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# Decision of the Board on 2017 Work plan and Supplementary budget, Independent Evaluation Unit

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**B.BM-2017/09**

21 September 2017

**Decision approved between meetings**

## **Decision of the Board on 2017 Work plan and Supplementary budget, Independent Evaluation Unit**

The Board having considered document GCF/BM-2017/11 titled “2017 Work plan and Supplementary budget, Independent Evaluation Unit”:

Approves the work plan and budget of the Independent Evaluation Unit for July to December 2017 as contained in document GCF/BM-2017/11/Annex II and Annex III (total budgeted amount of USD 1,010,000).

## Annex II: IEU's work plan (July – December 2017)

### I. IEU's activities and outputs for this period

This section presents key elements of IEU's work plan over a six-month period (July – December 2017). Planned activities and outputs in 2017 are:

1. **Building the IEU:** During 2017, a key focus for the IEU will be to build and strengthen the Unit. Key activities include:
  - (a) Development of the Independent Evaluation Policy for approval by the Board
  - (b) Proposing detailed guidelines and procedures for the IEU for approval by the Board no later than B.19 (Annex V, Decision B. 10/05).
  - (c) Outputs: In 2017, the IEU's annual and three year rolling work plan and budget will be presented (at B.18); IEU will present the outline of the Independent Evaluation Policy (at B.18); IEU will hire four consultants as approved at B.16; IEU will prepare a draft of detailed guidelines and procedures for the effective functioning of the IEU to be shared with the co-chairs; and, four key staff will be selected and made offers to (December 2017).
2. **Evaluation:** The IEU will initiate one evaluation in 2017. As per decision B.17/07 of the GCF Board, IEU has been invited to lead the Readiness and preparatory support evaluation.
3. Pending a Board decision, the Independent Evaluation of the Readiness and support program will start in 2017 as soon as the budget for the evaluation is approved and will continue into 2018. Terms of reference for the evaluation will be prepared in 2017 and the team will be put together.
4. **Taking stock of evaluations:** An important and urgent request made from key staff both in the Secretariat and in the regions, is understanding what other evaluations of potentially transformational action are teaching us. In response to this need, the IEU will survey and take stock of high-quality evaluations in this area. In 2017, the IEU will take stock of evidence from evaluations related to transformational change from other agencies and prepare key learning in readable form for the GCF.
  - (a) Output: In 2017, the IEU will provide, as required in the survey and consultations done in the second quarter of 2017 (please see Annex II), an overview of key findings from evaluations of transformational change and produce this in a readable manner for GCF staff.
5. **Engagement, communication and uptake:** The terms of reference of the IEU require the IEU to share, communicate and participate in networks. More specifically, decision GCF/B.10/05 states that the (Head of) the IEU will amongst other things be responsible for:<sup>1</sup>
  - 'Participating actively in relevant evaluation networks in order to ensure that the IEU is at the frontier of results, evaluations and learning practice, and that it benefits from relevant initiatives undertaken by other evaluation units.' and
  - 'Establishing close relationships with the independent evaluation units of the accredited entities of the Fund, and seeking to involve them in their activities, and to share learning wherever feasible and appropriate' and
  - 'Developing plans to ensure that evidence informs learning across the Fund'

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<sup>1</sup> Decision B.10/05/Annex II states that 'The Head of the IEU will carry out its functions and responsibilities described in the terms of reference for her/his unit as outlined in Annex III to decision 8.06/09, which include but are not limited to the functions described in this Annex.'

(Italics added).

6. IEU will start working on putting together the basic elements of separate engagement, communication and 'learning from evaluation' work streams. In 2017 it will prepare content for its website, short videos and readable briefs and brochures on how what the IEU does and how it can help build evaluability into programmes and policies as well as provide an understanding of how evaluations can be helpful.

- (a) Outputs: In 2017, the IEU will, become a member of at least three international evaluation networks; set up a website to enable some understanding of what the IEU does and produce briefs and content on how evaluations may be used constructively to help deliver effectively and efficiently and start to develop initial outreach products. This reflects best practices in the field.

