developing countries is primarily rain-fed, climate change and variability are already impacting the sector adversely, especially the small-holder farmers with limited resources and adaptive capacity. Frequency and intensity of droughts, flooding, and storm surges is creating long-term water shortages, desertification, worsening soil conditions, and pest outbreaks impacting crop yield and productivity. Without adaptive measures, it is estimated that global crop yields could be reduced by 5-30% by 2050 from climate change, with serious consequences for global food security and livelihoods. With increasing population and urbanization, agriculture with unsustainable practices would also increase the sector’s GHG emission contributions further. Similarly, greater land clearing needs from unsustainable practices will put further pressure on biodiversity and forest resources. As such, support to integrated mitigation and adaptation efforts, such as with climate-smart agriculture, is necessary and have the potential to deliver significant social, economic, and environmental co-benefits (e.g., rural development, nutrition, food security, poverty reduction, job creation, ecosystem conservation and biodiversity).

Goals and targets

SL within GGGI’s strategy

SL was confirmed as a thematic priority in 2014 under GGGI’s Strategic Plan 2015-20 and remains a focus under Strategy 2030. SL contributes to GGGI’s Strategic Outcomes (SOs) of GHG emission reductions, green jobs created, natural capital projection, and adaptation services. These SOs were adopted in 2017 as the expected impacts of all interventions, as part of the Refreshed Strategic Plan 2015-20. The SOs were selected based on their alignment to NDC, Sustainable Development Goals (SDGs), and national development goals/targets in Member and Partner countries. Moreover, in 2019, organization-wide targets were set for each of the SO, including a breakdown of the attributed impact by SL programs (Table 1). GGGI has commenced assessing progress against these targets, mainstreaming it in the year-end reporting process.

In 2020, GGGI formally articulated SL into three programmatic solutions, namely, (i) climate-resilient agriculture; (ii) sustainable forests; and (iii) coastal resilience, under the Roadmap to Implement
Strategy 2030. As such, SL constitutes three of GGGI’s ten programmatic solutions (Table 2).

Table 1 | GGGI Strategic Outcome targets

<table>
<thead>
<tr>
<th>Strategic Outcomes</th>
<th>GGGI attributed outcomes 2017-2030</th>
<th>of which, from SL programmatic solutions (i.e., climate-resilient agriculture; sustainable forestry; and coastal resilience)</th>
<th>GGGI contributed outcomes 2017-2030</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. GHG Emission Reductions (million tonne CO2e)</td>
<td>1,000</td>
<td>251</td>
<td>1,600</td>
</tr>
<tr>
<td>2. Direct Green Jobs (million jobs created)</td>
<td>2</td>
<td>1.34</td>
<td>4</td>
</tr>
<tr>
<td>3. Sustainable Services (millions of people)</td>
<td>100</td>
<td>-</td>
<td>500</td>
</tr>
<tr>
<td>Energy access</td>
<td>30</td>
<td>-</td>
<td>90</td>
</tr>
<tr>
<td>Sanitation</td>
<td>10</td>
<td>-</td>
<td>50</td>
</tr>
<tr>
<td>Waste</td>
<td>80</td>
<td>-</td>
<td>400</td>
</tr>
<tr>
<td>Transport</td>
<td>20</td>
<td>-</td>
<td>Not available</td>
</tr>
<tr>
<td>4. Air Quality Improvements</td>
<td>Not available</td>
<td>Not available</td>
<td>Not available</td>
</tr>
<tr>
<td>5. Natural Capital Protection (millions of hectares)</td>
<td>0.5</td>
<td>0.45</td>
<td>20</td>
</tr>
<tr>
<td>6. Adaptation Services (millions of people)</td>
<td>8</td>
<td>7.5</td>
<td>16</td>
</tr>
</tbody>
</table>
GGGI’s Theory of Change is that the SOs will be achieved by assisting Members accelerate access to climate finance in support of ambitious NDC implementation, combined with increased institutional capacity, to transform their economies to a green-growth model (i.e., process of change). This will be achieved by catalyzing and accelerating access to climate finance/green investments, and strengthening policy, planning and regulatory frameworks, and institutional capacity. These intermediate outcomes will be supported by demand-driven technical and policy advisory services to deliver bankable projects that can attract investment, to design and operationalize financial mechanisms, and to strengthen the enabling environment (i.e., policy development and implementation). Transformational change is subsequently supported by replicating and scaling GGGI’s interventions through its strategic partnerships, knowledge transfer, and capacity building. See Figure 1.
Figure 1 | GGGI’s Theory of Change

