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CLIMATE  
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Independent  
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# INDEPENDENT EVALUATION OF THE RELEVANCE AND EFFECTIVENESS OF THE GREEN CLIMATE FUND'S INVESTMENTS IN THE AFRICAN STATES

## Approach paper

May 2022



# Independent evaluation of the relevance and effectiveness of the Green Climate Fund's investments in the African States

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## APPROACH PAPER

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## ABBREVIATIONS

<b>3CO</b>	Complementarity, coherence, cooperation
<b>AE</b>	Accredited entity
<b>AF</b>	Adaptation Fund
<b>AFD</b>	Agence française de développement
<b>AfDB</b>	African Development Bank
<b>AMA</b>	Accreditation master agreements
<b>AU</b>	African Union
<b>AWB</b>	Attijariwafa Bank
<b>BOAD</b>	West African Development Bank
<b>CDC</b>	<i>Caisse des Dépôts et Consignations</i>
<b>CIF</b>	Climate Investment Funds
<b>CMO</b>	Context-mechanism-outcome hypothesis
<b>COP</b>	Conference of the Parties
<b>COVID-19</b>	Coronavirus pandemic
<b>CSE</b>	<i>Centre de Suivi Écologique</i>
<b>CSO</b>	Civil society organization
<b>DAE</b>	Direct access entity
<b>DBSA</b>	Development Bank of Southern Africa
<b>DCP</b>	Division of Country Programming
<b>DMA</b>	Division of Mitigation and Adaptation
<b>DRC</b>	Democratic Republic of the Congo
<b>EBRD</b>	European Bank for Reconstruction and Development
<b>EDA</b>	Enhanced direct access
<b>EGIP</b>	Embedded Generation Investment Programme
<b>EIB</b>	European Investment bank
<b>EU</b>	European Union
<b>FAA</b>	Funded activity agreements
<b>FAO</b>	Food and Agriculture Organization of the United Nations
<b>FCAS</b>	Fragile and conflict-affected states
<b>FGD</b>	Focus group discussions
<b>FPs</b>	Full projects
<b>FPR</b>	Forward-looking Performance Review
<b>GCF</b>	Green Climate Fund
<b>GEF</b>	Global Environment Facility
<b>GGGI</b>	Global Green Growth Institute

<b>GGWI</b>	Great Green Wall Initiative
<b>GI</b>	Governing Instrument
<b>GIZ</b>	<i>Deutsche Gesellschaft für Internationale Zusammenarbeit</i>
<b>IAE</b>	International access entity
<b>IEU</b>	Independent Evaluation Unit
<b>IFAD</b>	International Fund for Agricultural Development
<b>IFI</b>	International financial institution
<b>IGREENFIN</b>	Inclusive Green Financing Initiative
<b>IIU</b>	Independent Integrity Unit
<b>IKI</b>	International Climate Initiative
<b>IPP</b>	Indigenous peoples' policy
<b>IRMF</b>	Integrated Results Management Framework
<b>IRMU</b>	Independent Redress Mechanism Unit
<b>ITAP</b>	Independent Technical Advisory Panel
<b>LDC</b>	Least developed country
<b>LDCF</b>	Least Developed Countries Fund
<b>LIC</b>	Low-income country
<b>LMIC</b>	Lower-middle income country
<b>MDB</b>	Multilateral development bank
<b>MFS</b>	Mobilising funds at scale
<b>Mln</b>	Million
<b>NAP</b>	National adaptation plan
<b>NDA</b>	National designated authority
<b>NDC</b>	Nationally determined contribution
<b>OECD-DAC</b>	Organisation for Economic Co-operation and Development's Development Assistance Committee
<b>PPF</b>	Project Preparation Facility
<b>PSF</b>	Private Sector Facility
<b>PSO</b>	Private sector organization
<b>REDD+</b>	Reducing Emissions from Deforestation and Forest Degradation
<b>RFP</b>	Request for proposals
<b>RPSP</b>	Readiness and Preparatory Support Programme
<b>SANBI</b>	South African National Biodiversity Institute
<b>SAP</b>	Simplified Approval Process
<b>SCCF</b>	Special Climate Change Fund
<b>SIDS</b>	Small island developing States
<b>SME</b>	Small- and medium-sized enterprise



<b>SMT</b>	Senior Management Team
<b>SPR</b>	Second Performance Review
<b>SURAGGWA</b>	Scaling-Up Resilience in Africa’s Great Green Wall
<b>TBE</b>	Theory-based evaluation
<b>ToC</b>	Theory of change
<b>ToR</b>	Terms of reference
<b>UMIC</b>	Upper-middle income country
<b>UNCCD</b>	United Nations Convention to Combat Desertification
<b>UNECA</b>	United Nations Economic Commission for Africa
<b>UNDP</b>	United Nations Development Programme
<b>UNEG</b>	United Nations Evaluation Group
<b>UNEP</b>	United Nations Environment Programme
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>USP</b>	Updated Strategic Plan



## A. INTRODUCTION

### 1. PURPOSE AND SCOPE OF THE EVALUATION

#### a. Context and purpose

The Governing Instrument (GI) of the Green Climate Fund (GCF) mandates that:

“In allocating resources for adaptation, the Board will take into account the urgent and immediate needs of developing countries that are particularly vulnerable to the adverse effects of climate change, including LDCs [least developed countries], SIDS [small island developing states] and African States, using minimum allocation floors for these countries as appropriate. The Board will aim for appropriate geographical balance.”<sup>1</sup>

The sixth meeting of the Board adopted the initial parameters and guidelines for allocation of resources with a decision to “aim for a floor of fifty per cent of the adaptation allocation for particularly vulnerable countries, including LDCs, SIDS and African States” (decision B.06/06). These priorities were reconfirmed in several later documents, including the Updated Strategic Plan (USP) 2020–2023, which was approved by the Board at its twenty-seventh meeting (B.27).<sup>2</sup>

While the African States are by no means a homogeneous group, they have repeatedly managed to formulate common positions with regard to requesting support for addressing the consequences of climate change. A significant recent example was seen at the 26<sup>th</sup> Conference of the Parties (COP) at Glasgow in November 2021, where their leaders collectively expressed disappointment at the broken promise made at COP15 in Paris of USD 100 billion in climate finance to be made available per year, and forcefully argued for increased support, mainly in adaptation funding. The United Nations Economic Commission for Africa (UNECA)<sup>3</sup> was amongst parties at COP26 placing priority on climate finance, technology transfer, capacity building, a loss and damage facility and an insurance against climate disasters.

In light of these stated priorities and concerns, the GCF has sought to examine its investments and work in Africa through an evaluative process. During the thirtieth meeting of the Board (B.30), the 2022 work plan of the Independent Evaluation Unit (IEU) was approved, laying out the different independent evaluations to be conducted in 2022–2023. One of the evaluations to be conducted is the Independent Evaluation of the Relevance and Effectiveness of the Green Climate Fund’s Investments in the African States. This evaluation is expected to draw on Africa-related insights from previous IEU evaluations, and it will constitute a building block of the Second Performance Review (SPR) of the GCF, which is being conducted by the IEU throughout 2022–2023.

The “African States evaluation” serves both learning and accountability. It is expected to be delivered to the Board by the end of 2022, providing key lessons for the GCF, while also building on previous IEU evaluations of the SIDS and LDCs. It will complement the information on the African States contained in these evaluations, in particular on the more advanced countries in Northern and Southern Africa, and other countries that were not covered by the SIDS and LDC evaluations.

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<sup>1</sup> Green Climate Fund (2011).

<sup>2</sup> Green Climate Fund (2020m).

<sup>3</sup> See for example: Kabukuru, W. (2021) and Knaepen (2021).

## **b. Objectives and scope**

The evaluation will assess the extent to which GCF approaches and investments have been effective in contributing to the objectives of the United Nations Framework Convention on Climate Change (UNFCCC) and promoting the paradigm shift towards low-emission and climate-resilient development pathways. In particular, it will consider how effective and efficient the GCF has been in reducing the vulnerability of local communities and local livelihoods to the effects of climate change, and whether these impacts are likely to be sustained. The evaluation has set out to address the following questions:

- 1) **Relevance:** To what extent have the GCF business model, processes, pipeline, and portfolio been relevant to the specific needs and urgency of climate action in the African States?
- 2) **Effectiveness:** To what extent are GCF investments in Africa catering to the high potential for transformation within these economies and the potential for high levels of demonstration?
- 3) **Efficiency and sustainability:** How efficient is the GCF in reducing the vulnerability of local communities and local livelihoods to the effects of climate change? To what extent are these impacts likely to be sustained?

It is important to note that the IEU's other evaluation criteria are and will be subsumed under these criteria. Indeed, the African States evaluation has considered, and is building on, the evaluation criteria mentioned in the Evaluation Policy for the GCF,<sup>4</sup> and also indicated in the terms of reference (ToR) for this mandate, as follows:

- Relevance, effectiveness, and efficiency of projects and programmes<sup>5</sup>
- Coherence in climate finance delivery with other multilateral entities
- Gender equity
- Country ownership of projects and programmes<sup>6</sup>
- Innovativeness in result areas, and the extent to which interventions may lead to a paradigm shift towards low-emission and climate-resilient development pathways
- Replication and scalability, and the extent to which the activities can be scaled up in other locations within the country or replicated in other countries
- Unexpected and unintended results, both positive and negative

Moreover, the following considerations are critical for this evaluation: private sector (despite the fact that paragraph 43 of the GI on private sector engagement only mentions SIDS and LDCs, and not Africa specifically, though there are evidence crossovers), innovation, and external validity (generalizability of the overall GCF portfolio to the specific context of the African States). The evaluation will take into careful consideration the heterogeneous situation of African countries, in terms of their general level of development and resources, their exposure to climate change, and their degree of cooperation with the GCF and other climate finance and funding institutions. In this respect, the evaluation will seek to understand how these differences have informed, enabled and/or constrained their engagement with the GCF (e.g. in terms of direct access entities (DAEs), progress in developing and implementing projects, size of projects, etc.). Understanding the underlying

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<sup>4</sup> Green Climate Fund (2021k).

<sup>5</sup> Co-benefits and global environmental co-benefits would be included either within relevance and/or effectiveness, depending on the scope as determined during the inception stage of this evaluation.

<sup>6</sup> Even though this is not a standard evaluation criterion, it is included among the evaluation criteria the IEU should use to take into account decision B.04/04, that country ownership will be a core principle of the Fund's business model framework.

differences between countries, including their economic, political and institutional dimensions, will provide a concrete and informed basis for developing realistic and useful recommendations for both GCF and African State partners.

## 2. ROAD MAP FOR THIS APPROACH PAPER

The report is organized as follows:

- Section B provides contextual and background information on the African States and their climate change challenges, as well as the GCF Board's decisions and policies on meeting the climate needs of the African States. It is followed by a description of the GCF portfolio in the African States, including a focus on programmes of particular relevance to the African States: the Readiness and Preparatory Support Programme (RPSP), and the Project Preparation Facility (PPF). It also discusses the range of full projects (FPs) in Africa.
- Section C presents the overall theory-based approach being undertaken for evaluating the relevance and effectiveness of the GCF investments in the African States, while providing methodological details for each stage of the evaluation. Limitations for conducting this evaluation are also discussed.
- Section D focuses on the workplan for the evaluation, including key deliverables and milestones. It also outlines the evaluation's quality control procedures.

A series of appendices offer additional detail:

- Appendix 1 provides the full evaluation matrix.
- Appendix 2 provides a detailed theory of change (ToC) and systems map.
- Appendix 3 provides a Knowledge Management and Dissemination Plan.
- Appendix 4 provides a universal interview protocol.

## B. BACKGROUND AND CONTEXT

### 1. UNDERSTANDING THE GREEN CLIMATE FUND

The GCF is a key institution in the global architecture for responding to the challenges of climate change. It advances and promotes a paradigm shift towards low-emission and climate-resilient development, supporting countries and their development partners in doing so as per the targets set by the global community. A designated operating entity of the Financial Mechanism of the UNFCCC, the GCF was set up in 2010 to provide equal funding for climate change mitigation and adaptation to developing countries (and particularly to those among them more vulnerable to the adverse effects of climate change). The GI of the GCF outlines how the Fund is mandated to provide this support.

The Fund is governed by the Board of the GCF, which operates independently and is guided by the COP to the Convention. Its day-to-day operation is undertaken by its Secretariat, composed of around 220 staff operating from the Fund's headquarters in Songdo, Incheon City, Republic of Korea. The Secretariat notably comprises seven corporate divisions and offices, and five programming divisions and offices, all of which report to the Executive Director. In addition, three independent units report to the Board, namely, the IEU, the Independent Integrity Unit (IIU) and the Independent Redress Mechanism Unit (IRMU), ensuring the adequate application of safeguards and internationally accepted standards through accountability, risk management and performance evaluation.

The GCF delivers FPs and programmes targeting eight mitigation and adaptation results areas, identified for their “potential to deliver a substantial impact on mitigation and adaptation.” These include four adaptation areas, namely (i) Health, Food and Water Security; (ii) Livelihoods of People and Communities; (iii) Infrastructure and Built Environment; (iv) Ecosystem and Ecosystem Services; and four mitigation areas, namely (v) Energy Generation and Access; (vi) Transport; (vii) Building, Cities, Industries and Appliances; and (viii) Forests and Land Use.

Project appraisal is facilitated through the technical expertise provided by the Division of Mitigation and Adaptation (DMA) as well as the Private Sector Facility (PSF), who undertake the appraisal of projects brought forth by the private sector, and informed by the Division of Portfolio Management and the other relevant divisions and offices at the Secretariat of the GCF, which provide lessons learned and ensure these inform subsequent projects. The GCF follows a principally demand-driven model. However, it may in some instances issue requests for proposals (RFPs), representing the only supply driven channel for project origination.

As of B.30, the GCF Board had approved 190 projects, valued at USD 37 billion (including the co-financing amount). These projects and programmes are delivered in countries across Africa, Asia-Pacific, Eastern Europe, and Latin America and the Caribbean, with 147 parties to the UNFCCC having identified a national designated authority (NDA) or focal point, allowing them to seek GCF support. Targeted support has been delivered through the Division of Country Programming (DCP), which provides a critical link for enabling strategic programming through support for the development of strategic frameworks and country-driven projects and programmes, and includes dedicated staff for each region of operation.

The GCF works with GCF accredited entities (AEs) to design and implement projects and programmes. GCF AEs include DAEs, comprising national and regional organizations nominated by developing country NDAs or focal points, and international access entities (IAEs), composed of experienced organizations such as United Nations agencies, multilateral development banks (MDBs), international financial institutions (IFIs) and regional institutions, which require no nomination to seek accreditation. The GCF also works closely with the private sector, as facilitated

by the establishment of the PSF, which engages with the sector both locally and internationally to de-risk and support climate action. Finally, intent on ensuring a diverse and engaged participation, GCF has a series of observer organizations from civil society, the private sector, and international entities. These observers may seek accreditation to participate in Board sessions.

Beyond funding FPs, the GCF also provides support through the PPF and the RPSP. Both the PPF and the RPSP focus on capacity building within countries and AEs. The PPF provides project and programme finance proposal preparation support directly to AEs. This support is provided through a range of independent consultancy firms and aims to address capacity constraints in developing climate finance proposals. While targeted to DAEs, all AEs are eligible for PPF support. The RPSP provides support to strengthen institutional capacities, governance mechanisms, and planning and programming frameworks in alignment with the transformational long-term climate action agenda. Both NDAs and DAEs are eligible to apply for support under the RPSP.

## 2. GCF POLICY ON AFRICA

The GI of the GCF recognizes the LDCs, SIDS, and African States as particularly vulnerable to the impacts of climate change. Thus, GCF has provided special consideration for these countries, as reflected in its approach generally, and in the prioritization of programme and project delivery more specifically. Key among these is its allocation of resources for adaptation, which ensures a minimum floor of 50 per cent for LDCs, SIDS and the African States (decision B.06/06). This decision is reflected in the GCF's investment framework and portfolio targets, which take into account the 50 per cent floor, with the decision carried over into the 2020–2023 Updated Strategic Plan (decision B.27/06).

Similarly, the RPSP ensures a floor of 50 per cent of readiness support allocation to vulnerable countries, including the African States (decision B.08/11). The RPSP provides funds to countries for adaptation planning and developing frameworks for long-term climate action. It also provides resources for strengthening the institutional capacities of NDAs/focal points and DAEs. Developing countries can also use the RPSP to support Reducing Emissions from Deforestation and Forest Degradation (REDD+) initiatives, such as the development of national policies, strategies, or action plans. The work programme and budget for the 2020–2021 RPSP outlines several key objectives and outcomes. Among these, programme Objective 4 – Pipeline Development, aims to increase the quality of concept notes and funding proposals from SIDS, LDCs and the African States. Technical assistance is also prioritized for vulnerable countries that by the end of 2021 had not yet accessed adaptation planning resources to support their efforts in preparing national adaptation plans (NAPs).

The GCF's PSF funds private sector actors and institutional investors as a way to encourage co-investments in climate change. Paragraph 41 of the GI states that “... *the facility will also support the activities to enable private sector involvement in the SIDS and LDCs*”. While African States are not mentioned in the GI, at the fourth meeting of the Board, it was emphasized that the PSF was “... to pay specific attention to Africa” (decision B.04/08). In fact, the Board requested that considerations be taken to promote the participation of private sector actors in developing countries, in particular local actors, small- and medium-sized enterprises (SMEs) and local financial intermediaries in SIDS, LDCs and the African States.

At the ninth meeting of the Board (B.09), recommendations were made to create indicative minimum benchmarks for NDAs/focal points, institutions and organizations considering projects and programmes for funding. These benchmarks and the assessment scale would take into account the needs of vulnerable countries, including the African States, based on project size, mitigation/adaptation, and local and sector circumstances (decision B.09/05).

In 2015, the GCF Board approved the pilot phase of the Enhanced Direct Access (EDA) programme, which aimed to enhance country ownership of projects and programmes through a dedicated window for DAEs. The pilot phase included 10 countries, of which at least four would be vulnerable states (LDCs, SIDS and the African States) (decision B.10/04).

With regard to GCF functioning and operations, membership to the GCF Board includes three members and alternate members from the African States. Currently, the Co-Chair of the Board is the board member from South Africa. The GCF has also developed a number of safeguard mechanisms and associated policies to ensure GCF funded initiatives do not cause harm to local communities and the environment. The GCF's indigenous peoples' policy (IPP) recognizes the different criteria used for identifying vulnerable and historically marginalized groups, including traditionally underserved communities in sub-Saharan Africa within this policy (decision B.19/11).

### 3. GCF PORTFOLIO IN AFRICA

The GCF has funded projects in Africa since 2015, and since then has been highly active in the region. The continent counts 54 countries, all of which are eligible for GCF funding. Most countries are located in Eastern Africa (18 countries, 33 per cent), followed by Western Africa with 16 countries (30 per cent), then Middle Africa with nine (17 per cent), Northern Africa with six (11 per cent), and Southern Africa with five countries (9 per cent) (see Figure A - 1).<sup>7</sup>

*Figure A - 1. UN intermediate regions in Africa*

GCF REGION	UN SUB-REGION	UN INTERMEDIATE REGION	COUNTRIES (COUNT)
Africa	Northern Africa		6
	Sub-Saharan Africa	Eastern Africa	18
		Western Africa	16
		Middle Africa	9
		Southern Africa	5
<div><div></div><div>Number of countries</div><div>5<div></div>18</div></div>			

Source: GCF Tableau server as of 1 February 2022. Analysis by the IEU DataLab.

African States are characterized by a high number of low income and lower-middle income countries, each accounting for 43 per cent of all African countries, while only 13 per cent are classified as upper-middle income countries (UMIC) and 2 per cent as high-income countries.<sup>8</sup> Additionally, nearly two-thirds (61 per cent) of African States are classified as LDCs, while 11 per cent are classified as SIDS.

The continent is also marked by a high linguistic diversity, with approximately 2,000 official languages, including Anglophone, Arabophone, Francophone, Hispanophone and Lusophone languages as well as numerous indigenous languages. This diversity also extends beyond language, with significant climatic diversity. Indeed, the continent has both tropical and subtropical climates, including deserts, semiarid regions, grasslands and rainforests.

<sup>7</sup> The distribution provided is based on the United Nations intermediate region breakdown.

