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# INDEPENDENT SYNTHESIS OF DIRECT ACCESS IN THE GREEN CLIMATE FUND

## Approach paper

June 2022



GREEN CLIMATE FUND  
INDEPENDENT EVALUATION UNIT

# Independent Synthesis of Direct Access in the Green Climate Fund

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APPROACH PAPER

06/2022

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## ABBREVIATIONS

<b>AE</b>	Accredited entity
<b>AMA</b>	Accreditation master agreement
<b>CN</b>	Concept note
<b>COP</b>	Conference of the Parties
<b>CSO</b>	Civil society organization
<b>DAE</b>	Direct access entity
<b>EDA</b>	Enhanced Direct Access
<b>FPR</b>	Forward-looking Performance Review of the Green Climate Fund
<b>GCF</b>	Green Climate Fund
<b>GI</b>	Governing Instrument
<b>IAE</b>	International accredited entity
<b>IEU</b>	Independent Evaluation Unit
<b>IRM</b>	Initial resource mobilization
<b>NDA</b>	National designated authority
<b>NDC</b>	Nationally determined contribution
<b>PPF</b>	Project preparation facility
<b>PSO</b>	Private sector organization
<b>RPSP</b>	Readiness and preparatory support programme
<b>SAP</b>	Simplified approval process
<b>SIDS</b>	Small island developing states
<b>SPR</b>	Second performance review of the Green Climate Fund
<b>ToC</b>	Theory of change
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>USP</b>	Updated strategic plan

## A. INTRODUCTION

The 2022 workplan of the Green Climate Fund's (GCF) Independent Evaluation Unit (IEU) was approved at the thirtieth meeting of the Board (B.30), held virtually from 4–7 October 2021.<sup>1</sup> The approved workplan includes an independent synthesis on the topic of direct access in the GCF.

## B. BACKGROUND ON DIRECT ACCESS

### 1. THE DIRECT ACCESS MANDATE: GOVERNING INSTRUMENT, COP GUIDANCE, AND UPDATED STRATEGIC PLAN

Paragraph 45 of the GCF's Governing Instrument (GI) states that GCF resources and modalities can only be accessed through national, regional and international implementing entities accredited by the Board.<sup>2</sup> Recipient countries can nominate competent subnational, national and regional implementing entities for accreditation. Once accredited, these entities can receive and implement GCF funding, directly.<sup>3</sup> The GI explicitly provides that direct access is based on a country-driven approach, and states: "The Fund will provide simplified and improved access to funding, including direct access, basing its activities on a country-driven approach and will encourage the involvement of relevant stakeholders, including vulnerable groups and addressing gender aspects."<sup>4</sup>

The GI further stipulates the GCF will provide resources for readiness and preparatory activities and technical assistance, "...in order to enable countries to access the Fund directly".<sup>5</sup> Such support includes preparing or strengthening low-emission development strategies or plans and in-country institutional strengthening. Moreover, the GI provides that the Board will "...consider additional modalities that further enhance direct access, including through funding entities to enhance country ownership of projects and programs".<sup>6</sup> At the twenty-second session of the Conference of the Parties (COP 22), in Marrakesh, Morocco (2016), the COP in United Nations Framework Convention on Climate Change (UNFCCC) decision 10/CP.22, paragraph 6, requested the GCF Board "to facilitate an increase in the number of direct access proposals in the pipeline and to report to the COP on the progress made in this regard".

The Updated Strategic Plan for the GCF: 2020–2023 (USP) was endorsed by the Board in November 2020 in decision B.27/06, adopting document GCF/B.27/21<sup>7</sup>. The USP sets out the Fund's specific goals as it seeks to deliver against its long-term strategic vision over the 2020–2023 programming period (GCF-1). Alongside other strategic objectives, the USP stipulates the GCF will strive to deliver "...significantly increased funding channelled through direct access entities (DAEs) relative to the Initial Resource Mobilization [IRM]".<sup>8</sup> The IRM baseline is 14 per cent of GCF funding channelled to DAEs in nominal terms and 27 out of 124 approved projects.

### 2. BOARD DECISIONS ON DIRECT ACCESS

In addition to the mandate on direct access provided by the GI and the reaffirmed focus on increasing the level of GCF funding channelled through DAEs outlined in the USP, several Board

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<sup>1</sup> Decision B.30/10.

<sup>2</sup> FCCC/CP/2011/9/Add.1, Decision 3/CP.17, Annex V, paragraph 45.

<sup>3</sup> Ibid., paragraph 47.

<sup>4</sup> Ibid., paragraph 31.

<sup>5</sup> Ibid., paragraph 40.

<sup>6</sup> Ibid., paragraph 47.

<sup>7</sup> Green Climate Fund (2020a).

<sup>8</sup> Ibid., section III, paragraph 13(d).

decisions relate to direct access. These decisions are listed, in chronological order, in Table A - 1 below.