**Outputs**
- Sensible integrated and inclusive business solutions and initiatives are designed and implemented by member countries in the sub-national and national planning processes and tools.
- Development of technical and policy-advice infrastructure to enable green solutions to be mainstreamed into national and sub-national planning processes and tools.
- Member countries demonstrate strong commitment and progress in green growth interventions.
- Member and partner countries demonstrate strong commitment and progress in poverty eradication and green growth ambitions.
- Member countries provide strong evidence for increased efficiency in their green growth interventions, with significant improvements in governance and equity.
- Member and partner countries demonstrate strong commitment and progress in poverty eradication and green growth ambitions.
- Secure and diversified funding with strong donor support, drive and integrate equity in the management and investment of GGGI’s resources.
- National, regional and global green growth ambitions are enhanced.
- Green growth solutions have accelerated progress of countries in poverty eradication and gender equality.
- Member countries drive or accelerate progress of countries in poverty eradication and gender equality.
- Member countries ensure national and sub-national climate action is mainstreamed into national and sub-national planning processes and tools.
- Member and partner countries ensure national and sub-national climate action is mainstreamed into national and sub-national planning processes and tools.
- Our Members have strengthened their policy planning and regulatory frameworks to enhance green growth opportunities.
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- Sustainable financial growth supports commitments to Member and partner countries.

**Intermediate Outcomes**
- National, regional and global green growth ambitions are enhanced.
- Green growth solutions have accelerated progress of countries in poverty eradication and gender equality.
- Member countries drive or accelerate progress of countries in poverty eradication and gender equality.
- Member countries ensure national and sub-national climate action is mainstreamed into national and sub-national planning processes and tools.
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- Sustainable financial growth supports commitments to Member and partner countries.

**Long-term Outcomes**
- Reduced GHG emission.
- Creation of green jobs.
- Increased access to sustainable services.
- Improved air quality.
- Supply of ecosystem services ensured.
- Enhanced adaptation to climate change.
Program design and funding

GGGI’s programs are guided by Country Planning Frameworks with Members, setting out the rationale and content for programming in the country context, aligned to the Institute’s strategy, theory of change, and government priorities (i.e., NDCs, SDGs, and other national development priorities). Under these programs, GGGI develops and implements projects structured around a results framework and output-based budget that links project outputs and intermediate outcomes to the SOs. These projects are funded through a mix of core (unrestricted) and earmarked (restricted) resources. GGGI recognizes weak program design – and the disconnect between the above listed elements – as an operational and portfolio risk under its Risk Management Framework.

GGGI has also sought to significantly increase earmarked funding as part of efforts to find a sustainable model of financing for its operations since 2017, with USD 27.7m in new earmarked funding commitments signed for SL in 2020 (see Figure 2). This earmarked funding will support operations in Colombia, Ethiopia, Kiribati, Indonesia, Peru, and Senegal over 2021-23. Moreover, based on its project pipeline developed in 2019-20, GGGI anticipates new funding agreements for SL in Ethiopia, Guyana, Indonesia, and Uzbekistan in 2021, and a pipeline of projects, including for Nepal, Pacific, Senegal, commencing in 2022. GGGI recognizes the significant increase in earmarked funding to support programmatic expansion may undermine its ability to achieve its SOs by fragmenting its portfolio.

Recognizing these risks on the potential for GGGI to support transformational change, Management has put in place numerous mitigating measures. These measures include processes for assuring strategic alignment and results-based management in program and project design, management, and reporting.

SL program and responsibilities

Project portfolio

Since its inclusion as a thematic priority for GGGI in 2014, the SL program has grown to become a significant share of GGGI’s operations and impact. GGGI delivered SL projects across 10 countries between 2017-20 (see, Figure 3).

Figure 2 | New signed earmarked-funded program and project agreements, annual
Source: Preliminary IEU calculations.
Most SL programming during this period took place in Colombia, Indonesia, and Peru, supported by earmarked funding from the Government of Norway, specifically Norway’s International Climate and Forestry Initiative (NICFI). Other countries had more modest SL projects, under the value of USD 250,000, funded by Denmark’s Ministry of Foreign Affairs, Conservation International, the Environmental Resources Institute, Hungary’s Ministry of Innovation and Technology, the Italian Ministry of Environment, Land and Seas, Korea Forest Service, Korea Rural Economic Institute, MAVA Foundation, UK Partnering for Accelerated Climate Transitions (UK PACT), and the World Bank. Table 3 lists the details of the projects with SL-related activities in these countries.

Through these projects with SL-related activities, GGGI delivered policy advisory outputs for 16 policies linked to SL between 2015-20, or 11% of GGGI’s total policy advisory outputs (Figure 4A). Broken down according to the programmatic solutions outlined in Strategy 2030, the majority of SL linked policy advisory outputs were related to sustainable forests (13), with the balance related to climate-resilient agriculture (Figure 4B). Moreover, SL-related activities generated 22 percent of GGGI’s bankable projects that received investment commitments in terms of the number of transactions (Figure 4C) and accounted for 58 percent of GGGI’s total investment commitments, in terms of value (Figure 4D).

Organizational responsibilities

Different parts of GGGI are involved in delivering SL projects.

- Green Growth Planning and Implementation Division (GGPI) teams lead the development and implementation of country programs. GGPI staff are almost entirely located in the country of the programming.
- Investment and Policy Solutions Division (IPSD) teams shape GGGI’s interventions, providing technical expertise to help deliver country programs, and lead critical cross-country functions such as knowledge sharing. IPSD staff are located both in Seoul HQ and in country locations.

