



GREEN
CLIMATE
FUND

Independent
Evaluation
Unit



TRUSTED EVIDENCE.
INFORMED POLICIES.
HIGH IMPACT.

INDEPENDENT EVALUATION OF THE READINESS AND PREPARATORY SUPPORT PROGRAMME

Approach paper

May 2023

GREEN CLIMATE FUND
INDEPENDENT EVALUATION UNIT

Independent Evaluation of the Readiness and Preparatory Support Programme

APPROACH PAPER

05/2023

LIST OF AUTHORS

The authors of the Independent Evaluation of the Readiness and Preparatory Support Programme are (in alphabetical order by last name):

FULL NAME	AFFILIATION
Abitbol, Eric	Universalia
Aladysheva, Anastasia	Independent Evaluation Unit, Green Climate Fund
Cox, Philip	Universalia
Eussner, Ansgar	Universalia
Harrison, Kat	60 Decibels
Ieroncig, Aurélie	Universalia
Jordan, Rennie	Universalia
Kim, Yeonji	Independent Evaluation Unit, Green Climate Fund
Kotturi, Prashanth	Independent Evaluation Unit, Green Climate Fund
Mahmoud, Shaida	Universalia
Mokgano, Elanglhoko	Independent Evaluation Unit, Green Climate Fund
Mwandri, Peter	Independent Evaluation Unit, Green Climate Fund
Reumann, Andreas	Independent Evaluation Unit, Green Climate Fund
Woomer, Amanda	Universalia
Yergeau, Marie-Eve	Universalia

CONTENTS

List of authors	ii
Abbreviations	v
A. The Green Climate Fund Readiness programme	1
1. Introduction	1
2. Readiness strategy, objectives and programme.....	2
3. Readiness-related work in the GCF Secretariat	4
4. Readiness lifecycle management process and delivery partner model	4
B. Summary of previous evaluations on readiness.....	7
1. Relevance and internal coherence.....	7
2. Effectiveness	8
3. RPSP business model and delivery partners	8
4. Readiness in vulnerable countries.....	9
C. Readiness outside of GCF.....	9
1. Readiness programmes of selected organizations.....	9
2. Insights from evaluations of other organizations on readiness	10
a. Relevance and complementarity.....	10
b. Country ownership and stakeholder engagement.....	10
c. Effectiveness.....	11
D. Evaluation objectives and methodology	12
1. Objective and scope of the evaluation.....	12
2. Evaluation criteria and questions	12
3. Approach and methods.....	14
E. Concluding thoughts	21

APPENDICES.....23

Appendix 1. 2023 IEU RPSP evaluation matrix.....	24
Appendix 2. RPSP timeline Gantt chart.....	40
Appendix 3. Management action reports	41
Appendix 4. COP and CMA decisions relating to Readiness (GCF, AF and GEF) – A compilation	48
Appendix 5. Readiness programmes of other donors	54
Appendix 6. Readiness results management framework (RRMF).....	61
Appendix 7. Knowledge management and dissemination plan	65

REFERENCES.....69

TABLES

Table A - 1.	Similarity of priorities	3
Table A - 2.	Top 10 delivery partners by total volume of RPSP finance	6
Table A - 3.	Evaluation matrix for 2023 IEU RPSP evaluation based on Board-approved evaluation criteria	13
Table A - 4.	Selection of countries and their RPSP and DAE profiles for the evaluation case studies	19

FIGURES

Figure A - 1.	Summary of the RPSP approval process	5
Figure A - 2.	Summary of the criteria used in the (FMCA).....	7
Figure A - 3.	Readiness theory of change developed by GCF	16

ABBREVIATIONS

AE	Accredited entity
AF	Adaptation Fund
CAF	Development Bank of Latin America
CCCCC	Caribbean Community Climate Change Centre
CIF	Climate Investment Funds
CMA	Conferences of the Parties serving as the meeting of the Parties to the Paris Agreement
COP	Conference of the Parties
CP	Country programme
CSO	Civil society organizations
CTCN	Climate Technology Centre and Network
DAE	Direct access entity
DCP	Division of Country Programming
DMA	Division of Mitigation and Adaptation
DP	Delivery partner
DPM	Division of Portfolio Management
ER	Emission reduction
ESS	Environmental and social safeguards
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FMCA	Financial Management Capacity Assessment
GCF	Green Climate Fund
GEF	Global Environment Facility
GGGI	Global Green Growth Institute
GI	Governing Instrument
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
IAE	International access entity
IDB	Inter-American Development Bank
IEU	Independent Evaluation Unit
IIU	Independent Integrity Unit
IP	Indigenous peoples
LDC	Least developed country
NAP	National Adaptation Plans
NDA	National designated authorities
NIE	National implementing entities

ODS	Ozone-depleting substance
OPM	Office of Portfolio Management
PPF	Project Preparation Facility
PSF	Private Sector Facility
REDD	Reducing emissions from deforestation and forest degradation in developing countries
RPSP	Readiness and Preparatory Support Programme
RRMF	Readiness results management framework
SIDS	Small island developing States
SOP	Standard Operating Procedure
TA	Technical assistance
ToC	Theory of change
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organization
USAID	United States Agency for International Development

A. THE GREEN CLIMATE FUND READINESS PROGRAMME

1. INTRODUCTION

Administered by Green Climate Fund (GCF), the Readiness and Preparatory Support Programme (RPSP) aims to provide resources for strengthening the institutional capacities of national designated authorities (NDAs) or focal points and direct access entities (DAEs) to efficiently engage with the Fund. Resources may be provided in the form of grants or technical assistance. All developing countries can access the RPSP, and the Fund aims for a floor of 50 per cent of readiness support allocation to particularly vulnerable countries, which includes least developed countries (LDCs), small island developing states (SIDS) and African States (Green Climate Fund, 2014b).¹

The RPSP provides the following support:

- Up to USD 1 million per country per year. Of this amount, NDAs or focal points may request up to USD 300,000 per year to help establish or strengthen an NDA or focal points to deliver on the Fund's requirements.
- Up to USD 3 million per country for formulating adaptation plans.

Within these funding caps, countries may submit multiple proposals over multiple years. Multiple proposals (including for adaptation planning) may be implemented within a country by delivery partners (DPs). Guidance to countries requires that proposals requesting readiness support must be aligned with the Fund's environmental and social safeguards (ESS) and its gender policy. All readiness funding requests need to be initiated by developing country NDAs or focal points, although funding itself may be managed by a DP.

Some of the guidance on readiness by governing bodies is as follows:

The Governing Instrument (GI) (Green Climate Fund, 2011) of the GCF states:

The Fund will provide resources for readiness and preparatory activities and technical assistance, such as the preparation or strengthening of low-emission development strategies or plans, Nationally Appropriate Mitigation Plans (NAMAs), National Adaptation Plans (NAPs), National Adaptation Plans for Action (NAPAs) and for in-country institutional strengthening, including the strengthening of capacities for country coordination and to meet fiduciary principles and standards and ESS, in order to enable countries to directly access the Fund.

In approving the "Readiness and Preparatory Support Programme: Work programme and budget for 2022–2023" (Green Climate Fund, 2022b), the Board of the GCF has emphatically reaffirmed:

Readiness and Preparatory Support Programme is a strategic priority for GCF to enhance country ownership, encourage direct access to GCF resources, and strengthen strategic programming during the first replenishment period of the GCF.

In the same decision, the Board also requested the Secretariat to:

¹ See decision B.08/11 of Green Climate Fund (2014b).

... continue to report on the implementation of the Readiness and Preparatory Support Programme at the mid-year Board meeting of each year; and update and revise the strategy for the Readiness and Preparatory Support.²

The Conference of the Parties (COP) has also noted the importance of the RPSP and has requested the GCF Secretariat to provide updates on several topics, as it:

Takes note of the progress achieved to date in the implementation of the Readiness and Preparatory Support Programme of the Green Climate Fund and stresses the importance of improving the approval process and timely disbursement of readiness resources to facilitate readiness programme implementation pursuant to Green Climate Fund Board decision B.11/04.³

Over the years, numerous Conferences of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA) have issued several other decisions and directions relating to GCF's readiness programme. The detailed list of such decisions is noted in Appendix 4 of this approach paper.

Readiness is a key element of country ownership. In this regard, the Board adopted guidelines for enhanced country ownership and country drivenness (Green Climate Fund, 2017) that describe the central role of NDAs in the project cycle. This coordinating role includes the preparation and submission of proposals for readiness support, as well as the development of country programmes (CPs) to drive investment planning. As such, CPs have been slated to play a key role in the investment decision-making process of the Fund as per the proposal approval process revised through decision B.17/09. The process of developing or updating a CP may be used for prioritizing the most impactful projects or programmes to be funded by GCF, aligned with the priorities identified in a country's national climate plans or strategies. It has been situated as the cornerstone of each country's pipeline development with GCF (Green Climate Fund, 2021a).

2. READINESS STRATEGY, OBJECTIVES AND PROGRAMME

GCF's readiness programme is guided by the Readiness Programme Strategy 2019–2021 (hereafter, 'readiness strategy') prepared by GCF (Green Climate Fund, 2019). The initial set of objectives of the readiness programme was laid out in 2014 (decision B.08/11). Following the decision, the GCF undertook reviews of the readiness programme, including an external review by Dalberg (Green Climate Fund, 2018a), a review by the GCF Secretariat (Green Climate Fund, 2018b) and an independent evaluation of readiness by the Independent Evaluation Unit (IEU) of the GCF (Independent Evaluation Unit, 2018). Based on the Secretariat reviews as well as the 2018 IEU evaluation, GCF undertook a preparation of a strategy to guide the RPSP for the period 2019–2021, colloquially known as Readiness 2.0, extended to 2022–2023 through decision B.33/04 (Green Climate Fund, 2022).

Objectives of readiness. The current Readiness programme is guided by the readiness strategy, which contains the following five objectives:

² See Green Climate Fund (2022a).

³ United Nations Framework Convention on Climate Change (2015), decision 7/CP.21, para. 17; linked with United Nations Framework Convention on Climate Change (2014), decision 7/CP.20, para. 12.

- **Capacity-building for climate finance coordination:** Under capacity-building, the RPSP supports country NDAs or focal points and country systems to enable them to fulfil their roles and responsibilities and to ensure that policy requirements are operational and effective. In addition, this objective supports direct access applicants and accredited entities (AEs), that is DAEs, to enhance their capacity to meet and maintain GCF’s accreditation standards, and strengthen the capacity of DAEs to develop a pipeline of projects and effectively implement GCF-funded activities.
- **Strategic frameworks for low-emission investment:** Under strategic frameworks, the RPSP supports GCF recipient countries to develop CPs; develops or enhances strategic frameworks to address policy gaps, improve sectoral expertise and enhance enabling environments for GCF programming; supports the preparation of entity work programmes; and supports the development of strategies for transforming and attracting private sector investment for low-emissions and resilience.
- **Strengthened adaptation planning:** The RPSP supports NDAs to play a convening role to help govern adaptation planning and strengthen institutional coordination. This objective supports the development of evidence to help design adaptation solutions for maximum impact, including the facilitation of private sector engagement. Overall, the objective is to increase the flow of adaptation finance.
- **Paradigm-shifting pipeline development:** The RPSP aims to contribute to an increase in the number of quality project concept notes and funding proposals developed and submitted, especially from DAEs, with a focus on SIDS, LDCs and African States.
- **Knowledge-sharing and learning:** This fifth objective is cross-cutting across the four objectives mentioned above, aiming to ensure that best practices with respect to institutional capacity-building, direct access and pipeline development are adopted and disseminated to strengthen engagement by NDAs, DAEs and DPs with the GCF.

The priorities of the initial readiness programme before 2019 and the revised readiness strategy for 2019–2021 have commonalities as set out in Table A - 1 below. Of note, the revised readiness strategy places explicit emphasis on knowledge-sharing and learning as a cross-cutting objective, which was itself only implicit previously.

Table A - 1. Similarity of priorities

INITIAL READINESS PROGRAMME	READINESS PROGRAMME STRATEGY 2019–2021 (2.0)
NDA capacity for engagement with GCF	Capacity-building for climate finance coordination
Direct access to climate finance	
Country programming process	Strategic frameworks for low-emission investment
Formulation of NAPs and/or other adaptation planning processes	Strengthened adaptation planning
Climate finance accessed	Paradigm-shifting pipeline development

Source: RPSP evaluation team

Thus, the Readiness programme intends to build an enabling environment, including increased institutional capacity and robust country strategies, to implement transformational projects and programmes in line with national climate change priorities and GCF result areas.⁴

3. READINESS-RELATED WORK IN THE GCF SECRETARIAT

As a follow-up to the release of the readiness strategy, GCF developed a **Readiness Guidebook** published in March 2020 (Green Climate Fund, 2020). The guidebook contains an overview of the readiness programme. In addition, it contains guidance for NDAs and DPs on preparing readiness proposals. The guidebook includes an explanation of readiness proposal approval processes and a readiness proposal user guide. In addition, it contains brief guidance for NDAs and DPs on desirable elements and best practices that GCF staff look for when reviewing proposals. Lastly, it contains guidance for NDAs and DPs on different processes to be followed during implementation of RPSP grants. During the writing of this approach paper, a revised Readiness Guidebook was released (Green Climate Fund, 2023).

In February 2022, GCF also released the **Readiness Results Measurement Framework** (RRMF; refer to Appendix 6) to provide a framework for measuring results of readiness. The RRMF reflects the five objectives and 18 outcomes of the RPSP as delineated in the readiness strategy. It also lists 50 outputs under each of the 18 outcomes. Since the release of the RRMF, GCF has undertaken an exercise to map the results of readiness at output level using the outputs and outcomes identified in the RRMF for all grants effective as of 31 December 2021.

In 2022, the GCF Secretariat also commenced the preparation of a **Readiness Standards Handbook** to serve as a guide for ensuring that appropriate review and appraisal is conducted on each readiness proposal in a consistent manner, laying out the process of review at the Secretariat. The Readiness Standards Handbook has not been released as a stand-alone document as of the time of drafting this approach paper, but instead is contained in appendix 1 of the Readiness Guidebook (Green Climate Fund, 2023). Similarly, the GCF Secretariat is drafting a **Standard Operating Procedure** (SOP) for the RPSP, with the objective of ensuring Secretariat compliance with its internal legal framework, and relevant Board decisions and policies, in a consistent manner. It also aims to streamline internal processes and improve overall operational efficiencies for each stage of the RPSP grant cycle. The SOPs have not been released as of the time of writing this approach paper.

4. READINESS LIFECYCLE MANAGEMENT PROCESS AND DELIVERY PARTNER MODEL

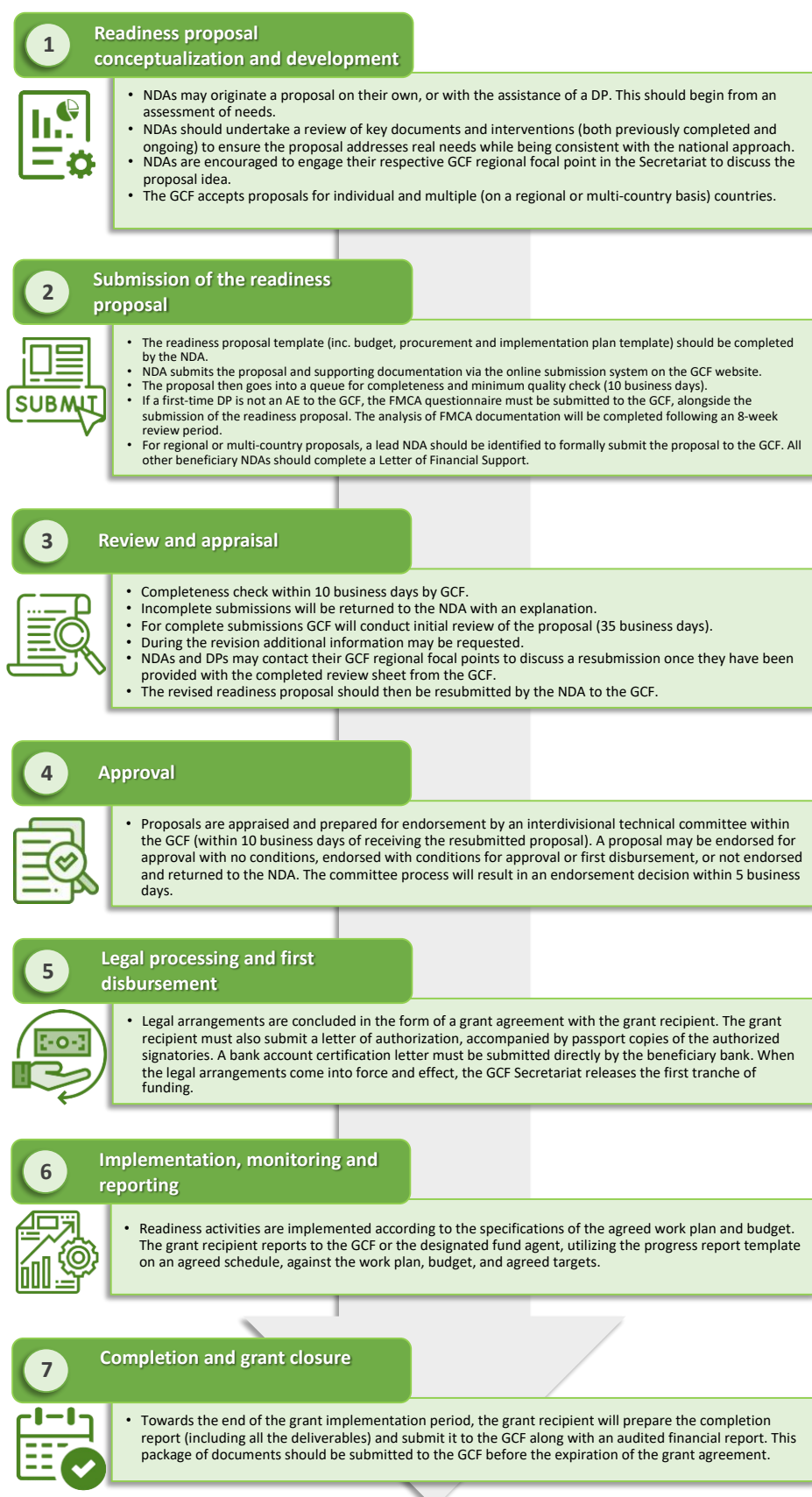
The lifecycle of an RPSP grant involves the following seven steps (Green Climate Fund 2020):

- a) Readiness proposal conceptualization and development
- b) Submission of the readiness proposal
- c) Review and appraisal by GCF Secretariat
- d) Approval of readiness proposal
- e) Legal processing and first disbursement
- f) Implementation, monitoring and reporting
- g) Completion and grant closure

⁴ See Green Climate Fund (2022c).

These are outlined and summarized in Figure A - 1 below.

Figure A - 1. Summary of the RPSP approval process



Source: Green Climate Fund (2020).

NDA may initiate readiness proposal processes on their own or with the assistance of DPs, in response to identified needs and priorities. DPs are institutions selected by the NDA or focal point to implement activities approved under the RPSP. They may provide services such as the development of readiness request proposals in cooperation with NDAs; implementation and supervision; fiduciary management; progress reporting; and project completion and evaluation.

Among DPs, some have undertaken a large amount of programming. Table A - 2 below shows that the United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), Food and Agriculture Organization of the United Nations (FAO) and Global Green Growth Institute (GGGI) account for over USD 249 millions of readiness funding since the programme's beginning. GCF establishes framework agreements with selected DPs and AEs that are seen as strategic partners. Such DPs do not need to sign a separate grant agreement with GCF. These DPs include UNEP, UNDP, FAO, United Nations Industrial Development Organization (UNIDO), GGGI, Development Bank of Latin America (CAF), Caribbean Community Climate Change Centre (CCCCC), Inter-American Development Bank (IDB), and Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ).