**Table A - 1. Direct access-related Board decisions**

DECISION	DIRECT ACCESS-RELATED PROVISIONS
B.04/06 (2013)	The decision notes the “... <i>Board will consider additional modalities that further enhance direct access, including through funding entities to enhance country ownership of projects and programmes</i> ”. The decision further provides readiness and preparatory activities, technical assistance, and in-country institutional strengthening to enable countries to access the GCF directly.
B.08/09 (2014)	Requests the Secretariat to “... <i>prepare terms of reference for modalities for the operationalization of a pilot phase that further enhances direct access</i> ”.
B.10/04 (2015)	Approves the terms of reference for a pilot phase regarding additional modalities that further enhance direct access to the GCF.
B.11/04 (2015)	The Board decided “... <i>that readiness and preparatory support is a priority for the GCF to enhance country ownership, ensure a strong pipeline and provide sustained support for building institutional capacity to enable direct access</i> ”.
B.13/21 (2016)	The Board directs for the creation of the “... <i>Project Preparation Facility which will support project and programme preparation requests from all accredited entities [AEs], especially direct access entities, especially for projects in the micro-to-small size category with a view to enhancing the balance and diversity of the project pipeline</i> ”.
B.14/07 (2016)	The Board “... <i>urges direct access entities to make use of the Project Preparation Facility to strengthen their proposals in order to demonstrate greater potential to adapt to the impacts of climate change and/or to limit and reduce greenhouse gas emissions in the context of promoting a paradigm shift</i> ”.
B.14/08 (2016)	The decision provides that “... <i>future accreditation decisions by the Board should aim to bring forward accredited entities that fill the mandate on balance, diversity, and coverage and advance the objectives of the GCF</i> ”. The decision further provided for the prioritization in 2016 and 2017 of several entities applying for accreditation, including but not limited to: national DAEs, entities in the Asia-Pacific and Eastern European regions, private sector entities (in particular those in developing countries), and entities responding to requests for proposals issued by the GCF, including a pilot phase for enhancing direct access.
B.18/02 (2017)	The decision includes some provisions relating to the Secretariat’s reporting on matters related to DAEs. These include requests for the Secretariat to: <ul style="list-style-type: none"> <li>• Include information on proposals by DAEs to the Board and COP.</li> <li>• Prepare a report to analyse challenges, barriers, gaps, and recommendations to increase the number of direct access proposals in the pipeline.</li> <li>• Enhance its capacity to: (i) strengthen and actively support direct access accredited entities; and (ii) “Consider and provide feedback in a timely manner on concept notes and funding proposals received from direct access accredited entities or national designated authorities/focal points.”</li> <li>• Communicate the support available to DAEs through the GCF and how DAEs can access such support.</li> </ul>
B.21/16 (2018)	The Board decided “... <i>that future accreditation decisions by the Board should aim to bring forward accredited entities that fulfil the mandate on balance, diversity, and coverage and advance the objectives of GCF</i> ”, and prioritizes the accreditation of several entities up to the end of B.23, including but not limited to national DAEs and entities responding to requests for proposals issued by the GCF, such as a pilot phase for enhancing direct access.
B.23/11 (2019)	The Board decided that “... <i>future accreditation decisions by the Board should aim to bring forward accredited entities that fulfil the mandate on balance, diversity, and coverage and advance the objectives of GCF</i> ”, and prioritizes the accreditation of several entities up to the end of B.24, including national DAEs.



DECISION	DIRECT ACCESS-RELATED PROVISIONS
B.29/01 (2021)	The Board allocated an additional amount of up to USD 12.4 million under the Readiness and Preparatory Support Programme as a “...new dedicated support component to be provided directly to direct access entities, including regional direct access entities, to support the implementation of the integrated results management framework”. The Board also requested the Secretariat to not only “...operationalize this funding window to allow direct access entities to request such funds directly” but also the Secretariat to “inform national designated authorities of support rendered to direct access entities within their national mandate”.

Source: IEU compilation of Board decisions

### 3. DIRECT ACCESS IN THE GCF BUSINESS MODEL

Direct access refers to the ability of recipient countries to nominate competent subnational, national and regional implementing entities for accreditation to receive GCF funding.<sup>9</sup> Recipient countries nominate DAEs through their national designated authority (NDA). National designated authorities are public institutions that serve as the interface between recipient countries and the GCF, while DAEs can be public, private, regional, or non-governmental institutions. Following the Board’s approval of the entity’s accreditation and the finalization of the legal arrangements after the signing of the accreditation master agreement (AMA), the DAEs can thereafter proceed to submit project funding proposals for GCF finance directly to the GCF, and access its finance modalities. As of September 2021, the Board had approved 113 entities for accreditation, including 66 DAEs (see Appendix 5).<sup>10</sup>

In addition to DAEs submitting project funding proposals for GCF finance, there are four other ways through which the GCF is currently operationalizing the direct access modalities:

#### 1) Readiness and Preparatory Support Programme (RPSP)

The RPSP makes resources available for technical assistance and capacity-building to help potential DAEs work through the accreditation process and project development. National designated authorities can apply for readiness support on behalf of entities seeking accreditation to undertake in-depth assessments of the organization’s institutional capacity so that it may meet GCF’s accreditation requirements. This can include support for meeting the standards of GCF policies relating to finance, gender, environment, and social safeguards.