While most SL programming is delivered via GGPI-led programs, the SL team has also proposed a complementary Global SL Program to be implemented as part of GGGI’s Work Program & Budget for 2021-22. The main objectives under this initiative are: (i) developing SL financing solutions; (ii) raising international visibility of GGGI’s SL programmatic solutions; and (iii) building capacity of Members.
Between 2017-20, a dedicated Sustainable Landscapes Unit existing in IPSD, headed by a Deputy Director. However, as of 2021, IPSD has been refocused as a group of “Global Practices” and “Communities of Practices” aligned with Strategy 2030’s programmatic solutions. A Community of Practice has been established for sustainable forests, with three co-leads: one for Africa based in Addis Ababa, one for Asia and the Pacific based in Jakarta, and one for Latin America and the Caribbean to be based out of Bogota. Communities of Practice are also being established for climate resilient agriculture and coastal resilience.

Figure 4 | Key results delivered under the Refreshed Strategy 2015-20

A. Thematic distribution of support for strengthening policies, share of total

B. Programmatic solution distribution of support for strengthening policies, share of total

C. Thematic distribution of investment commitments mobilized, share of total investment projects

D. Thematic distribution of investment commitments mobilized, share of total investment commitment value
<table>
<thead>
<tr>
<th>Project code</th>
<th>Member / Partner country</th>
<th>Project title</th>
</tr>
</thead>
<tbody>
<tr>
<td>BF03</td>
<td>Burkina</td>
<td>Supporting Sustainable Landscapes and Scaling Up of Ecovillage Development Model</td>
</tr>
<tr>
<td>BF08</td>
<td>Burkina</td>
<td>Solar PV Electricity for Agricultural Development</td>
</tr>
<tr>
<td>CO05</td>
<td>Colombia</td>
<td>Colombia GGGI Phase II of Green Growth Program</td>
</tr>
<tr>
<td>CO06</td>
<td>Colombia</td>
<td>Transforming Illegal Logging in Colombia</td>
</tr>
<tr>
<td>CO04</td>
<td>Colombia</td>
<td>Scaling Up Green Growth Policy Implementation and Investments via Capacity Building of State and Non-state Actors</td>
</tr>
<tr>
<td>CO03</td>
<td>Colombia</td>
<td>Colombia GGGI Growth Program</td>
</tr>
<tr>
<td>CO02</td>
<td>Colombia</td>
<td>Policy and Investment Development to Advance Colombia’s Long Term Green Growth Objectives</td>
</tr>
<tr>
<td>CR01</td>
<td>Costa Rica</td>
<td>Capital enhancement for ecosystem services through the environmental bank foundation (FUNBAM)</td>
</tr>
<tr>
<td>ET04</td>
<td>Ethiopia</td>
<td>Climate Insurance Acceleration Fund</td>
</tr>
<tr>
<td>ET02</td>
<td>Ethiopia</td>
<td>Accelerating Green Growth in Ethiopia</td>
</tr>
<tr>
<td>ET11</td>
<td>Ethiopia</td>
<td>Introducing Climate-Smart Irrigated Wheat Systems in the Ethiopian Lowlands</td>
</tr>
<tr>
<td>ET13</td>
<td>Ethiopia</td>
<td>Support to the Forest Sector Transformation Unit, Environment, Forest, and Climate Change Commission</td>
</tr>
<tr>
<td>IN08</td>
<td>India</td>
<td>Greening of Commodity Value Chains</td>
</tr>
<tr>
<td>IN1</td>
<td>India</td>
<td>Green Growth through NDC</td>
</tr>
</tbody>
</table>