Table A - 2. Top 10 delivery partners by total volume of RPSP finance

DELIVERY PARTNER	NUMBER OF GRANTS IN RPSP 1.0	NUMBER OF GRANTS IN RPSP 2.0	TOTAL NUMBER OF GRANTS	VOLUME OF FINANCE RPSP 1.0 (USD THOUSANDS)	VOLUME OF FINANCE RPSP 2.0 (USD THOUSANDS)	TOTAL FINANCE (USD THOUSANDS)
FAO	14	51	65	8,666.4	34,736.0	43,402.4
UNDP	31	30	61	34,773.4	62,418.5	97,191.9
GGGI	10	41	51	5,422.6	32,859.2	38,281.8
UNEP	26	21	47	29,905.8	38,262.4	68,168.2
PWC	32	12	44	1,175.0	431.7	1,606.7
UNEP-CTCN	5	18	23	1,417.7	6,953.0	8,370.7
CCCCC	9	13	22	4,472.4	9,470.3	13,942.7
GIZ	9	9	18	2,877.2	5,580.6	8,457.8
CSE	8	3	11	2,016.7	1,380.7	3,397.4
SPREP	3	7	10	1,255.6	8,388.4	9,644.0

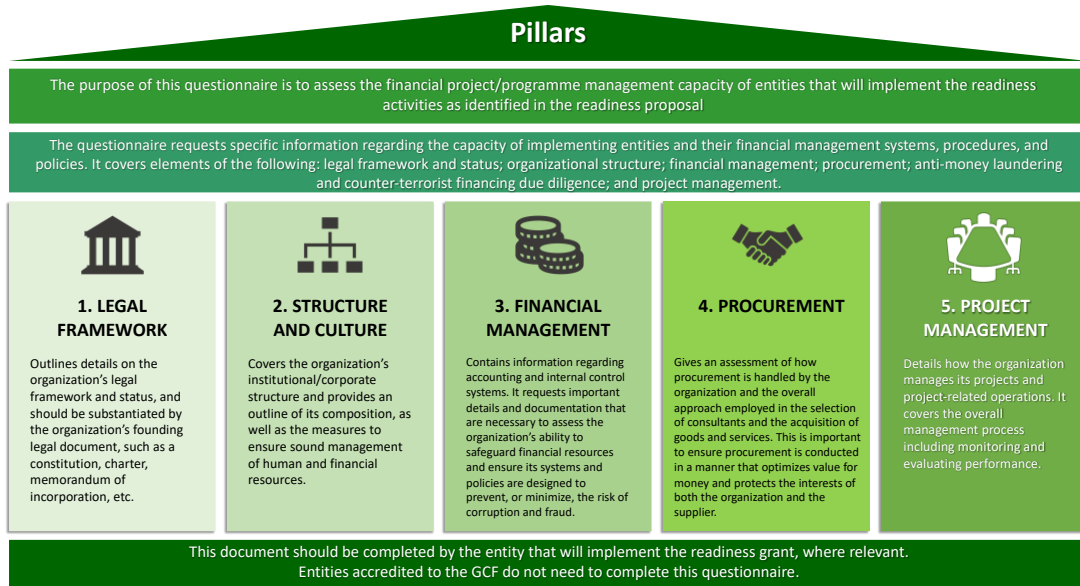
Source: GCF iPMS database as of 31 March 2023, analysed by IEU DataLab.

Abbreviations: PWC = PricewaterhouseCoopers; CTCN = Climate Technology Centre and Network; CSE = Centre de Suivi Ecologique; SPREP = Secretariat of the Pacific Regional Environment Programme.

DPs may be AEs or other institutions that meet the financial management capacities requirements of the Fund. DPs that are not AEs must undertake a Financial Management Capacity Assessment (FMCA) (see Figure A - 2 below) to be approved for implementing readiness support in developing countries (Green Climate Fund, 2020). Indeed, an FMCA is undertaken for organizations that are not AEs but are selected by NDAs to serve as their DP for a readiness proposal to the GCF. NDAs may also undergo an FMCA to implement readiness support in their own countries. The FMCA consists of assessment on five pillars, namely legal framework, structure and culture, financial management, procurement and project management. Any organization that wishes to implement

readiness support must be either an AE or pass the FMCA, to thus become a DP (Green Climate Fund, 2020).

Figure A - 2. Summary of the criteria used in the (FMCA)



Source: Green Climate Fund (2020).

B. SUMMARY OF PREVIOUS EVALUATIONS ON READINESS

A review of previous evaluations that have either focused or touched on GCF's readiness programme provides a series of insights below on relevance and internal coherence; effectiveness; business model and DPs; and readiness in vulnerable countries. A more detailed summary of previous evaluations on GCF's readiness programme is contained in the "Synthesis Note: An IEU deliverable for the Independent Evaluation of the Green Climate Fund's Readiness and Preparatory Support Programme" (Independent Evaluation Unit, 2023c).

1. RELEVANCE AND INTERNAL COHERENCE

The RPSP design and activities have been found to be well aligned with the objectives of the United Nations Framework Convention on Climate Change (UNFCCC), the GCF, the Sustainable Development Goals and the Paris Agreement. Readiness programme is also found to be highly relevant to countries' needs and has seen good demand from a wide range of developing countries (Independent Evaluation Unit, 2018; 2019a). The GCF's readiness portfolio has evolved over time, in reflection of shifting country priorities. It has been noted that grant requests are shifting away from awareness building and mobilization of in-country stakeholders to pipeline development and DAE support aimed at strengthening technical capacity for designing investments and enabling accreditation. Previous IEU evaluations have also highlighted a similar trend in that more recent grant requests are moving away from developing initial NDA capacities towards developing regional investment prioritization tools, sectoral plans and concept notes (Independent Evaluation Unit, 2020; 2023b).

2. EFFECTIVENESS

Objective 1 – Capacity-building. The RPSP has been beneficial for NDAs and focal points to build their capacity. However, the RPSP is not the only source of readiness support and many countries have also benefited from support to establish an NDA/focal point through other sources of climate finance readiness funding (Independent Evaluation Unit, 2019b). The capacity-building efforts of readiness are hindered by certain in-country factors such as high staff turnover in NDAs. This is further exacerbated by the fact that the RPSP has provided short-term consultancy support which has not ensured the retention of core staff in NDAs that could support the NDAs/focal points long-term (Independent Evaluation Unit, 2019b).

Objective 2 – Strategic frameworks. In the past, deliverables under this outcome such as CPs have not been realized, systematically collected or shared. On the one hand, readiness supports strategic frameworks (i.e. CPs). On the other, CPs need to elaborate on what kind of readiness support they require. CPs have been inconsistent in describing the kind of RPSP support needed at the country level, thus hindering the strategic usage of readiness. As such, CPs have not yet adequately delivered on their aims, although significant RPSP resources have been committed to CP development (Independent Evaluation Unit, 2019b).

Objective 3 – Adaptation planning. Adaptation planning requires a high level of capacity, which is not always readily available at the country level. Perceived hurdles in accessing RPSP support for adaptation planning include difficulties in fulfilling the requirements for developing proposals, the capacities of NDAs and DPs, and lack of matchmaking with adequate DPs in the country and region. It is also relatively early to understand the impacts of the readiness grants on adaptation planning. RPSP support for adaptation started in 2016, and grants usually last for 3 years. Several grants have received no-cost extensions from the GCF (Independent Evaluation Unit, 2021).

Objective 4 – Pipeline development. The RPSP has only recently pivoted towards pipeline development. Pipeline development has been assuming increasing importance among readiness outcomes. It has been noted that grant requests are shifting and there are now increasingly more proposals seeking support for pipeline development and DAE support to strengthen technical capacity for designing investments and enabling accreditation. Previous IEU evaluations have also highlighted a similar trend; more recent grant requests are moving away from developing initial NDA capacities towards developing regional investment prioritization tools, sectoral plans and concept notes. Given this shift is quite recent, it will take time to see the results of this outcome (Independent Evaluation Unit, 2023b).

Objective 5 – Knowledge management and learning. The RPSP has supported broader global, regional and thematic knowledge-sharing. Readiness has been found to be evolving from promoting initial awareness-raising about the GCF to mediating among the needs of countries, AEs and the Board of the GCF. Such evolution has given rise to the introduction of structured dialogues, which take place at the regional and sub-regional level (Independent Evaluation Unit, 2019b). Evaluations have found widespread appreciation of GCF structured dialogues by numerous partners (Independent Evaluation Unit, 2023a). Under the previous RPSP strategy, of all outcome areas, readiness support was seen as most effective in facilitating information-sharing events through structured dialogues and other workshops, to enable country engagement with the GCF, and sharing and learning from other countries' experiences (Independent Evaluation Unit, 2018).

3. RPSP BUSINESS MODEL AND DELIVERY PARTNERS

The RPSP depends on DPs applying for readiness grants and then delivering the respective activities and outputs. However, DPs often lack the capacity to undertake readiness-related activities in a robust manner (Independent Evaluation Unit, 2020; 2021). Even where they have the capacity to

undertake them, they are found to undertake the types of support that they are capable of or interested in providing; thus, linkages to urgent country needs are uneven (Independent Evaluation Unit, 2023b). The typical RPSP DP model of training workshops does not build sustainable or sufficient capacity for developing concept notes. Countries, especially the SIDS, often require not only technical assistance but also broader support to address their human capacity constraints. In such cases, countries require an accompaniment approach where a longer-term handholding of institutions is required (Independent Evaluation Unit, 2020). While AEs hold first-level responsibilities, the GCF Secretariat also has an important and growing responsibility to oversee the implementation of the readiness and funded activity portfolios to manage risks and results. GCF has not yet operationalized all the necessary tools to ensure an adequate control function (Independent Evaluation Unit, 2022b).

4. READINESS IN VULNERABLE COUNTRIES

Access to readiness for vulnerable countries is difficult. One of the most significant barriers to accessing readiness in vulnerable countries is the lack of institutional capacity among DAEs, NDAs, DPs and within the GCF (Independent Evaluation Unit, 2020; 2022a). Limited human resource capacity, governance, structural barriers, the type and positioning of the NDA, and the language used for GCF processes all present barriers to accessing GCF readiness funding (Independent Evaluation Unit, 2022a). Countries with higher capacities are able to access GCF readiness funding more easily, while countries with lower capacities find it difficult to access readiness funding (Independent Evaluation Unit, 2022a).

C. READINESS OUTSIDE OF GCF

1. READINESS PROGRAMMES OF SELECTED ORGANIZATIONS

The GCF is not the only organization who provides readiness support. This approach paper looks at seven institutions in terms of their readiness programmes, namely GIZ, Adaptation Fund (AF), Climate Investment Funds (CIF), United States Agency for International Development (USAID), Global Environment Facility (GEF), Forest Carbon Partnership Facility (FCPF) and Multilateral Fund for the Implementation of the Montreal Protocol (henceforth referred to as Multilateral Fund). A more detailed outline of each institution's readiness programmes and support activities is available in Appendix 5. This readiness data, for these and/or other institutions, will be validated and further developed during data collection and analysis for this evaluation.

Basic features of the readiness programmes. Among the benchmarked institutions, Multilateral Fund represents the oldest readiness programme, instituted in 1991 (Multilateral Fund for the Implementation of the Montreal Protocol, n.d.). FCPF commenced its readiness support programme in 2008 (Forest Carbon Partnership Facility, n.d.). All other institutions launched their readiness support programmes in 2012 or later. Multilateral Fund has covered 145 countries to help them establish Ozone offices. The Technical Assistance Fund of the CIF has covered 48 countries to date (Forest Carbon Partnership Facility, n.d.). Based on available online data, GCF has committed the largest absolute amount of readiness support at USD 446 million to date, followed by FCPF having provided USD 400 million through its readiness programme (Forest Carbon Partnership Facility, n.d.).

Delivery model. All multilateral institutions other than the GCF deliver readiness funding through respective AEs. They do not have the equivalent of a DP that may not be an AE. Bilateral agencies such as USAID and GIZ work directly with national and regional entities for capacity-building. In

the AF, national implementing entities (NIEs), equivalent to DAEs in GCF, are eligible for accessing readiness funding and implementing the activities therein (Adaptation Fund, n.d.).

Target countries. GCF and Multilateral Fund have each covered over 140 countries through their respective readiness programmes (Multilateral Fund for the Implementation of the Montreal Protocol, n.d.). All other organizations have engaged more selectively with countries through their readiness programmes. FCPF has engaged with 47 countries (Forest Carbon Partnership Facility, n.d.), while GIZ has engaged with 17 countries in the provision of readiness support. While the AF does not state how many countries it has supported through its readiness programme, given that its readiness programme is delivered only through its NIEs, it is likely to be much less than GCF and the Multilateral Fund.

Allocation mechanisms and areas of support. None of the institutions has allocation mechanisms for distributing funding among target countries. Only GCF has an explicitly mentioned floor of 50 per cent of RPSF resources for vulnerable countries (LDCs, SIDS and African countries). GCF has five objectives, detailed above and as follows: capacity-building, strategic framework development, adaptation planning, pipeline development and knowledge-sharing and learning. GIZ and AF's readiness programmes have similar objectives to GCF's programme. CIF outlines the priorities of its Technical Assistance Fund as the basis in each call for proposals. For example, in the first round, it focused primarily on energy efficiency in addition to renewable energy. In the second round, these priorities included accelerating clean energy investments and ensuring green and resilient recovery, while the third round focuses on the financial sector and transaction enablers, with the goal of creating market-facing solutions. Thus, different institutions have different ways of setting priorities for their readiness programmes.

2. INSIGHTS FROM EVALUATIONS OF OTHER ORGANIZATIONS ON READINESS

a. Relevance and complementarity

The second phase of the overall evaluation of the AF found that its readiness programme has improved the partnerships, networks and visibility of the AF. As a result, the AF has received recognition as a leader in climate finance readiness. The evaluation, however, found emerging concern in the surge in climate finance readiness programmes by different organizations, which has created confusion among developing countries. This indicates the need for greater complementarity between the funds in offering climate finance readiness support. One of the recommendations provided in the evaluation report was to make use of the AF's existing dialogue and interaction with other climate funds to press for more harmonized systems and operational linkages between them (Adaptation Fund, 2018).

According to the Second Evaluation of the FCPF (Clarke and others, 2016), FCPF's DPs (i.e. IDB, UNDP and World Bank) had not integrated the reducing emissions from deforestation and forest degradation in developing countries (REDD+) agenda into their country engagement strategies even if they supported REDD+ through the FCPF. On the other hand, most financial contributors had common strategic priorities to which the FCPF had responded appropriately.

b. Country ownership and stakeholder engagement

The second phase of the overall evaluation of the AF (Adaptation Fund, 2018) found that their readiness programme has been demonstrating positive results in increasing the role of NIEs in its portfolio. Similarly, the final evaluation report by USAID (Climate Ready and Institutional Strengthening in Pacific Island Countries to Adapt to Climate Change) found that structural challenges – namely, that funding entities' (e.g. GCF, AF) processes are slow – sometimes undercut USAID's readiness work, which has resulted in Climate Ready not achieving its funding and

accreditation targets at the time of the evaluation (United States Agency for International Development, 2022).

USAID was found to have little engagement with the private sector and climate financial institutions, apart from some capacity-building. One lesson learned centred on the importance of incentivizing private sector participation; for the business continuity training, Climate Ready offered concrete tools and templates that businesses could apply to their work. USAID's main challenges in the private sector and institutional engagement are related to a lack of budget and dispersed locations of various stakeholders (United States Agency for International Development, 2022). The CIF's Technical Assistance Facility also faced similar challenges during its engagements with the private sector. There was tension between the priorities of private sector clients and associated activities. Thus, country-level focus on COVID-19-related technical assistance resulted in fewer projects from the private sector. These challenges have created some difficulties in expanding CIF Technical Assistance Facility support (Climate Investment Funds, 2022).

c. Effectiveness

AF's evaluation found that although the number of NIEs being accredited can be clearly linked to readiness support activities conducted, such effectiveness is less apparent when looking at whether the AF has been able to increase the number of projects for NIEs because of its readiness programme. It also found that the effectiveness of its readiness seminars and workshops is not clear. It is therefore not evident how the knowledge disseminated through these workshops reaches government decision makers on climate finance, such as the identification of NIEs to seek direct access (Adaptation Fund, 2018).

USAID's Climate Ready programme has demonstrated success in capacity-building that was mainly related to accreditation and proposal development. Accreditation and proposal-development skills were built mainly via consultant technical assistance. USAID also had success in enabling the creation of policies, laws, structures and plans at the national level. However, the programme faced a few different (mainly country-specific) challenges in its work, including staff mobility/turnover, geography, and government uptake (United States Agency for International Development, 2022). The CIF Technical Assistance Facility has also faced capacity-building challenges. In particular, the lack of absorptive capacity, especially across low-income countries, causes significant implementation delays (Climate Investment Funds, 2022).

FCPF is found to be a useful platform for knowledge-sharing for REDD+ in South-South learning. However, only limited evidence was available to demonstrate how the FCPF measured learning from its knowledge-sharing activities. Materials tailored for different audiences were scarce, including translations (Forest Carbon Partnership Facility, 2016). Multilateral Fund also faces a similar issue with the accessibility of their learning resources and materials (Multilateral Organisation Performance Assessment Network, 2020).

CIF Technical Assistance Facility has faced a lack of available funding to meet strong demand for its support globally for both tracks under the second call for proposals. This has created some difficulties in both expanding CIF Technical Assistance Facility support and the efficiency of its delivery (Climate Investment Funds, 2022).

D. EVALUATION OBJECTIVES AND METHODOLOGY

1. OBJECTIVE AND SCOPE OF THE EVALUATION

Given the importance of the RPSP to the GCF, its upcoming new strategy and the programme's priority in the wider landscape of support, this evaluation is expected to have four primary objectives:

- Assess progress since the IEU's 2018 RPSP evaluation
- Assess the relevance, coherence and complementarity, effectiveness, and efficiency of the Readiness Programme, including fulfilment of RPSP objectives under Readiness 2.0 and its progress in creating enabling environments and paradigm shifts in GCF-eligible countries
- Assess results measurement and oversight mechanisms for readiness
- Feed lessons into the preparation of the new readiness operations

Scope of the evaluation. The evaluation will assess RPSP support to GCF-eligible recipient countries delivered under the Readiness Programme Strategy 2019–2021 and GCF Updated Strategic Plan 2019–2023. Given the similarities of objectives of the initial Readiness programme and the revised Readiness programme (2019–2021), this evaluation will also look at readiness operations before 2019 to look at the respective priorities and focus areas of the Readiness programme over the two time periods and understand the significant changes between the two periods. In addition, given that many of the readiness grants approved under the initial Readiness programme are implemented under the Readiness Programme Strategy 2019–2021, the evaluation will look at all the RPSP operations being implemented in the period of the Readiness Programme Strategy 2019–2021.

The scope of the evaluation is inclusive of operational, governance and results aspects of the RPSP. It is focused on the evolving role and function of this facet of GCF across the programming landscape. As such, the lines of inquiry will be sensitive to widening spheres of control/influence that start well within the GCF ecosystem, affect overall GCF performance directly, and contribute to the transformative changes that GCF seeks at its goal level.

2. EVALUATION CRITERIA AND QUESTIONS

The independent evaluation will use the evaluation criteria established by the Board of the GCF for the IEU (Green Climate Fund, 2021b).⁵ These include:

- Relevance, effectiveness, efficiency, impact and sustainability of projects and programmes
- Coherence in climate finance delivery with other multilateral entities
- Gender equity
- Country ownership of projects and programmes
- 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 results, both positive and negative

⁵ Also see Green Climate Fund (2014a).

It will also review progress made since the 2018 IEU evaluation of RPSP.

An abridged evaluation matrix for this evaluation is presented in Table A - 3 (with a complete matrix in Appendix 1). It lists the key evaluation criteria selected for this evaluation and the associated evaluation questions. The full matrix also provides information about what type of data (quantitative or qualitative) will be used for the evaluation as well as the sources of these data. Some of the evaluation criteria highlighted above have been internalized into other evaluation criteria through evaluation questions.

