

GCF's Evaluation Policy

Summary Approach Paper

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The Independent Evaluation Unit (IEU)

For comments or questions: please write to rlarovere@gcfund.org or jpuri@gcfund.org

I. Objective of this note

At the 19th meeting of the GCF Board in March 2018, the GCF Board requested the Independent Evaluation Unit (IEU) of the Green Climate Fund to prepare an evaluation policy for the GCF.¹ This approach paper lays out the rationale, workplan and timeline to develop this policy.

II. Process for developing the GCF's evaluation policy

The evaluation policy ('Policy') will incorporate and reflect best practices in the field of evaluation while also ensuring that it reflects the content and concerns relevant to the Green Climate Fund. In this regard, it is especially important to note the provision made in the United Nations Framework Convention on Climate Change (UNFCCC) for this purpose which requests evaluation reports to be provided to the Convention. Two key processes will be used to develop the GCF's Policy. First, it will use an extensive process of consultations. Accordingly, a list of principal stakeholders is described in Annex I. Second, it will review the experiences of other relevant organizations.

III. Principles for developing the evaluation policy

The IEU will serve as the overall guardian of the GCF's evaluation policy. It will adhere to the following principles and guidelines while developing the Policy.

First, the IEU will continue to adopt an extensive consultative process within the GCF and with its stakeholders including representatives from accredited entities and national designated authorities (NDAs). Please refer to Annex I for a list and the primary mode of engagement.

Second, the IEU will use the working definition of the legal framework of the Fund. It is important to seek clarification in this regard since it has implications for what the Policy encompasses (the scope), how it is defined (the process), and who is involved (the stakeholders of the policy).

Third, a policy is only useful if it provides guidance for implementation through procedures and standards. Guidelines and standards will be discussed and piloted before being finalized.

Fourth, the Policy will consider the context of the GCF including its existing policies. The Policy will be aligned with the mandate of the GCF as stated in its governing instrument and the guidance provided by the UNFCCC. It will consider the early days of the Fund as well as the national context of countries. It will have clear links to existing GCF policies and procedures. The Policy will also set the stage for developing guidelines and procedures that will support its implementation.

¹ See B.06/18 and B.19/21

Fifth, the Green Climate Fund is a rapidly evolving organization. Keeping this in mind, the Policy will include a process for it to be revised every five years to ensure that it reflects best practices in the field and the changing context of the GCF.

Finally, the Policy will define key principles such as credible measurement, independence and utility; clarify roles and responsibilities of GCF partners involved with the preparation and implementation of projects; and clarify the IEU's role and its linkages with functions such as monitoring, risk, audit, knowledge management and other independent units.

IV. Timeline

Key dates for developing the Policy are noted in Table 1.

Table 1: Key milestones for developing the GCF's evaluation policy

Date	Product or key process	Description
April – May 2018	Preparation	IEU team consults within and outside of GCF on expectations regarding the Policy
May 2018	Development of key concepts in the Policy	The IEU team ² identifies, prepares and defines key concepts in the Policy.
May 28 – June 1, 2018	Engagement with the Direct Access Entities (DAEs) in Songdo	The IEU team conducts consultations and interviews to receive feedback on the expectations of this group regarding the Policy.
June 2, 2018	Information video	An information video is prepared to present key concepts on evaluation functions and the Policy.
July 1 – 4, 2018	Informal consultations with participants at B.20	Several side events are organized to informally consult with Board members, advisors and observers on key concepts.
July 2018	Preparation and dissemination of the draft Policy	The draft Policy is prepared, and the team holds consultations with representatives of the key stakeholders.
August 10, 2018	Draft evaluation policy for public consultation	The IEU uploads the draft Policy onto its website and opens a 3-week period for public comments and an online consultation
August 10 – September 1, 2018	Open consultation period (three weeks) on the draft	Public commentary is requested to help the IEU prepare the final Policy.
September 2018	Finalization of the evaluation policy	The IEU finalizes the Policy after considering comments received through the public consultation.
October 1, 2018	Final GCF evaluation policy	The final Policy is uploaded onto the B.21 website.
October 30 – November 1, 2018	The Policy is discussed at the B.21 Board meeting	The Policy is discussed at the 21 st Board meeting for Board consideration and approval.
November 1, 2018 onwards	B.22: Evaluation guidelines and procedures	Presentation and discussion of the information document takes place on the sidelines of B.22.

² Comprised of the IEU staff, plus external consultants contracted to support the consultations and policy development from Le Group-conseil Baastel.

V. Outline of the GCF's evaluation policy

The following topics are proposed to be included in the Policy:³

- Section I: Introduction, context, purpose, status and scope of the Policy
- Section II: Definitions, principles, criteria and standards of evaluation
- Section III: Types of evaluations
- Section IV: Requirements for high quality evaluation
- Section V: The monitoring and evaluation ecosystem in the GCF
- Section VI: The Independent Evaluation Unit and its role as custodian of the EP
- Section VII: Disclosure of evidence and access to information
- Section VIII: Ensuring learning uptake and use of evidence and lessons
- Section IX: Implementing the Policy
- Annexes: measurement, standards for quality evaluations, attributable causality

Annex I

The following groups will be consulted at different stages:

- GCF Board members: GCF Board members will be consulted through webinars, special events, such as Board meetings or regional structured dialogues;
- GCF Secretariat and independent unit staff: Staff from the GCF Secretariat and independent units will be consulted via meetings as well as other modes of communication.
- Civil Society Organizations (CSOs): The IEU team will consult with CSO network representatives, regional leads and observers to the Board through focus group discussions or interviews. The IEU team will also take advantage of regional structured dialogues.
- National Designated Agencies (NDAs): The IEU team will reach out to national agencies primarily during the structured dialogue workshops and through the IEU website once drafts are provided.
- Accredited Entities: The IEU team will reach out to national agencies primarily during the structured dialogue workshops and through the IEU website once drafts are provided.
- IEU Advisors: The advisors to the head of the IEU will be interviewed through one-on-one interviews.
- Evaluation Policy reference group: An external reference group consisting of heads of evaluation at IFAD, UNOIS, FAO, WFP and UNDP have been constituted. The reference group will review the approach paper and the draft Policy.

³ Based on the outline provided for the 19th Board meeting (GCF7B.19/07)