Table 3 | List of projects delivering SL activities during 2017-2020
<table>
<thead>
<tr>
<th>Member / Partner country</th>
<th>Project code</th>
<th>Project title</th>
<th>Project Status</th>
<th>Start date</th>
<th>End date</th>
<th>Total project budget (USD)</th>
<th>Funding source</th>
</tr>
</thead>
<tbody>
<tr>
<td>India</td>
<td>IN2</td>
<td>Climate Resilient and Gender Inclusive Mahatma Gandhi National Rural Employment Guarantee</td>
<td>Project Closed</td>
<td>Sep-18</td>
<td>Dec-19</td>
<td>Missing</td>
<td>Core</td>
</tr>
<tr>
<td>India</td>
<td>IN1-2000-2</td>
<td>Advancing climate resilient tea production &amp; sustained livelihoods for small tea growers with emphasis on women laborers in Assam and West Bengal</td>
<td>Project Closed</td>
<td>Missing</td>
<td>Missing</td>
<td>Missing</td>
<td>Core</td>
</tr>
<tr>
<td>India</td>
<td>IPSD3</td>
<td>Water conservation fund for solar irrigation pumps</td>
<td>Project Closed</td>
<td>Missing</td>
<td>Missing</td>
<td>Missing</td>
<td>Core</td>
</tr>
<tr>
<td>Indonesia</td>
<td>ID1 / 2144ID</td>
<td>Indonesia Green Growth Program Phase II</td>
<td>Project Closed</td>
<td>Jan-16</td>
<td>Dec-20</td>
<td>19,723,611</td>
<td>Earmarked (Norway’s International Climate)</td>
</tr>
<tr>
<td>Kiribati</td>
<td>KI02</td>
<td>Development of an Agricultural Strategy as an Addendum to Kiribati’s National Development</td>
<td>Project Implementation</td>
<td>Jan-19</td>
<td>Mar-22</td>
<td>80,000</td>
<td>Core</td>
</tr>
<tr>
<td>Myanmar</td>
<td>MM03</td>
<td>Mangrove Restoration Program in Myanmar</td>
<td>Project Implementation</td>
<td>Apr-19</td>
<td>Aug-21</td>
<td>100,000</td>
<td>Core, Earmarked (MAVA Foundation)</td>
</tr>
<tr>
<td>Myanmar</td>
<td>MM18</td>
<td>Scaling 3Returns Mangrove Analysis to All Mangrove Areas with the Ayeyarwady Region, Myanmar</td>
<td>Project Implementation</td>
<td>Mar-20</td>
<td>Oct-20</td>
<td>80,000</td>
<td>Earmarked (World Bank)</td>
</tr>
<tr>
<td>Myanmar</td>
<td>MM2</td>
<td>Kadonkani Mangroves Project</td>
<td>Project Closed</td>
<td>Jan-18</td>
<td>Dec-19</td>
<td>Missing</td>
<td>Core</td>
</tr>
<tr>
<td>Peru</td>
<td>PE08</td>
<td>Agroforestry Concessions (ACTion)</td>
<td>Project Implementation</td>
<td>Feb-20</td>
<td>Jan-23</td>
<td>6,651,470</td>
<td>Earmarked (Norway’s International Climate)</td>
</tr>
<tr>
<td>Peru</td>
<td>PE05</td>
<td>Mitigating Deforestation through Land Use Formalization</td>
<td>Project Implementation</td>
<td>Jan-19</td>
<td>Dec-20</td>
<td>Missing</td>
<td>Core</td>
</tr>
<tr>
<td>Peru</td>
<td>PE06</td>
<td>Facilitating Investment to Restore and Protect Priority Natural Ecosystems Leading to Improved Water Security for 10m People in Lima</td>
<td>Project Closed</td>
<td>Feb-19</td>
<td>Jun-19</td>
<td>Missing</td>
<td>Core</td>
</tr>
<tr>
<td>Peru</td>
<td>PE2</td>
<td>Identifying Synergies between Green Growth Actions Across National Strategies</td>
<td>Project Closed</td>
<td>Jan-17</td>
<td>Jan-19</td>
<td>Missing</td>
<td>Core</td>
</tr>
<tr>
<td>Uganda</td>
<td>UG3</td>
<td>Sustainable Energy-Water Solution for Med-Large Irrigation of Commercial Farming</td>
<td>Project Implementation</td>
<td>Mar-18</td>
<td>Mar-20</td>
<td>230,000</td>
<td>Earmarked (Hungary - Ministry of Innovation and Technology)</td>
</tr>
<tr>
<td>No.</td>
<td>Region</td>
<td>Project Code</td>
<td>Project Title</td>
<td>Project Stage</td>
<td>Implementation Dates</td>
<td>Amount</td>
<td>Implementing Agency</td>
</tr>
<tr>
<td>-----</td>
<td>--------</td>
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<td>---------------</td>
<td>---------------</td>
<td>----------------------</td>
<td>--------</td>
<td>---------------------</td>
</tr>
<tr>
<td>28</td>
<td>Colombia, Fiji, Ethiopia, Peru, Viet Nam</td>
<td>SLS03</td>
<td>Forest Finance and Investment Incubator</td>
<td>Project Implementation</td>
<td>Jan-20 - Oct-22</td>
<td>887,111</td>
<td>Conservation International/ United States Department of State</td>
</tr>
<tr>
<td>29</td>
<td>Global</td>
<td>SLS04</td>
<td>Global Peace Forest Initiative</td>
<td>Project Closed</td>
<td>Apr-20 - Dec-20</td>
<td>40,000</td>
<td>Korea Forest Service</td>
</tr>
<tr>
<td>30</td>
<td>Global</td>
<td>SLS05</td>
<td>15th World Forestry Congress</td>
<td>Project Closed</td>
<td>Apr-20 - Dec-20</td>
<td>80,000</td>
<td>Korea Forest Service</td>
</tr>
<tr>
<td>31</td>
<td>Global</td>
<td>SLS06</td>
<td>2020 Study for Agricultural Development</td>
<td>Project Closed</td>
<td>Jul-20 - Oct-20</td>
<td>15,000</td>
<td>Korea Rural Economic Institute</td>
</tr>
</tbody>
</table>
Objectives and scope

The objective of this evaluation is to provide GGGI’s Assembly, Management, and other stakeholders with information on the results to date and identify the lessons and opportunities to further improve the delivery and impact of GGGI’s SL interventions to support transformative green growth and climate action. The evaluation will also attempt to examine the transformational change aspects of GGGI’s SL functions and impacts for systemic change, scalability, and sustainability potential perspectives.