<sup>8</sup> The distribution provided is based on the World Bank Country Classification 2022. Available at <https://datahelpdesk.worldbank.org/knowledgebase/articles/906519-world-bank-country-and-lending-groups>.



Energy demand in Africa has been driven by the growing needs of Northern Africa, Nigeria, and Southern Africa. There are also very strong regional variations. Countries such as Democratic Republic of the Congo (DR Congo) and Mozambique have seen their primary energy demand increase by over 50 per cent between 2010 to 2018, whereas others such as Côte d'Ivoire and Ghana have witnessed only a gradual increase in energy demand (or even a decline).<sup>9</sup>

Africa's current energy generation mix is dominated by fossil fuel generation, with oil accounting for 39 per cent of energy generation, natural gas for 30 per cent, and coal for 22 per cent. Electrification remains a challenge in Africa overall, with electricity access rates varying from 30 per cent in Central Africa, 47 per cent in Western Africa, 51 per cent in Southern Africa, 53 per cent in Eastern Africa, to 98 per cent in Northern Africa. Countries such as Egypt, Ethiopia, Kenya, Morocco, and South Africa are leading the increase in renewable energy supply on the continent, while some of Africa's smaller countries including Cabo Verde, Djibouti, Rwanda and Eswatini have set ambitious renewable energy targets. Renewable energy is on a gradual rise across the continent with an annual growth rate of 21 per cent between 2010 and 2020.<sup>10</sup>

The Continent is also highly vulnerable to the impacts of climate change and has already begun experiencing negative repercussions. This indicates not only the importance of supporting Africa in building resilience and climate change mitigation, but also the extent to which the level and types of support needed vary across the continent. And such support needs also to be calibrated to the political, economic and institutional diversity of the African States.

To facilitate the provision of the necessary assistance, the GCF has a team providing direct support to the African States. The DCP notably includes staff dedicated to the continent, who support countries and their DAEs to plan, identify, design and implement country-driven, transformational climate investments. Staff dedicated to Africa are divided into three teams, including one which focuses on Francophone LDCs, another which focuses on Anglophone LDCs, and a final team which works with non-LDCs. These teams are composed of regional managers, regional officers, and regional analysts. Of note, Africa is the only region which has a designated Adaptation Advisor.

Finally, the GCF works with IAEs and DAEs across Africa to implement its projects. As of 31 October 2021, the GCF had accredited 19 national DAEs and six regional AEs operating in the African States. The GCF portfolio in the African States is skewed to IAEs, with 80 per cent of GCF's approved finance being channeled through IAEs. The top five IAEs with the highest number of approved FPs are United Nations Development Programme (UNDP) (10 projects), African Development Bank (AfDB) (8), *Agence française de développement* (AFD) (5), European Bank for Reconstruction and Development (EBRD) (5), and World Bank (5).

### **a. Readiness and Preparatory Support Programme and Africa**

While more finance has been approved for both non-fragile (i.e. more stable) and non-LDC/SIDS categorized countries, the proportion of approved finance being disbursed is in certain instances lower than for other country categories. Indeed, the highest level of disbursements is seen for countries with high institutional fragility, which make up 73 per cent of approved amounts disbursed (USD 5.28 million), compared to 48 per cent for non-fragile states (USD 37.07 million) and 46 per cent for those classified as conflict-affected (USD 14.22 million). Similarly, LDCs and SIDS recorded comparatively higher disbursement rates of 55 per cent and 52 per cent respectively, compared to non-LDCs/SIDS, which had a disbursement rate of 45 per cent. It should be noted that for all country classifications, the amount of approved grants and disbursements have steadily

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<sup>9</sup> International Energy Agency (2019).

<sup>10</sup> PricewaterhouseCoopers (2021).

increased over time, with the largest and persistent increases seen for non-fragile countries and LDCs. Moreover, the amount of approved and disbursed grants for SIDS has not increased since Q2 of 2019.

### Regional comparison

Compared to other regions, Africa counts the highest the number of countries (at 53) to have received readiness grants, followed by Asia-Pacific with 46 (representing 88% of eligible countries in the region) and Latin America and the Caribbean with 33 (representing all of the region's eligible countries). Moreover, Africa has received the most support both in terms of number of grants, at 155, and of approved funding, at USD 115.64 mln, with Asia-Pacific and Latin America and the Caribbean each receiving 149 grants, valued at USD 103.93 mln and USD 95.67 mln, respectively. Interviewed stakeholders noted a significant lack of capacity in Africa, indicating there is a need for such support in the continent.

RPSP grants approved in the African States have focused largely on capacity building, strategic frameworks and/or pipeline development across all regions, with 120 grants, representing 77 per cent of all RPSP grants approved in the African States. This is followed by adaptation planning, with 26 grants, representing 17 per cent of all grants approved. However, while fewer adaptation planning grants have been approved, the approved amounts were themselves higher than those for capacity building, strategic framework, and/or pipeline development. Indeed, the distribution of approved grant amounts shows that just over half (51 per cent) of financing was directed towards adaptation planning, compared to 41 per cent directed towards capacity building, strategic framework, and/or pipeline development. Yet fewer readiness grants focused

on workshops, events and structured dialogues, with nine grants in Africa, representing 6 per cent of all grants and accounting for 8 per cent of approved directed finance.

RPSP grants in the African States were provided with the help of 44 delivery partners. These delivery partners include UNDP (with 18 projects valued at USD 29.4 million), United Nations Environment Programme (UNEP) (with 18 projects valued at USD 28.6 million), Food and Agriculture Organization of the United Nations (FAO) (with 17 projects valued at USD 10.9 million), and the Global Green Growth Institute (GGGI) (with 13 projects valued at USD 9.8 million). Delivery partners also include national and regional entities, such as the *Centre de Suivi Écologique* (CSE), located in Senegal (with 8 projects valued at USD 2.1 million), *Caisse des Dépôts et Consignations* (CDC) located in Gabon (with 3 projects valued at 1.6 million), and the Sahara and Sahel Observatory (with 4 projects valued at USD 1.1 million).

## b. Project Preparation Facility and Africa

The African States count 18 PPF grants, totalling USD 12.66 million. This support was delivered in 22 African countries, of which 11 have received a single country grant. Rwanda and South Africa received the highest level of support, with four PPFs each for a total approved amount of USD 3.77 million and USD 2.80 million, respectively. These approved amounts are greater than those for the countries that received PPF funding through multi-country PPFs, which amounted to a total of USD 1.30 million.

These PPFs span all thematic foci, with half (9) falling under cross-cutting themes, just over a third (7) under adaptation, and then two (2) under mitigation. Similarly, over half (56 per cent) of the approved amount was directed towards cross-

### Regional comparison

Compared to other regions, Africa has received significantly more PPF support, accounting for nearly half (42%) of all approved PPF funding and over a third (38%) of approved PPFs. Both the Latin America and the Caribbean and the Asia-Pacific regions have received comparable funding under the PPF, with USD 8.40 mln (12 grants) and USD 8.00 mln (12 grants), respectively.

cutting PPFs, while just under a third (30 per cent) was directed towards adaptation. These grants supported project preparation through several pipeline development related activities.<sup>11</sup> Pre-feasibility, feasibility studies, and project design received the most funding at USD 4.69 million, representing nearly two thirds (62 per cent) of approved PPF grant funding for pipeline development related activities. This is followed by environmental, social and gender studies, with USD 1.53 million in approved PPF funding, and the identification of programme- and project-level indicators, with USD 1.16 million. The lowest amount of PPF grant funding was directed towards risk assessments, with USD 0.15 million.

PPFs in Africa have contributed to the development of six approved grants for projects taking place in the following countries: Botswana, Liberia, Niger, Rwanda, Sudan, and Tanzania. Together, these projects total USD 231 million in approved GCF funding.

### c. Full projects in Africa

GCF counts 70 FPs in Africa, representing 37 per cent of FPs funded by GCF as of 8 October 2021. These projects reap GCF financing valued at USD 3.653 billion, completed by USD 8.999 billion in co-financing (for a co-financing ratio of 2.5).<sup>12</sup> These investments have covered 87 per cent of African States,<sup>13</sup> with Egypt, Ethiopia and Tanzania receiving the most funds, respectively. Over half (55 per cent) of the African States have an approved single-country project, while over three quarters (80 per cent) have at least one multi-country project.

#### Regional comparison

Compared to other regions, with the exception of Latin America and the Caribbean, African countries engage significantly more with the GCF. The Asia-Pacific and Eastern Europe regions respectively have 25% and 33% of their countries with GCF investments, while 24% and 25% have no engagement with the GCF. On the other hand, 6% of countries in Latin America and the Caribbean have no GCF investments, while only 3% have no engagement with the GCF.

FPs have been implemented across the continent, with Eastern Africa receiving the most financing with over a third (38 per cent) of approved financing (USD 1,375 million), followed by Western Africa with over a quarter (27 per cent) of approved financing (USD 981 million). Middle Africa has seen the least approved financing at 6 per cent, or USD 234 million.

As of February 2022, there were 149 concept notes, and 36 FPs proposed in the pipeline. When taking pipeline projects into consideration, only 4 per cent of African countries (two countries) have no engagement with the GCF.

Approved GCF financing for Africa was largely targeted towards mitigation, with nearly two-thirds, that is, 61 per cent of financing, while 39 per cent was directed towards adaptation projects. This was driven by significant work on energy generation and access, which accounts for 44 per cent of GCF financing in the African States. Of interest, is that no FPs within the transport result area were approved for the African States.

FPs of various sizes have been approved and implemented in Africa. Medium-size FPs represented the

#### Regional comparison

Compared to other regions, Africa counts significantly more micro projects, with over two thirds (68%) of micro projects taking place in Africa, accounting for over three-quarters (78%) of all GCF approved finance for micro projects. Africa also accounts for over a third (38%) of large-sized FPs undertaken globally.

<sup>11</sup> These include: (i) pre-feasibility, feasibility studies and project design; (ii) identification of programme- and project-level indicators; (iii) risk assessments; and (iv) environmental, social and gender studies.

<sup>12</sup> We have used the short scale billion in this report.

<sup>13</sup> No FPs have been approved in Angola, Algeria, Eritrea, Equatorial Guinea, Carbo Verde, Libya, or South Sudan.

largest proportion of the portfolio, with over a third (39 per cent) or 27 FPs falling within this category, followed by small-sized projects representing 23 per cent or 16 projects, and by micro projects representing 21 per cent or 15 projects. However, although there were fewer large projects (12 projects) in Africa, they represented approximately half (51 per cent) of approved finance. These are followed by medium-sized projects, which represented nearly a third (32 per cent) of approved finance.

IAEs are highly active in Africa, with eight out of every 10 dollars invested on the continent being directed towards projects implemented by an IAE. The remaining investments are directed towards projects implemented by DAEs, with a greater representation of regional AEs, accounting for 12 per cent of all GCF investments, followed by 8 per cent of investments directed towards projects implemented by national AEs. There was an equal level of investments implemented by public and private sector AEs, at 51 per cent and 49 per cent respectively.

In terms of financial instruments, grants and senior loans<sup>14</sup> were the tools most used, with senior loans being preferred by the private sector AEs, and grants being most used by the public sector AEs.<sup>15</sup> Moreover, the private sector AEs were identified as using a more diverse range of instruments, while public sector AEs leaned towards using grants and senior loans.

Also, 36 projects in the GCF portfolio were identified as interacting with other climate funds, with 10 of these projects being in Africa. The primary interaction identified in Africa was related to drawing lessons (5), followed by scaling up (2), and co-financing (2). These recorded interactions were primarily with the Global Environment Facility (GEF) (7), which includes a Climate Investment Funds (CIF)/GEF joint project, while the remaining interactions were with the Adaptation Fund (AF) (3).

Finally, while the GCF has an RFP modality for securing GCF funds, it has not used it frequently in the African States. As of 8 October 2021, one project through the EDA pilot programme RFP was approved for a DAE in Namibia (Environmental Investment Fund of Namibia). Another was approved through the micro-, small- and medium-sized enterprises pilot programme RFP by AfDB, approved for Ghana. Finally, two multi-country projects were approved through the Mobilising Funds at Scale (MFS) pilot programme RFP.

## C. EVALUATION APPROACH

### 1. OVERALL APPROACH

#### a. Overall approach

The team's overall approach to this mandate is guided by a series of principles essential for the delivery of a robust evaluation, with strong buy-in from stakeholders, and a high level of usability. As such, this evaluation will be utilization-focused and highly participatory.

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<sup>14</sup> Senior and subordinate loans refer to the "...level of priority with which debt is repaid to lenders. Senior loans are repaid first, after which subordinated loans are repaid. Due to their high priority for repayment, senior loans are usually less risky than subordinated loans." Eco. Ltd group (2020).

<sup>15</sup> The GCF has four basic financial instruments: grants, concessional loans (which include senior and subordinate loans), guarantees and equity investments. Non-grant financial instruments can also be provided through results-based financing approaches.

## **b. Utilization-focused**

This assignment is intended to provide learning, inform decision-making, and improve performance, while also furthering accountability. Guided by this understanding, the team is adopting a utilization-focused approach, committed to ensuring that the evaluation of the GCF's investments in the African States is useful to its intended users on all priorities. Key actual or potential users of this evaluation are understood to be the GCF Board, GCF Secretariat, GCF independent units, NDAs/focal points, AEs (including DAEs and IAEs), and other delivery partners, private sector organizations (PSOs), and civil society organizations (CSOs).

## **c. Highly participatory**

In line with the overall utilization-focused framework, the evaluation team will work closely with all relevant stakeholders to ensure the exercise is highly participatory and that insights and recommendations are useful to all, while fostering appropriation and buy-in. Throughout the mandate, the evaluation team will therefore:

- Consult with the range of key stakeholders, drawing on appropriate methods both virtually and in-person (as permissible, given COVID-19 regulations and restrictions)
- Provide timely updates on progress to key stakeholders throughout the mandate, while reporting to the Board at key moments in the evaluation trajectory
- Adopt a learning-oriented disposition throughout the exercise
- Maintain a flexible approach and adjust the trajectory of the work to be performed accordingly and appropriately

## **2. THEORY-BASED EVALUATION**

A theory-based evaluation (TBE), this assignment employs a contribution analysis methodology,<sup>16</sup> informed by a realist evaluation approach.<sup>17</sup> It is intent on making visible the strengths and limitations of the GCF design and implementation of work and investments in relation to the African States, and on informing decision-making related to the future adaptation of its approach and implementation.

As described in section 3, the evaluation team has constructed a draft GCF ToC to describe its activities and outcome pathways (i.e. its results chains) as related to African States specifically. Causal relationships set out in the ToC are bound by a set of assumptions – understood to be conditions that are necessary for GCF investments to yield desired results. The ToC has informed the development of the evaluation matrix (see Appendix 1) and will inform the development of data collection instruments.

An evidence base will be built to show a comparison of intended and actual GCF outputs and outcomes. This analysis will be used to build a “contribution story”. The attribution/contribution problem arises at this stage, and must be addressed, drawing on the analytic strength of the Contribution Analysis. Thus, the evaluation will ascertain the extent to which the GCF's work, implementation approaches and investments in and across Africa, with all its diversity, can be inferred to have made a contribution to intended progress and change. It will provide an assessment of inferred contributions to realizing the GCF's objectives and priorities.

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<sup>16</sup> Mayne, J. (2008). Contribution Analysis: An Approach to Exploring Cause and Effect, ILAC BRIEF16.

<sup>17</sup> Pawson, R. and Tilley, N. (1997). Westthorp, G. (2014). Intrac (2017).



Intent on shedding light on the reality and contextuality of the inferred causal pathways and mechanisms of GCF's engagement in Africa, the evaluation will complement its contribution analysis with a realist evaluation approach. Doing so will provide additional insights on why, how, in what circumstances, and for whom the GCF's implementation approaches and modalities have (or have not) produced certain outcomes and with contextual variability (e.g. with sub-regional differences, different AEs, etc.) in Africa.

The combination of contribution analysis and realist evaluation approaches will ensure contextual realities are taken into analytic consideration in ascertaining the presence, extent, and reasons for which the GCF's approach and implementation have (or have not) – and by which mechanisms of change – generated certain outcomes in Africa, with a good measure of confidence. The overall contribution story, and explanations attuned to a range of institutional and contextual specificities (derived from the context-mechanism-outcome (CMO) hypothesis), will be developed, shared and updated, through stakeholder engagement and reporting processes. The evaluation will develop evidence-based and forward-looking recommendations stemming from this approach, and will include, as part of this exercise, a revised (i.e. validated and elaborated) ToC in the Final Report.

### **3. DETAILED METHODS BY STAGE**

The evaluation has four main stages, each of which is discussed accordingly with a detailed description of methods during each. These are as follows:

- Stage 1: Inception, planning, approach, evaluability
- Stage 2: Information and data collection, data management, initial analysis
- Stage 3: Final analyses, ToC, Factual Draft
- Stage 4: Final Report, key communication products

Throughout, the evaluation will draw on several approaches, methods and tools in order to focus the evaluation on utilization, to ensure participation at key steps of the process, and to deliver rigorous findings. Sources of data will comprise a document and portfolio review, consultations with stakeholders (through interviews, focus group discussions (FGDs), surveys), case studies based on virtual and in-person country missions, a 3CO analysis (examining complementarity, coherence, cooperation issues), and participation in key relevant events. A whole range of analytical approaches will be implemented to provide for adequate validation and triangulation, based on coherently managed data using Dedoose software and other dynamic tools.

#### **a. Stage 1: Inception, planning, approach, evaluability**

A complex assignment such as this one requires a good deal of planning and preparation, through a kick-off and then an inception period. This stage began in mid-February 2022 and has continued through early-May 2022. During the inception stage, the overall approach for the evaluation was developed into an Approach Paper.

##### ***i. Kick-off and inception meetings***

Given current restrictions due to COVID-19, the kick-off meeting and subsequent inception meetings were conducted virtually. These meetings ensured the purpose and trajectory of the evaluation were clear and shared across team members. They provided opportunities to define the scope, develop and further refine the evaluation approach and methodology, and to inform the questions to be formulated into an evaluation matrix.

## *ii. Stakeholder mapping and inception interviews*

Through the inception stage, the team virtually conducted two individual interviews as well as three group interviews directly, drawing on insights from another one conducted in the context of the GCF SPR. Insights from a country mission undertaken by the IEU to Rwanda in March 2022 in the context of the GCF SPR, informed the Approach Paper. The team also attended one Senior Management Team (SMT) meeting virtually, the purpose of which was to raise priority issues for the evaluation of the GCF's portfolio in the African States (as well as for the SPR of the GCF).

Inception period engagement with 39 diverse stakeholders allowed the team to gain a strong understanding of their more specific priorities. Such engagement informed the framing of the mandate, key questions (as well as sub-questions and indicators) of the evaluation matrix, additional stakeholders to consider for interviewing, concerns about the evaluation, and opportunities for the evaluation team to pursue. Preliminary key evaluation questions were asked of these stakeholders selectively, as an initiation of data collection.

During the inception stage, a stakeholder mapping exercise was undertaken. This stakeholder "map" (i.e. an informed and annotated list) ensured the team has acquired a strong grasp of the stakeholder landscape, regionally and in countries of focus. It also provided the basis for a clear and shared understanding of the value of collecting interview data from these stakeholders.

The evaluation is pursuing a purposive sampling approach, while allowing for both snowballing and opportunistic sampling. This approach will ensure that appropriate and useful data is collected efficiently and in a timely manner. Methodologically speaking, the evaluation's sampling strategy aims to target an appropriate number of key informants, ensuring the maximization of quality data collection, mindful of the time and resources available.

The sampling methodology snapshot below (Table A - 1 presents an overview of the intended approach, identifying types of stakeholders, the sample size, the data collection method(s) used, and the evaluation stage of engagement (i.e. inception and/or data collection). The evaluation expects to engage with about 210–220 stakeholders overall across its various stages, through individual and group interviews, FGDs, and virtual and field-based country missions, in addition to the range of stakeholders to be engaged through an online survey.