Table A - 3. Evaluation matrix for 2023 IEU RPSP evaluation based on Board-approved evaluation criteria

EVALUATION CRITERIA	QUESTIONS
Relevance	<ol style="list-style-type: none"> 1) Were recommendations from the 2018 evaluation of GCF’s RPSP operationally mainstreamed into the current readiness programme? 2) How clearly are RPSP goals/objectives aligned with beneficiary and stakeholder (NDA/DPs/DAEs) needs and priorities? Do (target) stakeholders and beneficiaries view the intervention as being useful and valuable? 3) Are readiness activities in line with the RPSP strategy (2019–2021)? 4) What are the strategic choices in the implementation of the RPSP? Are these choices recognized by the GCF, countries and DPs?
Coherence and complementarity	<p>Internal</p> <ol style="list-style-type: none"> 1) To what extent is the RPSP compatible/complementary with other GCF programmes/modalities, such as the Project Preparation Facility (PPF)? Are these synergies/inter-linkages sufficiently managed/supported? 2) Are mechanisms and capacities to deliver “readiness” suited to the objectives of the readiness strategy and country expectations? 3) Is there coherence between the readiness strategy/objectives, the RRMF and the tools for results measurement? <p>External</p> <ol style="list-style-type: none"> 4) To what extent, and how, is the GCF RPSP (externally) coherent and complementary with the other international supporting entities and donors (e.g. in building institutional capacity)? 5) What is the comparative advantage of the RPSP relative to similar readiness/capacity-building support provided by other organizations?
Effectiveness	<ol style="list-style-type: none"> 1) Is the RPSP achieving or expected to achieve its five objectives? 2) What are the most prominent factors hindering and enabling progress across the five objectives? 3) Across countries, what are the patterns of difference in results achievement between SIDS, African States, LDCs and other GCF-eligible countries?
Unexpected and unintended results	<ol style="list-style-type: none"> 1) Is there any evidence of unexpected and unintended results from the RPSP, internally (within GCF) and externally (among NDAs, DPs, DAEs)?
Gender and social inclusion	<ol style="list-style-type: none"> 1) To what extent has the RPSP integrated gender and social inclusion policy requirements into its programme delivery – for example, programme guidance, compliance and policy tools, communications products, training and learning tools/resources, rosters of expertise and results measurement and reporting? 2) How has the RPSP assisted the operations of countries/NDAs/focal points, DAEs and executing entities (EEs) to address human and technical capacity constraints in operationalizing GCF policy expectations related to gender, ESS and indigenous peoples (IP)? 3) To what extent are GCF’s gender and social inclusion requirements reflected in

EVALUATION CRITERIA	QUESTIONS
	the country/regional-level planning processes and other dialogues?
Country ownership	<ol style="list-style-type: none"> 1) In what ways has the RPSP fostered country ownership (i.e. political/institutional support to implement its NAP, climate projects, programmes and policies)? 2) To what extent has the RPSP made climate action more country driven? 3) Has RPSP support strengthened stakeholder capacity to engage in the programming process? 4) To what extent have NDAs taken leadership in overseeing the overall portfolio of GCF – and climate-related investments in the country – as a result of capacity-building activities?
Impact	<ol style="list-style-type: none"> 1) To what extent has the RPSP enhanced country/regional enabling environments for investment in climate-resilient interventions? 2) Are countries getting more climate finance (GCF, other sourced) as a consequence of the RPSP?
Contribution to paradigm shift/transformation	<ol style="list-style-type: none"> 1) Has the RPSP promoted innovative approaches at global, regional and country level? 2) Has the RPSP contributed to enhancing the scale of climate interventions? 3) Are there early signals that mobilization of resources from GCF and other financiers is shifting paradigms in ways favourable to GCF goals?
Sustainability	<ol style="list-style-type: none"> 1) Are GCF RPSP capacity-building impacts likely to be sustained at a country level beyond the RPSP interventions? 2) To what extent has the GCF formed enduring partnerships at the international, national and regional level through the RPSP? To what extent have these partnerships convened diverse stakeholder interests (e.g. private sector, civil society and other players in climate finance)?
Efficiency	<ol style="list-style-type: none"> 1) How easily accessible is the RPSP for GCF-eligible countries? 2) Does the RPSP deliver its objectives (or a set of objectives) in an economic and timely way? 3) To what extent, and with what implications, are matters of risk and risk management integrated into RPSP processes? 4) What are the key challenges and differences in access to the RPSP between SIDS, African States, LDCs and other GCF-eligible countries?

Evaluation team. The evaluation specialist/task manager will be supported by a co-lead and a suitable mix of IEU staff and interns. The IEU evaluation team is expected to have expertise in evaluation management, impact evaluation, data collection and analysis, knowledge management and communication. An external team has been brought on through a procurement process following GCF rules to support the evaluation. The evaluation will be undertaken under the overall leadership of the Head of the IEU.

3. APPROACH AND METHODS

Overall approach. This evaluation will be utilization-focused, highly participatory, pursued along a theory-based approach and through a systems lens.

Utilization-focused. This evaluation is intended to provide learning, inform decision-making, improve performance and reinforce accountability. Guided by this understanding, a utilization-focused approach is being adopted, committed to ensuring that the evaluation of the GCF's readiness programming is useful to intended users, including the Board of the GCF, GCF

Secretariat, GCF independent units, NDAs/focal points, AEs (including DAEs and international access entities (IAEs)), and other DPs, civil society organizations (CSOs), private sector organizations (PSOs), members of the Readiness Working Group, the IEU itself, and analogous readiness initiatives of other parties that are supporting the development of country systems for low-emissions and climate-resilient development.

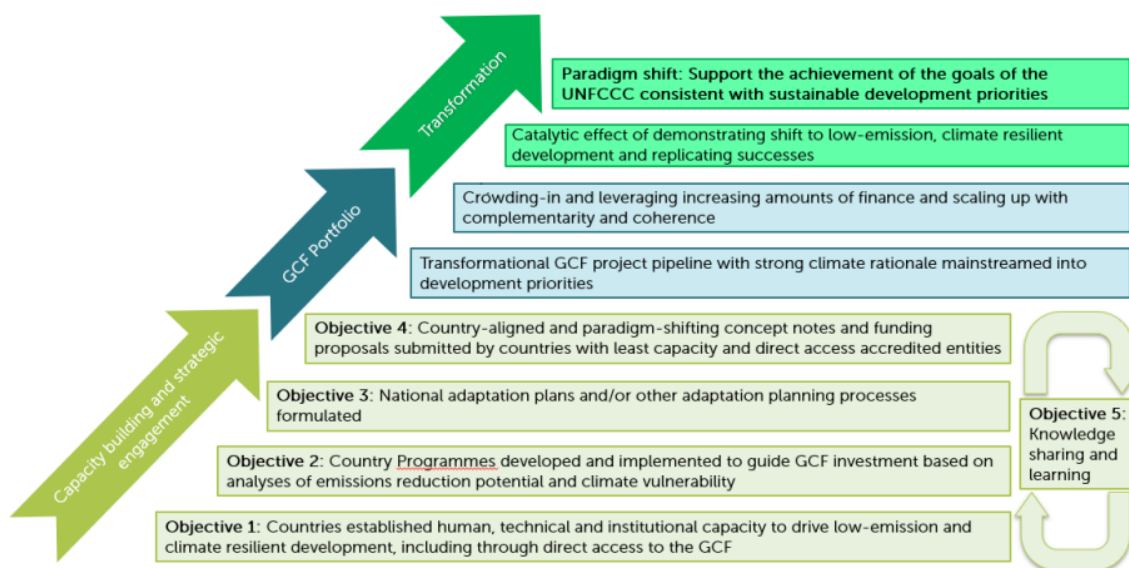
Highly participatory. In line with the overall utilization-focused framework, the RPSP evaluation will be highly participatory. Pursuing the participation of key stakeholder representatives will ensure that insights and recommendations are useful to all and foster appropriation and buy-in. Throughout the mandate, the evaluation team will therefore:

- Consult with a range of key stakeholders, drawing on appropriate methods both virtually and in-person, including semi-structured interviews, focus group discussions (FGDs), case studies and an online perception survey with branching for specific stakeholder groups.
- Provide timely updates of 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, if and as required.

Overall methodology. This assignment will be designed and undertaken as a theory-based evaluation pursuing a contribution analysis (Mayne, 2008), informed by a realist evaluation approach (INTRAC, 2017; Westhorp, 2014; Pawson and Tilley, 1997). It is intent on making visible the programme achievements and design strengths and limitations of the GCF's readiness activities, to then inform decision-making for adapting its approach and implementation going forward. The combination of theory-based contribution analysis and realist evaluation approaches will ensure that *contextual* realities are robustly considered in ascertaining the presence, extent, and reasons for which the GCF's readiness programming approach and implementation have (or have not) advanced the GCF and partners towards paradigm shift and transformational change. The evaluation will then develop evidence-based and forward-looking recommendations stemming from this approach, including updates to the theory of change (ToC) itself.

Theory-based evaluation. As a theory-based evaluation, the study will use as its point of departure the ToC developed by the GCF for the RPSP, as presented in Figure A - 3 below.

Figure A - 3. Readiness theory of change developed by GCF



Source: Green Climate Fund (2019).

Working in tandem with the Division of Portfolio Management (DPM), an aggregated ToC will be developed via two workshops. The first workshop will include a participatory review and refinement of the ToC. The second workshop will be held 3-4 weeks after the first to articulate assumptions, that is, the conditions that must hold true for the ToC to be realized as planned. This will lead to a finalized ToC, to be used for the purpose of this evaluation. This ToC will help map the extent to which planned and actual activities are contributing to the overall vision of the readiness programme. It will also examine key pathways and changes during implementation, bringing to light key insights and learning by the RPSP team. This will take place during the data-collection phase of the evaluation.

Contribution analysis. With an evaluation-ready ToC in place, the evaluation will build an evidence base of intended and actual RPSP outputs and outcomes, where observed, through which to examine the ToC and build a “contribution story”. Through contribution analysis, the evaluation will ascertain if, and the extent to which, GCF readiness activities contribute towards readiness objectives and outcomes, including the creation of country-aligned, paradigm-shifting concept notes, country plans (GCF CPs, NDCs and strategies, NAPs) and policies, and human, technical and institutional capacities for better addressing the challenges posed by climate change. Key challenges to the realization of RPSP objectives and outcomes will also be articulated. With data collected from diverse sources, the contribution will continuously be strengthened and updated throughout the assignment.

Realist evaluation. By adding a realist evaluation approach, the evaluation team will enrich the inquiry on why, how, in what circumstances, and for whom the GCF’s readiness activities have (or have not) produced certain outcomes, for which stakeholders, and with contextual variability (e.g. with sub-regional differences, different AEs, etc.).

Systems lens. The evaluation will assess GCF support through a system lens. A systems lens will be used in the conceptual framing for understanding the relevance, effectiveness and sustainability of GCF support. What this means, in essence, is that the evaluation will consider how the RPSP interacts with other systems, including the general international development and climate finance systems operating globally, regionally and nationally, the readiness programmes of other institutions, and the national systems of governments and their diverse partners. A systems analysis

is premised on the fact that the RPSP does not operate in a vacuum, and thus benefits from being reviewed and evaluated with consideration for other systemic components and elements (be they programmatic, institutional, or otherwise) with which it interacts. Doing so will allow the evaluation to bring to light the relevance, contributions made to outcomes by the RPSP, and their sustainability with consideration for a wide range of relevant factors.

A mixed-methods approach. The evaluation will use a combination of qualitative and quantitative methods. The evaluation will undertake a literature review, draw on detailed readiness programme financial and portfolio analysis, conduct online stakeholder surveys and key informant semi-structured interviews, and carry out country case studies to respond to the key evaluation questions. It will take an iterative approach and gather various perspectives, relying on the triangulation of data collected from multiple sources. The evaluation team has already undertaken a synthesis of IEU evaluations on readiness, and the synthesis will serve as a starting point for undertaking further analysis. It will include a multi-stakeholder consultation process, including NDAs, DAEs, pipeline DAEs, governments (national and sub-national level), the private sector, civil society, marginalized and vulnerable groups and agencies doing similar work.

Review of key documents. The evaluation will review decisions from the Board of the GCF that are related to the RPSP, including those that have implications for the RPSP (but may not be directly related to the RPSP), the RPSP strategic plan, progress reports, workplans, guidelines, administrative processes, management structures and the results framework for the programme, policy and guidance documents, readiness proposals, Board documents and any in-house or external assessments that may have been undertaken relevant to the readiness programme(s) within or outside GCF. The team will also review any strategy documents and the findings of the 2018 independent evaluation of the RPSP.

Portfolio analysis. Early in the evaluative process, the GCF Secretariat provided the IEU with access to a database on the achievements of the RPSP at the outputs level,⁶ which is one source of portfolio analysis that has already been initiated. Further, analysis will be undertaken on self-reported results data and financial data from GCF monitoring and reporting systems. Subject to the evaluation team's judgment of utility, an assessment of readiness interim progress reports and completion reports will also be undertaken in the data-collection phase. Data from the data management systems (IPMS and Fluxx) of the Secretariat will be collected and utilized for undertaking basic portfolio analysis of the RPSP on different parameters such as geographic spread, RPSP objectives and DP profile, among others.

Landscape analysis and benchmarking. As noted in the Readiness Programme Strategy 2019–2021, the complementarity of GCF readiness support with other multilateral institutions is essential. Therefore, analysis of other institutions undertaking readiness support is being undertaken alongside interviews with representatives of those other institutions. This will result in a benchmarking exercise, comparing GCF readiness support to the support of other institutions to better understand coherence and complementarity across the readiness landscape. Some of these institutions have been included in the comparator description earlier in the approach paper.

Key informant interviews/focus groups. A stakeholder mapping of GCF's readiness programme has been undertaken, as the basis for conducting key informant interviews and FGDs. Analysis of perceptions of external and internal stakeholders about the readiness programme's role and results will be undertaken. Key stakeholders include primarily NDAs and readiness network participants,

⁶ See Green Climate Fund (2021) for the request for proposal containing the terms of reference of the exercise. The database was created from a Secretariat-led review of the RPSP.

DAEs and pipeline DAEs and selected stakeholders at the Board of the GCF. These stakeholders will be interviewed through virtual data-collection processes and during country case studies.

DPs will be interviewed about their experiences in implementing the RPSP so far, and lessons learned. Emphasis will be placed on interviewing the top 10 DPs as indicated in Table A - 2 above, and DPs who have a framework agreement with GCF.

In the GCF Secretariat, members of the Readiness Working Group, regional desk members in the Division of Country Programming (DCP) and the readiness implementation team in the DPM will be interviewed to understand and learn from their experiences with the RPSP so far. In addition, staff from other relevant divisions such as the Office of General Counsel, Office of Risk Management and Compliance and the finance team from the Division of Support Services will also be interviewed to gather perspectives on various other dimensions of approval and management of GCF's readiness grants. Consultations will also be conducted with private sector and civil society actors at global, regional and country levels.

Online perception survey. The online perception survey will be primarily directed at NDAs and DPs, and may also include private sector, CSO and other stakeholders in the readiness network, if the situation permits. It will seek to get an overview of the perception of the RPSP and any perceived changes over the years. The survey(s) will likely be translated into French and Spanish.

Synthesis of existing evidence. Evidence on readiness from previous IEU evaluations, as well as evaluations of similar programmes by other agencies has already been synthesized. Other reviews and assessments commissioned by GCF in the area of readiness will also be considered.

Country studies. Specific countries will be identified for case studies, and specific questions tailored to the country context on readiness that the evaluation team may want to address will be explored through the case studies. Countries/cases will be chosen to ensure there is adequate representativeness, especially for differing stages of engagement with the RPSP as well as country groups (SIDS, LDCs, African States, others). Country visits will involve engagements with NDAs, DPs (international and national) and potential DPs to document experiences related to effectiveness, relevance, coherence and country ownership. The evaluation will likely use the following filters and criteria for selecting the country case studies:

- Number and volume of readiness grants (high and/or low)
- Countries with grants encompassing a diverse range of readiness objectives
- Countries representing geographical diversity of GCF's portfolio
- Countries representing GCF's priority country groups (SIDS, LDCs and African States)
- Number of accredited DAEs and DAE projects (high and/or low)
- Number of pipeline DAEs and pipeline projects (high and/or low)
- Countries previously not subjected to country case studies in previous evaluations

Table A - 4. Selection of countries and their RPS and DAE profiles for the evaluation case studies

COUNTRY	NUMBER OF RPS GRANTS	VALUE OF GRANTS TO DATE (USD MILLION)	NUMBER OF DAES IN PIPELINE	NUMBER OF DAE PROJECTS IN PIPELINE	NUMBER OF DAES ACCREDITED	NUMBER OF SINGLE COUNTRY DAE PROJECTS	SUPPORTED RPS OBJECTIVES (ACTIVITY AREAS)
Tanzania (Africa and LDC; no previous country case study)	2	3.3	6	5	1	1	Strategic framework Adaptation planning
Ivory Coast (Africa; no previous country case study)	7	4.5	1	3	-		NDA strengthening, including country programming Adaptation planning Support for DAEs Pipeline development
Bhutan (LDC; no previous country case study)	5	5.4	3	1	1	0	NDA strengthening, including country programming Adaptation planning Strategic framework
Lao PDR (LDC; no previous country case study)	13	6.3	1	-	-	0	NDA strengthening, including country programming Strategic framework Support for DAEs Pipeline development Knowledge-sharing and learning
Belize (SIDS)	10	4.3	1	5	2	0	NDA strengthening, including country programming Support for DAEs Strategic framework Pipeline development Knowledge-sharing and learning

COUNTRY	NUMBER OF RPSP GRANTS	VALUE OF GRANTS TO DATE (USD MILLION)	NUMBER OF DAES IN PIPELINE	NUMBER OF DAE PROJECTS IN PIPELINE	NUMBER OF DAES ACCREDITED	NUMBER OF SINGLE COUNTRY DAE PROJECTS	SUPPORTED RPSP OBJECTIVES (ACTIVITY AREAS)
Armenia ⁷	4	4.2	3	1	1	0	NDA strengthening, including country programming Adaptation planning Strategic framework Support for DAEs
Mexico (no previous country case study)	3	1.5	2	2	2	1	NDA strengthening, including country programming Support for DAEs Pipeline development Knowledge-sharing and learning

Source: RPSP evaluation team

⁷ Armenia was part of the country case study cohort for IEU's "Independent evaluation of GCF's approach to private sector", but the mission was conducted remotely.

The above list of countries is the initial selection made based on the criteria laid out earlier. Alternative countries may be found by applying the above criteria in the event of a lack of response from the NDA for undertaking a case study mission, or any force majeure that prevents in-person missions being carried out in these countries.

Deep dive on countries with low readiness. The evaluation team will also undertake one deep dive study to examine the RPSP in a diversity of challenging contexts, providing valuable evaluative evidence and insights. Countries have been selected based on a number of criteria, including regional diversity, country group (particularly SIDS), scores of ND-GAIN,⁸ various levels of readiness support, and coverage of all activity types. Based on preliminary analysis, countries appropriate for the deep dive include Haiti, Democratic Republic of Congo, Mali, Iraq and Yemen.⁹ As part of this deep dive, the team will take a closer look at the policies and institutional environments of each country, the RPSP's role in these contexts, the results the RPSP has produced, and how such changes have been brought about, intent on highlighting trends in the data across case studies. Deep dives will largely be based on desk review and remote interviews with NDAs/focal points and other government representatives, as well as engagement with DPs, DAEs and pipeline DAEs, CSOs, IAEs and others to the extent possible. A circa 10-page deep dive report will be produced and used to internalize findings into the main report. This report will be included as an annex to the main evaluation report. As opposed to country case studies, the deep dive is expected to produce thematic lessons specific to RPSP operations in low-readiness contexts.

The cut-off date for all portfolio and results data to be used in the main report, as well as case studies and deep dives, is 1 June 2023.

Timeline. The evaluation will be finalized by October 2023 and presented to the first Executive Board of 2024. This requires that the data collection take place in the period from March to July, with a draft of the report completed in July. This draft report of the evaluation will then be shared with Secretariat for comments and factual corrections.

E. CONCLUDING THOUGHTS

Overall, this evaluation comes at a critical time in the trajectory of the RPSP. There have been several past and ongoing reviews in the Secretariat on the RPSP. These include the first independent evaluation of the RPSP undertaken by IEU in 2018, an initial review of the readiness programme by the Secretariat, and an external review by Dalberg. Based on these, GCF produced the Readiness Programme Strategy 2019–2021. In the recent past, in 2022, the GCF's Office of Internal Audit undertook and finalized an internal audit of the RPSP. Similarly, DPM has undertaken an assessment report of the RPSP portfolio at the output level and is also planning to undertake an assessment of the programme's outcomes. IEU is also cognizant of an ongoing exercise of the Independent Integrity Unit (IIU) to undertake a risk ranking exercise and prepare risk flags of readiness grants.