The theory of change for GGGI’s evaluation function is that objective evidence from evaluations help to strengthen structures, process, and strategies for operations management, as well as inform future program and project design, to ensure interventions have greater impact. This theory assumes that Management agrees with the recommendations, that Management with inputs from portfolio and program managers articulates tangible and time bound actions in its response to the recommendations, capacity and resources are made available to implement these actions, and that the Council periodically requests an update on the implementation of these tangible and time bound actions.

The objective for this evaluation has been expressed as

<table>
<thead>
<tr>
<th>Key Evaluation Questions</th>
<th>Rationale</th>
<th>Evaluation criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. What is the contribution of SL interventions so far to outcome/impact targets in Strategy 2030?</td>
<td>A key accountability measure for GGGI is the performance against its SO targets. This KEQ will contribute to this effort by quantifying and validating the SO from SL projects that can be counted towards the targets.</td>
<td>Effectiveness; Impact</td>
</tr>
<tr>
<td>2. How has GGGI contributed to NDC and relevant national policy goals/targets through its SL interventions?</td>
<td>A key performance measure for GGGI is the extent to which it is aligned with Member/Partner government priorities. This KEQ is particularly of interest to Members to demonstrate GGGI’s demand-led approach and to resource partners who provide funding for climate action and sustainable development.</td>
<td>Relevance; Sustainability</td>
</tr>
<tr>
<td>3. What financing solutions has GGGI delivered, and what lessons have been learned to mobilize SL finance more effectively in the future?</td>
<td>GGGI’s Global SL Program for 2021-22 signals an intent to focus on SL financing solutions as GGGI’s niche moving forward. This KEQ will assess the extent to which the financing solutions developed in the SL area have been successful or not and why.</td>
<td>Efficiency; Sustainability</td>
</tr>
<tr>
<td>4. How effectively has GGGI’s global SL functions contributing to design, delivery, and scaling-up of SL interventions?</td>
<td>Since 2017, GGGI has successfully undergone reforms to support the sustainable expansion of programming, namely: (i) increasing the share of operations delivered by earmarked resource; and (ii) decentralizing management of operations to programmatic teams in the field. This KEQ will assess how the thematic functions: (i) supply technical expertise in the design and delivery of programs; and (ii) facilitate technical knowledge sharing across programs.</td>
<td>Effectiveness; Efficiency; Sustainability</td>
</tr>
</tbody>
</table>
Key evaluation questions

a set of Key Evaluation Questions (KEQs) to be addressed. These KEQs – and the rationale behind them – are summarized in Table 4.

This evaluation follows the criteria stated in GGGI’s Evaluation Rules, that is aligned to the OECD Development Assistant Committee’s Evaluation Criteria, namely:

- **Impact**: The extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects;
- **Relevance**: The extent to which the intervention objectives and design respond to beneficiaries’, global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change;
- **Effectiveness**: The extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups;
- **Efficiency**: The extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way; and
- **Sustainability**: The extent to which the net benefits of the intervention continue, or are likely to continue.

Countries and Timeframe

Projects from five countries will be included in the scope of this evaluation, see Table 5. These countries provide a mix of regions, level of economic development and vulnerability, and scale of GGGI operations. The evaluation covers the period 2017-20, following the finalization of the Refreshed Strategy 2015 -20 and adoption of SOs as the expected main final impacts of all programs.

1. Members refer to Member states of the United Nations that have submitted their instrument of accession to GGGI and formal membership has commenced, Partners refers to Member states of the United Nations that have formally communicated their intent to become a Member.
2. Burkina Faso and Colombia became Members of GGGI on April 14, 2019 and April 15, 2021, respectively.
3. Roadmap to Implement Strategy 2030 outlines three phases of country operations and maps the current phase of country operations as of 2020. Phase-in represents the beginning of operations in a country, with less than two years of operations, characterized by operations of around USD 0.5m a year, with GGGI having yet to establish a Country Planning Framework (CPF) when operations commence, managed from the regional office or neighboring country. Maturation applies to countries where GGGI has had operations for around 3-5 years, characterized by operations of around 1-2m a year, guided by a CPF, and managed by a dedicated country representative. Expansion applies to countries where GGGI has had operations for more than 5 years, characterized by operations of between 1-2m a year, characterized by operations of around 3-6m a year, guided by a CPF, and managed by a dedicated country representative.

Deliverables

The main deliverable will be an Evaluation Report submitted to GGGI’s Management Team, structured to address the KEQs described in this Approach Paper. An indicative table of contents for Evaluation Report is provided in Annex 1. The Evaluation Report will be supplemented by five appendices that map out the impact pathway for each of the five countries. The Evaluation Report and appendices will be prepared in English.
Moreover, an Evaluation Brief will be developed to summarize the key results and learning from the evaluations in a user-friendly, four-page document. Specifically, the Evaluation Brief will include an overview of GGGI’s SL program, key findings, evaluation questions, and evaluation methods. IEU will endeavor to translate the Evaluation Brief into Bahasa Indonesia, French, and Spanish, to increase the accessibility of the evaluation with senior officials.