**Table A - 1. Stakeholder mapping**

TYPE OF STAKEHOLDER	SAMPLING SIZE AND DATA COLLECTION METHOD
<b>Inception stage</b> (Engagement of 39 stakeholders)	
GCF SMT	(8) Meeting speakers
GCF Secretariat	(7) Individual and/or group interviews
GCF Board Member Advisor	(1) Interviews
AEs	(2) Group interview
Field mission stakeholders in Rwanda	(21) Interviews and FGDs
<b>Data collection stage – 'global' engagement</b> (Engagement of 72 stakeholders)	
GCF Board (current)	(8) Interviews and/or FGD
GCF Board (former)	(2) Interviews and/or FGD
GCF Secretariat – high-level	(3) Interviews
Independent units (IIU and IRMU)	(4) Interviews
GCF divisions (current)	(15) Interviews

TYPE OF STAKEHOLDER	SAMPLING SIZE AND DATA COLLECTION METHOD
GCF divisions (former)	(3) Interviews
AEs and DAEs	(10) Interviews
CSOs/PSOs	(7) Interviews and/or FGD
3CO analysis organizations	(10) Interviews and/or FGD
Other delivery partners	(5) Interviews
Other relevant stakeholders	(5) Interviews
<b>Data collection stage – case studies and country missions</b> (Engagement of 108 stakeholders)	
GCF divisions	(20) Interviews
NDA/focal points	(14) Interviews
National authorities	(14) Interviews
AEs and DAEs	(20) Interviews
CSOs/PSOs	(10) Interviews and/or FGD
Beneficiaries	(10) Interviews and/or FGD
Other delivery partners	(10) Interviews and/or FGD
Other relevant stakeholders	(10) Interviews and/or FGD

### *iii. Preliminary document and portfolio review and guide development*

During the inception period, the team undertook a document mapping and preliminary review of the African States portfolio. Most documentation for this assignment was collected into a document map, while allowing for other documentation to be identified and included in an ongoing manner. Key GCF documents such as Board decisions, reports and discussion, foundational documents, audits, evaluations, funding proposals, concept notes, readiness proposals, country programme documents, nationally determined contributions (NDCs), NAPs, PPF documents, portfolio reports and templates, IEU DataLab materials, and others, have been identified, reviewed lightly and tagged for relevance to specific components of the assignment.

The document and portfolio mapping and review have served an evaluability function, identifying areas where the document landscape is rich for addressing evaluation questions, and where additional efforts will be required to ensure an adequate evidence base through additional sources. Doing so helped the evaluation team understand the programmatic landscape of the GCF, as applicable to the African States. It also served to inform revisions to the preliminary evaluation matrix, the selection of country case studies and more.

During the inception stage, the team also initiated research to identify relevant peer-reviewed and grey literature for informing this evaluation. Undertaking a critical review of the literature, the evaluation initiated the preparation of an annotated bibliography, covering the past five years, as well as a synthesis of insights. This is further discussed below, as part of stage 2 evaluation activities.

### *iv. Evaluation matrix*

The evaluation matrix forms the backbone of this evaluation. Thus, during the inception stage, the matrix was developed to reflect key evaluative areas of this mandate, while informed by preliminary data collected through document review, inception interviews and FGDs, ToC development and more. Final evaluation criteria underpinning the evaluation matrix are the following:



- Relevance, effectiveness, and efficiency of projects and programmes<sup>18</sup>
- Coherence in climate finance delivery with other multilateral entities
- Gender equity/ consideration of social inclusion
- Country ownership of projects and programmes<sup>19</sup>
- Innovativeness in result areas – the extent to which interventions may lead to a paradigm shift towards low-emission and climate-resilient development pathways
- Replication and scalability – the extent to which the activities can be scaled up in other locations within the country or replicated in other countries
- Unexpected and unintended results, both positive and negative

The matrix identifies data sources and analytical approaches for answering each evaluation question and sub-question. It will inform and structure all data collection and analysis instruments. The evaluation matrix is included in Appendix 1.

#### *v. Systems approach and theory of change – preliminary development*

In undertaking a utilization-focused, theory-based, realist evaluation, the evaluation team seeks to obtain a nuanced understanding of GCF's climate change mitigation and adaptation benefits in the African States – that is, “what works, for whom, in what respects, to what extent, in what contexts, and how?”<sup>20</sup> Answering questions such as these requires the use of an inquiry construct that gets behind the scenes of the immediately observable. In this mandate, the inquiry construct must be sensitive to country settings, to the interactive effects among actors within and adjacent to GCF's immediate operating environments, and to the GCF's spheres of control and influence across its many operating contexts. If well attuned to the situation of the evaluand, this construct should help in assessing contribution to impact and inform recommended ways to strengthen GCF contributions in African contexts in the service of desired outcomes and impact.

Consistent with theory-based and realist evaluation practice, the team is putting forward a preliminary ToC to serve as a reference in the design of the evaluation matrix and inquiry tools. The ToC, included as Appendix 2, sets out plausible causal relationships that connect GCF interventions to paradigm shifts in climate mitigation and adaptation, along with critical assumptions underpinning those relationships across the African continent. These will be tested over subsequent stages of the evaluation. Evaluation findings will be used to validate and elaborate the construct such that it can serve as a basis for assessing GCF operations in the African States until such time that the ToC is revisited.

Additionally, for this evaluation, the team has created systems drawings of GCF's operating environment – that is, its areas of intervention on the climate finance ecosystem as it pertains to African States. The drawings, also included in Appendix 2 with a narrative description, highlight nodes – GCF and stakeholder actors, mainly – and the interactions (i.e. needs/yields transactions) that are expected or would be considered normal among them. Many of these interactions are scripted as expectations in GCF policy/framework documents. As with the ToC, the systems

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<sup>18</sup> Co-benefits and global environmental co-benefits would be included either within relevance and/or effectiveness, depending on the scope as determined during the inception stage of this evaluation.

<sup>19</sup> Even though this is not a standard evaluation criterion, it is included among the evaluation criteria that the IEU should use in order to consider decision B.04/04, that country ownership will be a core principle of the Fund's business model framework.

<sup>20</sup> This question is used to describe realist evaluation practice in the web resource BetterEvaluation. Available at [https://www.betterevaluation.org/en/approach/realist\\_evaluation](https://www.betterevaluation.org/en/approach/realist_evaluation).

drawings of GCF operations pertinent to the African States have served as a reference in the design of the evaluation matrix and will inform the assembly of inquiry tools. Being “normative” in the way they characterize the nodes and relationships associated with GCF’s work in Africa, the drawings pave the way for comparisons between “expected” and “actual”, and between “perceived” and “empirical”.

The ToC and systems drawings complement one another. ToCs are directional with their focus on outcome pathways. Systems drawings are focused on the working dynamics, as they are at any point in time. In the examination of the GCF’s mission in the African States, the systems drawings illuminate inherent complexity in the task of designing and implementing GCF programmes and projects. As such, they temper the apparent linearity and causality at the activity, outputs and project outcomes levels in the ToC.

### *vi. Case study sampling*

During the inception stage, the evaluation team undertook a full sampling approach for the identification of five case studies planned as part of this mandate. The purposive sampling approach to identify candidates, included the development of a set of indicators to ensure diversity and appropriate coverage while specifically focusing on areas of the evaluation that would benefit from a deeper dive, as afforded by case studies.

Such indicators included the sub-region, income level, country classification (fragile and conflict-affected states (FCAS)),<sup>21</sup> geographic distribution, support provided by the GCF (while differentiating between single-country projects and multi-country projects), thematic distribution (across mitigation, adaptation and cross-cutting support), oil production, and the presence of a DAE. The evaluation team also considered countries that participated in the Learning-Oriented Real-Time Impact Assessment programme, as these evaluations may provide valuable sources of information. Finally, the evaluation also considered and avoided countries explored as part of previous and ongoing GCF evaluations, to avoid duplication of efforts and provide insights from other contexts. The following evaluations were considered:

- Green Climate Fund’s SPR (ongoing): Mauritius, Morocco, Namibia, Rwanda
- Independent Evaluation of the Effectiveness of the GCF’s Investments in the LDCs (2021): Burundi, Ethiopia, Malawi
- Evaluation of the GCF’s Approach to the Private Sector (2021): Burkina Faso, Ghana
- Evaluation of the Adaptation Portfolio and Approach of the GCF (2021): The Gambia, Morocco, Namibia, Uganda
- Rapid Assessment of the Green Climate Fund’s Request for Proposals (RFP) Modality (2021): Namibia, Ghana (with other African States included in the multi-country projects)<sup>22</sup>
- Independent Assessment of the GCF’s Simplified Approval Process (SAP) Pilot Scheme (2020): Namibia, Zimbabwe, Niger, Mozambique, Benin

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<sup>21</sup> LDCs and SIDS were not included in selection criteria, as an assessment of GCF intervention in both has been conducted as part of previous and ongoing evaluations. Case studies selected as part of this evaluation aim to provide insights in areas not covered as part of previous, ongoing and planned evaluations.

<sup>22</sup> Note that no country case studies were undertaken as part of this evaluation but rather deep dives into the funding proposals under four selected RFPs. Countries listed here only had one country-specific funding proposal assessed; while three other funding proposals incorporated African States, including one that incorporated four (as well as countries in Latin America and the Caribbean), and two other global funding proposals with over 20 African States (as well as countries from Eastern Europe, Latin America and the Caribbean and Asia-Pacific).

- Independent Evaluation of the Relevance and Effectiveness of the Green Climate Fund's Investments in the SIDS (2020): Mauritius, Seychelles
- Evaluation of the GCF's Environmental and Social Safeguards and the Environmental and Social Management System (2020): Morocco, Zambia
- Evaluation of the GCF's Country Ownership Approach (2019): Morocco, Rwanda, Uganda
- Forward-looking Performance Review (FPR) of the Green Climate Fund (2019): Egypt, Mauritius, Namibia, Rwanda, Senegal
- Independent Evaluation of the GCF's Readiness and Preparatory Support Programme (2018): Kenya, Namibia, Senegal

The selection process was highly participatory, informed through a series of inception interviews, extensive discussion among the evaluation team, as well as a preliminary document review. The selection was finalized by the case study sub-group, composed of four team members of the wider evaluation team.

This approach has yielded five case studies, three built around thematic foci and two that are country-specific. Thematic case studies were selected to explore particular areas of interest uncovered during the inception stage. These include:

- Case study 1: Complementarity, coherence, coordination and scaling-up
- Case study 2: Fragile, conflict- and violence-affected societies
- Case study 3: Countries without a single-country full project

To better explore the impact of GCF on the ground, the evaluation team further selected two case study countries. The selection of these case studies particularly focused on the level of support provided by GCF, in terms of FPs and readiness support. Given the strong thematic focus of the aforementioned case studies, the two country case studies will specifically provide rich insights on what engaging in multi-faceted ways over a significant period of time with the GCF can yield. Conducting these case studies will allow the evaluation team to explore the potential impact of early engagement and impact achieved through readiness and PPF support, while capturing the perspectives of a range of key stakeholders. The case study countries selected are:

- Case study 4: Egypt
- Case study 5: South Africa

A deeper discussion of each of the case studies is presented below.

#### ***Case study 1: Complementarity, coherence, coordination and scaling-up***

This case study was selected to explore and better understand how the GCF pursues complementarity, coherence, coordination and scale-up. It will focus on the Great Green Wall Initiative (GGWI), which was established in 2007 as a flagship land restoration initiative that brings together African countries and international partners, under the leadership of the African Union (AU) and Pan-African Agency of the GGWI. In recent years, the vision of the GGWI has evolved into a more comprehensive and integrated development approach with the following ambitious objectives by 2030: (i) restore 100 million hectares of degraded land; (ii) sequester 250 million tons of carbon; and (iii) create 10 million jobs. Billions of USD and Euros have been pledged by MDBs led by the AfDB, the World Bank, and the European Investment bank (EIB). The European Commission of the European Union (EU), the GEF, International Fund for Agricultural Development (IFAD), the United Nations Convention to Combat Desertification (UNCCD), and bilateral agencies like the AFD and the German International Climate Initiative (IKI) are also involved. The Great Green Wall Accelerator Unit at the UNCCD in Bonn is tasked with tracking, coordinating and documenting the various pledges and their follow-up.

The GGWI is structured to include a series of child projects, extending across seven Western African countries, namely Nigeria, Burkina Faso, Chad, Niger, Senegal, Mauritania, and Mali. Projects affiliated with the GGWI will be analyzed in a case study. A country mission to Ivory Coast is planned for this case study, to attend COP 15 of the UNCCD, which among other things will see the participation of national focal points for the GGWI, the Pan-African Agency, and donor agencies, providing an opportunity to engage with multiple stakeholders in one location. Additional stakeholder engagement will be undertaken virtually. This will both inform and build on the 3CO analysis (see section C3iii below).

**Table A - 2. Case study 1 - Complementarity, coherence, coordination and scaling-up**

PROJECT NAME	AE	PROJECT STATUS	GCF FINANCE (USD)	CO-FINANCE (USD)	TOTAL PROJECT FINANCE (USD)
Gums for Adaptation and Mitigation in Sudan (GAMS) – SAP019	FAO	Under implementation	9.98 mln	0.00 mln	9.98 mln
Inclusive Green Financing for Climate Resilient and Low Emission Smallholder Agriculture (IGREENFIN) – SAP012	IFAD	Under implementation	9.55 mln	3.34 mln	12.89 mln
Inclusive Green Financing Initiative (IGREENFIN I): Greening Agricultural Banks & the Financial Sector to Foster Climate Resilient, Low Emission Smallholder Agriculture in the Great Green Wall Countries – Phase I – FP183	IFAD	Recommended for approval	117.32 mln	82.10 mln	199.42 mln
Contribution to the Great Green Wall Initiative in Six West African Countries under the Climate Resilience for Rural Africa Initiative – ID_25930	AFD	Pipeline	44.94 mln	103.37 mln	148.31 mln
Scaling-Up Resilience in Africa's Great Green Wall (SURAGGWA) – ID_24390	FAO	Pipeline	154.00 mln	72.50 mln	226.50 mln

Source: GCF Tableau server as of 1 February 2022

### ***Case study 2: Fragile, conflict, violence-affected societies***

This case study was selected to examine GCF's interventions in FCAS societies. The GCF has focused highly on LDCs, SIDS and Africa, however, little attention has been provided to the FCAS context specifically. This case study will therefore allow the team to explore and better understand GCF's interventions in such contexts, including challenges and barriers, among others, while identifying lessons learnt to ensure the effective future tailoring of GCF interventions within such contexts.

This case study will more specifically focus on four countries spanning much of the continent, namely Zimbabwe, Democratic Republic of the Congo (DRC), Mali, and Somalia. This selection includes two countries experiencing medium-intensity conflict, one experiencing high-intensity conflict, while the final is experiencing high institutional and social fragility. Moreover, three of these countries are low-income countries (LICs) while the remaining one is a lower-middle income country (LMIC). The level of support provided by the GCF within these countries also varies,

ranging from small (USD 17.4 million in FP funding) to medium (USD 173.2 million in FP funding). A country mission to Zimbabwe is planned for this case study.

**Table A - 3. Case study 2 - Fragile, conflict, violence-affected societies**

COUNTRY	REGION	INCOME STATUS	RSPS (USD)	FPs			DAES
				TOTAL (USD)	SINGLE COUNTRY	MULTI-COUNTRY	
Democratic Republic of the Congo	Middle Africa	LIC	7 grants 3.0 mln	5 projects 65.8 mln	1 mitigation	4 mitigation	N/A
Mali	Western Africa	LIC	5 grants 1.2 mln	10 projects 173.2 mln	1 adaptation 1 mitigation	5 mitigation 3 cross-cutting	N/A
Somalia	Eastern Africa	LIC	2 grants 3.6 mln	1 project 17.4 mln	N/A	1 cross-cutting	N/A
Zimbabwe	Eastern Africa	LMIC	5 grants 3.9 mln	2 projects 35.4 mln	2 adaptation	N/A	1

Source: GCF Tableau server, income status by world bank categorization as of 1 February 2022.

### **Case study 3 - Countries without a single-country full project**

This case study was selected to examine barriers facing countries that have not received strong country-specific GCF support. Several countries were identified as either having low engagement with the GCF or as having medium or strong engagement but through multi-country initiatives only. This case study will therefore provide insights into factors driving these types of engagement, while enabling the identification of approaches to enable stronger country-specific engagement.

This case study will focus on six countries spanning across the continent, namely Tunisia, Guinea, Nigeria, South Sudan, Equatorial Guinea and Angola. These countries were selected to capture both countries having only received readiness support (3) and countries with multi-country FPs but no country-specific FPs (3). This selection captures LIC, LMIC and UMIC, as well as three major oil producers, including Nigeria, the continent's largest oil producer and exporter. Despite these countries not having a single-country FP, the selected sample does include countries having both received small and medium levels of support. Finally, while none of these countries have a national DAE, Tunisia has two regional DAEs, namely Attijariwafa Bank (AWB) and the Sahara and Sahel Observatory. A country mission to Tunisia is planned for this case study.

**Table A - 4. Case study 3 - Countries without a single-country full project**

COUNTRY	REGION	INCOME STATUS	FCAS	RPSP (USD)	MULTI-COUNTRY FPs		DAES
					GCF FINANCING (USD)	NUMBER	
Angola	Southern Africa	LMIC	No	2 grants 1.3 mln	N/A	N/A	N/A
Equatorial Guinea	Middle Africa	UMIC	No	4 grants 1.5 mln	N/A	N/A	N/A
Guinea	Western Africa	LIC	No	4 grants 2.5 mln	4 projects 20.2 mln	3 mitigation 1 cross-cutting	N/A

COUNTRY	REGION	INCOME	FCAS	RPSP	MULTI-COUNTRY FPs		DAEs
Nigeria	Western Africa	LMIC	Medium intensity conflict	2 grants 3.4 mln	10 projects 127.7 mln	6 mitigation 3 cross-cutting	N/A
South Sudan	Eastern Africa	LIC	Medium intensity conflict	1 grant 300k	N/A	N/A	N/A
Tunisia	Northern Africa	LMIC	No	7 grants 4.4 mln	7 projects 141.6 mln	5 mitigation 2 cross-cutting	2

Source: GCF Tableau server, income status by world bank categorization as of 1 February 2022.

#### ***Case study 4 - Egypt***

This case study was selected to evaluate the impact of long-term engagement with the GCF. Egypt has been engaged with the GCF since 2016 and has remained highly active, with four FPs receiving USD 296.9 million in GCF financing, making Egypt the country to have received the largest amount of investment from the GCF. These projects include both single-country projects (2) and multi-country projects (2), covering both adaptation and mitigation. All projects remain active, with one project approaching its completion, planned for September 2022. The country also received approval for two readiness activities for USD 3.3 million. Egypt has worked with one regional DAE, namely AWB, and has national DAEs in the pipeline.

Classified as an LMIC, the country is located in Northern Africa and is one of the continent's top oil producers. See Table A - 5 below for an overview of GCF's engagement in Egypt. A country mission to Egypt is planned for this case study.

#### ***Case study 5 - South Africa***

This case study was selected to evaluate the impact of the GCF in one of Africa's most developed countries and economies. South Africa has been engaged with the GCF since 2018 and has remained highly active with projects approved each year since. It currently counts seven active projects, with GCF engagement totaling USD 168.5 million. These projects include both single-country projects (1) and multi-country projects (6), covering both adaptation and mitigation. The country also has DAEs, including the national entity, South African National Biodiversity Institute (SANBI), and the regional entity, Development Bank of Southern Africa (DBSA), which is currently implementing the only single-country FP in South Africa, "Embedded Generation Investment Programme (EGIP)" (FP106). The project supports the implementation of renewable energy projects, and its completion is projected for January 2043. The country also received approval for two readiness activities for USD 1.1 million.

South Africa is classified as an UMIC and holds an important position in Southern Africa. The country has not been selected as a case study for prior evaluations reviewed. See Table A - 5 below for an overview of GCF's engagement in South Africa. A country mission to South Africa is planned for this case study.



**Table A - 5. Country case studies**

COUNTRY	REGION	INCOME STATUS	RPSP (USD)	FPs			DAEs
				TOTAL (USD)	SINGLE COUNTRY	MULTI-COUNTRY	
Egypt	Northern Africa	LMIC	2 grants 3.3m	4 projects 296.9 mln	1 adaptation 1 mitigation	2 cross-cutting	1 <sup>23</sup>
South Africa	Southern Africa	UMIC	2 grants 1.1 mln	7 projects 168.5 mln	1 mitigation	2 adaptation 2 mitigation 2 cross-cutting	2 <sup>24</sup>

Source: GCF Tableau server, income status by world bank categorization as of 1 February 2022.