Value addition of the RPSP evaluation. IEU plans to build on the findings of the numerous past and ongoing reviews, initiatives and self-assessments and also coordinate with the respective units to the extent possible and permissible given IEU's functional independence. The current evaluation brings added value at this opportune time by bringing to light the **critical success factors defining**

⁸ See University of Notre Dame (2023).

⁹ The team has opted for a larger sample (five countries) to mitigate risks related to the unresponsiveness of NDAs. This will ensure that in the event of unresponsiveness, the deep dive will still cover an adequate number of countries and generate valuable, high-quality insights.

the results of the RPSP, and by assessing the extent to which key concerns raised in previous studies have been addressed. Of note, the previous readiness evaluation (Independent Evaluation Unit, 2018) highlighted issues around the lack of access to the RPSP and poor quality at entry of RPSP proposals. The current independent evaluation will look at the state of access to the RPSP and the important factors that determine such access. Special focus will also be placed on ease of access to the RPSP in GCF priority countries, with consideration for the range of RPSP modalities. This evaluation will serve as a crucial exercise for understanding the nature of results achieved at the country level. It will be undertaken through analysis of existing data sets maintained by the GCF Secretariat and IEU and through the country case studies of the evaluation. The evaluation will also analyse the ToC of the results at the country level to elaborate on why and how the results were achieved (or not).

Operating model of the RPSP. GCF depends heavily on DPs to deliver the RPSP to countries. Previous evaluations (Independent Evaluation Unit, 2023c) have highlighted the low capacity of GCF DPs to deliver on readiness activities. This evaluation will examine closely the suitability of the current matrix of capacities of the GCF Secretariat and its DPs to meet the objectives of the RPSP. It will also investigate the ability of GCF to meet country readiness needs through DPs, and the extent to which clear and shared understanding of country ownership is a key principle that drives the choice and pursuit of readiness activities.

Feed into the readiness strategy. In the spirit of utility, the evaluation will attempt to feed into ongoing strategic and operational deliberations on the RPSP in the GCF Secretariat and the Board. Most prominently, the evaluation will attempt to feed into the new readiness strategy which is tentatively expected to be brought to the thirty-sixth meeting of the Board. Such feedback may be provided in the form of an intermediate deliverable, to be submitted to the Board at the thirty-sixth meeting, that covers certain strategic aspects of the RPSP, including benchmarking with external stakeholders on their respective readiness programmes.

APPENDICES

Appendix 1. 2023 IEU RPSP EVALUATION MATRIX

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
Relevance	1) Were recommendations from the 2018 evaluation of GCF's Readiness and Preparatory Support Programme (RPSP) operationally mainstreamed into the current readiness programme?	<p>1.1) To what extent has the GCF Secretariat continued to develop RPSP outreach, capacity development support (grants/technical assistance (TA)) for NDAs and DAEs among other national stakeholders, opportunities (cross-country/region) for peer learning, capacity development? (Ref. Rec. 1A.)</p> <p>1.2) To what extent has the GCF Secretariat continued to develop guidelines/requirements for country programming with particular attention to: national accreditation needs assessment and pre-accreditation support; building climate rationales; integrating results-based management approaches as well as policies related to gender, ESS, and IP; and intra-country coordination and stakeholder consultations? (Ref. Rec. 1B.)</p> <p>1.3) To what extent has the GCF Secretariat clarified the readiness value chain within the GCF ecosystem, clarifying roles, improving coordination, introducing results-oriented planning and reporting/evaluation, and making the implementation of funded RPSP activities real-time responsive to country conditions? (Ref. Rec 1C.)</p> <p>1.4) To what extent has the RPSP evolved in the evaluation period under a programme strategy with a differentiated/tailored approach and with specific targets? And what influence</p>	<ul style="list-style-type: none"> • Qualitative analysis of documentation, including the previous RPSP recommendations and the current RPSP strategic document • Qualitative and quantitative analysis of the RRMF database • Analysis of RPSP activities • Evidence of post-evaluation changes to: <ul style="list-style-type: none"> – Programme design (requirements) – Outreach/engagement (targeting) – Scope of programming (differentiation) – Delivery roles and mechanisms – Incorporation of ESS and gender – Results planning and tracking • Stakeholder perceptions of the merits/drawbacks of programme developments under the abovementioned categories 	<ul style="list-style-type: none"> • Document analysis <ul style="list-style-type: none"> – IEU evaluations relevant to RPSP – RPSP – management action report – 2019–2021 strategy document – GCF Board docs • GCF data analysis <ul style="list-style-type: none"> – RPSP portfolio data – DPM-RRMF database • Data collection/field observation <ul style="list-style-type: none"> – Stakeholder interviews/FGDs – Online perception survey

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
		has observed strategic focusing had on programme effectiveness (vis-a-vis policy/institutional leadership and capacities, external complementarity/coherence, private sector engagement/investment?) (Ref. Rec 2,3.)		
	2) How clearly are RPSP goals/objectives aligned with beneficiary and stakeholder (NDA/DPs/DAEs) needs and priorities? Do (target) stakeholders and beneficiaries view the intervention as being useful and valuable?	<p>2.1) To what extent are RPSP goals/objectives aligned with country climate action priorities and commitments? Are there readiness needs that lie beyond the scope of the programme?</p> <p>2.2) How relevant is the RPSP perceived to be by NDAs, DPs and DAEs?</p> <p>2.3) How relevant is the RPSP perceived to be by civil society, private sector and other national stakeholders for meeting their needs and priorities?</p> <p>2.4) What can be observed about the relevance of the readiness goals/objectives in countries with low levels of resilience and readiness? Or where, for other reasons, countries experience low levels of absorptive capacity?</p>	<ul style="list-style-type: none"> • Evidence of specific alignments in programme documents • Stakeholder perceptions of programme alignment to key points of reference (global commitments, country needs, institutional/sector needs) • Evidence that solutions have been found for the “challenges” and “opportunities” identified in the strategy document 	<ul style="list-style-type: none"> • Document analysis <ul style="list-style-type: none"> – 2019–2021 strategy document – GCF Board docs – External docs • Data collection/field observation <ul style="list-style-type: none"> – Stakeholder interviews/FGDs – Online perception survey – Country studies
	3) Are readiness activities in line with the RPSP strategy (2019–2021)?	<p>3.1) To what extent have readiness activities been positioned to support GCF recipient countries to undertake each of the following:</p> <ul style="list-style-type: none"> • Set up adequate climate finance systems (human, technical, institutional) (Obj. 1). • Develop ambitious strategies to guide GCF investments (Obj. 2). • Strengthen national adaptation planning and monitoring for client resilience (Obj. 3). • Develop priority-aligned, paradigm-shifting 	<ul style="list-style-type: none"> • Resource allocations towards each objective, by country/region • Perceived utility of readiness activities, by objective, by stakeholder group, by country/region 	<ul style="list-style-type: none"> • Document analysis <ul style="list-style-type: none"> – IEU evaluations relevant to RPSP – 2019–2021 strategy document – GCF operational docs – External docs • GCF data analysis <ul style="list-style-type: none"> – RPSP portfolio data – DPM-RRMF database

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
		<p>concept notes and funding proposals (Obj. 4).</p> <ul style="list-style-type: none"> - Strengthen stakeholder awareness of opportunities and good practices, and learning from purposeful monitoring and evaluation (Obj. 5). 		<ul style="list-style-type: none"> • Data collection/field observation <ul style="list-style-type: none"> – Stakeholder interviews/ FGDs – Online perception survey – Country studies
	4) What are the strategic choices in the implementation of the RPSP? Are these choices recognized by the GCF, countries and DPs?	<p>4.1) What are the predominant global drivers bearing on a country’s decision to integrate climate finance instruments into development policy, planning and programming?</p> <p>4.2) To what extent is the RPSP set up to help countries tap into those drivers?</p> <p>4.3) To what extent is the RPSP’s flexible delivery approach understood and exercised by key stakeholders?</p> <p>4.4) What can be observed about the RPSP’s strategic positioning in terms of:</p> <ul style="list-style-type: none"> • Scope: GCF - - - Climate finance • Disposition: Responsive - - - Anticipatory • Scale: Entity/industry focus - - - Sector/country focus • Results orientation: Upstream (pipeline) - - - Upstream + downstream (project cycle) 	<ul style="list-style-type: none"> • Recognition of the strategic potential of readiness programming to help countries address global drivers • Recognition of readiness issues that stakeholders believe should be within the scope of the RPSP • Patterns of understanding across countries of the ways to access and use RPSP resources 	<ul style="list-style-type: none"> • Document analysis <ul style="list-style-type: none"> – IEU evaluations relevant to RPSP – 2019–2021 strategy document – GCF Board docs – GCF operational docs – External docs • GCF data analysis <ul style="list-style-type: none"> – RPSP portfolio data – DPM-RRMF database • Data collection/field observation <ul style="list-style-type: none"> – Stakeholder interviews/ FGDs – Online perception survey – Country studies

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
Coherence and complementarity	Internal 1) To what extent is the RPSP compatible/ complementary with other GCF programmes/ modalities, such as the PPF? Are these synergies/inter-linkages sufficiently managed/supported?	1.1) How coherent is the RPSP with the rest of the GCF, notably on: <ul style="list-style-type: none"> • Accreditation process • PPF • Programme/project management cycle 	<ul style="list-style-type: none"> • Degree to which areas of complementarity have between identified and addressed from a programming and administrative perspective 	<ul style="list-style-type: none"> • Document analysis <ul style="list-style-type: none"> – IEU evaluations relevant to RPSP – GCF Board docs – GCF operational docs – External docs • GCF data analysis <ul style="list-style-type: none"> – RPSP portfolio data – DPM-RRMF database • Data collection/field observation <ul style="list-style-type: none"> – Stakeholder interviews/ FGDs – Online perception survey – Country studies
	2) Are mechanisms and capacities to deliver “readiness” suited to the objectives of the readiness strategy and country expectations?	2.1) Are sufficient provisions in place for stakeholder outreach and participation in readiness needs assessment? 2.2) Is the readiness programme grant cycle adequately suited in its design to foster implementation of impactful projects? Are programmatic approaches warranted as the RPSP evolves? 2.3) Are the funding allocations/caps for institutional strengthening, NDA/focal point direct support, and for NAP formulation adequate? Are they sufficiently flexible to address differential needs across the portfolio? 2.4) Is the resource pool of DPs and TA consultants suitable for the readiness mandates? 2.5) What patterns of cooperation/competition are evident among stakeholders in the working out of regional versus country readiness support? To what extent are the modalities complementary?	<ul style="list-style-type: none"> • Complementarity of four operational divisions (DCP, Division of Mitigation and Adaptation (DMA), Private Sector Facility (PSF), Office of Portfolio Management (OPM)) in delivery of RPSP. • Perceived opportunities and barriers to participation in readiness activities, by stakeholder group, by country/region • User and administrator satisfaction with the sequencing of steps and specifications of the Readiness programme grant cycle • Evidence of pressure to exceed funding caps, or to adjust flexibility • Patterns of utilization of DPs (national/regional versus international, organization types, language capabilities) 	

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
			<ul style="list-style-type: none"> • Distribution of registered DPs, by topic area, by region, by language capability • Country stakeholder perception of the availability and quality of DPs and of TA resources 	
	<p>3) Is there coherence between the readiness strategy/objectives, the RRMF and the tools for results measurement?</p>	<p>3.1) Does GCF have in place the measurement framework, tools, processes and requisite human and budget resources to show the merit and worth of its readiness investments?</p> <p>3.2) To what extent is GCF results-reporting on readiness addressing the objectives and related outcomes of the RPSP strategy?</p> <p>3.3) Where shortfalls are evident, to what extent are they associated with:</p> <ul style="list-style-type: none"> • The formulation of the RRMF? • The tools in use for data collection and analysis? • Utilization of tools and processes for management and accountability? • Differential country contexts (e.g. accessibility of data)? • Other? 	<ul style="list-style-type: none"> • ToC (results trajectory and assumptions) alignment with relevant policies and strategies • Extent to which readiness reporting at the programme level is referenced to GCF’s RPSP strategy and outcomes • Provision for: <ul style="list-style-type: none"> – Demonstrating “before - after” comparisons (changeover time) – Aggregating at a country/region/global level • Availability of resourcing for addressing results measurement expectations • Perceived utility of readiness monitoring and reporting: <ul style="list-style-type: none"> – To service accountability relationships (multiple levels) – To support management – To promote learning 	

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
	<p>External</p> <p>1) To what extent, and how, is the GCF RPSP (externally) coherent and complementary with the other international supporting entities and donors (e.g. in building institutional capacity)?</p>	<p>1.1) To what extent does the GCF business model allow for readiness-related engagement with other development partners, including multilateral entities and other actors?</p> <p>1.2) What has been the extent and quality of coordination among development partners with respect to aggregating readiness support in addition to that provided through the RPSP to support countries in responding to climate risks? What can we learn from factors constraining coordinated effort?</p>	<ul style="list-style-type: none"> • Evidence that NDAs/focal points and/or the country programme also reflect awareness of and/or coordination with other readiness/climate work/strategies being used in a country • Extent to which NDAs/focal points represent and coordinate diverse stakeholders in country on GCF investments • Evidence of additionality, cooperation, complementarity and synergies with the readiness activities of comparator organizations 	<ul style="list-style-type: none"> • Document analysis <ul style="list-style-type: none"> – IEU evaluations relevant to RPSP – 2019–2021 strategy document – GCF Board docs – GCF operational docs – External docs • GCF data analysis <ul style="list-style-type: none"> – RPSP portfolio data – DPM-RRMF database • Landscape analysis and benchmarking <ul style="list-style-type: none"> – Publicly available portfolio data (GEF, AF, CIF and others) – Docs, interviews • Data collection/field observation <ul style="list-style-type: none"> – Stakeholder interviews/FGDs – Event participation – Online perception survey – Country studies
	<p>2) What is the comparative advantage of the RPSP relative to similar readiness/ capacity-building support provided by other organizations?</p>	<p>2.1) What is the niche of the RPSP within the wider climate change adaptation and mitigation community?</p>	<ul style="list-style-type: none"> • Perceived utility of GCF readiness support as compared to supports provided by other entities in the climate finance space, by region, by stakeholder group 	
Effectiveness	<p>1) Is the RPSP achieving or expected to achieve its five objectives?</p>	<p>1.1) To what extent have countries made progress in relation to:</p> <ul style="list-style-type: none"> • Establishing human, technical and institutional capacities to drive low-emission and climate-resilient 	<ul style="list-style-type: none"> • Comparison of actual to planned RPSP outputs and outcomes • Evidence that NDAs/focal points are gaining strength to drive engagement with the GCF on behalf of their 	<ul style="list-style-type: none"> • Document analysis <ul style="list-style-type: none"> – 2019–2021 strategy document – GCF Board docs

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
		<p>development? (Obj.1).</p> <ul style="list-style-type: none"> • Developing strategies to guide GCF investment: a) based on analyses of emissions reduction potential and climate vulnerability/risk? b) in a manner complementary with other sources of climate finance? (Obj. 2). • Engaging in adaptation planning processes and/or formulating NAPs? (Obj. 3). • Submitting country priority-aligned and paradigm-shifting concept notes and funding proposals? (Obj. 4). • Heightening levels of awareness, and increasing knowledge-sharing and learning aimed at developing projects along low-carbon and climate-resilient development pathways? (Obj. 5). 	<p>respective countries</p> <ul style="list-style-type: none"> • Evidence that the RPSP is situated within an overall, coherent strategic country programme for climate change adaptation and mitigation by NDAs/focal points • Trends in pipeline development over time (number of projects, lateral connectedness of projects, cross-sectoral engagement) • Before–after comparisons in the development of plans/frameworks – vis-a-vis scope, specificity, resourcing • Trends in the number and size of programme-supported learning events, by type of event, by country/region 	<ul style="list-style-type: none"> – GCF operational docs • GCF data analysis <ul style="list-style-type: none"> – RPSP portfolio data – DPM-RRMF database • Data collection/field observation <ul style="list-style-type: none"> – Stakeholder interviews/FGDs – Event participation – Online perception survey – Country studies
	2) What are the most prominent hindering and enabling factors to progress across the five objectives?	<p>2.1) What is the narrative emerging from the GCF’s readiness results and reporting mechanisms? And from country mission observations?</p> <p>2.2) To what extent does this narrative address GCF’s strategic intent for readiness?</p>	<ul style="list-style-type: none"> • Extent to which reported content addresses GCF’s strategic intent for readiness activities (gaps in knowledge) across GCF-eligible countries 	
	3) Across countries, what are the patterns of difference in results achievement between SIDS, African States, LDCs and other GCF-eligible countries?		<ul style="list-style-type: none"> • Abovementioned variables disaggregated by country groupings 	

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
Unexpected and unintended results	1) Is there any evidence of unexpected and unintended results from the RPSP, internally (within GCF) and externally (among NDAs, DPs, DAEs)?	1.1) To what extent, and how has GCF been aware of, and responsive to unexpected and unintended results?	<ul style="list-style-type: none"> • Evidence of non-anticipated results (both recognized and new) • Evidence of readiness pathways not developed in the ToC • Evidence of GCF responsiveness to unintended results 	<ul style="list-style-type: none"> • Document analysis <ul style="list-style-type: none"> – IEU evaluations relevant to RPSP – RPSP - management action report – GCF operational docs – External docs • GCF data analysis <ul style="list-style-type: none"> – DPM-RRMF database • Data collection/field observation <ul style="list-style-type: none"> – Stakeholder interviews/FGDs – Online perception survey – Country studies
Gender and social inclusion	1) To what extent has the RPSP integrated gender and social inclusion policy requirements into its programme delivery – e.g. programme guidance, compliance and policy tools, communications products, training and learning tools/resources, rosters of expertise and results measurement and reporting?	1.1) In what ways are gender, ESS and IP policies’ requirements for the RPSP: <ul style="list-style-type: none"> • Explained in GCF communications and knowledge products? • Addressed in the provision of training and TA? • Factored into project cycle management, monitoring and reporting? 	<ul style="list-style-type: none"> • Evidence (e.g. representation; specific, practical guidance) that information related to policy requirements is conveyed in RPSP documents and training materials • Evidence (e.g. roster composition, subject matter content covered) that information related to policy requirements is factored into the provision of readiness-related TA • Evidence (e.g. monitoring and evaluation systems/data capture that are gender responsive and sensitive to diversity) that information related to policy requirements informs 	<ul style="list-style-type: none"> • Document analysis <ul style="list-style-type: none"> – IEU evaluations relevant to RPSP – 2019–2021 strategy document – GCF Board docs – GCF operational docs – External docs • GCF data analysis <ul style="list-style-type: none"> – RPSP portfolio data – DPM-RRMF database • Data collection/field

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
			<ul style="list-style-type: none"> project cycle management and reporting • RPSP stakeholder awareness of policy requirements 	<ul style="list-style-type: none"> observation <ul style="list-style-type: none"> – Stakeholder interviews/ FGDs – Online perception survey – Country studies
	2) How has the RPSP assisted the operations of countries/NDAs/focal points, DAEs and EEs to address human and technical capacity constraints in operationalizing GCF policy expectations related to gender, ESS and IP?	2.1) What constraints have NDAs and other national stakeholders encountered while operationalizing GCF policy expectations on gender, ESS and IP? 2.2) What have proven to be the most widely used and the most effective means of supporting countries/NDAs/ focal points, DAEs and EEs to address identified human and technical capacity constraints?	<ul style="list-style-type: none"> • Patterns of constraints highlighted in RPSP proposal documents and gender analyses • Stakeholder perceptions of the ease/difficulty of integrating policy requirements • Analysis of RPSP outcomes in the operationalization of policy requirements 	
	3) To what extent are GCF's gender and social inclusion requirements reflected in the country/regional level planning processes and other dialogues?	3.1) What constraints hamper stakeholder engagement in country/regional planning and dialogue processes, as per GCF gender, ESS and IP policy expectations? 3.2) What have proven to be the most widely used and the most effective means to engage stakeholders in dialogues and planning processes? In governance roles?	<ul style="list-style-type: none"> • Evidence (e.g. representation; specific, practical guidance) that information related to policy requirements is conveyed in country planning documents like NAPs, CPs and NDC • Patterns of constraints highlighted in CPs, NAPs and NDCs documents and gender analyses • Stakeholder perceptions of the ease/difficulty of integrating policy requirements 	
Country ownership	1) In what ways, has the RPSP fostered country ownership over climate action and finance (i.e. political/institutional support to implement its	1.1) What types of readiness support have been most instrumental in building country ownership? 1.2) What are the most prominent signals of political/institutional support?	<ul style="list-style-type: none"> • Relationship between targeted RPSP investments and trends in pipeline development; creation/use of national systems and entities for implementation; identification of candidate DAEs and accreditation 	<ul style="list-style-type: none"> • Document analysis <ul style="list-style-type: none"> – IEU evaluations relevant to RPSP – 2019–2021 strategy document