<table>
<thead>
<tr>
<th>Country</th>
<th>Member/Partner¹,²</th>
<th>Region</th>
<th>Economic development and vulnerability</th>
<th>GGGI operations³</th>
<th>Projects in scope (USD)</th>
<th>SL as share of country operations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>LDC</td>
<td>SIDS</td>
<td>LLDC</td>
<td>Phase of operation</td>
</tr>
<tr>
<td>Burkina Faso</td>
<td>Member</td>
<td>Africa</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Phase-in</td>
</tr>
<tr>
<td>Colombia</td>
<td>Member</td>
<td>LAC</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>Maturation</td>
</tr>
<tr>
<td>Indonesia</td>
<td>Member</td>
<td>Asia</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>Expansion</td>
</tr>
<tr>
<td>Myanmar</td>
<td>Partner</td>
<td>Asia</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>Phase-in</td>
</tr>
<tr>
<td>Peru</td>
<td>Member</td>
<td>LAC</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>Maturation</td>
</tr>
</tbody>
</table>
Methodology and workplan

The methodology has been designed to address the four KEQs outlined in the evaluation’s objective, as described further in this section. The methodology has also been adapted to the current conditions generated by the Covid-19 pandemic and how it has affected GGGI and the five countries that form part of the evaluation. As a result, the methodology has been designed to be feasible to implement as a desk-based exercise (but hopefully still useful to key audiences) as travel restrictions are unlikely to be lifted and access to partner country stakeholders remains difficult during the second half of 2021.

Methods and data

IEU will adopt a mixed-methods approach involving both quantitative and qualitative data collection and analysis, that can adapt to the information that is available or that the team can generate. The collection of information, data and opinions will be guided by, but not limited to, the evaluation matrix. Data will be verified and validated, and it will be identified whether the data is confirmed by one or more sources so that it can be used appropriately in the analysis. IEU will seek to triangulate the information and evidence taken from different sources and it will consider multiple perspectives.

KEQ1: What is the contribution of GGGI’s SL interventions so far to the outcome/impact targets in Strategy 2030?

- Desk review of relevant project documents from the selected projects – annual result reports and progress reports to the respective resource partners from 2017-20 – to extract key outcomes/impacts are determine their alignment with Strategy 2030 targets.
- Validate the status of project outcomes/impacts using (i) project documents obtained from program teams; and (ii) interviews with GGGI staff and (where possible) external stakeholders, including Member/Partner government officials.

KEQ2: How has GGGI contributed to NDC and relevant national policy goals/targets through its SL interventions?

- Desk review of NDCs and relevant national/subnational policies for the five countries to extract the goals/targets relevant to SL activities. This will be primarily done using GGGI’s database of NDCs and Country Planning Frameworks with the partner governments.
- Identify and validate causal links from the validated outcomes/impacts in KEQ1 to NDC or other relevant policy goals/targets in discussion with program teams and (where possible) external stakeholders, including Member/Partner government officials.
- Describe the validated causal links from the validated outcomes/impacts in KEQ1 to NDC or other relevant policy goals/targets in the main body of the Evaluation Report, as well as country-specific appendices as part of the impact pathway diagrams/tables.
- Develop key findings and recommendations for the Evaluation Report.
**KEQ3: What SL financing solutions has GGGI delivered so far, and what lessons have been learned to help GGGI mobilize SL finance more effectively in future?**

- Based on the five countries, any work undertaken between 2017-2020 that was intended to mobilize finance for SL activities (whether successful or not) will be identified. These may relate to, for example:
  - Mobilization of domestic public finance;
  - REDD+ results-based payment mechanisms;
  - Forest restoration funds;
  - Payment for ecosystem services; and
  - Private sector investment for forest and agriculture businesses.

- Further information will be gathered on the selected financing solutions, based on (i) review of relevant documents; and (ii) discussions with key GGGI and/or external stakeholders. Information will be gathered on:
  - The context and problem to be addressed;
  - The objectives and justification for the financing solution chosen;
  - Key aspects of design of the financing solution and rationale for these design decisions;
  - Key stakeholders and engagement processes involved;
  - The outcome – whether the solution successful in mobilizing finance, and if so, how much, from whom, what type of finance, etc.; and
  - Lessons learned about the key factors that influenced the outcome (drawn from both successful and unsuccessful efforts).

- Case studies on each financing solution will be written up and published as annexes to the Evaluation Report. A synthesis of the SL financing solutions undertaken, lessons learned, and future recommendations will be written up for inclusion in the Evaluation Report.

**KEQ4: How effectively GGGI’s global SL functions contributing to design, delivery, and scaling-up of SL interventions?**

- Conduct structured interviews with staff in GGPI and IPSD teams supporting the design, delivery, and improvements of SL interventions in the five countries. The scope of these questions will focus on the functions IPSD support. These are relevant to the SL team and feature prominently in the Global SL Program proposed for implementation in 2021-2022, namely:
  - Technical support: Provide technical expertise/support in the design and implementation of SL projects (core and earmarked funded); and
  - Knowledge sharing: Curate and share knowledge on best practices and lessons learned on the application of technical solutions prioritized by GGGI for deployment across country programs.