### ***vii. Development of data collection and management tools***

During the inception stage, data collection tools were developed based on a finalized evaluation matrix. A living bibliography and stakeholder management tool were deployed, accessible to all evaluation team members and updated in real time. The stakeholder management tool allows the team to maintain a real-time list of relevant stakeholders and track interview status and progress throughout the evaluation. One generic interview protocol has been prepared, which can be adapted to the various stakeholder categories (see Appendix 4 for the universal interview protocol). Using the Dedoose platform (see further description in section C3.b.viii below), templates have been prepared for the document review and interview components of the mandate, to effectively manage the large quantity of data being collected.

### ***viii. Development of the Approach Paper***

Guiding the entire evaluation, the Approach Paper reflects the management requirements, methodological needs, and workplan of the assignment. It has been undertaken through a three-step process that has included refining the proposed methodology and workplan, producing a draft approach paper, and then a final (revised) approach paper. A series of webinars with key GCF stakeholders present the Approach Paper. One webinar is expected for GCF Board Members, another for the Secretariat, and another for CSOs, PSOs, the Independent Technical Advisory Panel (iTAP), the Accreditation Panel and AEs. As a whole, the Approach Paper serves as a comprehensive roadmap for the evaluation, setting the stage for successful deployment and implementation.

### **b. Stage 2: Information and data collection, data management, initial analysis**

Once the Approach Paper has been finalized, the evaluation team's work shifts to data collection and data management, given the important mass of data to be collected and transformed into data sets. Several qualitative and quantitative methods will be applied, such as document review and portfolio analysis, a 3CO analysis (on complementarity, coherence, and cooperation), a survey, and country missions. Key outputs from this stage include a data analysis report and workshop, and case study reports. This extensive stage of the evaluation operates from early-May 2022 to the latter weeks of July 2022. Each of the stage 2 components is discussed in detail below.

<sup>23</sup> Egypt works with one regional DAE (AWB).

<sup>24</sup> South Africa works with one national DAE (SANBI), and one regional DAE (DBSA).

### *i. Document review and portfolio analysis*

Building on the preliminary document and portfolio review undertaken during inception, a review will be undertaken of recent (published in the past five years) academic and non-academic literature pertaining to challenges, solutions and innovation in climate finance related to Africa in addition to GCF documents.

#### **Academic publications**

For the published literature from peer-reviewed journals, an annotated bibliography will be prepared. This bibliography will not only provide descriptive analysis of the material, but also assess the extent to which insights drawn are applicable to the current mandate. Further, a synthesis of such insights will be prepared, to ensure that lessons deriving from this annotated bibliography are accessible and useful for the evaluation and for the IEU more generally.

A preliminary assessment of the literature has surfaced thematic areas that will be further addressed. First, the literature review will address gaps and challenges in climate finance related to Africa.

- Sectors have been identified as requiring more attention for funding due to their great potential for low-income carbon development transition, such as forests and land use, transport, and energy.<sup>25, 26</sup>
- Institutional knowledge and policy gaps, lack of awareness, lack of effective delivery mechanisms to channel climate finance resources at the sub-national level, and a lack of funding, suggesting a low funding trap for the most vulnerable countries, have been identified as barriers and challenges to climate finance in Africa.<sup>27, 28, 29, 30</sup>
- On the contrary, higher population growth rate, higher poverty levels, better ease of doing business profile, weaker governance policies, weaker control of corruption, stronger rule of law enforcement, deepened social inequality, and better information and communication technology usage, have been identified as determinants to attract more climate finance.<sup>31</sup>

Second, the literature review will address solutions and innovations in climate finance related to Africa.

- A more prominent role of the private sector has been identified as critical for meeting climate finance needs in Africa.<sup>32, 33</sup>
- Microfinance institutions in Africa may be sustainable mechanisms for financing climate change initiatives whilst promoting rural development and financial inclusion.<sup>34</sup>
- Green bonds, that are being increasingly issued by MDBs but also corporations and municipalities, are identified as a potential solution for increasing climate finance.<sup>35, 36</sup>

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<sup>25</sup> Fonta, W., Ayuk, E. and T. van Huysen. (2018).

<sup>26</sup> Cholibois, T. (2020).

<sup>27</sup> Chirambo, D. (2016).

<sup>28</sup> Mungai E.M., Ndiritu S.W. and I. Da Silva. (2020).

<sup>29</sup> Mungai, E., Ndiritu, S.W. and I. Da Silva. (2022).

<sup>30</sup> Islam, M. (2022).

<sup>31</sup> Doku, I., Ncwadi, R. and A. Phiri. (2021).

<sup>32</sup> Meltzer, J. P. (2016).

<sup>33</sup> Mungai E.M., Ndiritu S.W. and I. Da Silva. (2020).

<sup>34</sup> Chirambo, D. (2016).

<sup>35</sup> Clapp, C. and K. Pillay. (2017).

<sup>36</sup> Banga. J. (2019).



- The African diaspora has the potential to mobilize over USD 100 billion annually that can be channelled towards climate change investments and programmes, or leveraged with other conventional climate finance modalities.<sup>37</sup>

### **GCF documentation**

Adding to the GCF documents consulted in the preliminary review, GCF programme documents, process documents, internal systems, and IEU DataLab materials will be further reviewed and analyzed. Data analysis of the following sources will be included: funding proposals; accreditation; annual performance reports; funded activity agreements (FAAs); reports of the Investment Committee as well as ITAP and the Secretariat; accreditation master agreements (AMAs); concept notes; CSO comments; and independent evaluation of AEs focused on climate interventions in Africa, amongst others. Applying the specific perspective of the evaluation questions, the evaluation will analyze data pertinent to GCF funding windows, namely data that are thematic and related to modalities. Also, it is expected that valuable data for this evaluation will be derived from certain country mission reports from previous IEU evaluations. Finally, for the 3CO analysis, documents from external organizations will be reviewed as well.

Overall, the disaggregation of data will be undertaken by stakeholder type, organization, sub-region and country, DAE and IAE, gender, and/or other classifications deemed relevant to the assessment. Doing so, as appropriate, will provide analytic depth and nuance to the assignment, and this should be reflected in the draft and final reports.

### ***ii. Synthesis of previous IEU evaluations on Africa***

The IEU possesses a strong track record of conducting evaluations of various kinds, many of which are of relevance to the current evaluation of the African States. This will be the case for two recent evaluations on LDCs and SIDS, where case studies or deep dive reports have been undertaken, as well as for a series of other evaluations conducted by the IEU mentioned above. Also, with the current SPR underway concurrently (2022–2023), it may well be that case study materials of relevance to the African States evaluation will have been prepared in time to feed into the latter report.

Thus, the evaluation team will systematically review these previous IEU evaluations, and specifically their case studies, to extract and synthesize insights of relevance to the current African States evaluation, as per the evaluation matrix for this assignment. A synthesis brief will be prepared and serve as a data source for the evaluation as a whole.

### ***iii. 3CO analysis – GCF activities in Africa with other climate finance institutions***

The GCF operates in a much wider climate mitigation and adaptation finance landscape, with global, regional, multilateral and bilateral climate(-related) institutions, each with their own objectives and characteristics (e.g. scope, scale, governance arrangements, funding mechanisms, and organizational processes). The evaluation will therefore identify the current and evolving status of complementarity, coherence, and cooperation between the GCF and these other institutions, at the global, regional and national level, in relation to the activities of the GCF in Africa, specifically. With decision B.17/04, the Board at its seventeenth meeting adopted an “Operational Framework for Complementarity and Coherence”<sup>38</sup> (hereafter ‘Operational Framework’) with a view to strengthen

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<sup>37</sup> Chirambo, D. (2017).

<sup>38</sup> Available at <https://www.greenclimate.fund/sites/default/files/document/framework-complementarity-coherence.pdf>.

complementarity and enhance coherence among operations and processes across climate finance institutions. This operational framework is based on the following four pillars:

- Pillar I: Board-level discussions on fund-to-fund arrangements
- Pillar II: Enhanced complementarity at the activity level
- Pillar III: Promotion of coherence at the national programming level
- Pillar IV: Complementarity at the level of delivery of climate finance through an established dialogue<sup>39</sup>

Drawing on these pillars, the evaluation has constructed a framework for conducting an analysis of complementarity, coherence and cooperation – the 3CO analysis. First, current and planned cooperation will be described at the institutional level. Such global level complementarity, coherence and cooperation is found in various documents of the GCF Secretariat.<sup>40</sup> A description of the global level will be detailed in the Evaluation Report. Drawing on this framework, and potentially developing it further over the course of this evaluation, regional and national level complementarities, coherence, and cooperation will be examined through this assignment.

Once described, an evaluative assessment will be undertaken of the potential for further developing cooperation aimed at enhancing the complementarities between the main agencies offering climate funding in Africa, coherent with national and regional priorities. Clarity about such complementarities is an important precursor to the further development of effective cooperation priorities and mechanisms. Assuming political will is present, such coordination and cooperation would serve to heighten both the coherence and effectiveness of activities at national and regional levels.

The 3CO analysis will be undertaken with the following leading, global climate and environmental finance institutions: GCF, GEF and its hosted climate funds – Special Climate Change Fund (SCCF) and Least Developed Countries Fund (LDCF), the AF, and the CIF – and its sub-funds and programmes. It will also consider the regional and national operations of key organizations that may include AfDB, AFD, GIZ (*Deutsche Gesellschaft für Internationale Zusammenarbeit*) on nationally appropriate mitigation actions, the European Commission, IFAD, World Bank, FAO and others, which either cooperate already or show the potential to do so.

The potential for further developing complementarity and cooperation will be assessed using the following framework:

- Item 1 – Objectives: The declared objectives of the different organizations will be compared to identify complementarities regarding their mission statements.
- Item 2 – Target groups: The priority target groups will be identified and compared, to see the extent to which they overlap as a basis for joint actions.
- Item 3 – Substantive areas of work: Analysis of the various organizations' foci of work (e.g. agriculture, water management, sustainable cities) will highlight areas with high potential for increased cooperation.
- Item 4 – Geographic areas of work: While all funds under consideration are active in many parts of Africa, the geographical focus might vary according to historical and other reasons.
- Item 5 – Concepts/ instruments/ methods: This relates mainly to planning concepts/ methods and available instruments for financing projects that might be complementary and easy to

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<sup>39</sup> Green Climate Fund (2017b). Operational Framework on complementarity and coherence. GCF/B.17/08, p.1.

<sup>40</sup> Green Climate Fund (2017b). For the latest progress report on this matter, see Green Climate Fund (2021f).

combine (or not). Also, the propensity for risk-taking and innovations varies and needs to be taken into account.

- Item 6 – Implementing partners: Each financial institution has specific ways of working with international and national partners, including implementing and executing agencies, government ministries, and local public and private entities. These established relations might facilitate cooperation or hinder it.
- Item 7 – Resources available: The size of financial resources and average project volumes vary substantially between the funds considered. Detailed analysis might bring to light the comparative advantages of each, depending on a whole host of factors. It may well surface as-yet undeveloped complementarities and opportunities for cooperation, in terms of scaling up smaller projects.

The 3CO analysis is not a benchmarking exercise in the usual sense of describing and comparing the practices of different organizations with the aim of identifying good practices and lessons learnt. Insights from such approaches have already been generated, both through several IEU evaluations, in the GCF Secretariat's "Operational Framework", and in several subsequent progress reports.

Rather, the 3CO analysis will identify similarities, overlaps as well as key differences between the climate and environmental finance institutions, as they operate in Africa. Doing so will allow the evaluation team to deepen the GCF's understanding of the comparative advantage of each in relation to the GCF's offerings, and to inform recommendations on improved coordination and cooperation in Africa specifically. The analysis will be based on extensive and triangulated document review and interviews with key staff and programme leaders of relevant institutions, as appropriate and possible. It will also be directly informed by a case study on the Great Green Wall.

#### *iv. Stakeholder consultations*

As discussed with respect to the inception stage, a large number of consultations (through interviews, FGDs, and meetings) will be undertaken during data collection with about 72 key, internal and external stakeholders well positioned to provide insights into the questions and sub-questions of the evaluation. There will also be a further 108 interviews from country missions and that will help inform case studies. Stakeholder consultations will include a mix of in-person and virtual communications, as permitted by the ongoing COVID-19 pandemic and related travel restrictions. The tracking of consultations' statuses will occur in real time via the stakeholder management tool, available to all evaluation team members.

#### *v. Event attendance*

The GCF has historically held regional dialogues, DAE workshops, various conferences, and other types of meetings and events. In seeking additional and valuable data-gathering and stakeholder engagement opportunities, the evaluation team will identify various GCF meetings and events for possible in-person and/or virtual attendance. As things stand, according to the GCF website, "No upcoming events have been officially announced yet."<sup>41</sup> The evaluation team will stay abreast of developments and announcements in this respect, and consider the merits and possibilities for attendance. The team will also consult the archive of past events for possible relevant materials for the African States evaluation.

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<sup>41</sup> Available at <https://www.greenclimate.fund/events> (accessed on 16 December 2021).

## *vi. Survey*

The evaluation team intends to deploy an online survey, intent on gathering perceptual data specifically from civil society stakeholders on various dimensions of the GCF approach, work and investments in the African States. A four-scale Likert-style survey with write-in responses will be delivered to CSOs, through both the GCF civil society network and also local civil society groups and networks in African States across the continent. The survey will aim to assess a number of the following: extent of satisfaction with the GCF and with its various activities in African States in general/ by sub-region; perceptions of effectiveness in general/ by activity/ by region; strongest or weakest components; perception of different modalities and instruments, and more. Space will be made available for open-ended write-in responses, which will allow for additional content analysis of responses.

The survey design will be based on the final evaluation matrix, ensuring a foundation of well-crafted questions and sub-questions that CSO stakeholders will be able to answer insightfully. A piloting of the survey will be undertaken ahead of full deployment, to ensure it is effective and user-friendly. The survey instrument will be delivered in English, French and Spanish.

## *vii. Case studies and country missions*

Early in stage 2 of the evaluation trajectory, once the Approach Paper has been finalized, data collection tools have been prepared, and document and portfolio reviews have been initiated, the evaluation team will initiate the planning and implementation of country missions for data collection related to case study preparation.

A total of five countries will be visited as part of missions planned for this evaluation. Each mission will inform case studies as follows:

- Case study 1 mission will take place in Ivory Coast.
- Case study 2 mission will take place in Zimbabwe.
- Case study 3 mission will take place in Tunisia.
- Case study 4 mission will take place in Egypt.
- Case study 5 mission will take place in South Africa.

An early mission will be undertaken to Abidjan, Ivory Coast. It will field test the team's use of the evaluation matrix, country mission related data collection tools, and the overall engagement of the team, which may be virtual and/or in-person. It will inform the approach to be pursued for the remaining country missions by allowing adjustments to the approach and refinement of the design of the assignment and workplan, as related to the country missions and subsequent analytic items. The first mission is proposed for the week of 7–13 May 2022.

Building on the first mission, the evaluation team will undertake additional country missions for the remaining four case studies. The purpose of country missions is to collect detailed information to answer questions and sub-questions found in the evaluation matrix and to enable testing of the ToC. Preparatory work, both administrative and substantive (e.g. document review), will ensure that the country missions are well planned, engage with the right mix of stakeholders in a timely manner through interviews and/or FGDs, and support the preparation of coherent case studies.

The development of the COVID-19 pandemic will determine if country missions are to be conducted virtually or in-person. As things stand, it is anticipated that they will take place in-person, but a final decision will be taken by the evaluation team together during stage 2 of the evaluation.

The case studies will serve as stand-alone reports and will be included as appendices to the Evaluation Report. As they will closely inform every deliverable, the consistent and high-quality

nature of these reports will be ensured. Case study reports are anticipated to be 12–15 pages in length. Reports will be prepared in draft form, circulated to relevant GCF staff for validation, and then finalized.

### ***viii. Data management***

The African States evaluation will be based on a significant quantity of data collected from multiple sources through diverse methods. Ahead of conducting a comprehensive analysis of the data to specifically respond to each of the evaluation questions and sub-questions, the evaluation team will review and take stock of the data, ensuring that all required data has indeed been collected.

The evaluation team will use a series of online data management tools to ensure the team is able to manage the process and large quantities of data produced in an effective and coherent way. Thus, the team will rely on Dedoose data management software to organize all document review, interviews, and relevant country mission data under predefined headings (or codes) that align with the evaluation criteria and the key questions and sub-questions under those criteria. This will thereby facilitate both the clustering of themes across different data sources and types of informants and the sharing of data across the evaluation team. Doing so will allow the team to access data swiftly and coherently, in response to comments from stakeholders on prior drafts of the report. It will also allow the evaluation team to add nuance, interrogate the data in new ways (e.g. to ascertain any differences of perspective from NDAs/focal points in different regions), and to do so dynamically, coherently and efficiently. The evaluation team will ensure that data management approaches are coherently shared and pursued across team members.

### ***ix. Preliminary data analysis and results workshop***

With all data in hand and now managed, the evaluation team will conduct a preliminary data analysis on all questions and sub-questions included in the evaluation matrix. Conducting such analysis at this time will serve multiple functions:

- **Quality of data:** The evaluation team will at this stage be able to ascertain the quality of data gathered for this evaluation, the extent to which triangulation could be undertaken, and the robustness of analysis, findings and conclusions.
- **Analytic gaps:** The evaluation team will also be able to ascertain the extent to which data gathering has been comprehensive and identify if there are analytic gaps that need to be filled ahead of Factual Draft reporting.

Having conducted a triangulated analysis of all available data, as matched to each evaluation question and sub-question, the evaluation team will prepare a team-based results workshop. This will further bring to light any data issues, and if any are identified, provide space for mitigation measures to be crafted, strategized and initiated. The workshop will also socialize the overall analysis, and create an opportunity for critical discussion, the nuancing of preliminary findings, and a taking stock of progress and next steps.

## ***c. Stage 3: Final analyses, ToC, Factual Draft***

The next stage of the African States evaluation comprises a revised analysis, a further development of the ToC, and a zero draft of the report, i.e. the so-called Factual Draft. This stage of the evaluation will take place between August and November 2022.

### ***i. Analysis and synthesis of data***

Given the significant mass of data collected – through document review, interviewing, country missions, 3CO analysis, survey, analysis of prior evaluation case study reports on African States and constant engagement with diverse stakeholders – and building on the preliminary data analysis and

results workshop, the evaluation team will undertake a meticulous and comprehensive process of triangulated data analysis. Trends and outliers in the data will be identified, with respect to programme activities, regional disparities, and others, in response to the evaluation questions and sub-questions.

## ***ii. Theory of change and systems mapping – development***

The ToC and systems diagrams will be further developed, at this stage, taking into account insights from the preliminary data analysis and results workshop of stage 2, and then further analysis and synthesis of data undertaken in stage 3 of the evaluation. In so doing, the evaluation team will have the envisaged change trajectory for the GCF that will underpin the later development of recommendations as per possible scenarios.

## ***iii. Factual Evaluation Report***

The evaluation team will prepare a preliminary factual evaluation report, submitted to the GCF Secretariat for more comprehensive review and feedback. The Factual Evaluation Report will comprise the main report only (i.e. without an executive summary or appendices). It will provide findings only, in response to the questions and sub-questions of the evaluation matrix, backed by selectively shared triangulated analysis and robust evidence sources. Findings will be highlighted for clear identification at the start of each sub-section of the report.

## ***iv. Presentation of preliminary findings***

The evaluation team will present preliminary findings through a virtual sense-making workshop session. It will also present preliminary findings to stakeholders at COP27 in Egypt, through a virtual sense-making workshop.

The approach will enable discussion about the findings specifically, to ensure that the analysis makes sense and resonates with GCF stakeholders. It will serve the purpose of keeping key GCF stakeholders involved in the evaluation process, while also providing another opportunity for them to feed into reflections about findings and emergent recommendations, heightening the utilization-focused orientation of the evaluation. This will also serve a quality assurance function, ensuring that the evaluation team has considered all relevant data in formulating findings. Additional data, data sources, perspectives, etc., identified through the preliminary findings presentation process, will be integrated into the formulation of the draft and final reports.

## ***d. Stage 4: Final Report, key communication products***

The next and final stage of the African States evaluation comprises preparation of the draft and final reports, presentations to various stakeholders, and production of evaluation-related communication products. This stage of the evaluation will take place between October and December 2022, with closure anticipated for December 2022.

### ***i. Draft and final reports***

With consolidated feedback on the Factual Evaluation Report, the evaluation team will prepare a draft and then a Final Report, submitted if necessary to GCF Secretariat stakeholders for feedback and finalizing, keeping an audit trail throughout via a comments matrix.