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
	NAP, climate projects, programmes and policies)?		<ul style="list-style-type: none"> support; degree of stakeholder engagement in climate action • Stakeholder perceptions of the degree to which climate finance actor functions (NDA, DP, DAE) have improved as a result of readiness support 	<ul style="list-style-type: none"> – GCF Board docs – GCF operational docs – External docs • GCF data analysis <ul style="list-style-type: none"> – RPSM portfolio data – DPM-RRMF database
	2) To what extent has the RPSM made climate action more country driven?	2.1) To what extent has the development of CPs been supported? 2.2) To what extent has the identification and accreditation of DAEs been supported? 2.3) To what extent has the presence of DAEs in implementing roles affected perceptions of country ownership? 2.4) What processes and routines have been put in place through the RPSM to engage country decision makers/stakeholders? 2.5) To what extent has the GCF Secretariat supported country ownership of climate agendas through the provision of readiness-related information/advice? Are the channels of communication sufficient between the Secretariat and key country/regional stakeholders for it to play a support role in readiness? Strengths and weaknesses?	<ul style="list-style-type: none"> • Number of countries receiving sustained or increasing amounts of readiness support targeted specifically at: <ul style="list-style-type: none"> – Development of CPs – Identification and accreditation of DAEs – Country dialogues and other multi-stakeholder engagement for a relative number of RPSM grants delivered by DPs that are DAEs versus IAEs versus non-AEs • Stakeholder perceptions of the degree to which: <ul style="list-style-type: none"> – RPSM support has been a relevant and significant source of support for advancing country ownership – The GCF Secretariat, in particular, has enabled the roll-out of readiness programming – The programming presence of DAEs has increased country ownership 	<ul style="list-style-type: none"> • Data collection/field observation <ul style="list-style-type: none"> – Stakeholder interviews/FGDs – Event participation – Online perception survey – Country studies

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
	3) Has RPSP support strengthened stakeholders' capacities to engage in the programming process?	<p>3.1) What skills and tools, and what system improvements have been introduced to increase national capacities to engage in programming?</p> <p>3.2) To what extent have key actors (e.g. private sectors, country decision makers, civil society) been reached by knowledge processes/learning materials?</p> <p>3.3) To what extent have stakeholders (women, men, girls, boys; IP; persons with disabilities) participated at the various stages of the programming and project cycle?</p> <p>3.4) What are the predominant patterns of participation in the GCF programme/project cycle? With consideration of:</p> <ul style="list-style-type: none"> • “who” – gender and social inclusion variables? • “how” – depth of engagement? • “why” – obligation versus strategic merit? 	<ul style="list-style-type: none"> • Number of countries receiving sustained or increasing amounts of readiness support targeted specifically at capacity-building (e.g. project planning and management, sector technical skill sets, research/data analysis) • Stakeholder accounts of “access” and “utility” in relation to GCF knowledge-sharing tools/processes, by actor, by country • Stakeholder perceptions of the degree to which country capacity to design and implement low-carbon, climate-resilient development activities have improved as a result of readiness support • Percentage of RPSP projects/programmes in the portfolio that show full, partial, no stakeholder participation in the project cycle • Stakeholder perceptions of the merits and drawbacks of stakeholder engagement in initiatives to reduce carbon emissions and build climate resilience 	
	4) To what extent have NDAs taken leadership in overseeing the overall portfolio of GCF- and climate-related investments in the country as the result of capacity-	<p>4.1) What are the characteristics of mature, high functioning NDAs?</p> <p>4.2) What factors have contributed to this performance?</p> <p>4.3) What RPSP supports have been most instrumental?</p>	<ul style="list-style-type: none"> • Stakeholder perceptions of the key determinants of effective NDA leadership • Stakeholder perceptions of the supports most needed to obtain effective NDA functioning 	<ul style="list-style-type: none"> • Document analysis <ul style="list-style-type: none"> – GCF operational docs – External docs • GCF data analysis <ul style="list-style-type: none"> – RPSP portfolio data

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
	building activities?			<ul style="list-style-type: none"> – DPM-RRMF database • Data collection/field observation <ul style="list-style-type: none"> – Stakeholder interviews/FGDs – Online perception survey – Country studies
Impact	1) To what extent has the RPSP enhanced country/regional enabling environments for investment in climate-resilient interventions?	1.1) To what extent has the RPSP influenced: <ul style="list-style-type: none"> • Institutional and regulatory frameworks • Technology deployment/dissemination • Market development/transformation • Knowledge generation and learning 	<ul style="list-style-type: none"> • Evidence of targeting enabling environments in RPSP portfolio • Stakeholder perceptions of the degree of influence exacted on country/regional enabling environments through RPSP • Stakeholder identification of factors constraining the influence of the RPSP on enabling environments 	<ul style="list-style-type: none"> • Document analysis <ul style="list-style-type: none"> – GCF operational docs – External docs • GCF data analysis <ul style="list-style-type: none"> – RPSP portfolio data – DPM-RRMF database • Data collection/field observation <ul style="list-style-type: none"> – Stakeholder interviews/FGDs – Event participation – Online perception survey – Country studies

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
	2) Are countries getting more climate finance (GCF, other sourced) as a consequence of the RPSP?	2.1) What trends are evident in its geographic distribution and its utilization?	<ul style="list-style-type: none"> Financial flows connected to initiatives supported by RPSP as compared to wider flow trends within GCF, by country/region Stakeholder perceptions of the link between RPSP support and financing 	<ul style="list-style-type: none"> Document analysis <ul style="list-style-type: none"> IEU evaluations relevant to RPSP GCF operational docs External docs GCF data analysis <ul style="list-style-type: none"> RPSP portfolio data DPM-RRMF database Data collection/field observation <ul style="list-style-type: none"> Stakeholder interviews/FGDs Event participation Online perception survey Country studies
Contribution to paradigm shift/transformation	1) Has the RPSP promoted innovative approaches at global, regional and country level?	1.1) To what extent has the RPSP unlocked new attitudes, commitments, approaches or the presence of new actors to address climate action? What can be observed in the way these breakthroughs have come about?	<ul style="list-style-type: none"> Evidence that the RPSP implementation processes and procedures reflect new and state-of-the-art thinking Evidence of improved access of countries to climate finance Evidence that the private sector has been mobilized and stays involved Evidence that the RPSP fosters cross-sectoral approaches and engages across traditional stakeholder lines Evidence from country case studies on the scaling-up of climate 	<ul style="list-style-type: none"> Document analysis <ul style="list-style-type: none"> 2019–2021 strategy document GCF Board docs GCF operational docs External docs Data collection/field observation <ul style="list-style-type: none"> Stakeholder interviews/FGDs Event participation Online perception survey

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
			interventions	– Country studies
	2) Has the RPSP contributed to enhancing the scale of climate interventions?	2.1) Are there examples in the GCF recipient country landscape where advances in scale or replication can be associated with support provided under the RPSP? 2.2) To what extent have RPSP activities been scaled up in multiple locations within the country or replicated in other countries in pursuit of scale/replication?	<ul style="list-style-type: none"> • Patterns of financing at a country level – with reference to: <ul style="list-style-type: none"> – Focus – Coverage – Leverage 	
	3) Are there early signals that the mobilization of resources from GCF and other financiers is shifting paradigms in ways favourable to GCF goals?	3.1) To what extent does GCF’s readiness programming support country stakeholders to integrate concepts of transformational change and paradigm shift?	<ul style="list-style-type: none"> • Degree to which CPs operationalize an understanding of paradigm shift and transformational change • Stories of country programming (planned, actual) underpinned by a contextualized understanding of transformational change and signalling fundamental shifts in ways of thinking/doing (paradigm shift) 	<ul style="list-style-type: none"> • Data collection/field observation <ul style="list-style-type: none"> – Stakeholder interviews/ FGDs – Online perception survey – Country studies
Sustainability	1) Are GCF RPSP capacity-building impacts likely to be sustained at a country level beyond the RPSP interventions?	1.1) To what extent is “sustainability” factored into the design and delivery of RPSP projects? 1.2) What can we learn about the sustainability of RPSP projects that are nearing completion or have been completed?	<ul style="list-style-type: none"> • RPSP portfolio analysis 	<ul style="list-style-type: none"> • Document analysis <ul style="list-style-type: none"> – GCF Board docs – GCF operational docs – External docs • Data collection/field observation
	2) To what extent has the GCF formed enduring partnerships at the international, national and regional level through the RPSP? To what extent have these partnerships convened diverse	2.1) To what extent can partnership development across sectors, and between government, private sector and civil society, be attributed to readiness programming? 2.2) What are observed as signals of “enduring” partnership that could be useful to the strategic development and operationalization of GCF’s readiness	<ul style="list-style-type: none"> • Stories of partnership development with high contribution/attribution to readiness activities, by region, by sector • Frequency of NDA accounts of partnership development emergent from readiness activities 	<ul style="list-style-type: none"> – Stakeholder interviews/ FGDs – Event participation – Online perception survey – Country studies

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
	stakeholder interests (e.g. private sector, civil society and other players in climate finance)?	programming?	<ul style="list-style-type: none"> Perceived effectiveness of GCF readiness programming in convening and partnership development, by country/region, by topic area 	
Efficiency	1) How easily accessible is the RPSP for GCF-eligible countries?	1.1) To what extent is the readiness programme grant cycle operating to expectations in terms of:	<ul style="list-style-type: none"> Trends in budget allocations and delivery processing times NDA and DP perceptions of cost-benefit Comparisons of spending to budget 	<ul style="list-style-type: none"> Document analysis <ul style="list-style-type: none"> GCF operational docs GCF data analysis <ul style="list-style-type: none"> RPSP portfolio data DPM-RRMF database Data collection/field observation <ul style="list-style-type: none"> Stakeholder interviews/FGDs Online perception survey Country studies
	2) Does the RPSP deliver its objectives (or a set of objectives) in an economic and timely way?	<ul style="list-style-type: none"> Outreach to provide wide access? Timeliness of legal and procurement processes? Timeliness of GCF Secretariat supports to project applicants/holders? Availability and use of TA (consultant) resources? Budgetary/spending aspects? 		
	3) To what extent, and with what implications, are the matters of risk and risk management integrated into RPSP processes?	1.2) How do efficiency variables vary by the type of DP (i.e. DAE, IAE, non-AE)? 1.3) Organizationally, is the GCF Secretariat set up optimally to deliver the RPSP? 1.4) Are GCF budgetary resources sufficient to implement the RPSP strategy?		
	4) What are the key challenges and differences in accessing RPSP	4.1) How does the profile of readiness support vary across the different categories of GCF-eligible countries? What does the profile of		
		3.1) Are risk and risk management processes adequate and effective for ensuring that RPSP resources are appropriately used at country level?	<ul style="list-style-type: none"> Risk processing times Redirection of raised concerns to appropriate GCF bodies (e.g. IIU) Satisfaction of stakeholders with processes 	
			<ul style="list-style-type: none"> Ratio of applications to approved projects Patterns of requests/approved 	

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS (QUANTITATIVE/ QUALITATIVE)	METHODS AND DATA SOURCES
	between SIDS, African States, LDCs and other GCF-eligible countries?	readiness support look like in countries with low levels of readiness and resilience? <ul style="list-style-type: none"> • Access rate • Types of support • Type of DP (DAE, AE, non-AE) • Project completion 	projects, by country groupings <ul style="list-style-type: none"> • Ratio of completed to approved projects, by country groupings • Perceptions of “accessibility”, by country groupings 	

Source: RPSP evaluation team

Appendix 3. MANAGEMENT ACTION REPORTS

EVALUATION FINDINGS	IEU RECOMMENDATIONS (DECISION B.22/10)	MANAGEMENT RESPONSE PROVIDED TO THE BOARD (DECISION B.22/10)	IEU RATING	IEU COMMENTS
1A. Capacity-building, outreach and support to countries				
<p>The structured dialogues and the DAE workshops are much appreciated by NDAs/focal points and DAEs, but they would like to see peer-to-peer learning privileged more.</p> <p>Structured dialogues and other RPSP outreach activities could also incorporate and align better with other climate agencies.</p>	<p>Opportunities for peer learning should be encouraged. Peer-to-peer learning among countries and DAEs should be privileged more, in structured dialogues and also via sub-regional meetings.</p>	<p>The Secretariat is strengthening efforts for the readiness programme to promote peer-to-peer learning, strengthen capacity support to accredited direct access entities, improving guidelines for country programming, and make readiness information available to countries through the country portals.</p> <p>We agree with this finding, although the objectives of structured dialogues are also to align countries and entities in developing projects and programmes for the GCF, fostering peer-to-peer learning among countries, and more recently also to promote complementarity and coherence with other climate funds.</p>	Medium	<p>In 2021, two virtual regional dialogues have taken place (Caribbean in March, Pacific in June). Additional webinars on the readiness programme COVID-19 response grants have taken place as well. In addition, consultations on the RRMF were conducted in April. However, progress on structured dialogues and regional workshops was hampered by the onset of the COVID-19 pandemic in 2020.</p>
<p>Country programmes are still few (eight have been completed) and they remain general, without clear concept notes and with vague climate rationales, in particular for adaptation projects. The goals of CPs under development remain unclear.</p> <p>Too high a proportion of NDAs/focal points appear not to have participated in any information-sharing events.</p> <p>Support for DAEs has not yet translated into significant GCF pipeline development and it is unclear whether RPSP financial</p>	<p>Post-accreditation support and capacity strengthening: Provision should be made for strengthening the capacities of NDAs/focal points and offering post-accreditation support for DAEs, in particular for the preparation of concept notes with clear climate rationales.</p>	<p>The awareness of DAE support as part of the Readiness and Preparatory Support Programme still needs further outreach targeted towards both NDAs and DAEs. Currently there are only 7 DAEs (out of 32 DAEs) that have requested (and received approval) for capacity-building support that would assist in institutional strengthening as well as pipeline development. Pipeline development is at a nascent stage that is being undertaken through RPSP. Most DAEs have expressed their interest to request for possible support for both institutional strengthening and pipeline development, where RPSP could be very helpful. Additionally, to accommodate DAE requests for pipeline development, in 2018, DCP has put in place a roster of three consultants who are being deployed in short term to help DAE develop concept note. For 2019, DCP is planning to develop</p>	Medium	<p>Support extended to NDAs and DAEs in crafting CPs and entity work programmes (EWPs). The Secretariat has created a roster of experts to support DAEs in developing RPSP proposals and strengthening concept notes for improvement of their pipelines.</p>

EVALUATION FINDINGS	IEU RECOMMENDATIONS (DECISION B.22/10)	MANAGEMENT RESPONSE PROVIDED TO THE BOARD (DECISION B.22/10)	IEU RATING	IEU COMMENTS
<p>and capacity development support is sufficient for this objective.</p> <p>About one quarter of eligible countries have not yet accessed RPSP grant support. GCF needs more tailored approaches and a better understanding of the political, economic and social context of the individual countries.</p>		structured trainings, create a roster of qualified experts to be deployed as long-term consultants to support DAEs starting from pipeline development to implementation of projects.		
<p>The contribution of the RPSP to strengthening NDAs/focal points is heterogeneous, and occurs the most infrequently for SIDS, LDC and African countries. This is the case for both the establishment of no-objection procedures and national coordination mechanisms.</p> <p>About one quarter of eligible countries have not yet accessed RPSP grant support, GCF needs more tailored approaches and a better understanding of the political, economic and social context of the individual countries.</p>	<p>Capacity-building: Countries should be provided with financial support plus advisory services (i.e. capacity-building and TA) for meeting their needs and priorities; more long-term national consultants should be funded to provide support to weak NDAs/focal points in LDCs, SIDS and in Africa; greater capacity-building support should be provided on gender and ESS to ensure that countries are able to develop RPSP and funded project proposals in line with the gender, ESS and IP policies of the GCF. With respect to gender, a concerted effort should be made in Africa.</p>	<p>We partially agree with the findings. The awareness of DAE support as part of the Readiness and Preparatory Support Programme still needs further outreach targeted towards both NDAs and DAEs. Currently there are only 7 DAEs (out of 32 DAEs) that have requested (and received approval) for capacity-building support that would assist in institutional strengthening as well as pipeline development. Most DAEs have expressed their interest in requesting possible support for both institutional strengthening and pipeline development, where RPSP could be very helpful. Additionally, to accommodate DAE requests for pipeline development, in 2018, DCP has put in place a roster of three consultants who are being deployed in short term to help DAE develop concept note. For 2019, DCP is planning to develop structured trainings, create a roster of qualified experts to be deployed as long-term consultants to support DAEs starting from pipeline development to implementation of projects.</p>	Medium	Ongoing, several countries in the SIDS and the LDCs have utilized readiness grants to bring onboard long-term consultants who are embedded either in the NDA offices, or in some cases, national DAE offices, to provide long-term support.
1B. Country programmes and in-country support				
<p>The GCF focus on DAEs is seen as a main tool for promoting country ownership. However, there are no</p>	<p>DAEs and country ownership: Criteria should be developed to determine if some countries need</p>	<p>DCP has put in place a roster of three consultants who are being deployed in the short term to help DAE develop concept note. For 2019, DCP is planning to develop</p>	Low	<p>The DAE action plan was presented to the Board under “RPSP – Annual update report</p>

EVALUATION FINDINGS	IEU RECOMMENDATIONS (DECISION B.22/10)	MANAGEMENT RESPONSE PROVIDED TO THE BOARD (DECISION B.22/10)	IEU RATING	IEU COMMENTS
<p>criteria for how many DAEs are needed/make sense per country. Partially as a consequence of that, international AEs have retained a significant role within countries, with differing implications for the RPSP and funded project proposals, given the resource requirements and amount of time required for proposal preparation. The RPSP has provided valuable support to countries in identifying and nominating potential candidates for accreditation. It has been less effective in moving them through basic or upgraded accreditation, with the exception of SIDS.</p>	<p>several DAEs to pursue their objectives. If so, pre-accreditation support should be made available to all potential candidates recommended by NDAs/focal points.</p>	<p>structured trainings, create a roster of qualified experts to be deployed as long-term consultants to support DAEs starting from pipeline development to implementation of projects.</p>		<p>for 2020” (GCF/B.29/Inf.07/Add. 04). Also, the OPM is developing procedural guidance and templates on handling readiness grant implementation challenges, which is planned to be published with the new version of the Readiness Guidebook.</p>
<p>In supporting the development of both NDAs/focal points and coordinating committees, particularly in ways that shift the internal/national balance of power between branches of government, the RPSP has unwittingly supported the emergence of some discord within a subset of recipient countries. The RPSP has strengthened the NDAs/focal points, but their placement in most cases in environment ministries has not always been accepted by countries’ finance ministries.</p>	<p>Coordination and firewalls to prevent conflicts of interest: Within countries, specific expectations and requirements for intra-governmental coordination and stakeholder consultations should be formulated, similar to the Country Coordination Mechanism of the Global Fund. Specifically, the evaluation recommends strong firewalls to eliminate conflicts of interest within these coordination and approval structures.</p>	<p>We agree with this finding that, under the country-ownership principle, the countries have the flexibility to decide their institutional arrangement for climate financing and related processes. We will investigate the Global Fund model in the future. We agree with this finding, and will investigate the good practices in some countries, and facilitate the learnings across the countries. Many (if not most) countries have tended to build on existing coordination structures for finance or climate when establishing their coordination mechanisms for the purposes of GCF financing.</p>	Medium	<p>There is a “Sustainability Guidance Note: Designing and ensuring meaningful stakeholder engagement on GCF-financed projects”, which provides requirements for stakeholder engagement. Several evaluations have recommended a stakeholder engagement policy, however, there is no stakeholder policy in place.</p>