#### 2) Project Preparation Facility (PPF)

The PPF is especially designed to address the support needs of DAEs for projects in the micro- and small-sized category, although all AEs are eligible to apply. The PPF provides financial and technical assistance for preparing project and funding proposals through two modalities: PPF funding (including grants, repayable grants, or equity) and PPF services (including project preparation). For the latter, the GCF provides services through a roster of consultants, ensuring delivery of PPF activities for which the AE does not wish to take up the procurement and management role.

#### 3) Simplified approval process (SAP)

Adopted by the Board in October 2017, the SAP is meant to simplify and streamline the approval of specific small-scale projects (currently those requesting less than USD 10 million in GCF finance). DAEs are particularly encouraged to use it. The SAP was expected to reduce the amount of documentation to be provided with funding proposals, and to streamline the

<sup>9</sup> FCCC/CP/2011/9/Add.1, decision 3/CP.17, annex V, paragraph 47 of the GI.

<sup>10</sup> In addition, the USP commits to working towards increasing the number of accredited DAEs alongside expanding their representation in GCF’s project pipeline and portfolio.

review and the approval process, reducing the time and effort required to go through project preparation and implementation. PPF support can be used to submit proposals under the SAP.

#### 4) Enhanced direct access (EDA) pilot programme

The EDA pilot programme is a funding window for DAEs that devolves decision-making to the national/regional level. EDA projects support community-based organizations, local organizations, local governments or micro and small to medium enterprises and target local actors, addressing gender aspects and the needs of vulnerable communities. The EDA pilot differs from other GCF access windows because individual sub-projects neither have to be presented in the funding proposal nor subsequently submitted to GCF for approval. Resources may be channelled through grants, loans, equity or guarantees, depending on the proposed activities.

## 4. DIRECT ACCESS PORTFOLIO AS OF B.30

### DAEs in GCF's accreditation portfolio

As of B.30 in October 2021, the Board had accredited 57 national DAEs, 15 regional DAEs, and 41 IAEs. Out of these, 26 DAEs have 44 approved projects with the GCF, 36 under the proposal approval process and 8 SAP projects). The efforts of project preparation services are focused on DAEs, with the major share of PPF projects (68 per cent) directed towards GCF's DAE portfolio.

Within the RPSP, there is a decreasing trend among DAEs of their being delivery partners in programme implementation. DAEs that have achieved accreditation or are going through the accreditation process with the GCF are identified as delivery partners in 29 per cent of RPSP projects that were complete by B.30. However, at the "under implementation" stage the share of DAEs in RPSP portfolio is 23 per cent, and this decreases further to 21 per cent for projects in the pipeline.

The accreditation pipeline is extensive for both direct and national access entities, and there are 2.5 times more DAEs than IAEs in the pipeline. Regional DAEs constitute 8 per cent of the accreditation pipeline.

### Portfolio channelled through DAEs

Out of the 190 GCF projects approved by the Board as of B.30, the DAE share represents 23 per cent of the projects count and 20 per cent of nominal finance volume. The direct access portfolio is expanding as the overall GCF portfolio grows, but the pace of growth varies across modalities: the share of regional DAEs increased the fastest between 2016 and 2021 (8.8 times, but from an initial small share), while the share of IAEs increased 2.3 times and national DAEs 1.7 times. Some USD 2 billion had been channelled to countries through DAEs as of B.30. As of B.30, 72 per cent of the USD 30 million in PPF funding had been provided to DAEs.

As mentioned above, the dedicated EDA window was set up to expedite direct access to climate finance, but it has been underutilized with only USD 47 million committed out of the USD 200 million set aside. Likewise, the SAP modality was used modestly by DAEs to access GCF finance, providing expedited access to USD 70 million in funding, against USD 138 million accessed by IAEs.

Financial instruments utilized by DAEs to date within the GCF portfolio were mainly limited to grants and loans. For instance, out of 20 entities not accredited for any financial instruments, 13 are DAEs (18 per cent of the overall accredited DAE pool), while of the 28 entities accredited for grant allowances only, 20 are DAEs (28 per cent of the overall DAE portfolio). With that, 57 per cent of DAEs in the accredited DAE pool are limited to project management, grant or loan instruments. Only 32 per cent of entities are able to use grant and loan instruments, and it's worth noting that 11

per cent of DAEs are accredited for the full suite of GCF financial instruments, (with both private and public AEs being among these). Up to B.30, equity and guarantee instruments used sums of up to 5 per cent of project financing committed through DAEs. This mirrors the fact that DAEs are mostly accredited for simple financial instruments such as grants and loans.

In terms of thematic balance, the share of adaptation finance in the DAE portfolio has varied greatly over the years. The trend has been increasing in recent years, yielding a 50 per cent share of adaptation finance in GCF commitments to DAEs in 2021.

The current geographic coverage of the DAE portfolio is fragmented. While a good number of countries in Africa have projects managed by DAEs, Eastern Europe does not have any approved GCF projects with DAEs. The Latin America and Asia Pacific regions have very limited coverage of projects benefiting from direct access to GCF finance.