## II. Key elements of the IEU budget for 2017

The budget for the IEU for 2017 is shown in Annex III. It covers the following items:

- (a) Staff: the budget item covers the salaries of staff, including the Head of the IEU and a team assistant both of whom are in office. It also covers the salaries of four additional staff members that will be hired to fill the positions in the IEU organigram presented to the Board at B.16. It is expected that search processes will be concluded in 2017 and these commitments will be made in 2017. The role of IEU staff is both in evaluation management and in evaluation practice. In keeping with best practices in the field, IEU staff will participate and lead all evaluations undertaken by the IEU. Depending on the topic of the evaluation and in keeping with best practices in the field, external experts will also be brought in for each evaluation, to supplement IEU's expertise. This will ensure that the highest quality evaluations are delivered to the Board and in-house capacity is also built within the GCF. In 2017, it is expected that the IEU will put out the job descriptions and start the search processes. However, to start this *contracting process* the IEU needs to have resources in its budget. This is why these amounts are being requested. It is expected that the actual contracts will only be effective in December 2017.
- (b) Consultants: At B.16, the IEU was authorized to bring on four consultants to undertake key pieces of work for the IEU. The search processes have been delayed because the IEU did not have resources to cover the entire contracting period. The budget includes expected expenditures for these consultants in 2017 and in 2018 since the search process will start again (towards the end of 2017) but consultants will continue to work into 2018;
- (c) Travel: A modest amount is requested for this period. The IEU's TOR's (B.06/Annex III) state
- "...10. The IEU will actively participate in relevant evaluation networks to ensure that it is at the frontier of evaluation practice and that it benefits from relevant initiatives undertaken by other evaluation units."
- In keeping with IEU's TORs (see II/6. above), travel will be undertaken to engage closely with other evaluation offices and United Nation's related networks. It will cover IEU supported travel to evaluation related meetings.
- (d) Engagement: In alignment with IEU's TORs (B.06/Annex III) which state that

“...11. The IEU will establish close relationships with the independent evaluation units of the intermediaries and implementing entities of the Fund and seek to involve them in their activities wherever feasible and appropriate.” IEU will continue this work during 2017.

- (e) **Evaluations:** The IEU will start the Independent Evaluation of the Readiness Program in 2017. This budget line represents a substantial portion of the budget for the Independent evaluation of the Readiness programme. Given the tight timeline for the Evaluation, search for the team will need to start immediately and the IEU will require the budget to be able to put out the TORs and start the procurement process. The budget is a multi-year budget and will cover a large part of the costs for engaging an expert team, field travel and in-country consultations over 2017 and 2018.
- (f) **Evaluation capacity:** As explained above, a key need emerging from discussions and surveys done of GCF staff and accredited entity staff is knowing what previous evaluations have said about what works to encourage transformational change and what doesn't. This is laid out in the TORs of the IEU (B.16/Annex III). The IEU will support this need for evaluation related evidence and take stock of and map evaluation related evidence from transformational change across different organizations and share these in readable and understandable ways with GCF secretariat staff as well as others.
- (g) **Communications:** The IEU will work with secretariat staff to develop its website in 2017. Secretariat communications office is currently understaffed and cannot develop content for the IEU. It also does not have the mandate produce learning material and content for IEU. For building this content and communication material and a website to build basic understanding around the uses and needs for evaluations IEU will retain a communications and editorial expert who will also ensure that content produced is high quality and adheres to IEU branding.
- (h) **Operating costs:** The IEU is a new office. This means it requires some resources for initial infrastructure such as closets, tables, writing boards and software. A modest amount has been kept for these incidentals.