EVALUATION FINDINGS	IEU RECOMMENDATIONS (DECISION B.22/10)	MANAGEMENT RESPONSE PROVIDED TO THE BOARD (DECISION B.22/10)	IEU RATING	IEU COMMENTS
Many are poorly staffed.				
1C. Secretariat-level process changes				
The DCP progress reports on RPSP give only input data for all countries. These do not indicate what has been achieved, what has been put in place, what is working and the results of RPSP . It is therefore highly challenging to report on country ownership across the portfolio. Results-based reporting from the RPSP will be important for GCF as the RPSP progresses.	Results-oriented planning and reporting for RPSP activities should be introduced and implemented, including also periodic evaluations.	While we agree with this finding, it is also true that most grants only received their first disbursement in 2017, thus most of the expected results have not yet been achieved. In the recent progress and outlook report of the RPSP, related sections, e.g. “Implementation at the Outcome Levels” and “Monitoring of the Readiness Grants” have been added to capture the results achieved so far. DCP and OPM have agreed to look into the qualitative measurements of the RPSP in the future.	Low	The Secretariat is working on developing the RRMF, which is in the consultation phase with key stakeholders.
Clarity and communication are required in certain areas of operation, to ensure that learning is integrated and absorbed effectively across all key actors of the RPSP. The lack of SOPs (e.g. regarding turnaround times on reviews, etc.) has made it difficult for NDA/focal points and DPs to plan accordingly and make best use of time and resources for RPSP planning and implementation. The NDA/focal points perceive that the RPSP application process requires disproportionate efforts and costs in relation to the size of support provided for projects.	The RPSP should have a database that is open to countries who can then view the status of their applications and grants. The information should be provided in a transparent and an interoperable way and countries should be able to check status. The Secretariat should ensure that any further database development is harmonized, to avoid duplication, redundancy and inconsistencies.	Not specifically responded.	Not rated	Fluxx database has been fully operational since mid-2019. However, there is no open database available for transparent and interoperable ways for countries to review and check the status of their application.
2. Build a vision and specific targets for the RPSP and manage for results				

EVALUATION FINDINGS	IEU RECOMMENDATIONS (DECISION B.22/10)	MANAGEMENT RESPONSE PROVIDED TO THE BOARD (DECISION B.22/10)	IEU RATING	IEU COMMENTS
<p>The progress reports on the RPSP prepared by the DCP provide only input data for all countries, that is, which projects have been approved for these areas and for how much, and what has been disbursed. These do not indicate what has been achieved, what has been put in place and what is working.</p>	<p>Measure and manage: How “ready” are countries, at any given time? This requires progress and results indicators. It is premature and beyond the scope of this evaluation to provide the details of such a strategy for the RPSP. Nonetheless, the evaluation has identified several choices that the Secretariat could consider.</p>	<p>While we agree with this finding, it is also true that most grants only received their first disbursement in 2017, thus most of the expected results have not yet been achieved. In the recent progress and outlook report of the RPSP, related sections, e.g. “Implementation at the Outcome Levels” and “Monitoring of the Readiness Grants” have been added to capture the results achieved so far. DCP and OPM have agreed to look into the qualitative measurements of the RPSP in the future.</p>	Low	<p>The Secretariat is working on developing the RRMF, which is in the consultation phase with key stakeholders.</p>
<p>Explicit coordination between climate agencies at the country level is not widespread. Strong in-country ownership and capacity, based on well thought-out priorities and strategies for climate action, is key to coordinating, in a complementary way, the support provided by the principal climate-related global funds (GCF, GEF, CIF, and AF) as well as other sources of climate finance.</p> <p>Country programming supported by the RPSP has so far focused on countries engaging with the GCF, and not more broadly with other sources of climate finance.</p>	<p>Establish complementarity and coherence with unfunded elements of Investment Plans under the CIF (and potential others), in particular through the PPF and NAP support windows, and report on this as well.</p>	<p>The Secretariat will investigate the good practices in some countries and facilitate the learnings across the countries. Many (if not most) countries have tended to build on existing coordination structures for finance or climate when establishing their coordination mechanisms for the purposes of GCF financing.</p>	Medium	<p>The Secretariat, since 2019, included in the readiness programme application template the request for information on coherence and complementarity.</p>
<p>RPSP has been ineffective at creating a suitable policy environment for crowding-in private sector investment, though some progress is evident in non-African middle-income countries, and in some parts of Africa.</p>	<p>Identify and remove barriers to crowding-in private sector investments, while defining and supporting the creation of conducive policies for private sector participation.</p>	<p>While the RPSP has been providing funding support to countries for the NDAs/focal points to engage with the private sector on financing climate actions, and all NAPs approved have an explicit set of activities to engage and catalyse adaptation investment with the private sector, the creating of national policy environment and the global system were not explicit objectives of the RPSP. The</p>	Low	<p>So far, the readiness support has not been used in creating the environment for private sector mobilization. How the NDAs benefit from the strategy (e.g. enabling private sector participation and</p>

EVALUATION FINDINGS	IEU RECOMMENDATIONS (DECISION B.22/10)	MANAGEMENT RESPONSE PROVIDED TO THE BOARD (DECISION B.22/10)	IEU RATING	IEU COMMENTS
Full country ownership requires appropriate participation in climate action by the private sector , by CSOs and by vulnerable, marginalized, IP and local communities. So far, this participation is rudimentary in most countries.		RPSP, together with PSF could look into the strategy and measures in these aspects.		investment in low-emissions development) is not clear.
The latest version of the RPSP Guidebook now includes the option to request climate technology related support. Among other technology related support options, the option exists to develop a “comprehensive strategy to catalyse investment in the deployment and scale-up of prioritized climate technology solutions , including market preparation and business planning”. It is not clear to what extent countries will be provided with further guidance and support to take on the new climate technology activities. Specialized DPs such as the CTCN could play a key role in their implementation.	Develop comprehensive strategies to catalyse investments to deploy and scale-up prioritized climate technology solutions.	The Secretariat will explore the measures to be put into place, for which we believe some foundational work, e.g. defining “transformational change” in GCF community, developing GCF Private Sector Engagement Strategy, Country Engagement Strategy, Entity Engagement Strategy, have to be done. All of these will guide the RPSP to develop tools and provide support to countries.	Low	The Secretariat has a close working relationship with the Climate Technology Centre and Network for the UNFCCC. However, currently, there is no strategy for catalysing investment nor approach to technology under GCF’s readiness support.
The effectiveness of the RPSP in areas of NDA/focal point strengthening, pipeline development and private sector engagement is uneven across countries.	Enable more flexible cooperation with the private sector, rooted in a strategy for engaging with the private sector that is based in greater alignment with its sectoral practices.	While the RPSP has been providing funding support to countries for the NDAs/focal points to engage with the private sector on financing climate actions, and all NAPs approved have an explicit set of activities to engage and catalyse adaptation investment with the private sector, the creating [of] national policy environment and the global	Low	So far, the readiness support has not been used to create an enabling environment for private sector mobilization. It is not straightforward how NDAs benefit from the

EVALUATION FINDINGS	IEU RECOMMENDATIONS (DECISION B.22/10)	MANAGEMENT RESPONSE PROVIDED TO THE BOARD (DECISION B.22/10)	IEU RATING	IEU COMMENTS
		system were not explicit objectives of the RPSP. The RPSP, together with PSF could look into the strategy and measures in these aspects.		strategy to allow private sector participation and investment in low-emissions development.
Country ownership includes high-level political commitments from governments for the successful coordination of climate action; it is not yet clear whether (and to what extent) the RPSP is helping in this respect.	Engage with additional parts of governments (e.g. ministries of agriculture, forestry and meteorology departments).	The RPSP have been engaging with government at high level, namely the perception of the Structured Dialogue. The level of country coordination depends on the governance context in each country, varying from parliament or cabinet level to ministry or department level. The GCF Board has approved recommended criteria for country consideration as they conduct country coordination and multi-stakeholder engagement at the level of national priorities and strategies (or in the development of funding proposals, as appropriate). These criteria speak to the need to engage all relevant stakeholders in ongoing processes, also based on previous country experiences in the coordination of strategic matters. Many of the approved readiness requests propose setting up interministerial coordination mechanisms that are expected to ensure high-level political support as seen as appropriate for each country.	Medium	The readiness programme has been used in building the country's human and technical capacity involving cross-governmental ministries and departments and across various groups of stakeholders. However, the question remains on how effectively it has been operationalized and how to ensure sustainability/retention of the built capacity.

Source: Green Climate Fund (2021c), annex III.

Appendix 4. COP AND CMA DECISIONS RELATING TO READINESS (GCF, AF AND GEF) – A COMPILATION

Please note the following about this compilation:

- This compilation lists all relevant COP and CMA decisions relating to readiness ranging from COP27/CMA4 to COP1.
- CMA refers to the “Conference of the Parties serving as the meeting of the Parties to the Paris Agreement”. COP is to UNFCCC; CMA is to the 2015 Paris Agreement. There is a significant overlap between the COP and CMA Parties, but they are not entirely the same. During the COP period, there are negotiations taking place in parallel for UNFCCC (COP) and for the Paris Agreement (CMA). CMA1 was held in parallel with COP24 in December 2018 in Katowice, Poland.

DECISION NO.	TEXT
Decision -/CP.27 “Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund”	<p>The Conference of the Parties,</p> <p>Further welcomes the progress under the Green Climate Fund in 2022, including in relation to actions taken by the Board in response to guidance provided by the Conference of the Parties:</p> <p>(c) The increase in the approval of grants for readiness support for national adaptation plans and other adaptation planning processes, bringing the total number of grants approved to 87;</p> <p>Welcomes the continued support of the Board under the Readiness and Preparatory Support Programme for enhancing support for technology development and transfer and capacity-building and encourages the Board to continue to support developing countries in this regard;</p> <p>Encourages the Board to consider enhancing the provision of support through the Readiness and Preparatory Support Programme for the development of national and subnational gender strategies, as they relate to climate, and consider further strengthening the gender programming of Green Climate Fund activities through supporting the implementation of the policies and projects therein;</p>
Decision 6/CP.26 “Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund”	<p>The Conference of the Parties,</p> <p>Takes note of the continued efforts of the Board to provide financial resources for activities relevant to averting, minimizing and addressing loss and damage in developing country Parties consistent with the existing investment, results framework and funding windows and structures of the Green Climate Fund, including through the Project Preparation Facility and the Readiness and Preparatory Support Programme;</p>
Decision 9/CP.26 “Enhancing climate technology development and transfer through the	<p>The Conference of the Parties,</p> <p>Notes with appreciation that the Climate Technology Centre and Network is now the largest provider of readiness support for technology under the Green Climate Fund Readiness and Preparatory Support Programme and encourages the Climate Technology Centre and Network to continue its collaboration through the Readiness and Preparatory Support Programme and to extend its engagement through the Project Preparation</p>

DECISION NO.	TEXT
Technology Mechanism”	Facility with the Green Climate Fund;
Decision 11/CMA.3 “Guidance to the Green Climate Fund”	The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA), Takes note of the continued efforts of the Board to provide financial resources for activities relevant to averting, minimizing and addressing loss and damage in developing country Parties consistent with the existing investment, results framework and funding windows and structures of the Green Climate Fund, including through the Project Preparation Facility and the Readiness and Preparatory Support Programme;
Decision 15/CMA.3 “Enhancing climate technology development and transfer to support implementation of the Paris Agreement”	The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement, Notes with appreciation that the Climate Technology Centre and Network is now the largest provider of readiness support for technology under the Green Climate Fund Readiness and Preparatory Support Programme and encourages the Climate Technology Centre and Network to continue its collaboration through the Readiness and Preparatory Support Programme and to extend its engagement through the Project Preparation Facility with the Green Climate Fund;
Decision 12/CP.25 “Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund”	The Conference of the Parties, Also welcomes the progress of the Green Climate Fund in 2019 on the following, including in relation to guidance provided by the Conference of the Parties: The adoption of a revised strategy for the Readiness and Preparatory Support Programme; Reiterates the request to the Green Climate Fund to accelerate the disbursement of funds for already approved projects, including for readiness support , and provide detailed information on disbursement levels and measures taken in this regard in its report to the Conference of the Parties; Welcomes the approval of the Board’s four-year workplan and requests the Board to complete its work on closing policy gaps, streamlining and simplifying approval processes, including for readiness support and national adaptation plans , and addressing the review of the accreditation framework as soon as possible so as not to disrupt the project and programme approval cycle during the first formal replenishment;
Decision 7/CP.25 “National adaptation plans”	The Conference of the Parties, Notes the challenges and complexities experienced by developing country Parties in accessing funding from the Green Climate Fund Readiness and Preparatory Support Programme for the formulation of national adaptation plans , particularly relating to the application and review of proposals for funding; Invites delivery partners of the Green Climate Fund Readiness and Preparatory Support Programme for the formulation of national adaptation plans to strengthen efforts to support developing country Parties with the goal of expediting the submission of readiness proposals to the Green Climate Fund; Encourages the Green Climate Fund to continue to enhance its support for adaptation and requests the Green Climate Fund to: (a) Swiftly conclude its work on guidance on the approach and scope for providing support to adaptation activities; (b) Continue to enhance its support for the implementation of national adaptation plans, in line with Board decisions on enhancing readiness programming;
Decision 14/CP.25	The Conference of the Parties,

DECISION NO.	TEXT
“Enhancing climate technology development and transfer through the Technology Mechanism”	Also welcomes the progress of the Climate Technology Centre and Network in collaborating with the Green Climate Fund and encourages the Climate Technology Centre and Network to continue this collaboration, including under the Green Climate Fund Readiness and Preparatory Support Programme , for, inter alia, developing and updating technology needs assessments and technology action plans to support implementation of nationally determined contributions;
Decision 6/CMA.2 “Guidance to the Green Climate Fund”	The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement, Encourages the Green Climate Fund to continue to enhance its support for adaptation and requests the Green Climate Fund to: (a) Swiftly conclude its work on guidance on the approach and scope for providing support to adaptation activities; (b) Continue to enhance its support for the implementation of national adaptation plans, in line with Board decisions on enhancing readiness programming;
Decision 5/CP.24 “Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund”	The Conference of the Parties, Noting the draft guidance to the Green Climate Fund prepared by the Standing Committee on Finance, Recalling decision 10/CP.22, paragraph 5, Also welcomes the progress of the Green Climate Fund in 2018, including: Efforts made to improve access to the Green Climate Fund through the structured dialogues and the Readiness and Preparatory Support Programme; Takes note of the independent evaluations of the Readiness and Preparatory Support Programme and encourages the Board to address the recommendations contained therein, in accordance with paragraph 59 of the Governing Instrument, with a view to improving access to the Green Climate Fund and increasing the Fund’s efforts to support country ownership and country programming;
Decision 8/CP.24 “National adaptation plans”	The Conference of the Parties, Welcomes the approval by the Green Climate Fund Secretariat, as at 4 December 2018, of 22 proposals from developing countries under the Green Climate Fund Readiness and Preparatory Support Programme to support the formulation of national adaptation plans and/or other adaptation planning processes amounting to USD 81 million, of which six proposals, amounting to USD 15 million, are from the least developed countries;
Decision 9/CP.23 “Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund”	The Conference of the Parties, Notes with appreciation the significant scaling-up of the operations of the Green Climate Fund in 2017, including: The expansion of its portfolio to include: (1) USD 41.8 million to support 130 requests in 92 countries through the Readiness and Preparatory Support Programme, two-thirds of which are in the least developed countries, small island developing states and African States; and (2) USD 2.65 billion to support 54 projects and programmes in 73 countries; (d) The availability of additional financial resources for the Readiness and Preparatory Support Programme, including for the formulation of national adaptation plans and/or other national adaptation planning processes; (e) The decision of the Board to initiate an independent review of the Readiness and Preparatory Support Programme (Green Climate Fund Board decision B.15/04); Encourages the Board to continue improving the process to review and approve readiness and preparatory support requests, including requests

DECISION NO.	TEXT
	for support to prepare national adaptation plans and voluntary adaptation planning processes, including timely disbursement for approved programmes;
Decision 6/CP.22 “National adaptation plans”	The Conference of the Parties, Notes with appreciation the decision of the Board of the Green Climate Fund at its thirteenth meeting that approved up to USD 3 million per country through the Green Climate Fund Readiness and Preparatory Support Programme to support the formulation of national adaptation plans and/or other national adaptation planning processes (Green Climate Fund Board decision B.13/09, paragraph (e));
Decision 10/CP.22 “Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund”	The Conference of the Parties, Also welcomes the following actions taken by the Board in response to previous guidance from the Conference of the Parties as contained in decisions 3/CP.17, 6/CP.18, 4/CP.19, 7/CP.20 and 7/CP.21: Progress made to date in the implementation of the Readiness and Preparatory Support Programme with the approval of readiness proposals in 57 countries totalling USD 16 million, including the decision of the Board to simplify the template and to mandate the Green Climate Fund Secretariat to expedite the approval and disbursement of readiness and preparatory support resources; The approval of up to USD 3 million per country in funding for the preparation of national adaptation plans and/or other national adaptation planning processes through the Readiness and Preparatory Support Programme; Responses to the operationalization of results-based payments for the activities referred to in decision 1/CP.16, paragraph 70, consistent with decision 9/CP.19 and in accordance with Board decision B.08/08, as well as the recognition that the Green Climate Fund can support the development and implementation of national REDD-plus strategies or action plans and investment plans, including through the Readiness and Preparatory Support Programme; Also requests the Board to take into account decision 1/CP.21, paragraph 64, to enhance the coordination and delivery of resources to support country-driven strategies through simplified and efficient application and approval procedures, and through continued readiness support to developing country Parties, including the least developed countries and small island developing States, as appropriate, and in accordance with Board decisions; Invites national designated authorities and focal points to utilize the Readiness and Preparatory Support Programme , and to collaborate with accredited entities to use the project preparation facility, where appropriate, to prepare adaptation and mitigation proposals of increasing quality and impact potential;
Decision 4/CP.21 “National adaptation plans”	The Conference of the Parties, [preamble] Noting decision B.11/04 of the Board of the Green Climate Fund on the readiness programme implementation (progress report), whereby it reaffirms that it may support a voluntary country-driven national adaptation planning process through its Readiness and Preparatory Support Programme , in coordination with other programmes and channels,
Decision 7/CP.21 “Report of the Green Climate Fund to the Conference of the Parties	The Conference of the Parties, Recalling decision 7/CP.20, Noting the recommendations of the Standing Committee on Finance contained in its report to the Conference of the Parties at its twenty-first session with regard to the provision of draft guidance to the Green Climate Fund, Takes note of the progress achieved to date in the implementation of the Readiness and Preparatory Support Programme of the Green Climate Fund