## 5. DIRECT ACCESS FINDINGS FROM PREVIOUS IEU REPORTS

Several previous IEU evaluations and syntheses have examined areas that directly or indirectly relate to direct access. The findings of these reports that relate to direct access are summarized below per important issue. The synthesis will build upon these and significantly advance the understanding of direct access in the GCF.

### **Capacity gaps of DAEs**

The “Independent synthesis of the GCF accreditation function” (2020) highlighted the difficulty DAEs face in providing documentation in English and complying with standards such as gender, which often requires them to develop and/or redraft policies. According to the “Independent evaluation of the relevance and effectiveness of the Green Climate Fund’s investments in the SIDS” (2020), while the accreditation process is perceived as too long, it is not the primary challenge faced by small island developing States (SIDS) in accessing the GCF; instead, it is the lack of capacity to prepare GCF funding proposals. The same evaluation also noted that instruments such as the RPSP have not been able to systematically and efficiently bridge the gap between the capacities strengthened through accreditation, and the capabilities needed to prepare and implement GCF-funded projects.

### **Role of regional DAEs**

The “Independent evaluation of the relevance and effectiveness of the Green Climate Fund’s investments in the SIDS” found that regional DAEs cover most SIDS and are often their preferred AEs. However, many regional DAEs are overwhelmed with requests for both RPSP and pipeline development relative to their staffing capacity. The “Independent evaluation of the GCF’s country ownership approach” (2019) found that DAE capacities for and experience in addressing their countries’ prioritized climate needs are more evident in regional than in national DAEs. Countries also have fewer opportunities to carry out large and higher-risk projects with DAEs than they do with IAEs. The capacities of DAEs for developing GCF funding proposals vary, but are often relatively low.

### **Country ownership and DAEs**

The “Independent synthesis of GCF’s accreditation function” highlighted that while DAEs play an essential role in direct access, they are not the only means for ensuring a country-owned pipeline of GCF projects. Many countries have nominated entities, but a small proportion of these have entities that have been accredited. The choice of designated entities at the country level is not always determined from a strategic or countrywide perspective. Still, it is the result of the interests of the applying institutions and their supporters in the administration. The “Independent evaluation of the GCF’s country ownership approach” found the long process for DAE accreditation to be negatively

affecting country ownership. Applicants reported substantial frustration with inefficiencies and delays. Differentiation in the accreditation process is seen as insufficient by many country stakeholders.

## C. ANALYTICAL FRAMEWORK AND METHODOLOGY

### 1. ANALYTICAL FRAMEWORK

#### a. Objective and audience

The independent synthesis will adopt a utilization-focused framework, with an objective of being beneficial to its intended users in terms of providing learning, informing decision-making, and assessing and improving overall performance. The IEU, the GCF Board, the Secretariat, other independent units, NDAs/focal points, civil society organizations (CSOs)/private sector organizations (PSOs), AEs, DAEs, and other delivery partners are identified as key and potential users of this synthesis. In line with the overall utilization-focused framework, the team will work closely with relevant stakeholders to ensure the synthesis is appropriately participatory, consultative and engaging.

#### b. Guiding questions

##### **Background information**

The team will review: (i) the operationalization of the GCF's direct access modality and how it is utilized by countries, and (ii) the experiences and lessons from other organizations that offer direct access. These reviews will serve as background reference for the synthesis. Specifically, this background part will address the following guiding questions:

- How is direct access implemented within the GCF business model? What are the expectations of the direct access modality as per the mandate provided through Board decisions, including its assumption? And how is the direct access modality and its assumptions operationalized in practice?
- How is direct access implemented in countries? How do countries choose to access the GCF through national, regional, or international AEs? How do countries choose their DAEs?
- What does direct access in other entities, including outside of the climate finance landscape, tell us about what does and does not work? What differences do we see with various types of DAEs?

##### **Analytical framework**

The synthesis' analytical framework is structured around three main areas embodied by a high-level question, each spanning several GCF Evaluation Criteria and guided by specific questions (see Table A - 2). The detailed preliminary evaluation matrix outlining all questions and the associated data collection tools, data sources and data analysis methods, is presented in 0.