The draft and final reports will include recommendations that are both strategic and operational, linked specifically to findings and with indications as to their priority. The stakeholder group with responsibility for taking recommendations forward will also be identified. The recommendations themselves will be scenario-based, charting a series of paths forward for the GCF, based on the insights gained from the evaluation process.



Finally, the Final Report will include a revised substantive main report, detailed appendices providing a complete methodology, supportive analyses, survey results, consulted documents, stakeholders consulted, and case studies (which may themselves be compiled into a completely separate volume II of the Final Report, given their number and length).

## *ii. Presentation of findings and recommendations to GCF stakeholders*

Insights from the African States evaluation will be presented to a whole range of GCF stakeholders in the interest of socializing the evaluation overall and of creating learning opportunities. These will be tailored for both the needs of GCF stakeholders and for opportune presentation and engagement moments. Additionally, one or several webinars, one or several briefs, and possibly other learning products will be developed and delivered.

## *iii. Knowledge management and dissemination*

The evaluation team has developed a knowledge management and dissemination plan intent on raising awareness of the evaluation during the evaluation period and after the completion of the evaluation. It aims to promote and disseminate the evaluation's findings and recommendations, primarily to decision-makers and other key stakeholders in the GCF ecosystem. A brief outline of the plan is included in Appendix 3.

## **4. LIMITATIONS**

Pursuing a mixed-methods approach with significant qualitative inquiry, this evaluation is subject to the limitations and challenges of validity, replicability, statistical representativeness, and generalizability. As in all evaluations, there is a risk of bias, particularly of confirmation bias, with evaluation team members potentially seeking to confirm pre-conceived hypotheses.

To counter such real or potential limitations, active analytic triangulation of multiple data sources will be undertaken, both individually and across the evaluation team. Ongoing and timely exchanges between evaluation team members will provide critical feedback loops intent on increasing the accuracy and analytic validity of evaluation findings. Also, many of the documents to be consulted will be evaluation reports that will have been quality checked for rigour by their authors and the GCF IEU. By being aware of the limitations and pursuing such countering measures, concerns of validity will be satisfactorily addressed for the purposes and scope of the evaluation.

Of note, current and potential travel restrictions due to the COVID-19 pandemic also create several data collection and analysis challenges. As of April 2022, travel has in significant measure resumed, and so interviews and case study field missions are planned to be undertaken in-person, to the extent possible. The evaluation team will remain flexible by offering the possibility of exchanges through virtual platforms. Should travel restriction change during the evaluation period, the evaluation team will shift towards a virtual model, conducting most if not all engagement through virtual platforms, while also considering the involvement of national, in-country consultants. In any case, the evaluation team has extensive experience in working both within in-person settings and through virtual platforms, which will counter some of the challenges of evaluation in this respect.

On a related point, while all evaluations face the challenge of stakeholder availability, the current mandate exists at a time when some stakeholders may be yet more difficult to access, particularly if travel restrictions are reinstated (e.g. they might be in quarantine, have related concerns for their health, or have limited access to the internet). This may be further exacerbated by the diversity of locations in which key stakeholders are found, spanning across 14 time zones. This will be mitigated through three key strategies: first, the evaluation team will allocate more time than usual to planning interviews and FGDs; second, multiple options for communication will be offered to key informants

beyond in-person discussions, such as calls via Zoom, WhatsApp, Skype, over the phone, or in writing; third, a high degree of coordination amongst evaluation team members and a high degree of flexibility in working hours will be adopted so as to ensure interviews across all time zones can be accommodated. These mitigation strategies will ensure the limitation of risks associated with certain relevant stakeholders being less contactable than is desirable due to possible exceptional circumstances.

Interview fatigue both at headquarters (with several evaluations taking place at the same time) and within the African States (particularly as there is some overlap in case studies) pose risks both in terms of stakeholders' willingness to engage, and thus also in ensuring the collection of high-quality data. To the extent possible, the evaluation team will draw on interview data collected as part of previous and ongoing evaluations to capture all relevant information and assess the extent to which the reengagement of a stakeholder is required. Where possible, the evaluation team will also conduct joint consultations, particularly for case studies and regional staff, so as to ensure stakeholders are consulted only once for the evaluation.

Finally, there is a risk of having a low response rate to the survey. This was particularly identified as a challenge faced by previous GCF evaluations, with trends showing a decrease in response rate. Low response rates are in large part explained by survey fatigue and challenges of accessibility and technology, particularly for surveys only available online. To mitigate this risk, the evaluation team has adopted a targeted approach, with a focus on one stakeholder group, that is, civil society, who will likely be harder to engage through interviews and who may be highly motivated to provide feedback. The survey will also be deployed in a manner ensuring surveys may be downloaded, filled, and emailed back, so as to overcome accessibility and technology challenges. Finally, the evaluation team will issue timely reminders for the completion of the survey, to promote an adequate response rate.

Given all the limitations identified above, the evaluation team is nonetheless confident that a robust evaluation can and will be delivered, taking into consideration the mitigation measures adopted.

## D. WORK PLAN

The evaluation team is managing this mandate according to an approved workplan and agreed timeline. Table A - 6 in the workplan below presents the approach of the evaluation, followed by its operationalization through different methods that lead to the objectives and the final presentation of deliverables.



## 1. DETAILED WORK PLAN

**Table A - 6. Methods, deliverables, sources, description, and timeline**

METHODS/ DELIVERABLES	DATA SOURCES	DESCRIPTION	TIMELINE
<b>Stage 1: Inception, planning, approach, evaluability</b>			
Kick-off and inception meetings	Evaluation team	Kick-off and inception meetings, conducted remotely, based on structured agendas, to inform and refine assignment scope, methodology, timeline, roles, and responsibilities.	Weeks of 14 February to 28 March 2022
Stakeholder mapping and inception interviews	Evaluation team, GCF stakeholders	The evaluation team pursued a purposive sampling approach to identify key informants to engage with during the data collection stage. The evaluation team engaged with 39 stakeholders during inception. These interviews, FGDs, and meetings targeted stakeholders well-positioned to inform the framing of the mandate, to identify key questions of the evaluation matrix, identify additional key informants, outline concerns about the evaluation, and identify opportunities for the evaluation team to pursue.	Weeks of 21 February to 21 March 2022
Preliminary document and portfolio review and guide development	Evaluation team and diverse documentation	The evaluation team created a document map and undertook a review of pertinent documents and the portfolio. Documents reviewed were tagged for relevance to specific components of the assignment. Doing so served an evaluability purpose. The evaluation team initiated research to inform the development of the annotated bibliography and synthesis.	Weeks of 28 February to 28 March 2022
Evaluation matrix	All required resources	The evaluation team further developed the evaluation matrix drawing on the ToR for this assignment and all inception-stage data gathering and review from documents and stakeholders.	Week of 28 March 2022
ToC and systems map – preliminary development	GCF documents, and stakeholder engagement	The evaluation team initiated preliminary development of a ToC and a complementary systems map.	Weeks of 21 February to 28 March 2022
Case study sampling	Portfolio database, GCF documents and stakeholder interviews	The evaluation team undertook a full sampling approach for the selection of case studies. The sampling was undertaken using a set of indicators and taking into account data collected from the document review and stakeholder interviews.	Weeks of 28 February to 28 March 2022
Development of data collection and management tools	Evaluation team	The evaluation team progressed in preparation of data collection tools to be used throughout the evaluation.	Weeks of 21 March to 29 April 2022
Development of Approach Paper	All required resources	An Approach Paper has been prepared to guide the entire evaluation. This document includes the evaluation matrix, approach for field missions and case studies, 3CO analysis, e-survey deployment, detailed stakeholder sampling, methods and protocols,	Draft approach paper delivered on 1 April, feedback provided 15 April, and final Approach

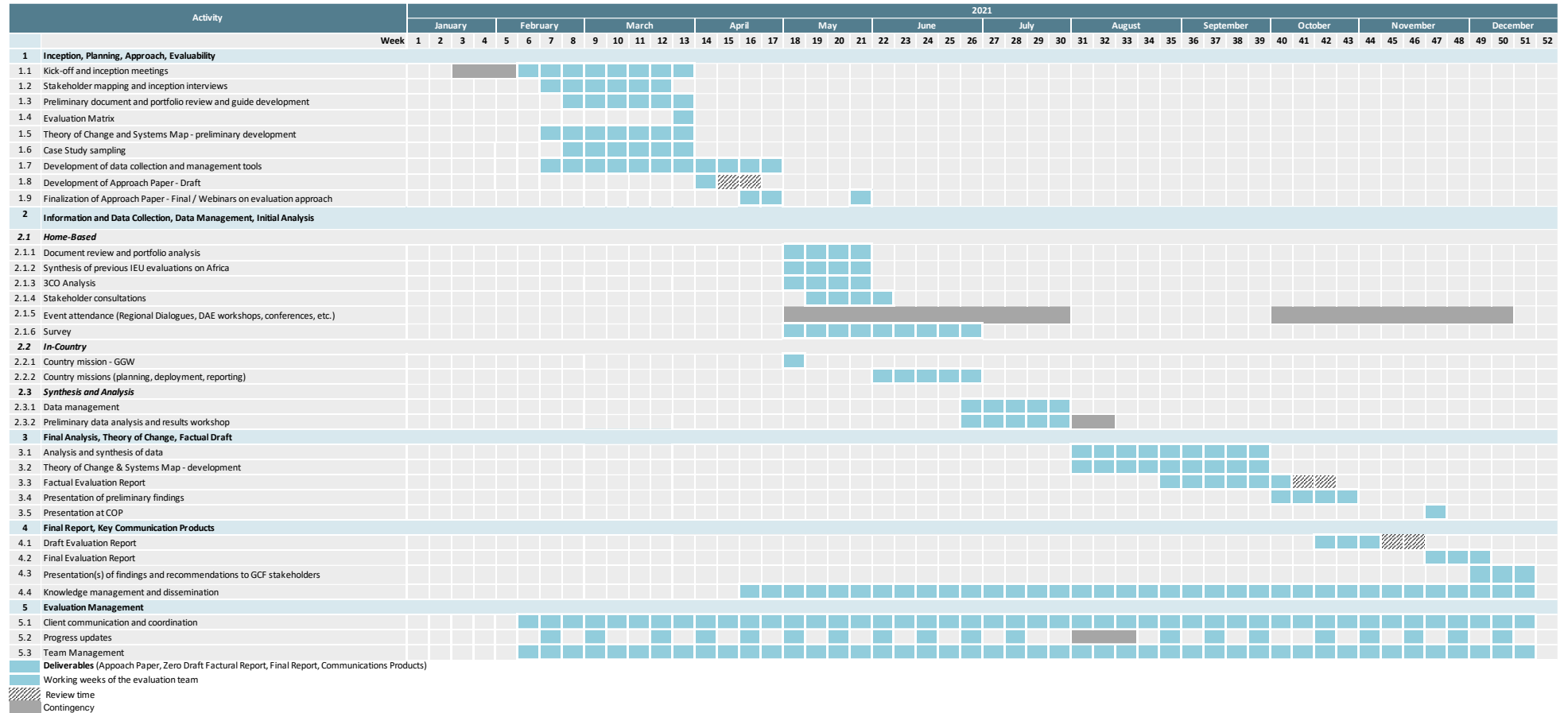
METHODS/ DELIVERABLES	DATA SOURCES	DESCRIPTION	TIMELINE
Webinar presentations of evaluation approach		progress on the ToC and systems mapping, key statistics from the IEU DataLab, workplan, and/or other relevant elements.  A series of webinars with key GCF stakeholders will present the Approach Paper. One webinar is expected for GCF Board Members, another for the Secretariat, and another for CSOs, PSOs, ITAP, the Accreditation Panel and AEs.	Paper submitted on 30 April 2022  Webinars delivered during week of 23 May 2022
<b>Stage 2: Information and data collection, data management, initial analysis</b>			
Document review and portfolio analysis	GCF documents, external documents (academic and non-academic), IEU DataLab and other internal and external databases	Building on the preliminary document review undertaken during inception, the evaluation team will further review and analyze internal and external documents, including academic and non-academic documents, preparing an annotated bibliography and synthesis of peer-reviewed literature. The evaluation team will also conduct a portfolio analysis using several databases provided by IEU DataLab, and external databases and data streams identified during the evaluation.	Weeks of 2, 9, 16 and 23 May 2022
Synthesis of previous IEU evaluations on Africa	All relevant case study materials from prior studies	The evaluation team will review case study materials from previous evaluations of relevance to the African States evaluation and produce a synthesis of insights, to inform the African States evaluation overall.	Weeks of 2, 9, 16 and 23 May 2022
3CO analysis	Document review and stakeholder interviews	The evaluation team will undertake an operational and programmatic comparative analysis of organizations operating in the climate mitigation and adaptation finance landscape. The 3CO analysis will be informed by extensive, triangulated document review and stakeholder interviews with key staff and programme leaders of relevant institutions.	Weeks of 2, 9, 16 and 23 May 2022
Stakeholder consultations	Evaluation team, GCF stakeholders and other relevant stakeholders	The evaluation team will engage with approximately 72 key informants, as identified during inception and outlined in the Approach Paper. Engagement with stakeholders will be conducted virtually and may include individual interviews, group interviews and FGDs.	Week of 9 May to week of 6 June 2022
Event attendance	As opportunities arise	The evaluation team will participate in key events and meetings organized by the GCF as they arise, and may include regional dialogues, DAE workshops, conferences, etc. Should events arise outside the designated time period, the evaluation team expects to be able to pivot, adapt and participate in most cases, should the events be deemed relevant to the African States evaluation.	Weeks of 2, 9, 16 and 23 May 2022
Survey	GCF stakeholders	The evaluation team will deploy an online survey targeting CSOs across Africa.	Week of 2 May to week of 27 June 2022
Case studies and country	Evaluation team and	The evaluation team will undertake five case studies with concomitant missions. A first	Week of 7 May to week of 27

METHODS/ DELIVERABLES	DATA SOURCES	DESCRIPTION	TIMELINE
missions	relevant GCF documents	mission will be undertaken to Ivory Coast the week of 7–13 May 2022. These case studies will be informed by a review of relevant documents and include about 15–20 stakeholder interviews and other forms of consultations each, conducted either virtually or in person, as per COVID-19 restrictions, for a total of about 108 interviews. The evaluation team will deliver five stand-alone case study reports.	June 2022
Data management	All data collected for the assignment	The evaluation team will use a series of online data management tools to ensure that the team manages and processes the large quantities of data produced in an effective and coherent way. All data collected will be integrated into the Dedoose data management system.	Week of 27 June to week of 25 July 2022
Preliminary data analysis and results workshop	All data collected for the assignment	The evaluation team will review and take stock of the data collected to ensure all required data has been collected and that sufficient and quality data is available to inform questions outlined in the evaluation matrix. The evaluation will draw on multiple data sources, triangulated to ensure reliability of insights and conclusions. Having conducted a triangulated analysis of all available data, as matched to each evaluation question and sub-question, the evaluation team will prepare an internal preliminary data analysis and results workshop.	Week of 27 June to week of 25 July 2022 The preliminary data analysis and results workshop is expected to take place during week of 25 July 2022
<b>Stage 3: Final analysis, ToC, factual draft</b>			
Analysis and synthesis of data	All data collected for the assignment	The evaluation team will undertake a comprehensive process of triangulated data analysis. Trends and outliers in the data will be identified, with respect to programme activities, regional disparities, and others, in response to the evaluation questions and sub-questions.	Week of 1 August to week of 26 September 2022
ToC and systems map – development	All data collected for the assignment	The ToC will be further developed, at this stage, considering insights from the preliminary data analysis and results workshop, with further analysis and synthesis of data undertaken in stage 3 of the evaluation.	Week of 1 August to week of 26 September 2022
Factual Evaluation Report	All data collected for the assignment	The evaluation team will deliver a Factual Evaluation Report to be reviewed by the GCF Secretariat. The draft report will include the main report only (i.e. without an executive summary or appendices), structured as per the evaluation matrix. It will provide findings only and not recommendations.	Week of 29 August to week of 17 October 2022 Factual Evaluation Report to be submitted week of 3 October 2022 Feedback to be provided by 17 October 2022
Presentation of preliminary	Evaluation team, GCF	The evaluation team will present preliminary findings to GCF stakeholders through	As of the week of 3 October

METHODS/ DELIVERABLES	DATA SOURCES	DESCRIPTION	TIMELINE
findings	stakeholders	virtual sense-making workshop sessions.	2022 <sup>42</sup>
Presentation at COP	Evaluation team, GCF stakeholders, global stakeholders	The evaluation team will present preliminary findings to stakeholders at COP27 in Egypt, through a virtual sense-making workshop session.	22 November 2022
<b>Stage 4: Final report, key communications products</b>			
Draft report and Final report	All data collected for the assignment	The evaluation team will prepare a draft and then a Final Report, to be submitted to GCF Secretariat stakeholders for feedback and finalizing, keeping an audit trail throughout via a comments matrix. Each report will address feedback provided on the previous one. The draft report will include recommendations as well. The Final Report will include a revised substantive main report, detailed appendices providing a complete methodology, supportive analyses, survey results, consulted documents, stakeholders consulted, and country mission case studies.	Weeks of 17 October to 2 December 2022 Draft report including country case study reports to be delivered by 4 November 2022 Feedback to be provided by 18 November 2022 Final report delivered by 2 December 2022
Presentation(s) of findings and recommendations to GCF stakeholders	Evaluation team, GCF stakeholders	The evaluation team will present findings and recommendations to GCF stakeholders and the GCF Board through one or several presentations, in the interest of socializing the evaluation overall and of creating learning opportunities.	As of the week of 5 December 2022
Knowledge management and dissemination	Evaluation team	The evaluation team will implement its knowledge management and dissemination plan, which includes webinars, briefs, and other communications products, as described in Appendix 3.	From April through to the end of the evaluation

<sup>42</sup> Of note, B.34 is slated to take place from 24–27 October 2022.

The GANTT chart below presents the trajectory of the entire evaluation at a glance, reflecting the above work plan prepared for this evaluation.



## 2. QUALITY CONTROL PROCEDURES

The evaluation team places significant emphasis on quality control during the execution of this mandate, from initial proposal development through to technical reporting and submission of the final deliverables. In Table A - 7 below, the evaluation team's approach to quality control is presented, outlining the main stages of the consultancy process, the key activities associated with each stage/ component, and the quality control measures that are applied.