DECISION NO.	TEXT
and guidance to the Green Climate Fund”	and stresses the importance of improving the approval process and timely disbursement of readiness resources to facilitate readiness programme implementation pursuant to Green Climate Fund Board decision B.11/04;
Decision 4/CP.20 “Report of the Adaptation Committee” Annex: Recommendations for the Conference of the Parties by the Adaptation Committee under UNFCCC	1. The Adaptation Committee agreed to include the following recommendations in its report for consideration by the Conference of the Parties (COP) at its twentieth session. Regarding the operating entities of the Financial Mechanism, the Adaptation Committee recommends the following actions for consideration by the COP: (a) Inviting the Board of the GCF to consider the significant work undertaken under the Cancun Adaptation Framework and on the NAP process as it continues to provide the governance of the Fund; Inviting the Board of the GCF to engage with institutions that have started initiatives on countries’ readiness to access GCF funding and exploring how more countries can benefit from such initiatives;
Decision 7/CP.20 “Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund”	The Conference of the Parties, Recalling Articles 4 and 11 of the Convention, Taking into account decision 11/CP.1, Recalling decisions 1/CP.16, 3/CP.17, 1/CP.18, 6/CP.18, 7/CP.18, 4/CP.19 and 5/CP.19, Also requests the Board of the Green Climate Fund to accelerate the implementation of its work programme on readiness and preparatory support, ensuring that adequate resources are provided for its execution , including from the initial resource mobilization process, providing urgent support to developing countries, in particular the least developed countries, small island developing states and African states , led by their national designated authorities or focal points to build institutional capacities in accordance with Green Climate Fund Board decision B.08/11; Encourages the timely implementation of the accreditation framework and requests the Board of the Green Climate Fund, in its implementation, to pay adequate attention to the priorities and needs of developing country Parties, including the least developed countries, small island developing states and African States, emphasizing the need to provide readiness support to those national and regional entities eligible for fast tracking that request it ;
Decision 9/CP.20 “Fifth review of the Financial Mechanism” Annex: Executive summary of the technical paper on the fifth review of the Financial Mechanism	The Conference of the Parties, Recalling decisions 3/CP.4, 2/CP.12, 1/CP.16, 2/CP.16 and 8/CP.19, Welcoming the progress made by the Board of the Green Climate Fund in operationalizing the Green Climate Fund, Noting that the fifth review of the Financial Mechanism focused on the Global Environment Facility owing to the fact that the Green Climate Fund is still developing its operations and that therefore it was premature to review many aspects of the Green Climate Fund, Annex, paragraph 56. The GCF will allow direct access to it by national institutions based in developing countries. The GCF readiness programme is intended to foster a better direct engagement between it and its recipient countries. It will provide technical and capacity-building support for implementing entities (particularly national and subnational institutions) that may not meet the standards of the Fund yet. Annex, paragraph 63. The concept of country ownership has been a driving principle in the design of the GCF. It is also a key element of the GCF

DECISION NO.	TEXT
	investment framework approved in May 2014. Coherence with national policies and strategies and engagement with national stakeholders will be key considerations in fostering country ownership in the actions of the GCF. A transparent no-objection procedure is to be developed to this end. Through early investments in readiness, the GCF Secretariat is beginning the process of engagement with countries in order to understand their priorities.
Decision 3/CP.19 “Long-term climate finance”	The Conference of the Parties, Recalling Articles 4 and 11 of the Convention, Decides to continue deliberations on long-term finance and requests the Secretariat to organize in-session workshops on, inter alia, strategies and approaches for scaling-up climate finance referred to in paragraph 10, cooperation on enhanced enabling environments and support for readiness activities , and on needs for support to developing countries, from 2014 to 2020. Further requests the Secretariat to prepare a summary of the workshops for consideration by the Conference of the Parties and to inform the ministerial dialogue referred to in paragraph 13;
Decision 4/CP.19 “Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund”	The Conference of the Parties, Recalling Articles 4 and 11 of the Convention, Taking into account decision 11/CP.1, Recalling decisions 1/CP.16, 3/CP.17, 1/CP.18, 6/CP.18 and 7/CP.18, Calls for ambitious and timely contributions by developed countries to enable an effective operationalization, including for readiness and preparatory support of the Green Climate Fund that reflects the needs and challenges of developing countries in addressing climate change in the context of preparing, by the twentieth session of the Conference of the Parties (December 2014), the initial resource mobilization process described in paragraph 12 above;
Decision 3/CP.17 “Launching the Green Climate Fund” Annex: Governing Instrument for the Green Climate Fund	The Conference of the Parties, Recalling decision 1/CP.16, Annex (GCF GI), paragraph 40: The Fund will provide resources for readiness and preparatory activities and technical assistance, such as the preparation or strengthening of low-emission development strategies or plans, NAMAs, NAPs, NAPAs and for in-country institutional strengthening, including the strengthening of capacities for country coordination and to meet fiduciary principles and standards and environmental and social safeguards, in order to enable countries to directly access the Fund.
Decision 2/CP.4 “Additional guidance to the operating entity of the financial mechanism”	The Conference of the Parties, Encourages the GEF to: (a) Further streamline its project cycle with a view to making project preparation simpler, less prescriptive, more transparent and country driven; (b) Further simplify and expedite its procedures for the approval and implementation of GEF-funded projects, including disbursements for such projects; (c) Make the process for the determination of incremental costs more transparent, and its application more pragmatic; Requests the GEF to ensure that its implementing/executing agencies are made aware of Convention provisions and decisions adopted by the Conference of the Parties in the performance of their GEF obligations and are encouraged, as a first priority, whenever possible, to use national experts/consultants in all aspects of project development and implementation;

Source: RPSP evaluation team

Appendix 5. READINESS PROGRAMMES OF OTHER DONORS

No.	KEY FEATURES/POINTS OF THE READINESS PROGRAMMES	GIZ	AF	CIF (TECHNICAL ASSISTANCE FACILITY)	FCPF	MFIMP
1	Programme title	Climate Finance Readiness Programme ('CF Ready')	Readiness Programme for Climate Finance	CIF Technical Assistance Facility (CIF-TAF)	FCPF	MFIMP
2	Launch year	2012	2014	2019	2008	It was established in 1990 and began its operation in 1991
3	Implementer(s)	GIZ and German Development Bank (KfW)	AF	CIF with support of the Government of Denmark	The FCPF is under the management of the Facility Management Team and the World Bank acts as Trustee to the FCPF.	The fund was established by a decision of the Second Meeting of the Parties to the Montreal Protocol and is managed by an Executive Committee with equal membership from developed and developing countries.
4	Objectives	Supporting the efforts of partner countries to access international funds and making effective use of international climate finance, <u>particularly from GCF.</u>	Aims to help strengthen the capacity of national and regional implementing entities to receive and manage climate financing, <u>particularly through the Fund's direct access modality</u> , and to adapt and build resilience.	Provide funding to support upstream activities that lead to the strengthening of policy and regulatory environments, the building of human and institutional capacities, and the design of market-facing solutions, such as innovative instruments and business models.	The objectives of the FCPF are: 1. To assist eligible REDD countries' efforts to achieve emission reductions from deforestation and/or forest degradation by providing them with financial and TA in building their capacity to benefit from possible future systems of positive incentives for REDD 2. To pilot a performance-based payment system for	The main objective of the fund is to assist developing country parties to the Montreal Protocol whose annual level of consumption of the ozone-depleting substances (ODS) chlorofluorocarbons (CFCs) and halons is less than 0.3 kilograms per capita, <u>to comply with the control measures of the Protocol.</u> Currently, 147 of the 197 parties to the Montreal Protocol meet these criteria.

No.	KEY FEATURES/POINTS OF THE READINESS PROGRAMMES	GIZ	AF	CIF (TECHNICAL ASSISTANCE FACILITY)	FCPF	MFIMP
					<p>emission reductions generated from REDD activities, with a view towards ensuring equitable sharing and promotion of future large-scale positive incentives for REDD</p> <p>3. Within the approach to REDD, to test ways of sustaining or enhancing livelihoods of local communities and to conserve biodiversity</p> <p>4. To broadly disseminate the knowledge gained in the development of the facility and the <u>implementation of readiness plans</u> (now known as Readiness Preparation Proposals) and emission reduction programmes</p>	<p>They are referred to as Article 5 countries.</p>

No.	KEY FEATURES/POINTS OF THE READINESS PROGRAMMES	GIZ	AF	CIF (TECHNICAL ASSISTANCE FACILITY)	FCPF	MFIMP
5	Delivery modality	<ul style="list-style-type: none"> The programme <u>does not provide countries with direct funding</u>. Instead, it supports them in planning for and <u>accessing financial resources from the GCF and other</u> climate funds. The programme works in close partnership with the GCF Secretariat, UNDP, UNEP, World Bank/multilateral development banks (MDBs) and think tanks from around the world. Delivery partner for the readiness programme of the GCF. 	<p>Through direct access, NIEs are able to directly access financing and manage all aspects of climate adaptation and resilience projects.</p> <p>The programme currently has 34 NIEs.</p>	<p>CIF is a leading multilateral climate finance partnership that channels concessional finance through six MDBs for both upstream advisory and downstream investment activities to support climate action.</p> <p>The implementing partners of CIF’s investments: the World Bank Group, including the International Finance Corporation, the African Development Bank, the Asian Development Bank, the European Development Bank and the IDB.</p>	<p>To achieve its objectives, the FCPF consists of two funds: <u>the Readiness Fund and the Carbon Fund</u>. Through the Readiness Fund, donor participants provided funding for activities in the REDD readiness process.</p> <p>The Readiness Fund is grant-based.</p> <p>The World Bank, the IDB and UNDP are DPs under the Readiness Fund and responsible for providing REDD+ readiness support services to distinct countries.</p>	<p>Financial and technical assistance are provided in the form of grants or concessional loans and is delivered primarily through four implementing agencies:</p> <ul style="list-style-type: none"> • UNEP • UNDP • UNIDO • World Bank <p>Up to 20 per cent of the contributions of contributing parties can also be delivered through their bilateral agencies in the form of eligible projects and activities.</p>
6	Covered region/ countries	<p>Active in 17 countries on four continents:</p> <ul style="list-style-type: none"> • 11 countries with support from USAID, the Czech Republic and the Federal Ministry for Economic Cooperation and Development of Germany. • 7 countries with GCF 	No information found	<p>Programme countries: Serbia, Ukraine, Turkey, Jordan, Lebanon, Georgia, Armenia, Kazakhstan, Uzbekistan, Tajikistan, Pakistan, India, Nepal, Bhutan, Bangladesh, Myanmar, Thailand, Lao People’s Democratic Republic, Vietnam, Cambodia, Malaysia,</p>	<p>47 developing countries have been selected to join the FCPF (18 in Africa, 18 in Latin America and 11 in the Asia-Pacific region).</p>	<p>There are 197 parties to the Montreal Protocol.</p> <p>The Executive Committee has funded the establishment and the operating costs of ozone offices in 145 Article 5 developing countries.</p>

No.	KEY FEATURES/POINTS OF THE READINESS PROGRAMMES	GIZ	AF	CIF (TECHNICAL ASSISTANCE FACILITY)	FCPF	MFIMP
		support		Indonesia, Papua New Guinea, Philippines, Tunisia, Morocco, Egypt, Sudan, Ethiopia, Central African Republic, Nigeria, Guinea, Rwanda, Malawi, Mexico, Honduras, El Salvador, Costa Rica, Panama, Dominican Republic, Jamaica, Colombia, Ecuador, Peru, Bolivia, Brazil, Paraguay, Argentina		
10	Funding caps	No information found	<ul style="list-style-type: none"> • Readiness Package Grant The maximum amount of the grant is <u>USD 150,000 per NIE</u> to support NIE accreditation to the AF through South-South Cooperation. • Project Formulation Grants The amount available to NIEs is <u>USD 50,000</u>. • Project Scale-up Grants are available up to a maximum of <u>USD 100,000 per project</u> and programme. • There are two types of 	No information found	No information found	2022-end update: <ul style="list-style-type: none"> • The 38 per cent increase for Institutional Strengthening projects with the minimum funding at USD 60,000 • The Executive Committee established a new funding window of USD 20 million for pilot projects to maintain and/or enhance energy efficiency of replacement technologies and equipment in the context of hydrofluorocarbon phase down.

No.	KEY FEATURES/POINTS OF THE READINESS PROGRAMMES	GIZ	AF	CIF (TECHNICAL ASSISTANCE FACILITY)	FCPF	MFIMP
			<p>TA grants: <i>Technical Assistance Grant</i> for the Environmental and Social Policy and Gender Policy (TA-ESGP): is up to a maximum of <u>USD 25,000</u> per NIE. <i>Technical Assistance Grant</i> for the Gender Policy (TA-GP): is up to a maximum of <u>USD 10,000</u> per NIE.</p>			
11	Duration of their respective readiness support	~1 year	~1 year	According to the CIF-TAF design document, all activities are to be completed no later than 24 months from the date of approval of the funding.	~ 2–3 years (according to some readiness proposal examples)	~ 2 years (according to some project report examples)
12	Areas of support	<ul style="list-style-type: none"> • Institutional support Support for national climate finance institutions that can be accredited to the GCF. • Strategic and conceptual advice 	<ul style="list-style-type: none"> • Support to accredited implementing entities, which includes introduction seminars, facilitating peer-to-peer learning and the provision of small grants to support project formulation and 	<ul style="list-style-type: none"> • First call for proposals (launched in December 2019) Focused primarily on energy efficiency, in addition to renewable energy. • Second call for proposals 	The FCPF Readiness Fund helps countries set up the building blocks to implement REDD+. This includes designing national REDD+ strategies, developing reference emission levels, designing measurement,	The Fund provides finance for activities including the closure of ODS production plants and industrial conversion, TA, information dissemination, training and capacity-building aimed at phasing out the ODS used in a broad range of

No.	KEY FEATURES/POINTS OF THE READINESS PROGRAMMES	GIZ	AF	CIF (TECHNICAL ASSISTANCE FACILITY)	FCPF	MFIMP
		<p>Providing strategic and conceptual advice on how to further develop NAMAs or NAPs so that countries can get the financial support they need, and how to align climate and development planning.</p> <ul style="list-style-type: none"> • Global sharing of experiences <p>Activities in the areas of knowledge management, capacity development and policy advice.</p>	<p>the implementation of specific policies such as the environment and social policy.</p> <ul style="list-style-type: none"> • Cooperation/ partnerships with climate finance readiness providers. • Support to countries seeking accreditation through small grants, hosting climate finance readiness seminars and events, and developing tools and guidance documents to support countries seeking accreditation with the fund. • Knowledge management including the publishing of country case studies, media outreach and the documentation of lessons learned on Climate Finance Ready website. 	<p>(launched in January 2021)</p> <p>A two-pronged approach: Track 1 - Accelerating clean energy investments; Track 2 - Ensuring green and resilient recovery) to support developing countries in achieving their green and resilient priorities.</p> <ul style="list-style-type: none"> • Third call for proposals <p>The third and final call for proposals will focus on the financial sector and transaction enablers, with the goal of creating market-facing solutions (for example, innovative business models and instruments) that can accelerate clean energy investments globally.</p>	<p>reporting, and verification systems and setting up national REDD+ management arrangements, including proper ESS.</p> <p>The FCPF Carbon Fund pilots results-based payments to countries that have advanced through REDD+ readiness and implementation and have achieved verifiable emission reductions in their forest and broader land-use sectors.</p>	<p>sectors.¹⁰</p>

¹⁰ See Multilateral Fund for the Implementation of the Montreal Protocol (n.d.).

No.	KEY FEATURES/POINTS OF THE READINESS PROGRAMMES	GIZ	AF	CIF (TECHNICAL ASSISTANCE FACILITY)	FCPF	MFIMP
13	Highlights from the work	<ul style="list-style-type: none"> • Support of NAP processes and financing strategies in five countries: Cambodia, Morocco, South Africa, Tanzania, Uganda • Support to the accreditation of five institutions for direct access to the GCF • Institutional support for strengthening of NDAs in nine countries • Close cooperation with the GCF Secretariat and with other readiness delivery partners 	<p>As of June 2020:</p> <ul style="list-style-type: none"> • 32 NIEs • 50 per cent of NIEs are in LDCs or SIDS • 32 approved projects in 22 countries • 2,394,762 people expected to benefit from NIE projects • USD 179,982,920 committed to NIEs 	<p><u>Update on CIF activities:</u></p> <ul style="list-style-type: none"> • Since the G7 Leaders’ Summit in June 2021, the CIF has raised over USD 2 billion in new commitments from the following contributors: Canada, Denmark, Germany, Netherlands, Sweden, Switzerland, United Kingdom, United States of America. • In addition, Italy joined as a new contributor to CIF right after COP26, completing full G7 representation at CIF. • Clean Energy and Green Recovery (Track 1 and Track 2): 48 projects, ~ USD 30 million, 45+ countries. 	<p>As of 2022</p> <p><u>Readiness Fund:</u> USD 314 million in grants allocated; USD 291 million in funding disbursed; 47 readiness proposals; 44 midterm reports; 45 readiness preparation grant agreements signed; 28 readiness packages endorsed.</p> <p><u>Carbon Fund:</u> USD 721 million total emission reduction (ER) payment agreement value; 36 ER programme idea notes submitted; 15 programmes in the portfolio; 15 ER payment agreements signed; 110 million hectares in combined programme areas.</p>	<p>In 2022:</p> <ul style="list-style-type: none"> • 233 funding requests • 218 projects approved • 95 countries approved • USD 101,068,390 total funds approved including support • These approvals included 106 projects related to hydrochlorofluorocarbon phase out, 58 hydrofluorocarbon-related projects and 54 projects of other categories

Source: RPSP evaluation team

Appendix 6. READINESS RESULTS MANAGEMENT FRAMEWORK (RRMF)

OBJECTIVE		OUTCOMES		OUTPUTS	
1	Capacity-building for climate finance coordination	1.1	Country NDAs or focal points and the network/systems that enable them to fulfil their roles, responsibilities and policy requirements are operational and effective	1.1.1	NDA or focal point staff trained in areas relevant to the GCF objectives of the GCF and oversight of GCF activities
				1.1.2	NDA mechanisms established or strengthened for inter-institutional coordination, including engagement with the GCF and other climate funds
				1.1.3	Decision-making processes defined and operationalized at the NDA level for no-objection letters and consideration/facilitation of climate change projects
		1.2	Direct access applicants and AEs, that is, DAEs, have established capacity to meet and maintain the GCF's accreditation standards; and accredited DAEs have the capacity to develop a pipeline of projects and effectively implement GCF-funded activities	1.2.1	Candidate entities identified and nominated for direct access
				1.2.2	Direct access applicants supported with training, capacity development or improved systems to close gaps
				1.2.3	Accredited DAEs' institutional capacities strengthened to improve accreditation status and effective implementation of GCF-funded activities
		1.3	Relevant country stakeholders (which may include EEs, CSOs and private sector) have established adequate capacity, systems and networks to support the planning, programming and implementation of GCF-funded activities	1.3.1	Relevant stakeholders engaged and trained to support planning, programming and implementation of GCF-funded activities
				1.3.2	Stakeholder engagement mechanisms established to support planning, programming and implementation of GCF-funded activities
				1.3.3	Strengthened information-sharing
2	Strategic frameworks for low-emission investment	2.1	GCF recipient countries have developed initial CPs to guide GCF investment and programming of GCF readiness and preparatory support resources	2.1.1	CPs endorsed by GCF recipient country processes
		2.2	GCF recipient countries have developed or enhanced strategic frameworks to address policy gaps, improve sectoral expertise and enhance enabling environments for GCF programming in low-emission investment	2.2.1	Readiness needs assessment to develop an action plan with strategies for readiness support
				2.2.2	Long-term, low-emission development strategy (LT-LEDs/LTS) developed
				2.2.3	NDC updated or revised and/or financing strategy or related policies developed
				2.2.4	MRV systems developed and operational for tracking internal and external climate

OBJECTIVE		OUTCOMES		OUTPUTS	
					finance flows
				2.2.5	Studies, modelling efforts and other research efforts conducted/developed
				2.2.6	Sectoral strategic frameworks or associated plans developed
				2.2.7	Appropriate climate technologies/solutions identified and prioritized
		2.3	Entity work programmes of accredited DAEs developed, that are aligned with the priorities of the countries, including CPs and the GCF result areas	2.3.1	Entity work programmes aligned to CPs developed and submitted to GCF
		2.4	Strategies for transforming and attracting private sector investment for low-emissions and resilience developed and being used	2.4.1	New business models incubated and/or innovative financial mechanisms and schemes created to increase low-emission and climate-resilient investment
				2.4.2	Strategies, roadmaps, studies, and policy incentives completed to foster private financing for CP implementation and/or low-emissions climate-resilient development
3	Strengthened adaptation planning	3.1	Adaptation planning governance and institutional coordination strengthened	3.1.1	National, sub-national and/or sectoral adaptation plans developed or updated
				3.1.2	Adaptation policy and/or regulations developed or strengthened for integrating adaptation actions/measures in sectoral, subnational and national development strategies and plans
				3.1.3	Inter- and intra-institutional coordination and decision-making mechanisms established or strengthened
				3.1.4	Stakeholder engagement frameworks, agreements and awareness-raising conducted or strengthened
		3.2	Evidence produced to design adaptation solutions for maximum impact	3.2.1	Adaptation impact monitoring, evaluation and learning systems established or strengthened for strategic planning and investment
				3.2.2	Studies on climate vulnerability, and identification of adaptation solutions conducted (and used) for strengthening adaptation investment
		3.3	Private sector engagement in adaptation catalysed	3.3.1	Strategies, policies and incentives developed to foster private investment in adaptation solutions
				3.3.2	Assessments and knowledge products to inform the private sector on adaptation options and GCF finance developed