**Table A - 2. Areas of analysis, criteria and specific questions**

<p>1. Does direct access fit with the GCF’s mandate and business model and respond to the needs of its partner countries? (evaluation criteria covered: relevance, coherence, country ownership)</p>
<p>1.1. For what reason(s) was direct access included as one of the modalities of the GCF business model?</p>
<p>1.2. Is the direct access theory of change (ToC) clear, focused and fit for purpose relative to the GCF mandate?</p>
<p>1.3. Is the direct access ToC clear, focused and fit for purpose relative to partner countries’ priorities?</p>
<p>1.4. How relevant is the guidance given by the COP, the Board and the Secretariat on direct access regarding its operationalization?</p>
<p>1.5. To what extent have the GCF’s business model and processes (e.g. fast-tracked accreditation, readiness support, PPF) been relevant to the specific needs of the direct access modality and DAEs?</p>
<p>1.6. Are projects implemented by international AEs contributing to building national capacity and facilitating direct access?</p>
<p>1.7. Has the GCF learned from the experiences of other entities regarding direct access, and applied lessons learned?</p>
<p>2. What are the results of direct access? (evaluation criteria covered: effectiveness, efficiency, coherence, gender equity, unexpected results)</p>
<p>2.1. Has the GCF effectively met its mandate on delivering financing through DAEs to countries? What factors can explain the variations and differences in its performance? More specifically, has GCF been able to provide sufficient guidance and support for the efficient approval and effective implementation of DAE funding proposals?</p>
<p>2.2. How efficient is direct access within the GCF, and has this evolved over time? How effective have the GCF’s DAEs been in submitting funding proposals? Have new and/or enhanced modalities (e.g. fast-tracked accreditation, project-specific assessment approach, readiness and PPF) had an impact on efficiency?</p>
<p>2.3. What is the effect of becoming a GCF DAE for the AE in the organization regarding capacity, portfolio, strategy, operations?</p>
<p>2.4. Are DAEs addressing the needs of vulnerable and indigenous groups, and gender aspects?</p>
<p>2.5. Are the project objectives and results of IAE and DAE projects qualitatively or quantitatively different?</p>
<p>2.6. Has the implementation of direct access within the GCF led to unexpected results and/or lessons learned?</p>
<p>3. How does direct access contribute to the paradigm shift necessary to deal with the climate emergency? (evaluation criteria covered: impact and sustainability, effectiveness, efficiency, innovativeness in result areas)</p>
<p>3.1. Does direct access help national strategic long-term climate thinking and action, contributing to a sustained paradigm shift at the country level?</p>
<p>3.2. How does direct access contribute to the GCF’s targets at portfolio level and its objective to promote a paradigm shift towards low emission and climate-resilient development pathways in countries?</p>
<p>3.3. What are the scenarios that can lead to increased direct access in the GCF portfolio? What benefits, downsides and tensions do these scenarios imply? What other aspects of direct access could be enhanced to increase DAEs’ effectiveness and impact?</p>

## 2. STEPS AND METHODS TO BE USED

The team will adopt a mixed methods approach applying both **quantitative and qualitative methods** for data collection and analysis. The methods used will aim to ensure robustness of results by making sure that each evaluation question is answered through a systematic and traceable use of

relevant information sources in a way that maximizes **the triangulation** of evidence and, consequently, the representativeness and credibility of the findings and recommendations.

## Step 1: Data collection

The synthesis will use two different methods to collect data: (i) document review, and (ii) interviews and focus groups. The IEU DataLab databases will be a key source of information for many of the steps and methods.

### 1) Document review

The team will rely, to a large extent, on a **critical assessment of the existing body of evaluative** evidence and data related to the implementation and results of the Fund's direct access modality. It will review existing evaluations, assessments, and analyses prepared by the IEU, other GCF Secretariat divisions, and consultants on their behalf and build on relevant evaluations' frameworks when relevant. Other documents that will be considered include relevant policies, strategies and guidance provided on direct access within the GCF, relevant guidance and evaluative evidence on direct access in entities considered in the landscape review, and relevant national documents for countries considered in deep dives.

Appendix 2 presents a preliminary list of types of documents identified as relevant for the synthesis.

### 2) Interview/focus groups

Virtual, or in-person where possible, semi-structured interviews will be conducted with a selection of key informants from the following stakeholders:

- Members and alternate members of the GCF Board
- GCF Secretariat
  - Division of Mitigation and Adaptation
  - Division of Portfolio Management
  - Office of Governance Affairs
  - Division of Country Programming
  - Private Sector Facility
  - Office of Executive Director (Knowledge Management Team)
- Accreditation Committee and Panel
- Accredited Entities (IAEs and DAEs)
- Potential DAEs in the pipeline
- NDAs
- Civil society observers
- Private sector observers

In addition to interviews, focus group discussions are planned to be held with DAE representatives.

Appendix 3 outlines which questions pertaining to the analytical framework will be discussed with each stakeholder group.

### 3) Portfolio and process data

Along with the relevant documents and interviews with key stakeholders, qualitative and quantitative data will be fundamental for this synthesis. Such data is sourced from different GCF databases as well as extracted from relevant GCF documents. A data analysis will assess the overall state of DAE portfolios with regard to accreditation and programming, as well as the efficiency and effectiveness of the relevant business processes in the Fund.

An analysis of the current role of DAEs in the GCF business model and in the accreditation portfolio will be conducted using data from the Accreditation Panel. An overview of the DAE project and programme portfolio and pipeline will be provided based on data from the relevant GCF funding windows (RPSP, PPF, SAP, EDA) available on the GCF databases. For questions focusing on the assessment of project-level results and impact (questions 2.3 to 2.5 in Table A - 2 above), data available from annual performance reviews submitted to date will serve as a main source of analytical insights.

The DataLab's datasets on the accreditation process, on DAEs, country ownership, direct access-related programmes (RPSP, PPF, SAP, EDA) and on the Fund's project portfolio and pipeline will serve as the basis for both the descriptive and analytical elements of this study. The data cut-off datasets used for the evaluation will be based on updated information covering the activities of the Fund up until and including the thirty-fourth meeting of the Board (B.34). For project-level questions (questions 2.3 to 2.5 in Table A - 2 above), the relevant datasets regarding DAE projects' targeted beneficiaries, objectives and results will be identified and analysed.