The analysis will have the caveat that during the period of analysis, there has been turnover of IPSD staff, with the Deputy Director and Head of SL changing twice during this period.

- Based on the interviews, key factors that enabled or hindered the effective undertaking of the two key thematic functions above will be identified and analyzed, and possible solutions to improve these functions will be explored and developed.

- Develop key findings and recommendations for the Evaluation Report.
Timetable and resourcing

An indicative evaluation workplan is shown in Figure 5. Overall, it is intended that the evaluation would be completed by around Q3 2021. Overall, the implementation of the evaluation will be led by the IEU team (3 persons).

Management and oversight

Within GGGI, the Evaluation Specialist involved will manage delivery of the evaluation and Head of IEU will provide necessary oversight and quality assurance for this evaluation. IEU is charged with day-to-day management of the evaluation function. IEU plans and designs individual evaluations; recruits and manages independent evaluators to undertake evaluations; disseminates and communicates evaluation findings and recommendations; and provides periodic updates to the Management Team, MPSC and Council on evaluations.

An Evaluation Advisory Group (EAG) has been established for this evaluation – comprised of the Republic of Korea and Peru. In line with GGGI’s Evaluation Rules, any Member of GGGI may volunteer to participate in an EAG and nominate a representative of their choice to the group; they “opt in” to participate in a particular evaluation. The EAG reviews and comments on Evaluation Approach Papers for individual evaluations; reviews and comments on the deliverables of the evaluation; and reports any views on the findings and recommendations of individual evaluations to MPSC.

Figure 5 | Evaluation workplan

<table>
<thead>
<tr>
<th>Tasks</th>
<th>2020</th>
<th>2021</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>May</td>
<td>Jun</td>
</tr>
<tr>
<td>Preparation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Establish Evaluation Advisory Group (EAG)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reconfirm Evaluation Advisory Group (EAG)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Data collection &amp; analysis</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gather and review documents for each country</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prepare preliminary assessments for each country</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interview GGGI and other stakeholders to validate</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Draft country program assessments for evaluation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Aggregate and analyze data against evaluation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Report preparation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Draft evaluation report</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Internal reviews and report revisions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review and finalization of report with GGGI MT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preparation of Management Responses</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Communications</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Publishing and communication activities</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Evaluations help demonstrate the impact of GGGI’s interventions as part of the Institute’s accountability framework and help to inform program, process, structure, and strategy improvements. For the evaluation function to have this impact assumes that the findings and recommendations are broadly disseminated and understood by key audiences with an interest of GGGI’s performance and the governance of the Institute.

**Key audiences**

GGGI’s audiences are made up of a variety of profiles, most of whom are time-constrained and internet savvy. They represent a mix of policy makers (government officials and parliamentarians) and policy shapers (academics, researchers, non-governmental organizations, multilateral development banks, and journalists), as well as a growing number of private sector investors, financiers, and project developers.

The key audiences identified for this evaluation are:

- The Assembly of GGGI - composed of UN Member States and Regional Integration Organizations that have acceded to the Agreement on the Establishment of GGGI (i.e., Members) – which reviews progress of the Institute in meeting its objectives, and receives reports from the Secretariat on strategic, operational, and financial matters. Each Member has designated officials responsible for following GGGI’s operations, with the list managed by GGGI’s Governance Unit.

- Resource Partners, which support GGGI’s SL operations, through both core (unrestricted) and program/project-earmarked (restricted) funding, including Denmark, Green Climate Fund (GCF), Republic of Korea, Norway (Norway’s International Climate and Forest Initiative - Norwegian Ministry of Climate and Environment, Norwegian Agency for Development Cooperation), United Kingdom (Foreign, Commonwealth, and Development Office, Department for Business, Energy, and Industrial Strategy). Each resource partner has designated officials responsible for following GGGI’s operations, with the list managed by GGGI’s Partnership Unit.

- GGGI’s Management Team and units within Office of the Director-General, responsible for fostering a culture of results-based management, one that also incorporates evaluation findings into accountability and decision-making frameworks. The Strategy and Results Unit leads GGGI-wide efforts to instill results-based management system and culture, to drive the effective design, management, and delivery of its green growth outcomes and impacts. The Partnerships Unit leads efforts to review the quality of earmarked-funded program and project design.

- GGGI’s Sustainable Forestry Community of Practice and Green Investment Global Practice that were established in 2020 to provide specialist advice, technical guidance, knowledge sharing, analytical work as well as support to the development of strategic partnerships and relevant business development aligned with the Institute’s Global Operational Priorities.

- GGGI’s Program Teams that are included in the evaluation scope to enhance the relevance, quality and buy-in of evaluation findings and recommendations.

- This Approach Paper will be shared with the Assembly of GGGI, with the GGGI’s Sustainable Forestry Community of Practice and Green Investment Global Practice, and country teams that constitute the focus of the evaluation, as well as made public through GGGI’s website after its approval by the Management Team. The
Evaluation Specialist will be responsible for this activity, in coordination with the Head of Governance, in coordination with the Head of Governance for communication with Members.