**Table A - 7. Quality control framework**

STAGE /COMPONENT	KEY ACTIVITIES	QUALITY CONTROL MEASURES
Inception, planning, approach, evaluability	<ul style="list-style-type: none"> <li>Review background documentation.</li> <li>Interview key stakeholders to assess the context of the mandate and inform the evaluation methodology.</li> <li>Develop an evaluation framework that outlines key questions, sub-questions, indicators, sources of data, methods of data collection and analysis, assumptions/risks and mitigating strategies.</li> <li>Develop a workplan to guide the evaluation (including steps/milestones/deliverables; schedule; roles and responsibilities; level of effort; report outline).</li> <li>Develop data collection instruments, including protocols for interviews and focus groups, questionnaires, etc.</li> </ul>	<ul style="list-style-type: none"> <li>In developing the methodology for the assignment, the evaluation team adheres to United Nations Evaluation Group (UNEG) and Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD/DAC) Evaluation Quality Standards and guidelines.</li> <li>The evaluation team considers the agreed-to workplan and Approach Paper as essential to the quality control process.</li> <li>The workplan provides the evaluation team and other key stakeholders with a clear, concise, and agreed point of reference for the whole assignment.</li> <li>All team members base their work on the agreed methodology and use the same data collection approaches and tools to ensure comparability and coherence of data.</li> <li>The workplan reflects the key ethical and professional principles guiding the assignment, which are binding for each team member.</li> </ul>
Information and data collection, data management, initial analysis	<ul style="list-style-type: none"> <li>Collect data as outlined in the workplan (i.e. virtual and/or in-person interviews and FGDs, document reviews, country missions, case studies) around the world.</li> <li>Manage data using collaborative tools and technologies (e.g. Dedoose).</li> </ul>	<ul style="list-style-type: none"> <li>Team members collect data in keeping with the agreed workplan and standards and guidelines defined above.</li> <li>Data collection tools are piloted, adjusted, and validated.</li> <li>The evaluation team leader monitors progress with individual team members to identify and address potential challenges or shortcomings. Any gaps are identified and addressed in a timely way.</li> <li>If data collection methods do not produce desired results or are no longer considered feasible, the evaluation team identifies options for resolution in appropriate, timely and cost-effective ways.</li> <li>Wherever possible and feasible, electronic methods of data collection are used (e.g. web-based surveys).</li> <li>The evaluation team is dedicated to remaining flexible throughout the mandate, adapting to changing circumstances related to COVID-19 and possibly other developments.</li> </ul>

STAGE /COMPONENT	KEY ACTIVITIES	QUALITY CONTROL MEASURES
		<ul style="list-style-type: none"> <li>Ethical standards in collecting data are maintained to protect the anonymity and confidentiality of informants.</li> </ul>
Final analysis, theory of change, Factual Draft	<ul style="list-style-type: none"> <li>Descriptive, content, comparative, statistical, and other forms of analyses are used to analyze the data as required.</li> <li>Based on the data analysis, the team makes assessments, develops preliminary findings and recommendations, and identifies lessons learned.</li> </ul>	<ul style="list-style-type: none"> <li>Data is analyzed in keeping with the conceptual framework for the assignment and in compliance with UNEG and OECD/DAC evaluation standards and practices.</li> <li>Validity of data is ensured through cross referencing and triangulation (using convergence of multiple data sources). Data triangulation is strengthened through the use of online tools, such as Dedoose.</li> <li>To ensure the quality of analysis, the evaluation team may share their findings with a wider pool of stakeholders, in this case with GCF stakeholders, and perhaps more broadly, as necessary.</li> </ul>
Workshop, presentation and briefing	<ul style="list-style-type: none"> <li>Animate sessions as required at different stages of the assignment to obtain input, feedback, ownership, etc.</li> </ul>	<ul style="list-style-type: none"> <li>Workshops, presentations, and/or briefings are planned to ensure they are relevant and helpful for the assignment, and that the proposed methodology is culturally and contextually appropriate.</li> </ul>
Final report, key communication products	<ul style="list-style-type: none"> <li>Draft advanced preliminary and then final findings.</li> <li>Share and obtain feedback on findings through workshops, briefing sessions, meetings, etc.</li> <li>Draft deliverables.</li> <li>Animate sessions to obtain feedback on deliverables (in person and/or electronically).</li> <li>Revise and finalize deliverables.</li> <li>Learning products are developed.</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation team members meet regularly to review progress. The team critiques all drafts and products and seeks input from other professional staff/associates for review and suggestions, to ensure our deliverables meet our own internal standards.</li> <li>The evaluation team ensures its work complies with standards set by professional organizations including UNEG and OECD/DAC Evaluation Quality Standards.</li> <li>The evaluation team ensures sufficient time is given to stakeholders to review and provide feedback. The feedback provided is compiled in a comment matrix, which tracks how each comment is addressed.</li> </ul>
Ongoing communication and coordination	<ul style="list-style-type: none"> <li>Regular progress meetings.</li> <li>Regular email correspondence and videoconferencing to update on progress, issues, etc.</li> <li>All products are reviewed before they are finalized.</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing communication and feedback provide opportunities to improve processes and products continuously and to ensure they meet stakeholder needs and expectations, as well as the requirements of the ToR and approved workplan.</li> <li>The evaluation team is proactive in obtaining feedback on satisfaction with the evaluation process and deliverables during and after the assignment.</li> <li>All evaluation team members have access to the stakeholder management tool and living bibliography tracking the evaluation team's progress in real-time.</li> </ul>
Assignment management	<ul style="list-style-type: none"> <li>Deliverables are produced on budget, on time, and in keeping with (or exceeding) key stakeholder needs and</li> </ul>	<ul style="list-style-type: none"> <li>The Team Leader is responsible for managing the assignment as agreed to in the workplan, and ensuring that the quality of the products meets or surpasses professional</li> </ul>

STAGE /COMPONENT	KEY ACTIVITIES	QUALITY CONTROL MEASURES
	expectations.	standards. <ul style="list-style-type: none"> <li>• The Team Leader meets with the team to analyze the strengths and lessons learned in carrying out the evaluation.</li> </ul>



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## APPENDICES

## Appendix 1. EVALUATION MATRIX

An evaluation matrix has been prepared, as below. It was created following the further development and revision of the preliminary evaluation matrix during the inception stage of the mandate.

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTION	INDICATORS	DATA SOURCES
Relevance	To what extent, and how is the GCF relevant and responsive to the specific needs and urgency of climate action of African States?	To what extent is the GCF strategically aligned with relevant international agendas on climate action of the African States, including Agenda 2030, UNFCCC and 2015 Paris Agreement, 2015 Sendai Framework for Disaster Risk Reduction?	<ul style="list-style-type: none"> <li>• Evidence of alignment in strategic purpose, programmatic documentation, and guidance documentation</li> <li>• Perceptual qualitative and/or quantitative data indicating alignment</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Portfolio review</li> <li>• Stakeholder interviews/ FGDs</li> <li>• Case studies</li> <li>• Event participation</li> <li>• Survey</li> <li>• Synthesis of previous IEU evaluations</li> <li>• Other IEU data</li> </ul>
		To what extent is the GCF portfolio aligned with key climate change challenges as well as evolving adaptation and mitigation needs and priorities of the African States?	<ul style="list-style-type: none"> <li>• Evidence that the GCF portfolio is aligned with key climate change challenges of African States: overall, attuned to regional country type diversity (e.g. SIDS), diverse populations and marginalized groups</li> <li>• Evidence that the GCF interventions reflect and adapt to evolving adaptation and mitigation needs and priorities and to changing contexts</li> <li>• Evidence of alignment in strategic documents of African States</li> <li>• Evidence of alignment in strategic documents of African regional organizations</li> <li>• Evidence of alignment reflected in accreditation- and delivery-related documentation of the GCF</li> <li>• Perceptual qualitative and/or quantitative data indicating alignment</li> </ul>	
Coherence in climate finance delivery with	To what extent, and how is the GCF approach coherent and complementary with the	Internally: To what extent is the GCF programmatic approach and its	<ul style="list-style-type: none"> <li>• Evidence that GCF programming and its portfolio are situated within an overall, coherent strategic country programmatic approach to</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Portfolio review</li> </ul>



EVALUATION CRITERIA	QUESTIONS	SUB-QUESTION	INDICATORS	DATA SOURCES
other multilateral entities	climate finance landscape, in its support of African States?	portfolio coherent across the organization, with respect to African States?	<ul style="list-style-type: none"> <li>climate change adaptation and mitigation</li> <li>Perceptual qualitative and/or quantitative data indicating coherence</li> </ul>	<ul style="list-style-type: none"> <li>3CO analysis</li> <li>Stakeholder interviews/FGDs</li> <li>Case studies</li> <li>Event participation</li> <li>Survey</li> <li>Synthesis of previous IEU evaluations</li> <li>Other IEU data</li> </ul>
		<p>Externally:</p> <p>To what extent is the GCF responsive to COP decisions and guidance on pursuing coherence and complementarity across the climate finance landscape, with respect to African States?</p> <p>To what extent are GCF investments in Africa, its projects and programmes complementary to those of other climate financial institutions?</p> <p>To what extent does the GCF business model allow for cooperation and engagement in Africa with other development partners including multilateral entities and other actors?</p>	<ul style="list-style-type: none"> <li>Evidence that GCF takes guidance from, and aligns with relevant COP decisions and guidance on coherence and complementarity across the climate finance landscape</li> <li>Evidence of additionality, cooperation, complementarity, and synergies with the activities of comparator organizations</li> <li>Perceptual qualitative and/or quantitative data indicating complementarity</li> </ul>	
Country ownership of projects and programmes	To what extent, and how has the GCF supported African States in ensuring ownership over climate-related investments, based on using country systems, including national budgets, accounting or procurement systems, towards realizing climate action objectives?	<ul style="list-style-type: none"> <li>To what extent have NDAs taken leadership in overseeing the overall portfolio of GCF- and climate-related investments in the country? To what extent has GCF provided support to countries towards ensuring they have capacity for doing so?</li> <li>What has been the extent of stakeholder participation at all stages of programming and project development, including design, implementation and monitoring of GCF investments</li> </ul>	<ul style="list-style-type: none"> <li>Extent to which Concept Notes and proposals are aligned with country strategies and plans (e.g. NAPs)</li> <li>Extent to which NDAs/focal points represent and coordinate diverse stakeholders in-country on GCF investments</li> <li>Extent to which the capacities of NDAs/focal points have been strengthened (human, systems, procedures, etc., e.g. through RPSP), enabling countries to drive engagement with the GCF</li> <li>Extent to which the readiness pipeline is appropriately well developed in Africa</li> <li>Evidence that relevant stakeholders participated</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Portfolio review</li> <li>Stakeholder interviews/FGDs</li> <li>Case studies</li> <li>Event participation</li> <li>Survey</li> <li>Synthesis of previous IEU evaluations</li> <li>Other IEU data</li> </ul>

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTION	INDICATORS	DATA SOURCES
		<ul style="list-style-type: none"> <li>and activities?</li> <li>What explains the low rate of DAE project-related submissions in Africa?</li> </ul>	<ul style="list-style-type: none"> <li>at all stages of GCF activities</li> <li>Perceptual qualitative and/or quantitative data indicating country ownership</li> </ul>	
		<ul style="list-style-type: none"> <li>To what extent have local communities, local knowledge, and heritage been taken into account in GCF's support for and investments in the African States?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence that planning and programming processes took stock of diverse stakeholders' interests</li> <li>Evidence that stakeholders are satisfied in their participation and willing to participate again</li> </ul>	
Effectiveness	To what extent, and how are GCF investments catering to the high potential for transformation within African State economies and the potential for high levels of demonstration?	<ul style="list-style-type: none"> <li>To what extent is GCF programming, and its portfolio in African States designed for and actually achieving intended results?</li> <li>To what extent is the GCF meeting its objectives, and those of the UNFCCC and Paris Agreement, based on its African States portfolio?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence that the GCF meets its African States portfolio's objectives</li> <li>Evidence that the GCF African States portfolio contributes to meeting UNFCCC and Paris Agreement objectives</li> <li>Difference between GCF African States portfolio's intended results, and achieved results</li> <li>Perceptual qualitative and/or quantitative data indicating effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Portfolio review</li> <li>3CO analysis</li> <li>Stakeholder interviews/ FGDs</li> <li>Case studies</li> <li>Event participation</li> <li>Survey</li> <li>Synthesis of previous IEU evaluations</li> <li>Other IEU data</li> </ul>
		<ul style="list-style-type: none"> <li>To what extent is the GCF enabling the mobilization of complementary and catalytic financial resources for meeting the climate action objectives and priorities of African States?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of financial resources mobilization, as per targets of the GCF, among a diversity of stakeholder sources/ types</li> </ul>	
		<ul style="list-style-type: none"> <li>How effective has the GCF been in contributing to private sector engagement and mobilization in, for, and with African States?</li> <li>Is GCF finance helpful in mobilizing private sector</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of private businesses (domestic and international) and local financial intermediaries engaging in GCF activities in African States</li> <li>Evidence of private sector investments for the African States mobilized through GCF interventions</li> </ul>	

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTION	INDICATORS	DATA SOURCES
		investment for the African States?		
		<ul style="list-style-type: none"> <li>To what extent has the GCF supported the building of institutional capacity in African States?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of institutional capacity strengthened with the support of the GCF (e.g. through its Readiness Programme)</li> </ul>	
Innovativeness in result areas	To what extent is the GCF contributing to/ enabling a paradigm shift towards low-emission and climate-resilient development pathways?	<ul style="list-style-type: none"> <li>To what extent are GCF investments contributing to a transformation of African States' development pathways?</li> <li>Among African States, what evidence points to positive interactive effects between country systems change (institutional and regulatory frameworks, markets, innovation, and knowledge capture) and the presence of enhanced assets for emissions reductions or increased climate resilience? What drivers are most prominent? How are these being harnessed/addressed?</li> <li>Across the Africa portfolio, how is the demonstration value of physical or natural resource assets being exploited for the purpose of shifting paradigms?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence that climate change adaptation and mitigation has been enshrined in countries' political agendas, legislation and policies</li> <li>Evidence of increased policy coherence across sectors related to GCF investments</li> <li>Evidence of improved access of countries to climate finance</li> <li>Evidence of GCF funding innovative projects across its portfolio, adapted to contextual specificities</li> <li>Evidence of GCF funding projects across its portfolio, that are ambitious enough to meet global and national climate adaptation and mitigation goals</li> <li>Perceptual qualitative and/or quantitative data indicating innovativeness</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Portfolio review</li> <li>Stakeholder interviews/ FGDs</li> <li>Case studies</li> <li>Event participation</li> <li>Survey</li> <li>Synthesis of previous IEU evaluations</li> <li>Other IEU data</li> </ul>
Gender equity/ consideration of social inclusion	To what extent has the GCF been effective in addressing gender-related and social inclusion dimensions of climate interventions?	<ul style="list-style-type: none"> <li>To what extent are gender-related dimensions considered at the design, implementation, and monitoring stages of GCF interventions (both geared at adaptation and mitigation)?</li> <li>To what extent are social</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of alignment between the design, implementation and monitoring stages of the GCF interventions and the GCF gender policy</li> <li>Evidence of gender-balanced representation in all stages of GCF interventions</li> <li>Evidence that GCF investments are situated to</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Portfolio review</li> <li>Stakeholder interviews/ FGDs</li> <li>Case studies</li> </ul>

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTION	INDICATORS	DATA SOURCES
		<p>inclusion-related dimensions – with specific reference to indigenous peoples – considered at the design, implementation, and monitoring stages of GCF interventions (both geared at adaptation and mitigation)?</p> <ul style="list-style-type: none"> <li>To what extent are economic, social and environmental co-benefits being produced with GCF support, with specific gender-related beneficial outcomes?</li> <li>To what extent are economic, social and environmental co-benefits being produced with GCF support, with specific beneficial outcomes for indigenous peoples?</li> </ul>	<p>transform gender relations</p> <ul style="list-style-type: none"> <li>Perceptual qualitative and/or quantitative data indicating gender-related effectiveness, including production of co-benefits (e.g. employment level, job creation, etc.)</li> <li>Evidence of alignment between the design, implementation and monitoring stages of the GCF interventions and the GCF IPP</li> <li>Evidence of appropriate representation of indigenous peoples in all stages of GCF interventions</li> <li>Evidence that GCF investments are situated to address priorities of indigenous peoples</li> <li>Perceptual qualitative and/or quantitative data indicating indigenous peoples-related effectiveness, including production of co-benefits</li> </ul>	<ul style="list-style-type: none"> <li>Event participation</li> <li>Survey</li> <li>Synthesis of previous IEU evaluations</li> <li>Other IEU data</li> </ul>
		<ul style="list-style-type: none"> <li>To what extent do monitoring and evaluation (M&amp;E) mechanisms allow for gender-related dimensions to be tracked?</li> <li>To what extent do M&amp;E mechanisms allow for social inclusion-related dimensions to be tracked, with specific reference to indigenous peoples?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of gender-based/related indicators in results frameworks</li> <li>Gender disaggregation/ consideration in data collection and reporting</li> <li>Evidence of indigenous peoples-based/related indicators in results frameworks</li> <li>Indigenous peoples' disaggregation/ consideration in data collection and reporting</li> </ul>	
Unexpected and unintended results	Is there any evidence of unexpected results of the GCF interventions, both positive and negative?	<ul style="list-style-type: none"> <li>To what extent, and how has GCF been aware of, and responsive to unintended results?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of non-anticipated results (both recognized and new)</li> <li>Evidence of pathways to change not included in a ToC</li> <li>Evidence of GCF responsiveness to unintended results</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Portfolio review</li> <li>Stakeholder interviews/ FGDs</li> <li>Case studies</li> <li>Event participation</li> </ul>

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTION	INDICATORS	DATA SOURCES
				<ul style="list-style-type: none"> <li>• Survey</li> <li>• Synthesis of previous IEU evaluations</li> <li>• Other IEU data</li> </ul>
Efficiency	To what extent has the GCF aimed towards reducing the vulnerability of local communities and livelihoods to the effects of climate change in the most efficient way?	<ul style="list-style-type: none"> <li>• To what extent have GCF processes and projects pursued and realized efficiency, while also recognizing the high cost of operating in African States?</li> <li>• How efficient is the GCF in bringing African States projects for approval?</li> </ul>	<ul style="list-style-type: none"> <li>• Adequation between the economic and financial resources planned and utilized for GCF interventions</li> <li>• Comparisons of output indicators to total project financing</li> <li>• Time and resources allocated to the project approval process (including project ideas, concept notes, funding proposals)</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Portfolio review</li> <li>• Stakeholder interviews/FGDs</li> <li>• Case studies</li> <li>• Event participation</li> <li>• Survey</li> <li>• Synthesis of previous IEU evaluations</li> <li>• Other IEU data</li> </ul>
	To what extent is the GCF business model responsive to emerging challenges and priorities?	<ul style="list-style-type: none"> <li>• To what extent and how has the GCF business model supported and enabled high-quality implementation within the different contexts of the African States?</li> <li>• To what extent are GCF processes, programmes, funding windows, and modalities responsive to the needs and urgency of climate action of the African States?</li> </ul>	<ul style="list-style-type: none"> <li>• Extent to which GCF has an appropriate policy landscape on and for Africa</li> <li>• Quality assessment of the implementation of GCF investments in the different contexts of African States</li> <li>• Evidence of processes, programmes, funding windows, and modalities that led to high-quality implementation</li> <li>• Extent to which GCF Secretariat has the capacity to support and oversee a strong country-driven and owned approach</li> <li>• Extent to which ITAP provides appropriate guidance towards selection of high-quality projects</li> <li>• Extent to which accreditation process is adapted</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Portfolio review</li> <li>• Stakeholder interviews/FGDs</li> <li>• Case studies</li> <li>• Event participation</li> <li>• Survey</li> <li>• Synthesis of previous IEU evaluations</li> <li>• Other IEU data</li> </ul>

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTION	INDICATORS	DATA SOURCES
			<p>to diverse African contextual realities</p> <ul style="list-style-type: none"> <li>Evidence of the GCF's ability to adapt its implementation processes to the different contexts of African States</li> <li>Extent to which GCF provides resources in an appropriate and equitable way across African States, by diverse type (LDCs, SIDS, FCAS, etc.)</li> <li>Perceptual qualitative and/or quantitative data indicating business model responsiveness</li> </ul>	
Sustainability, replication and scalability	Are GCF accomplishments in reducing the vulnerability of local communities and livelihoods to the effects of climate change likely to be sustained?	<ul style="list-style-type: none"> <li>To what extent is GCF support helping the African States put in place the framework conditions that will sustainably reduce the vulnerability of local communities?</li> <li>How do these criteria vary across gender, and cultural, social and ethnic groups?</li> </ul>	<ul style="list-style-type: none"> <li>Assessment of vulnerability indicators across time and relevant subgroups (e.g. gross national income per capita, human assets index, and environmental economic vulnerability index, poverty index)</li> <li>Evidence of contextually appropriate interventions with strong buy-in from diverse sectors and groups</li> <li>Perceptual qualitative and/or quantitative data indicating (likely) sustainability</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Portfolio review</li> <li>3CO analysis</li> <li>Stakeholder interviews/FGDs</li> <li>Case studies</li> <li>Event participation</li> <li>Survey</li> <li>Synthesis of previous IEU evaluations</li> <li>Other IEU data</li> </ul>
		<ul style="list-style-type: none"> <li>To what extent, and how is the GCF contributing to channeling new, additional, adequate, and predictable climate finance resources for African States, both public and private, that will help sustain its accomplishments?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence that the GCF enables lasting access to climate finance and promotes a paradigm shift</li> <li>Evidence that the private sector has been mobilized and stays involved</li> <li>Evidence that countries have been empowered to deliver projects, as per stakeholder perceptions</li> <li>Evidence of exit strategies in place for GCF, AEs and other project actors</li> </ul>	
	To what extent are GCF investments replicable and scalable?	<ul style="list-style-type: none"> <li>To what extent can GCF interventions be scaled up in other locations within a country, or replicated in other countries?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of interventions in one location reproduced and adapted elsewhere</li> <li>Perceived potential of this being the case</li> </ul>	