This synthesis will also draw upon relevant data collection for the currently ongoing Second Performance Review of the GCF (SPR), in particular regarding the efficiency of direct access.

## **Step 2: Data analysis**

The proposed methodological approach that has been broadly adopted will be for a configurative review involving the interpretation and arrangement of existing data, to develop concepts that help provide new understandings of the research area – namely, the GCF's direct access modality (Gough, Thomas and Oliver, 2012). The data analysis will be framed within the following tasks:

- Direct access ToC reconstruction and validation
- Portfolio analysis
- Landscape review
- Deep dives
- Prospective scenarios analysis

The team will also seek to identify the facilitating and hindering factors for the direct access modality, to draw robust and relevant lessons in line with the objective of the synthesis.

The analytical framework presented in 0 outlines how the various data analysis tools will be used and triangulated to answer the synthesis questions.

### **1) ToC reconstruction and validation**

As an early step of the synthesis, the evaluation team will reconstruct the policy-based ToC for direct access within the GCF, using relevant policy documentation (e.g. GI, USP, COP guidance, Board guidance), to identify its key assumptions. Appendix 4 presents some illustrations of the preliminary work conducted during the inception phase on reconstituting a policy-based ToC for direct access.

The reconstructed direct access ToC will then be put in perspective in the context of the broader GCF mandate, building on the previous IEU evaluations, such as the Forward-looking Performance Review of the GCF (FPR).

On this basis, every stakeholder engagement opportunity will be seized to verify the ToC and gather additional evidence regarding the fulfilment of its assumptions, potential tensions and bottlenecks, and strengths.

The verified reconstructed ToC will be annexed to the final report, and the feedback received from stakeholders on its content will be integrated into the analysis as outlined in the analytical framework.

## **2) Portfolio analysis**

Based on data collected by the IEU, especially the IEU DataLab, the team will conduct a quantitative analysis of the GCF's AE portfolio and its pipeline through DAEs, including a comparative analysis with other AEs' portfolios. Other relevant aspects of GCF support, such as entity support and project preparation support will also be examined. The portfolio analysis will contribute to both the descriptive and the analytical elements of this synthesis.

## **3) Landscape review**

Through qualitative analysis of relevant documents, the landscape review will seek to:

- Better understand direct access, including its history and conceptual implications.
- Identify how direct access is concretely implemented in different organizations, including outside of the climate finance landscape, focusing on their processes, governance and results achieved. This will help compare the GCF's direct access modality with those of other organizations and draw interesting take-aways.
- Assess how the GCF incorporated lessons from outside the GCF into the design of its direct access modality and the direct access-related programmes and policies (question 1.7 in Table A - 2 above).

The findings from this analysis will be incorporated into the final report.

## **4) Deep dives**

Deep dives will involve looking closely at DAEs, portfolios and themes of interest through desk-based data collection, document review and interviews.

The team will also build on country case studies carried out by other ongoing evaluations, namely the SPR and the "Independent evaluation of the relevance and effectiveness of the GCF's investments in the African States."

An internal working document summarizing the findings of the deep dives will be produced and used as inputs to the analysis.

## **5) Prospective scenarios analysis**

Using available data as mentioned above, the evaluation team will conduct the modelling of possible scenarios in direct access portfolio growth. This analysis will consider the possible wins and downsides that might result from such growth. Assessing the implications of the various scenarios of direct access portfolio expansion will allow the team to gain insights into prospective synergies and tensions with the GCF mandate.

On the basis of these results, the qualitative aspects of direct access will also be examined to identify potential levers of enhancement for the future.

## **Step 3: Zero draft**

As the culmination of the data collection and analysis phase, the evaluation team will create a zero-draft (factual draft) version of the report that will contain emerging findings but not recommendations. This zero-draft will be shared with the GCF Secretariat for fact checking.

## **Step 4: Draft and final report**

The draft report will be prepared by the team with feedback from the Secretariat on the factual report and will include recommendations. The IEU will lead the review of the evaluation draft



report, including facilitating discussions with the Secretariat and obtaining management responses. After the finalization of the final report, communications products will be designed and broadcast according to the knowledge management plan, as contained in Appendix 6.

## D. WORK PLAN, TIMELINES AND DELIVERABLES

It is estimated that the assignment will run from February to December 2022. The synthesis report is currently expected to be presented at the first Board meeting of 2023, the thirty-fifth meeting of the Board (B.35). An indicative timeline for this synthesis is provided below. It may undergo modest adjustment to accommodate procedural and emerging issues, especially in line with decisions to be made at subsequent Board meetings.