- Clear written and verbal communications with staff, Partner countries, development partners and other affected stakeholders who participate in evaluation processes. This is important to enhance the relevance, quality and buy-in of evaluation findings and recommendations. It has other potential co-benefits, such as improving the knowledge and capacity of participants. The Evaluation Specialist will be responsible for this activity.

- Internal GGGI all staff calls prior to the external publication of the Evaluation Report will disseminate the key messages, recommendations, and management response to GGGI staff. Two calls will be arranged, one in the morning Korea time targeting staff in Asia, Latin America and the Caribbean, and the Pacific, and one in the afternoon Korea time targeting staff in Africa and the Asia. These calls will be recorded and shared through GGGI’s Intranet. The Evaluation Specialist will be responsible for this activity.

- The Evaluation Report, including management response and supporting appendices, as well as an Evaluation Brief will be shared with the Assembly, the Sustainable Forestry Community of Practice and Green Investment Global Practice, and country teams that constitute the focus of the evaluation, as well as made public through GGGI’s website after its approval by the Management Team. The Evaluation Specialist will be responsible for this activity.

The launch of the Evaluation Report will be communicated through GGGI social media (e.g., Twitter and Facebook), with particular attention to the accounts of those countries that are being evaluation in the program (i.e., Burkina Faso, Colombia, Indonesia, Myanmar, and Peru). The Evaluation Specialist will be responsible for this action, in coordination with the Head of Communications.
Appendix 1. Evaluation Report Draft

Table ofContents

Main Report

- Executive summary
- Recommendations and Management Response
- Introduction and context
- KEQ1. What is the contribution of GGGI’s SL projects so far to outcome/impact targets in Strategy 2030?
- KEQ2. How has GGGI contributed to NDC and relevant national policy goals/targets through its SL interventions?
- KEQ3. What SL financing solutions has GGGI delivered so far, and what lessons have been learned to help GGGI mobilize SL finance more effectively in future?
- KEQ4. How effectively GGGI’s global SL function contributing to design, delivery, and scaling-up of SL interventions?
- Conclusions and recommendations

Appendices

- List of stakeholders interviewed
- List of documents reviewed
- Country programs assessments, one for each of the five country programs
Appendix 2. Preliminary List of Relevant Documents

Strategy and supporting documents

GGGI Refreshed Strategic Plan 2015 – 2020 Accelerating the Transition to a New Model of Growth
GGGI Strategy 2030, Approved in the 8th Session of the Assembly and 12th Session of the Council (October 2019)
GGGI Strategic Outcomes Guideline, Framework and Methodologies for Development Impact Estimations, Technical Guidelines No 6
MPSC/2020/2, Roadmap to Implement Strategy 2030
GGGI Risk Management Framework, December 31, 2020

Nationally Determined Contributions and National Priorities

GGGI NDC database
GGGI Colombia Country Planning Framework 2016-2020,
GGGI Indonesia Country Planning Framework 2016-2020
GGGI Peru Country Planning Framework 2017-2021

Project design documents and progress reports

Colombia-GGGI Green Growth Program, Program Proposal, 2016
Colombia-GGGI Green Growth Program, Year 1 Progress Report, 2018
Colombia-GGGI Green Growth Program, Year 2 Progress Report, 2019
Colombia-GGGI Green Growth Program, Final Report, 2020
Colombia-GGGI Green Growth Program Phase II (2020-2023), Program Proposal, 2020
Transforming Illegal Logging in Colombia through Judicial Education, 2019
Scaling up Colombia Green Growth Policy implementation and investments via capacity building of state and non-state actors, 2019
Indonesia-GGGI Green Growth Program Phase II, Prioritizing Investments: Developing Green Growth in Indonesia, 2015
Green Growth Program Phase II Indonesia, 2017 Progress Report, 2018
Green Growth Program Phase II Indonesia, 2018 Progress Report, 2019
Green Growth Program Phase II Indonesia, 2019 Progress Report, 2020
Green Growth Program Phase II Indonesia, 2016-2020, Executive Summary of Results, 2020
Sustainable Formalization in the Peruvian Amazon: Reducing Deforestation through Land Tenure of Small-Scale Farmers, Program Proposal, 2018
**Program results reports**

Country Program Results Report for 2020 – Burkina Faso  
Country Program Results Report for 2020 – Colombia  
Country Program Results Report for 2020 – Indonesia  
Country Program Results Report for 2020 – Peru  
Note: No Country Program Results Report prepared for Myanmar program in 2020

**Sustainable Landscape specific documents**

Sustainable Landscapes Brochure

**Previous Evaluations by GGGI Impact and Evaluation Unit**

GGGI (2019), Evaluation of GGGI’s Green Investment Services, December 2019

**Evaluations by GGGI’s resource partners**

ABOUT THE GLOBAL GREEN GROWTH INSTITUTE

The Global Green Growth Institute was founded to support and promote a model of economic growth known as “green growth”, which targets key aspects of economic performance such as poverty reduction, job creation, social inclusion, and environmental sustainability.