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTION	INDICATORS	DATA SOURCES
		<ul style="list-style-type: none"> <li>What factors confound scaling activities at a country level? How do these factors vary between LDCs and more prosperous African States, between larger and smaller countries, etc.? Which factors present the greatest challenges to GCF and other climate finance entities?</li> </ul>	<ul style="list-style-type: none"> <li>Consideration of replication and scale-up processes from elsewhere being pursued by the GCF into the future</li> <li>Evidence that GCF and external learning systems are in place for enabling programming development, replication and scaling across Africa</li> <li>Perceptual qualitative and/or quantitative data indicating actual or high-potential for replicability and/or scalability</li> </ul>	

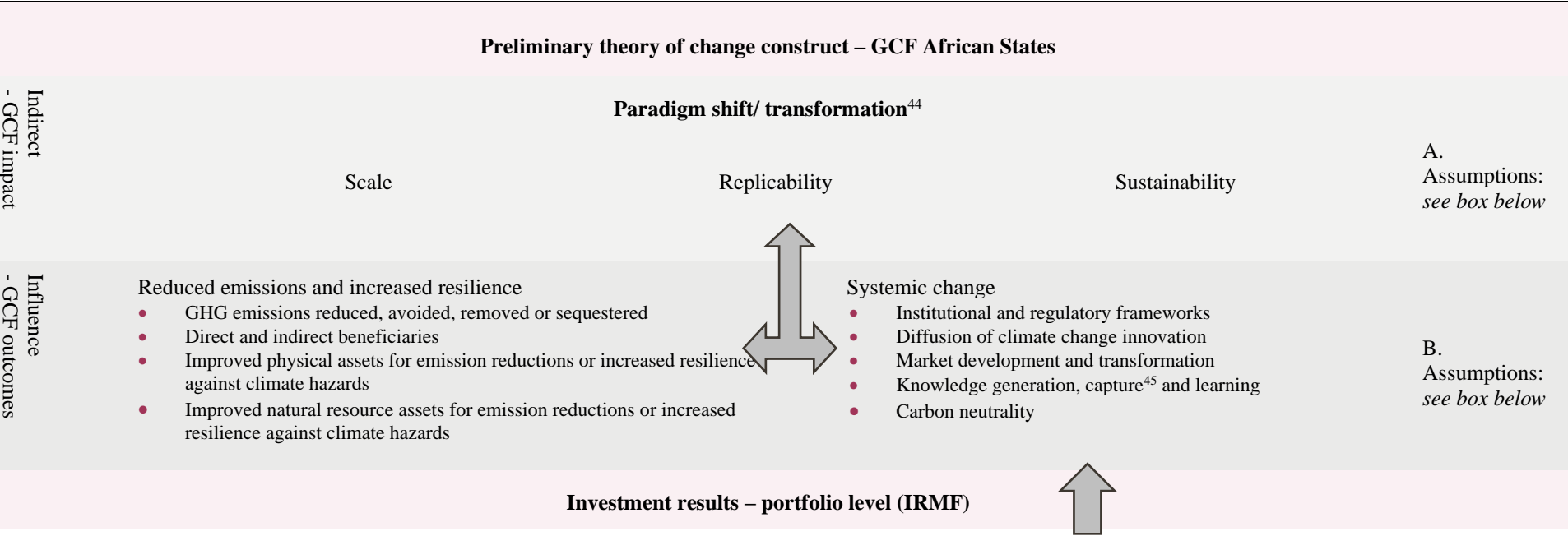


## Appendix 2. DETAILED THEORY OF CHANGE AND SYSTEMS MAP

### Preliminary ToC

A ToC looks like a log frame but elaborates on the causal links between activities and results by identifying assumptions, that is, conditions that need to be in place for activities to yield outputs, outputs to yield outcomes, and outcomes to yield impacts.<sup>43</sup> The preliminary ToC for this evaluation is provided in Figure A - 2 below.

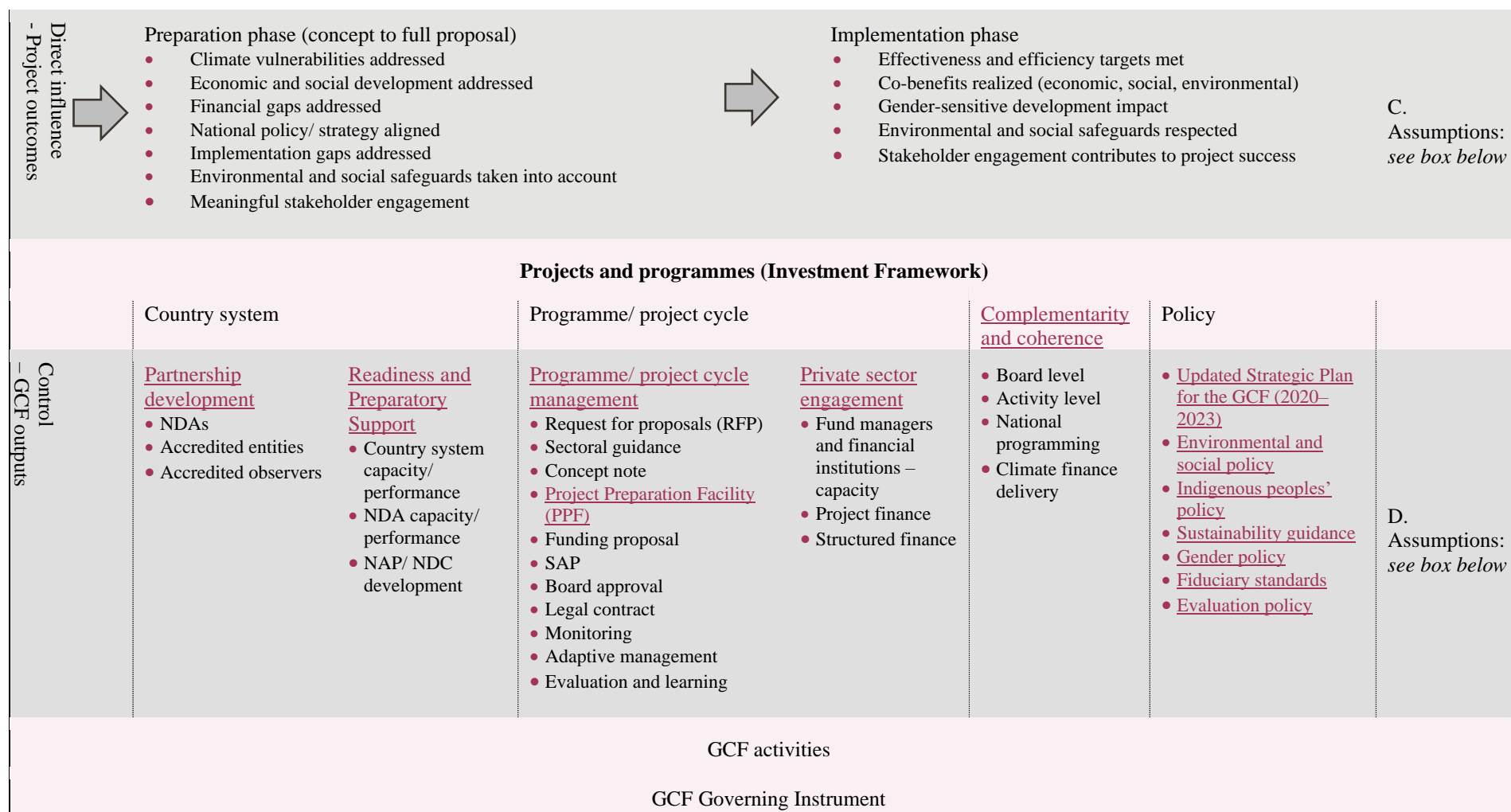
Figure A - 2. Preliminary theory of change



<sup>43</sup> These terms are described in Section 3.2 (p.18) of the IRMF. Available at <https://www.greenclimate.fund/sites/default/files/document/gcf-b28-09.pdf>.

<sup>44</sup> Paradigm shift dimensions look into the extent to which renewable energy sources become the norm or an established taken-for-granted large proportion of the energy mix (depth), by catalyzing other stakeholders' investments and scaling up the renewable energy market over the longer term (scale), with a clear process for transitioning jobs from fossil fuel sources to renewable energy providers in the market (sustainability). Source: IRMF, p.5, footnote 3.

<sup>45</sup> Refers to the collection and documentation of best practices and lessons learned from GCF operations. Source: GCF Programming Manual, p.77.



Reading from the bottom upward, the diagram connects the GCF GI to the activities and outputs (products and services) most relevant to African States. These are drawn from the GCF Programming Manual and various other framework documents, falling into four major categories:

- Country system – activities dedicated to supporting country-level climate change priority setting, partnering, institutional strengthening, and participation in GCF governance
- Programme/ project cycle management – activities associated with project ideation, conceptualization, elaboration into programme/ project proposals and, ultimately, implementation of funded initiatives
- Complementarity and coherence – activities at different levels within the GCF ecosystem favouring synergy and warding against duplication in relation to GCF's peer climate finance mechanisms and other relevant initiatives
- Policy – implementation of policies of relevance to AEs.

It is understood that GCF has the highest degree of control at this output level.

As the theory goes, the outputs created under the above-mentioned categories are to pave the way for the creation of programmes and projects that meet the requirements set out in GCF's Investment Framework. The items listed under the headings "Preparation" and "Implementation" are drawn from the Investment Framework. At this outcome level, GCF has direct influence, but not full control, and this influence diminishes as the project cycle progresses into implementation.


The interactive effects of programmes and projects achieving anticipated outcomes through to implementation is expected to show a higher level of change at the GCF portfolio level. The GCF refers to these as Investment Results in its Integrated Results Management Framework (IRMF). At this point on GCF's change pathway, reduced emissions and increased climate change resilience should be measurable at a country level. Positive changes in the enabling environment – e.g. relating to regulation, market conditions, innovation practice – should also be evident. As well, there should be a reinforcing interplay between a cleaner environment, on the one hand, and the system that can enable such, on the other. Ultimately, demonstrable scale (increased quantifiable results, replicability), the export of key structural elements, and sustainability (enduring climate-resilient practices with a firm structural and financial base) are expected to favour a paradigm shift. At this highest level of result, GCF's influence is indirect only, though having a contributory effect.



### **Preliminary assumptions and indicators**


In setting out a ToC, it is understood that many intervening variables stand to hinder (or help) progress along the results pathways. These are phrased as assumptions; as such, they describe the conditions that need to be in place for progress to occur. Figure A - 3 below provides a preliminary set of assumptions and accompanying indicators associated with the levels of results contained in the preliminary ToC. As part of understanding better the causal relationships described in the ToC, it will be important to examine the extent to which these assumptions can be shown to hold firm across the African States during the evaluation period.

Accordingly, the team will use this preliminary list of assumptions and indicators to inform the design of the data collection instruments. The findings they generate are predicted to show variance in the solidity of these and of other assumptions that are discovered along the way. The data that emerges from this analysis should, in turn, lead the evaluation to identify risk areas pertinent to different programming contexts. This information, once validated, will be folded into the Evaluation Report and reflected in the next iteration of the ToC.

**Figure A - 3. Preliminary assumptions**

THEORY OF CHANGE – GCF AFRICAN STATES: PRELIMINARY		
	Assumptions	Select indicators
	<b>GCF impacts</b> Paradigm shift/ transformation 1) Country shows political will to address climate change 2) Transformational change is envisaged, planned and implemented 3) Africa is no different from other continents/ regions, albeit with more LDCs 4) Country is not overly in debt and is eligible for external public and private funding	a) NDC is regularly updated; country participates in COP and regional consultation events such as structural dialogues; there are laws and parliament debates addressing climate change; media are active advocates b) There is high-level commitment, and operational approaches include laws to reach transformation c) Stakeholders including the private sector and CSOs are regularly consulted before government measures are taken d) Heterogenous level of involvement and success of African countries with the GCF, including among LDCs e) Country has stable public budget, active private investors, and receives external public and private funding from various sources

THEORY OF CHANGE – GCF AFRICAN STATES: PRELIMINARY		
	<b>GCF outcomes</b> Systemic change <ol style="list-style-type: none"> <li>1) Scaling up is envisaged and plausible</li> <li>2) Competing interest groups are accommodated in regulatory/ policy/ institutional change processes without compromising the desired system shift</li> <li>3) Innovation is matched with sufficient capital to incubate and prepare for scale</li> <li>4) The business case is sufficiently adaptive and robust for large-scale uptake</li> <li>5) Knowledge dissemination and learning is sufficiently incisive, inclusive, widespread and accessible to reinforce behaviour change</li> <li>6) Analogous systems change initiatives reinforce/ complement each other</li> </ol> Reduced emissions and increased resilience <ol style="list-style-type: none"> <li>1) Mitigation and adaptation are planned and implemented</li> <li>2) Balance of 50/50 for mitigation and adaptation is possible to achieve</li> <li>3) Physical assets are sufficiently embedded within existing country systems, with provision for further modernization/ capital replacement</li> <li>4) Direct and indirect beneficiaries are aware of the (physical/ natural resource) asset's value/ impact</li> <li>5) GCF supported emissions reductions/ avoidance, etc., has not inadvertently added negative pressure on the environment in other ways</li> </ol>	<ol style="list-style-type: none"> <li>a) Scaling up of successful pilot projects is planned and takes place, including with GCF funding</li> <li>b) Policy/ institutional change initiatives proceed with stakeholder engagement</li> <li>c) Ready sourcing options exist for impact investment and other financing</li> <li>d) Actors with a direct stake (investment) see more reason to engage than to withhold</li> <li>e) Messaging from key opinion leaders mostly supports a shared understanding of climate change</li> <li>f) Clear, mutually reinforcing linkages exist across initiatives</li> </ol> <ol style="list-style-type: none"> <li>a) Both mitigation and adaptation projects are planned and implemented; the appropriate ratio depends on local circumstances</li> <li>b) Operation of physical assets are incorporated into national plans and budgets</li> <li>c) Key stakeholder groups are well informed of the case for climate-positive change</li> <li>d) Independent impact assessments confirm the absence of unwanted environmental effects</li> </ol>
Investment results – portfolio level		
	<b>Project outcomes</b> Implementation phase <ol style="list-style-type: none"> <li>1) COVID-19 is under control</li> <li>2) Activities and results continue to be relevant to stakeholder needs (women and men) and country strategies</li> <li>3) Work plans and budgets are appropriate given planned outcomes</li> <li>4) Global supply chain disruptions do not interrupt procurement</li> <li>5) Gender action plans are followed, consultations with indigenous peoples take place and environmental and social safeguards are respected</li> <li>6) Project governance is sufficiently inclusive and sensitive to manage competing/ conflicting interests</li> </ol>	<ol style="list-style-type: none"> <li>a) The restrictions due to COVID-19 are being lifted/ morbidity counts are stable (and relatively low) or declining</li> <li>b) Stakeholder perceptions indicate alignment; no significant landscape changes evident</li> <li>c) AE monitoring shows congruence between actual and planned results</li> <li>d) There are minimal activity disruptions due to procurement delays</li> <li>e) Gender action plans are in use on project and DAE levels, consultations with indigenous peoples take place and environmental and social safeguards are respected</li> <li>f) All major stakeholder groups have a voice into project decision-making</li> </ol>

THEORY OF CHANGE – GCF AFRICAN STATES: PRELIMINARY		
	<div>7) The quality and distribution of co-benefits is sufficient to build deepening support for the project</div> <div>Preparation phase</div> <div><div>1) The GCF fiduciary standards are respected</div><div>2) Sectoral guidance is well matched to country context</div><div>3) Project design features are responsive and relevant to complex settings</div><div>4) Stakeholder engagement is sufficiently inclusive and based on best practices</div><div>5) Financing arrangements are sufficiently secure to warrant confidence</div><div>6) Accredited entities are demonstrably prepared to undertake project activities in a manner consistent with fiduciary standards, environmental and social safeguards and in compliance with gender policy</div></div>	<div>g) Evidence of reinforcing “spin off” activities among stakeholders</div> <div><div>a) IAEs are selected for competence and prepare and implement projects</div><div>b) DAEs perceive guidance to be relevant and useful</div><div>c) Stakeholder engagement best practices are observed</div><div>d) Financial track records of contributors established, guarantees/ backstops/ bridging options in place</div><div>e) AE reporting and independent monitoring substantiate institutional readiness to comply</div></div>
Projects and programmes (Investment framework)		
	<div>GCF activities to outputs</div> <div><div>1) Country government leadership is supportive of the country’s stance on the UNFCCC</div><div>2) A government agency has been assigned a focal point to support country participation</div><div>3) NDA is functional and has authority</div><div>4) DAEs exist and are active</div><div>5) IAEs are welcome and active, as well as re-accredited in time</div><div>6) RPSP and IAEs make systematic and effective efforts to strengthen local capacities for project formulation, implementation, monitoring and reporting</div><div>7) The NDA has the organizational capacity and resources to lead the development of a country strategic framework</div><div>8) There is a critical mass of DAEs (public, private and CSO) to engage in the GCF programme/ project cycle, or a sufficient number of candidate organizations</div><div>9) Competent national executing agencies exist</div><div>10) GCF policy and processes – e.g. accreditation, observer, programme/ project cycle – and strategic priorities, are understood among key stakeholder groups</div><div>11) DAEs are informed of the country programming landscape as they engage in project ideation</div><div>12) Most, or all, climate financing mechanisms are aligned with the same strategic framework of the country</div><div>13) Project preparatory support is tailored to organizational capacity needs and referenced to a concept note</div><div>14) There is a facility within the country to pair DAEs with PSOs interested in co-financing</div></div>	
GCF activities		