OBJECTIVE		OUTCOMES		OUTPUTS	
				3.3.3	Capacity-building provided to the private sector on adaptation options
		3.4	Adaptation finance increased	3.4.1	Mechanisms established to prioritize adaptation options based on objective criteria
				3.4.2	Number of concept notes and/or funding proposals developed for adaptation priority actions
				3.4.3	National systems developed for tracking adaptation national and international finance flows
4	Paradigm-shifting pipeline development	4.1	Increase in the number of quality project concept notes developed and submitted	4.1.1	Concept notes for priority sectors developed with the support of the RPSP for submission to the GCF
				4.1.2	Pipeline identified and prioritization assessments
				4.1.3	Mitigation potential assessed
				4.1.4	Prefeasibility studies conducted
		4.2	Increase in the quality of funding proposals developed and submitted from accredited DAEs	4.2.1	Funding proposal developed and submitted by DAEs
				4.2.2	Assessments and studies conducted for the development of quality funding proposals (submitted from accredited DAEs)
		4.3	An increase in the number of quality concept notes developed and submitted that target SIDS, LDCs and African States	4.3.1	Concept note developed targeting SIDS, LDCs and African States
				4.3.2	Pipeline identified and prioritization assessments targeting SIDS, LDCs and African States
				4.3.3	Mitigation potential assessed targeting SIDS, LDCs and African States
				4.3.4	Prefeasibility studies conducted targeting SIDS, LDCs and African States
		4.4	An increase in the number of quality funding proposals developed and submitted that target SIDS, LDCs and African States	4.4.1	Funding proposals developed and submitted that target SIDS, LDCs and African States
				4.4.2	Assessments and studies conducted for the development of quality funding proposals that target SIDS, LDCs, African States
		4.5	An increase in the proportion of PPF requests and funding proposals approved as a result of readiness and preparatory support	4.5.1	PPF assistance requested linked to a concept note developed with support of the readiness grant
				4.5.2	Funding proposals submitted to the GCF developed with the support of the RPSP, disaggregated by sector

OBJECTIVE		OUTCOMES		OUTPUTS	
				4.5.3	Assessments and studies conducted for the development of quality funding proposals as part of the PPF's support
5	Knowledge-sharing and learning	5.1	Best practices with respect to institutional capacity-building, direct access and pipeline development are developed and disseminated to strengthen engagement by NDAs, DAEs and DPs with the GCF	5.1.1	NDAs, DAEs, DPs have developed knowledge products containing information on low-emission and climate-resilient development, lessons learned, or best practices extracted from within the country and from other countries (South-South Cooperation)
				5.1.2	NDAs/DAEs that have established processes, systems and/or platforms for identification of best practices, lessons learned and knowledge management
		5.2	Partnerships established and operational to foster development and dissemination of methods, frameworks and information systems for enhanced climate finance programming at subnational, national and regional levels	5.2.1	Collaborations at subnational, national, or regional levels to foster development and dissemination of methods, frameworks and information systems for enhanced climate finance programming

Source: RPSP evaluation team

Appendix 7. KNOWLEDGE MANAGEMENT AND DISSEMINATION PLAN

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 draft knowledge management plan has been developed by the IEU for its Independent evaluation of the GCF’s Readiness and Preparatory Support Programme (RPSP2023). This plan outlines how the IEU aims 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 specific to the RPSP2023 evaluation.

B. ABOUT THE EVALUATION

This evaluation aims to assess the progress, gains, effectiveness and efficiency of the RPSP, while gauging the extent to which the RPSP has led to transformational projects and programmes in the GCF. The IEU will deliver, in time for the thirty-fifth meeting of the Board (B.35) in March 2023, a synthesis note on the RPSP as a preliminary deliverable from the evaluation to inform the development of the GCF’s RPSP strategy. The final evaluation report will be submitted to the Board in time for the last Board meeting of the year to take place tentatively in October 2023.

C. OBJECTIVES OF THE PLAN

The draft 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. TARGET AUDIENCES/STAKEHOLDERS

KEY AUDIENCE GROUP	TARGET SUBGROUP (IF APPLICABLE)	DESIRED CHANGE	KEY OUTPUTS, ENGAGEMENT OPPORTUNITIES	MAIN PRODUCTS OF INTEREST
Board of the GCF	All Board Members, including the Co-Chairs	Board Members are aware of the evaluation’s key findings and consider and use the evaluation’s recommendations to improve the GCF business model and operations, as the GCF’s ultimate decision-making body.	IEU webinars, Board side events, bilateral consultations between the IEU management and the Board Members, IEU newsletters, social media, COP28 side event(s)	Executive summary, final evaluation report, GEvalBrief, IEU newsletters, the “evaluations” section of IEU activities/annual reports
GCF Secretariat	The Senior Management Team and relevant divisions and their focal points/technical experts, especially those from the DPM, DCP, DMA, PSF and the policy team of the GCF Secretariat (Office of the Executive Director (OED))	The Secretariat is aware of the evaluation’s key findings and recommendations and submits a timely and thoughtful Management Response to the evaluation. The Secretariat integrates the evaluation learnings in future planning processes.	IEU webinars, IEU Learning Talks, regular meetings between the IEU Head and the GCF Executive Director, IEU newsletters, news updates on the GCF intranet Green Shift and social media, IEU presentations in all GCF personnel meetings, GCF-organized conferences or dialogues, joint Pavilion events and engagements with the GCF Secretariat at COP28	Executive summary, final evaluation report, GEvalBrief, regular Green Shift updates, IEU newsletters, press releases, (if resources permit) IEU’s video recordings that present the evaluation findings and recommendations
GCF partners (AEs, EEs, NDAs, DPs, etc.)	GCF’s AEs, implementing entities, NDAs and focal points and observers, particularly those who work in or take a special interest in the RPSP	The AEs’ and the observers’ understanding of the GCF is improved, and they become aware of the IEU evaluation’s key findings and recommendations.	IEU webinars and side events, IEU’s engagement in external conferences/events hosted by GCF partners, IEU newsletters, social media updates, IEU Virtual Talks, COP28 Pavilion and other side events	Executive summary, final evaluation report, GEvalBrief, press releases, (if resources permit) IEU’s video recordings that present the evaluation findings and recommendations

E. COMMUNICATIONS AND KNOWLEDGE MATERIALS AND OUTPUTS (INDICATIVE TIMELINE)

OUTPUT	KEY AUDIENCE	CONTENT/COMMENTS	EXPECTED DELIVERY
IEU website	All	Serves as a hub for all public resources generated by the evaluation; updated immediately once new content becomes available	A designated web page created as early as December 2022, and updated throughout 2023
Approach paper	Board, Secretariat	Approach, questions, methods and timeline of the evaluation	February – April 2023
Approach webinar(s)	Board, Secretariat	Presentation of the content of the approach paper and discussion with the audience	April – May 2023
Draft country case study reports	All	Six to seven country case study reports (countries to be determined)	Q2 – Q3 of 2023
Draft evaluation report	All	Contains evaluation question, in-depth data analyses, and findings/conclusions	By August 2023
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 the attendees may have	August – September 2023
Final evaluation report	All	Contains the evaluation question, in-depth data analyses, conclusions, findings and recommendations	By mid-October 2023
Executive summary	All	A 10-15-page executive summary of the final evaluation report	By mid-October 2023
4-page summary brief (GEvalBrief)	All	A 4-page summary brief that focuses primarily on the evaluation’s background, key question, findings and recommendations. The brief is designed for busy readers, and it is a useful tool for disseminating evaluation learnings to a wider audience	By Q4 of 2023
Final country case study reports (edited, formatted)	All	All country case study reports compiled and published as volume II	By Q4 of 2023
Social media	All	Key updates for every product/event related to the evaluation	Throughout the evaluation cycle

Source: RPSP Evaluation team

F. OPPORTUNITIES AND PLANS FOR ENGAGING STAKEHOLDERS ON THE EVALUATION FINDINGS AND RECOMMENDATIONS

1. WEBINARS ON THE APPROACH PAPER | Q1 OF 2023

Three webinars will be held in Q1 of 2023, for different audience groups – the Board and advisors, AEs and NDAs; the GCF Secretariat; and the CSOs/PSOs and observers, to present and elicit initial comments on the approach and methods of the evaluation. The webinar presentation will be recorded and published online.

2. 2023 UNITED NATIONS CLIMATE CHANGE CONFERENCE (COP28) | NOVEMBER – DECEMBER 2023

The IEU will host a number of joint Pavilion events and side events at COP28 and disseminate the lessons learned on RPSP. This will give the IEU another opportunity to share the evaluation's findings with the GCF stakeholders, partner organizations, evaluators and other climate finance experts attending COP28.

3. IEU WEBINARS, BOARD SIDE EVENTS, AND LEARNING TALKS ON THE FINDINGS | Q3 OF 2023

The IEU will organize webinars, Board side events and/or Learning Talks to present the evaluation's findings to its target audiences, identified above.

4. GLOBAL EVALUATION CONFERENCES OF RELEVANCE

IEU personnel will attend a number of global evaluation conferences throughout 2023 and present findings of RPSP2023 where relevant and useful. One such example could be the 2023 Asian Evaluation Week.

REFERENCES

- Adaptation Fund (2018). *Second Phase of the Overall Evaluation of the Fund*. AFB/EFC.22/9. Bonn, Germany. Available at <https://www.adaptation-fund.org/document/second-phase-overall-evaluation-fund/>.
- _____ (n.d.). *Readiness Programme for Climate Finance*. Available at <https://www.adaptation-fund.org/readiness/>.
- Clarke, Majella, and others (2016). *Second Evaluation of the Forest Carbon Partnership Facility*. Available at <https://www.forestcarbonpartnership.org/system/files/documents/Second+FCPF+Evaluation+Final+Report+Nov+2016+%28ID+94139%29.pdf>.
- Climate Investment Funds (2022). *CIF Technical Assistance Facility (TAF) – Implementation Report 2020-21*. CTF/TFC.28/Inf.4. Washington, D.C. Available at https://www.cif.org/sites/cif_enc/files/meeting-documents/ctf_tfc.28_inf.3_cif-taf_implementation_report.pdf.
- Forest Carbon Partnership Facility (2016). *Monitoring and Evaluation - Second Evaluation of the Forest Carbon Partnership Facility Final Report*. Helsinki, Finland. Available at <https://www.forestcarbonpartnership.org/monitoring-and-evaluation>.
- _____ (n.d.). About the FCPF. Available at <https://www.forestcarbonpartnership.org/about>.
- Green Climate Fund (2011). *Governing Instrument*. Songdo, South Korea. Available at <https://www.greenclimate.fund/document/governing-instrument>.
- _____ (2014a). Guiding Framework and Procedures for Accrediting National, Regional and International Implementing Entities and Intermediaries, Including the Fund’s Fiduciary Principles and Environmental and Social Safeguards (Progress Report). Document GCF/B.06/09, 11 February. Available at <https://www.greenclimate.fund/document/gcf-b06-09>.
- _____ (2014b). Decisions of the Board - Eighth Meeting of the Board, 14-17 October 2014. Decision GCF/B.08/45, 3 December. Songdo, South Korea. Available at <https://www.greenclimate.fund/document/gcf-b08-45>.
- _____ (2017). Guidelines for Enhanced Country Ownership and Country Drivenness. Document GCF/B.17/14, 30 June. Available at <https://www.greenclimate.fund/document/gcf-b17-14>.
- _____ (2018a). Readiness and Preparatory Support Programme: Revised Work Programme for 2018 – Addendum I: Final Report from Dalberg on the Initial Review of the Readiness Programme. Document GCF/B.19/32/Add.01, 12 February. Available at <https://www.greenclimate.fund/document/gcf-b19-32-add01>.
- _____ (2018b). Readiness and Preparatory Support Programme: Revised Work Programme for 2018. Document GCF/B.19/32/Rev.01, 20 February. Available at <https://www.greenclimate.fund/document/gcf-b19-32-rev01>.
- _____ (2019). Readiness and Preparatory Support Programme: Strategy for 2019-2021 and Work Programme 2019. Document GCF/B.22/08. Available at <https://www.greenclimate.fund/document/gcf-b22-08>.
- _____ (2020). *Readiness and Preparatory Support Guidebook: A Practical Guide on How to Prepare Readiness Proposals for the Green Climate Fund*. Songdo, South Korea. Available at https://www.greenclimate.fund/sites/default/files/document/readiness-guidebook_2.pdf.
- _____ (2021a). *Country Programme Guidance: A guide on developing Country Programmes for the Green Climate Fund*. (January). Available at <https://www.greenclimate.fund/document/country-programme-guidance>.
- _____ (2021b). *Evaluation Policy for the GCF*. Document GCF/B.28/05/Rev.01. Available at <https://www.greenclimate.fund/document/gcf-b28-05-rev01>.
- _____ (2021c). Report on the activities of the Independent Evaluation Unit. Document GCF/B.29/Inf.08. Available at <https://www.greenclimate.fund/document/gcf-b29-inf08>.
- _____ (2022a). Decisions of the Board – Thirty-third meeting of the Board, 17 – 20 July 2022. Decision GCF/B.33/19, 9 August. Available at <https://www.greenclimate.fund/document/gcf-b33-19>.
- _____ (2022b). Readiness and Preparatory Support Programme: Work Programme and Budget for 2022–2023. Decision B.33/04, 23 August. Available at <https://www.greenclimate.fund/decision/b33-04>.
- _____ (2022c). Areas of work, Themes & result areas. Available at <https://www.greenclimate.fund/themes-result-areas>. Accessed on 1 May 2023.

- _____ (2023). *Readiness and Preparatory Support Guidebook: A practical guide on how to prepare readiness proposals and how to implement readiness grants*. Version 1 (March). Songdo, South Korea. Available at <https://www.greenclimate.fund/document/readiness-and-preparatory-support-guidebook>.
- Independent Evaluation Unit (2018). *Independent Evaluation of the Green Climate Fund's Readiness and Preparatory Support Programme*. Evaluation report No. 1. Songdo, South Korea: Independent Evaluation Unit, Green Climate Fund. Available at <https://ieu.greenclimate.fund/sites/default/files/document/rpsp-main-report.pdf>.
- _____ (2019a). *Forward-Looking Performance Review of the Green Climate Fund*. Evaluation report No. 3, 2nd ed. (June). Songdo, South Korea: Independent Evaluation Unit, Green Climate Fund. Available at <https://ieu.greenclimate.fund/sites/default/files/document/230322-fpr-final-report-2nd-ed-top-web-isbn.pdf>.
- _____ (2019b). *Independent Evaluation of the Green Climate Fund's Country Ownership Approach*. Evaluation report No. 4 (October). Songdo, South Korea: Independent Evaluation Unit, Green Climate Fund. Available at <https://ieu.greenclimate.fund/sites/default/files/document/230322-coa-final-report-top-web-isbn.pdf>.
- _____ (2020). *Independent Evaluation of the Relevance and Effectiveness of the Green Climate Fund's Investments in Small Island Developing States*. Evaluation report No. 8 (October). Songdo, South Korea: Independent Evaluation Unit, Green Climate Fund. Available at <https://ieu.greenclimate.fund/sites/default/files/document/230330-sids-final-report-top-web-isbn.pdf>.
- _____ (2021). *Independent Evaluation of the Adaptation Portfolio and Approach of the Green Climate Fund*. Evaluation report No. 9 (February). Songdo, South Korea: Independent Evaluation Unit, Green Climate Fund. Available at <https://ieu.greenclimate.fund/sites/default/files/document/210223-adaptation-final-report-top.pdf>.
- _____ (2022a). *Independent Evaluation of Relevance and Effectiveness of the Green Climate Fund's Investments in the Least Developed Countries*. Evaluation report No. 12, volume I (January). Songdo, South Korea: Independent Evaluation Unit, Green Climate Fund. Available at <https://ieu.greenclimate.fund/sites/default/files/document/220117-ldcs-final-report-vol-i-top-web.pdf>.
- _____ (2022b). *Report of the Synthesis Study: An IEU Deliverable Contributing to the Second Performance Review of the Green Climate Fund.* (March). Songdo, South Korea: Independent Evaluation Unit, Green Climate Fund. Available at <https://ieu.greenclimate.fund/sites/default/files/document/220307-spr-synthesis-final-report-top-web.pdf>.
- _____ (2023a). *Independent Synthesis of Direct Access in the Green Climate Fund*. Evaluation Report No. 15 (February). Songdo, South Korea: Independent Evaluation Unit, Green Climate Fund. Available at <https://ieu.greenclimate.fund/sites/default/files/document/230331-da-final-report-top-web-isbn.pdf>.
- _____ (2023b). *Second Performance Review of the Green Climate Fund*. Evaluation Report No. 13, volume I (February). Songdo, South Korea: Independent Evaluation Unit, Green Climate Fund. Available at <https://ieu.greenclimate.fund/sites/default/files/document/230331-spr-final-report-top-web-isbn.pdf>.
- _____ (2023c). *Synthesis Note: An IEU Deliverable for the Independent Evaluation of the Green Climate Fund's Readiness and Preparatory Support Programme*. (February). Songdo, South Korea: Independent Evaluation Unit, Green Climate Fund. Available at <https://ieu.greenclimate.fund/sites/default/files/document/230309-rpsp-synthesis-report-top.pdf>.
- INTRAC (2017). Realist evaluation. Available at <https://www.intrac.org/wpcms/wp-content/uploads/2017/01/Realist-evaluation.pdf>.
- Mayne, John (2008). Contribution Analysis: An Approach to Exploring Cause and Effect. ILAC Brief 16 (May). The Institutional Learning and Change (ILAC) Initiative. BetterEvaluation. Available at <https://www.betterevaluation.org/tools-resources/contribution-analysis-approach-exploring-cause-effect>.
- Multilateral Fund for the Implementation of the Montreal Protocol (n.d.). About the Multilateral Fund. Available at <http://www.multilateralfund.org/aboutMLF/default.aspx>. Accessed on 1 May 2023.
- Multilateral Organisation Performance Assessment Network (2020). MOPAN 2019 Assessments: Organisational Performance Brief - Multilateral Fund for the Implementation of the Montreal Protocol (MLF)." Brief (December). Available at <https://www.mopanonline.org/assessments/mlf2019/MLF%20Brief.pdf>.
- Pawson, Ray, and Nick Tilley (1997). *Realistic Evaluation*. London: Sage.
- United States Agency for International Development (2022). USAID Climate Ready and Institutional Strengthening in Pacific Island Countries to Adapt to Climate Change (ISACC). Final evaluation report (April). Available at https://pdf.usaid.gov/pdf_docs/PA00ZDWV.pdf.

- United Nations Framework Convention on Climate Change (2014). Decision 7/CP.20: Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund. FCCC/CP/2014/10/Add.2. Available at <https://unfccc.int/resource/docs/2014/cop20/eng/10a02.pdf#page=14%22>.
- _____ (2015). Decision 7/CP.21: Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund. FCCC/CP/2015/10/Add.2. Available at <https://unfccc.int/resource/docs/2015/cop21/eng/10a02.pdf#page=10>.
- University of Notre Dame (2023). Notre Dame Global Adaptation Initiative, ND-GAIN Country Index. Available at <https://gain.nd.edu/our-work/country-index/>. Accessed on May 1, 2023.
- Westhorp, Gill (2014). Realist Impact Evaluation: An Introduction. Working paper. ODI: Think Change. 3 September. Available at <https://odi.org/en/publications/realist-impact-evaluation-an-introduction/>.

Independent Evaluation Unit
Green Climate Fund
175, Art center-daero, Yeonsu-gu
Incheon 22004, Republic of Korea
Tel. (+82) 032-458-6450
ieu@gcfund.org
<https://ieu.greenclimate.fund>



GREEN
CLIMATE
FUND

Independent
Evaluation
Unit