**Table A - 3. Assignment timeline**

PHASE	MILESTONE DELIVERABLES	EXPECTED DEADLINE
Kick-off	Kick-off meeting	April 2022
Inception	Draft and final approach papers	June 2022
Data collection and analysis	All data collected, data analysis, including zero-draft	30 July 2022
Final evaluation report	Unedited, unformatted (editing and formatting to be completed in time for submission to B.35)	October 2022
Socializing, communications, and uptake	Edited and formatted final evaluation report. Drafting, reviewing and socializing learning products with the Secretariat	October to December 2022
Presentation to the Board	Report presentation to the Board.	B.35, Q1 2023

## REFERENCES

### GCF Board decisions

- Decision B.04/06 (2013): Business model framework – Access.
- Decision B.08/09 (2014): Additional modalities that further enhance direct access.
- Decision B.10/04 (2015): Approval of terms of reference for a pilot phase enhancing direct access.
- Decision B.11/04 (2015): Readiness programme implementation and allocation.
- Decision B.13/21 (2016): Operational guidelines for the Project Preparation Facility.
- Decision B.14/07 (2016) (a) to (h): Consideration of funding proposals and approval of the operational guidelines of the simplified proposal approval process.
- Decision B.14/08 (2016): Strategy on accreditation and prioritization of entity application review.
- Decision B.18/02 (2017): Reporting on matters related to direct access entities.
- Decision B.21/16 (2018): Accreditation priorities to be used through the 23rd meeting of the Board.
- Decision B.23/11 (2019): Accreditation Framework, accreditation application review priorities and start of the accreditation.
- Decision B.27/06 (2020): Endorsement of the Updated Strategic Plan for the Green Climate Fund: 2020–2023.
- Decision B.29/01 (2021): Approval of the integrated results management framework and related readiness funding for direct access entities.
- Decision B.30/10 (2022): Independent Evaluation Unit 2022 Work Plan and Budget and Update of its Three-year Objectives and Work Plan

### GCF Secretariat documents

- Green Climate Fund (2020a). “Updated Strategic Plan for the Green Climate Fund: 2020–2023” (GCF/B.27/21). Available at <https://www.greenclimate.fund/document/gcf-b27-21>.
- Green Climate Fund (2020b). *Enhancing Direct Access (EDA) - Guidelines for EDA project development with the Green Climate Fund*. Available at: <https://www.greenclimate.fund/sites/default/files/document/eda-guidebook-en.pdf>.

### UNFCCC decisions

- FCCC/CP/2011/9/Add.1, Decision 3/CP.17. “Launching the Green Climate Fund”. Annex V (GCF Governing Instrument). Available at <https://unfccc.int/resource/docs/2011/cop17/eng/09a01.pdf>.
- FCCC/CP/2016/10/Add.1, Decision 10/CP.22. “Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund”. Available at <https://unfccc.int/resource/docs/2016/cop22/eng/10a01.pdf#page=35>.

### GCF IEU documents

- Asfaw, Solomon, and others (2019). *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.
- Chase, Vasantha, and others (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.
- Eussner, Ansgar, and others (2020). *Independent synthesis of the Green Climate Fund’s accreditation function*. Evaluation Report No. 6 (June). Songdo, South Korea: Independent Evaluation Unit, Green Climate Fund.

**Other relevant sources**

Gough, David, James Thomas, and Sandy Oliver (2012). Clarifying differences between review designs and methods, *Systematic Reviews*, No. 1(28): 1-9.

Murray, Laurel, Benito Müller and Luis Gomez-Echeverri (2017). *Enhanced Direct Access: A Brief History (2009-15)*. European Capacity Building Initiative (December). Available at <https://ecbi.org/publications/enhanced-direct-access-brief-history-2009-15>.



## APPENDICES



## Appendix 1. ANALYTICAL FRAMEWORK<sup>11</sup>

AREAS OF FOCUS	DATA COLLECTION METHODS	DATA SOURCES	DATA ANALYSIS METHODS
<b>1. Does direct access fit in with the GCF's mandate and business model and respond to the needs of its partner countries? (relevance, coherence)</b>			
1.1. <b>Relevance:</b> For what reason(s) was direct access included as one of the modalities of the GCF business model?	<ul style="list-style-type: none"> <li>Document review</li> <li>Interviews: Secretariat, Adaptation Fund</li> </ul>	<ul style="list-style-type: none"> <li>Relevant papers on history and concept of direct access, including from the Transition Committee, GI, relevant Board and COP guidance, relevant implementation documents, relevant evaluations of modalities linked to direct access</li> <li>Interview notes</li> </ul>	
1.2. <b>Relevance, internal coherence:</b> Is the direct access ToC clear, focused and fit for purpose relative to the GCF mandate?	<ul style="list-style-type: none"> <li>Document review</li> <li>Interviews: Secretariat, Board members</li> </ul>	<ul style="list-style-type: none"> <li>Relevant IEU evaluations (e.g. FPR)</li> <li>GI</li> <li>Relevant guidance</li> <li>Interview notes</li> </ul>	<ul style="list-style-type: none"> <li>Analysis of the mandate</li> <li>ToC reconstitution on the basis of relevant policies, including assumptions</li> <li>ToC validation through interviews</li> <li>Identification of facilitating or hindering factors</li> </ul>
1.3. <b>Relevance, country ownership:</b> Is the direct access ToC clear, focused and fit for purpose relative to partner countries' priorities?	<ul style="list-style-type: none"> <li>Document review</li> <li>Interviews with Board members, Secretariat, deep dives</li> </ul>	<ul style="list-style-type: none"> <li>Relevant evaluations (e.g. country ownership evaluation)</li> <li>Interview notes</li> <li>Information from deep dives</li> </ul>	<ul style="list-style-type: none"> <li>ToC reconstitution on the basis of relevant policies, and the assumptions included</li> <li>ToC validation through interviews</li> <li>Deep dives</li> <li>Triangulation of perceptions</li> <li>Identification of facilitating or hindering factors</li> </ul>