### Annex III: Supplementary budget for the Independent Evaluation Unit (2017)

	Item	Approved for March - June 2017. (B.16)	Approval for July - Dec. (2017)
<b>1.</b>	Salaries and consultants		
1.1	Staff (contracting processes for four will start)*	240,930	300,000
1.2	Consultancies (four, as approved at B.16)*	70,000	300,000
	<b>Subtotal: Staff and consultancies</b>	<b>310,930</b>	<b>600,000</b>
<b>2.</b>	Travel		
2.1	Travel for staff	20,000	10,000
	<b>Subtotal: travel</b>	<b>20,000</b>	<b>10,000</b>
<b>3.</b>	Engagement		
3.1	Support for IEU engagement	20,000	0
	<b>Subtotal: Engagement</b>	<b>20,000</b>	<b>0</b>
<b>4.</b>	Evaluation		
4.1	Readiness evaluation (an external team will be brought on)*	0	300,000
	<b>Subtotal: Evaluation</b>	<b>0</b>	<b>300,000</b>
<b>5.</b>	Evaluation capacity		
5.1	Evaluation map consolidating evaluation evidence	0	40,000
	<b>Subtotal: Evaluation capacity</b>	<b>0</b>	<b>40,000</b>
<b>6.</b>	Communication		
6.1	IEU related content development, website etc.	0	40,000
	<b>Subtotal: communications</b>	<b>0</b>	<b>40,000</b>
<b>7.</b>	Operating costs (including software and infrastructure for a new office)		
	<b>Subtotal: operating costs</b>	<b>20,000</b>	<b>20,000</b>
<b>8.</b>	<b>Grand total (1+2+3+4)</b>	<b>370,930</b>	<b>1,010,000</b>

\* Will be spent over 2017 and 2018 but amount is required to start the *search and contracting* process in 2017.

## Annex IV: Update on the activities of the IEU over the past four months (March – June 2017)

1. This section provides an update on IEU's key activities and achievements over the past four months. It includes a progress report on its four work streams, namely evaluation, advisory and capacity support, learning and engagement.<sup>2</sup> Overall the IEU has accomplished all its promised key activities and objectives for this period.
2. Establishing the IEU: The following has been accomplished over this four-month period.
  - (a) **Staffing and evaluation:** At B.16, four consultancies were foreseen for the IEU. At the time of this writing, key consultants who will work closely with the head of the IEU to support her on critical deliverables, have been selected but offers have not been made primarily because processes have been held up. These include two long term consultants including an advisor for the Independent Evaluation Policy, an advisor for the IEU strategy, and a short-term consultant. Terms of references for an IEU communications and uptake consultant have been distributed widely and shortlisting is underway. As promised, one team assistant has been hired and joined the IEU on the 12<sup>th</sup> of June. The IEU also has finalized an external advisory group consisting of leaders in the evaluation space, who will provide advice on technical topics to the head of the IEU and will ensure that the IEU is at the frontier of practice and policy.
  - (b) **Engagement:** The IEU engaged extensively internally and externally. Externally, the head of IEU met with heads of independent evaluation offices of the WB, IDB, UNDP, GEF as well as the relevant offices of the WB (DIME), Climate Investment Fund (CIF), the Global Green Growth Institute (GGGI), NORAD, Children's Investment Foundation Fund (CIFF), the Behavioural Insights Unit (BIU), the Global Data Pulse Lab and Incheon National University. Partnership agreements are being drawn up with these organizations so that IEU may leverage learning and sharing across a diverse set of actors in this field. Internally, the IEU has been in discussions with CPD, DMA, PMU and PSF to discuss evaluation needs and capacities. The IEU has also been given observer status at the United Nations Evaluation Group (UNEG). Its application for membership of the Evaluation Cooperation Group (ECG) is under consideration.
  - (c) **Building and strengthening evaluation capacity:** The IEU conducted several consultations with GCF staff as well as accredited entities, using the opportunity provided by secretariat planned events. It also conducted a survey of direct access entities representatives and GCF regional advisers. The main learning of consultations and the workshops led by the Head of the IEU have been that levels of knowledge amongst GCF stakeholders of basic concepts around evaluation that can also help to strengthen project quality, such as theories of change, process evaluation and systematic reviews and evidence maps is very low. To address this the IEU has also conducted two learning workshops and done several presentations on the vision and methods required for informing credible, rigorous evidence for low-carbon, climate resilient pathways.

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<sup>2</sup> Please refer to the IEU organigram presented at B.16.