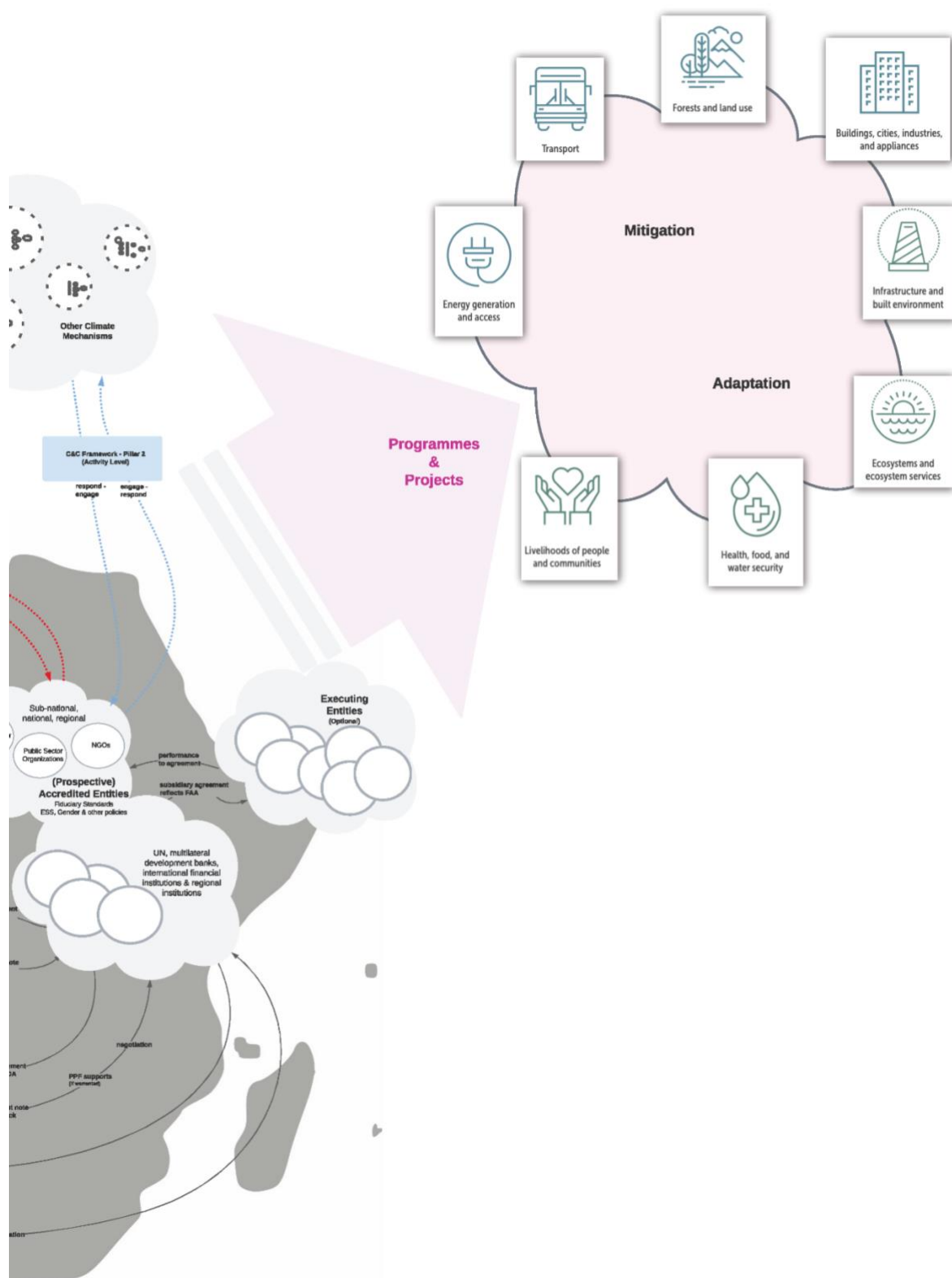


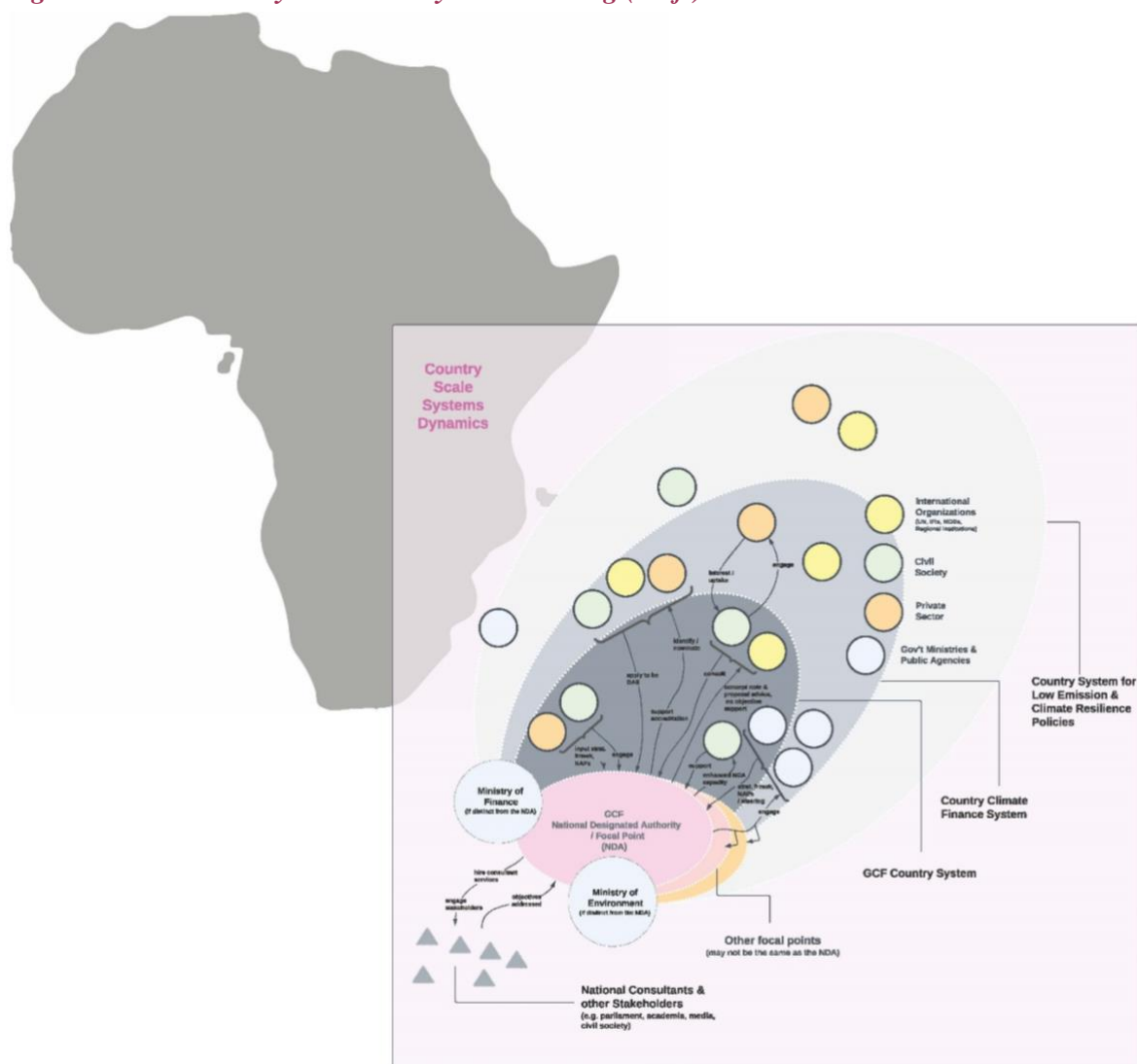
Figure A - 4 above provides a preliminary map of relevant interactions among actors in GCF's organizational ecosystem, and is best read from top left to bottom right. It begins with UNFCCC and the COP that presides over it. Reading toward the centre, the drawing references the Convention document and the GCF GI in describing the roles and responsibilities of the GCF Board, the Trustee, and the Secretariat.

Guided by the Updated Strategic Plan (2020–2023), the GCF manages a 10-stage programme/ project cycle. This bears significantly on GCF's presence across the African States (and indeed, in all geographies). Three divisions and one Office of the Secretariat are assigned lead roles among the different stages of the cycle, all along with inputs flowing from other parts of the Secretariat, as shown in green. In the early stages, the focus is on the country system, which includes national-level planning and entity accreditation. In the middle stages, the focus spans from project idea generation to the submission of full proposals. At these country-system and project-development stages, capacity building support is available, as shown (e.g. through the RPSP). Review stages culminate with Board approval decisions and, for those projects funded, legal and administrative steps before launch. The last three stages in the programme/ project cycle are concerned with project implementation.

As shown, each country is to have an NDA/ focal point. Projects are delivered by AEs (national, regional and international), usually with the help of executing entities. Framework agreements, noted on the map, shape various aspects of GCF's mandate. Of particular relevance to the programme/ project cycle, four such documents are: the GCF Updated Accreditation Framework, the Investment Framework, the IRMF, and the Monitoring and Accountability Framework. One other framework shown is the Operational Framework for Complementarity and Coherence, with its focus on building synergies across climate finance institutions and mechanisms. Finally, GCF's Guidelines Relating to Observer Organization Participation and Participation of Active Observers sets out the means by which the private sector and CSOs can engage in GCF governance. External to GCF operations and accountable to the Board, three independent oversight units of the Fund are shown providing services pertaining to: fraud investigation, the handling of grievances, and evaluation. At this global scale, the drawing is intended to help probe for an understanding of how GCF's various frameworks, systems, services and procedures help or hinder the realization of its mission across the African States.

On the bottom right of the system overview drawing above is an inset showing a set of system nodes and relationships at a country scale. Figure A - 5 below provides a zoom into the country-level system.

**Figure A - 5. Country-level GCF systems drawing (draft)**



At this, closer-to-ground scale, the map presents the principal actors involved in planning and implementing GCF projects at country level. These include:

- NDA/ focal point
- Ministry of finance (depending on country)
- Ministry of environment/ climate (depending on country)
- Other ministries and governmental organizations
- IAEs including international consultants
- National DAEs (actual and potential)
- Regional DAEs (actual and potential)
- National consultants
- Private sector investors
- CSOs
- Media
- Parliamentarians
- Other stakeholders

Given the diversity of African States, the system's configuration varies from country to country and will vary over time.

The map recognizes the possibility of at least three spheres of climate change related activity:

- In the centre, is a sphere described as the GCF Country System showing the NDA in its relationship to an array of DAEs and other stakeholders spanning the public and private sectors, civil society, as well as national and international agencies and actors.
- Behind and extending beyond the GCF Country System is a sphere inclusive of all country climate finance mechanisms.
- Finally, extending yet further is a third sphere inclusive of what would be a larger group of actors engaged in activities related to low emission and climate resilience policies.

At this country scale, the evaluation will probe for a deeper understanding of the factors that influence the development of a robust GCF country system wherein:

- Strategic frameworks are developed
- Consultation and coordination procedures are established
- (prospective) DAE(s) are accredited and assisted to access GCF finance
- Project concept notes are developed and submitted to the GCF Secretariat
- Projects are approved and effective (with AMAs and FAA)
- Projects are implemented, contributing to lower emissions while facilitating better adaptation
- Country ownership of the GCF finance system (and of wider climate adaptation and mitigation pathways) is enhanced
- Transformational changes favouring climate-resilient development are achieved

On a final note, the systems map has been drafted using software that is capable of isolating and layering components of the system and of presenting it in appealing ways. With this versatility, the map can be used in multiple ways during the evaluation. Once validated, relevant parts of the map can serve as discussion starters during interviews and focus groups. It also can be used to graphically represent findings that speak to GCF systems dynamics observed. Ultimately, it can be adjusted on the basis of the evaluation to serve as a reference in a manner similar to the ToC.

Taken together, the ToC and systems drawing provide a normative reading on GCF's governance, operations and programming as applied to the African States based mostly on official documentation. They serve as a point of departure in the evaluation to the extent that they capture, "the way things are supposed to be" in the GCF ecosystem for the African States. In the data collection stage of the evaluation, the team will compare the actual situation across the continent through lenses trained on different parts of the ecosystem, as per the various case studies, and for the continent as a whole.

## Appendix 3. KNOWLEDGE MANAGEMENT AND DISSEMINATION PLAN IN BRIEF

### A. BACKGROUND

Paragraph 64 (a) of the Evaluation Policy for the GCF, which is contained in annex I of decision B.BM-2021/07, states that: “The IEU and the Secretariat will include a dissemination/knowledge management plan for evaluations in their respective work programmes. The Secretariat’s knowledge management function will also play a critical role in this space.” Further, paragraph 64 (d) of the Evaluation Policy goes on to say that “... the GCF will promote the sharing of evaluative evidence across GCF partners through different modes of dissemination and communication”.

In this context, this knowledge dissemination and management plan has been developed by the IEU for its Independent Evaluation of the Relevance and Effectiveness of the GCF’s Investments in the African States (AFR2022). This plan outlines how the IEU plans to disseminate the findings and learnings from this evaluation, including information about suggested modes of dissemination and communication, and provides an indicative timeline for key activities and engagement opportunities.

### B. ABOUT THE EVALUATION

The African continent is not the major contributor to carbon emissions in the world, yet global warming is advancing more rapidly in Africa than in many other places on Earth. The evaluation will ask whether the GCF’s approach and investments have been effective in reducing the vulnerability of local communities and their local livelihoods to the effects of climate change, and whether these impacts are likely to be sustained. The evaluation will be delivered to the last Board meeting by the end of 2022 and will provide key lessons for the GCF. This evaluation will build upon learnings from the previous IEU evaluations on the SIDS and LDCs, as well as others.

### C. OBJECTIVES OF THE PLAN

This knowledge management and dissemination plan focuses on raising awareness of the evaluation during the evaluation period and after the completion of the evaluation. It aims to promote and disseminate the evaluation’s findings and recommendations, primarily to decision-makers and other key stakeholders in the GCF ecosystem.

### D. COMMUNICATION OUTPUTS

OUTPUT	KEY AUDIENCE	CONTENT/COMMENTS
IEU website	All	Serves as a hub for all public resources generated by the evaluation; updated immediately once new content becomes available
Approach paper	Board, Secretariat	Approach, questions, messages of the evaluation
Draft country case study reports	All	Five thematic and/or country case study reports
Feedback meeting from advisory group	Advisory group	Feedback on Factual Draft of the evaluation report
Webinars and/or Board side events to present key findings	Board, Secretariat	In these webinars or Board (virtual) Side Events, the evaluation team will present the evaluation’s key findings and answer any questions attendees may have.

OUTPUT	KEY AUDIENCE	CONTENT/COMMENTS
Final evaluation report	All	Contains the evaluation questions, in-depth data analyses, conclusions, findings and recommendations
Executive summary	All	A 10–15 page Executive summary of the evaluation report
4-page summary brief (GEvalBrief)	All	A 4-page summary brief that focuses primarily on the evaluation's background, key questions, findings and recommendations, designed for busy readers, and a useful tool for disseminating evaluation learnings to a wider audience
Podcast or video (subject to personnel capacity available during the suggested time period)	All	A 5–7 minute video summary of the evaluation's key findings and recommendations, uploaded to YouTube and the IEU's website
Social media	All	Key updates for every product/ event related to the assessment evaluation

## Appendix 4. UNIVERSAL INTERVIEW PROTOCOL

### **Interviewers: please complete the following descriptor information:**

Date of the interview:

Name of interviewer:

Number of female interviewees:

Number of male interviewees:

Interviewee 1 – Last name:

Interviewee 1 – First name:

Job title:

Department/Division:

Organization:

Type of stakeholder (as per stakeholder list):

Interviewee 2 – Last name (if more than one person is present, add numbers of interviewee information as appropriate):

Interviewee 2 – First name (if more than one person is present, add numbers of interviewee information as appropriate):

Job title:

Department/Division:

Organization:

Type of stakeholder (as per stakeholder list):

Add additional interviewee information as necessary.

### **Introduction: To be shared with interviewee**

In February 2022, the Green Climate Fund Independent Evaluation Unit (GCF/IEU) launched the “Independent Evaluation of the Relevance and Effectiveness of the Green Climate Fund’s Investments in the African States”. The evaluation will assess whether and the extent to which GCF approaches and investments have been effective in contributing to the objective of the United Nations Framework Convention on Climate Change (UNFCCC) and promoting a paradigm shift towards low emission and climate-resilient development pathways.

You have been identified as a key stakeholder for this evaluation, and we thank you for your participation in this interview.

The interview is confidential. While you will be named as a key informant of the evaluation overall, in our list of consulted stakeholders, your specific contribution to the evaluation will be anonymous to all but the evaluators. We will not associate your name with anything specifically included in this interview with the GCF.

*Do you freely consent to this interview, and to the terms specified above?*

Thank you.



EVALUATION QUESTION	SUB-QUESTIONS
Warm-up	Please briefly describe your background, role/position, and the nature of your involvement/relationship with the GCF and its interventions in the African States.
Relevance	<ul style="list-style-type: none"> <li>To what extent is the GCF strategically aligned with relevant international agendas on climate action of African States (including Agenda 2030, UNFCCC and 2015 Paris Agreement, 2015 Sendai Framework for Disaster Risk Reduction)?</li> <li>To what extent is the GCF portfolio aligned with key climate change challenges as well as the evolving adaptation and mitigation needs and priorities of the African States?</li> </ul>
Coherence in climate finance delivery with other multilateral entities	<ul style="list-style-type: none"> <li>To what extent is the GCF responsive to COP decisions and guidance on pursuing coherence and complementarity across the climate finance landscape, with respect to the African States?</li> <li>To what extent are GCF investments in Africa, and its projects and programmes complementary to those of other climate financial institutions?</li> <li>To what extent does the GCF business model allow for cooperation and engagement in Africa with other development partners including multilateral entities and other actors?</li> <li>To what extent is the GCF programmatic approach and its portfolio coherent across the organization, with respect to the African States?</li> </ul>
Country ownership of projects and programmes	<ul style="list-style-type: none"> <li>To what extent, and how has the GCF supported the African States in ensuring ownership over climate-related investments?</li> <li>To what extent have NDAs taken leadership in overseeing the overall portfolio of GCF and climate-related investments in their country?</li> <li>To what extent has GCF provided support to countries towards ensuring they have capacity for doing so?</li> <li>What has been the extent of stakeholder participation at all stages of programming and project development, including design, implementation and monitoring of GCF investments and activities?</li> <li>What explains the low rate of DAE project-related submissions in Africa?</li> <li>To what extent have local communities, local knowledge, and heritage been taken into account in GCF's support and investments in the African States?</li> </ul>
Effectiveness	<ul style="list-style-type: none"> <li>To what extent is the GCF meeting its objectives, and those of the UNFCCC and Paris Agreement, based on its African States portfolio?</li> <li>To what extent is GCF programming, and its portfolio in the African States designed for, and actually achieving intended results?</li> <li>To what extent is the GCF enabling the mobilization of complementary and catalytic financial resources for meeting the climate action objectives and priorities of the African States?</li> <li>How effective has the GCF been in contributing to private sector engagement and mobilization in, for, and with the African States?</li> <li>Is GCF finance helpful in mobilizing private sector investment for the African States?</li> <li>To what extent has the GCF supported the building of institutional capacity in the African States?</li> </ul>
Innovativeness in result areas	<ul style="list-style-type: none"> <li>To what extent is the GCF contributing to/ enabling a paradigm shift towards low-emission and climate-resilient development pathways? To what extent are GCF investments contributing to a transformation of African States' development pathways?</li> <li>Among the African States, what evidence points to positive interactive effects between country systems change (institutional and regulatory frameworks, markets, innovation, and knowledge capture) and the presence of enhanced assets for emissions reductions or increased climate resilience? What drivers are most</li> </ul>

EVALUATION QUESTION	SUB-QUESTIONS
	<p>prominent? How are these being harnessed/addressed?</p> <ul style="list-style-type: none"> <li>Across the Africa portfolio, how is the demonstration value of physical or natural resource assets being exploited for the purpose of shifting paradigms?</li> </ul>
Gender equity/ consideration of social inclusion	<ul style="list-style-type: none"> <li>To what extent has the GCF been effective in addressing gender-related and social inclusion dimensions of climate interventions in the African States?</li> <li>To what extent are gender-related dimensions considered at the design, implementation, and monitoring stages of GCF interventions (both geared at adaptation and mitigation)?</li> <li>To what extent are social inclusion-related dimensions – with specific reference to indigenous peoples – considered at the design, implementation, and monitoring stages of GCF interventions (both geared at adaptation and mitigation)?</li> <li>To what extent are economic, social and environmental co-benefits being produced with GCF support, with specific gender-related beneficial outcomes?</li> <li>To what extent are economic, social and environmental co-benefits being produced with GCF support, with specific beneficial outcomes for indigenous peoples?</li> <li>To what extent do M&amp;E mechanisms allow for gender-related dimensions to be tracked?</li> <li>To what extent do M&amp;E mechanisms allow for social inclusion-related dimensions to be tracked, with specific reference to indigenous peoples?</li> </ul>
Unexpected and unintended results	<ul style="list-style-type: none"> <li>Is there any evidence of unexpected results from the GCF interventions in the African States, both positive and negative?</li> <li>To what extent, and how has GCF been aware of, and responsive to unintended results?</li> </ul>
Efficiency	<ul style="list-style-type: none"> <li>To what extent has the GCF aimed towards reducing the vulnerability of local communities and livelihoods to the effects of climate change in the African States in the most efficient way?</li> <li>To what extent have GCF processes and projects pursued and realized efficiency, while also recognizing the high cost of operating in the African States?</li> <li>How efficient is the GCF in bringing the African States' projects to approval?</li> <li>To what extent is the GCF business model responsive to emerging challenges and priorities?</li> <li>To what extent and how has the GCF business model supported and enabled high-quality implementation within the different contexts of the African States?</li> <li>To what extent are GCF processes, programmes, funding windows, and modalities responsive to the needs and urgency of climate action of the African States?</li> </ul>
Sustainability, replication and scalability	<ul style="list-style-type: none"> <li>Are GCF accomplishments in reducing the vulnerability of local communities and livelihoods to the effects of climate change likely to be sustained in the African States?</li> <li>To what extent is GCF support helping the African States to put in place framework conditions that will sustainably reduce the vulnerability of local communities?</li> <li>How do these vary across gender, and cultural, social and ethnic groups?</li> <li>To what extent, and how is the GCF contributing to channeling new, additional, adequate, and predictable climate finance resources for the African States, both public and private, that will help sustain its accomplishments?</li> <li>To what extent can GCF interventions be scaled up in other locations within a country, or replicated in other countries, in the African States?</li> <li>What factors confound scaling activities at a country level? How do these factors vary between LDCs and more prosperous African States, between larger and smaller countries, etc.? Which factors present the greatest challenges to GCF and other climate finance entities, in relation to the African States?</li> </ul>

EVALUATION QUESTION	SUB-QUESTIONS
Additional	Are there any issues that I have not raised and that you wish to discuss, as related to GCF's investments in the African States?
Recommendations	Do you have any recommendations for the GCF, for improving its work and impact in the African States?

Thank you for participating in this evaluation interview.



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