<sup>11</sup> The questions provided in this framework as well as their order and structure may undergo revisions during the course of the assessment. Descriptive questions on direct access implementation and the direct access landscape are not included in this analytical framework, as they will not be submitted to an assessment but will be addressed in the report.

AREAS OF FOCUS	DATA COLLECTION METHODS	DATA SOURCES	DATA ANALYSIS METHODS
<p><b>1.4. Relevance, internal coherence:</b> How relevant is the guidance given by the COP, the Board, and the Secretariat regarding direct access for its operationalization?</p>	<ul style="list-style-type: none"> <li>Document review</li> <li>Interviews with Secretariat, Board members, DAEs</li> </ul>	<ul style="list-style-type: none"> <li>Relevant guidance (Board guidance, COP guidance), USP</li> <li>Interview notes</li> </ul>	<ul style="list-style-type: none"> <li>Qualitative analysis of documentation, including identification of expected outputs and outcomes from guidance (cf. ToC reconstitution)</li> <li>Triangulation of perceptions between guidance users and guidance givers</li> <li>Identification of facilitating or hindering factors</li> </ul>
<p><b>1.5. Relevance, country ownership:</b> To what extent have the GCF's business model and processes (e.g. fast-tracked accreditation, EDA, readiness support, PPF) been relevant to the specific needs of the direct access modality and the DAEs?</p>	<ul style="list-style-type: none"> <li>DataLab</li> <li>Document review</li> <li>Interviews/focus groups with DAEs</li> <li>Deep dives</li> </ul>	<ul style="list-style-type: none"> <li>Data on RPSP, PPF</li> <li>Accreditation process data</li> <li>Focus group results</li> <li>Information from deep dives</li> </ul>	<ul style="list-style-type: none"> <li>Qualitative analysis of focus group results and information from deep dives</li> <li>Triangulation of perceptions</li> <li>Identification of facilitating or hindering factors</li> </ul>
<p><b>1.6. Coherence and complementarity, country ownership:</b> Are projects implemented by international AEs contributing to building national capacity and facilitating direct access?</p>	<ul style="list-style-type: none"> <li>Document review</li> <li>Deep dives</li> <li>Interviews: DAEs, IAEs, NDAs</li> <li>Focus group with DAE</li> </ul>	<ul style="list-style-type: none"> <li>Accreditation and reaccreditation documentation</li> <li>Relevant IEU evaluations</li> <li>Interview notes</li> <li>Focus group results</li> </ul>	<ul style="list-style-type: none"> <li>Critical assessment of Secretariat's reaccreditation review on this point</li> <li>Triangulation of information with evaluative evidence and interviews</li> <li>Identification of facilitating or hindering factors</li> </ul>
<p><b>1.7. Relevance:</b> Has the GCF learned from the experiences and applied lessons regarding direct access from other entities?</p>	<ul style="list-style-type: none"> <li>Document review</li> <li>Interviews: Secretariat</li> </ul>	<ul style="list-style-type: none"> <li>Transition Committee documentation, relevant entities' guidance, and evaluations on direct access</li> <li>Interview notes</li> </ul>	<ul style="list-style-type: none"> <li>Qualitative analysis of data and triangulation of perceptions</li> <li>Identification of facilitating or hindering factors</li> </ul>
<p><b>2. What are the results of direct access? (Effectiveness, efficiency)</b></p>			
<p><b>2.1. Effectiveness:</b> Has the GCF effectively met its mandate on delivering financing through DAEs to countries? What factors can explain the variations and differences in its performance? More specifically, has GCF been able to provide sufficient guidance and support</p>	<ul style="list-style-type: none"> <li>DataLab</li> <li>Interviews: Secretariat, Board members</li> </ul>	<ul style="list-style-type: none"> <li>Data on number of direct access proposals approved, in the pipeline, money flowing through DAEs and evolution over time</li> <li>Interview notes</li> </ul>	<ul style="list-style-type: none"> <li>Qualitative and quantitative analysis of datasets</li> <li>Triangulation of perceptions</li> <li>Identification of facilitating or hindering factors</li> </ul>



AREAS OF FOCUS	DATA COLLECTION METHODS	DATA SOURCES	DATA ANALYSIS METHODS
for efficient approval and effective implementation of DAE funding proposals?			
2.2. <b>Efficiency:</b> How efficient is direct access within the GCF and has this evolved over time? Have new and/or enhanced modalities (e.g. fast-tracked accreditation, project-specific assessment approach readiness and PPF) had an impact on efficiency?	<ul style="list-style-type: none"> <li>• Document review</li> <li>• DataLab</li> </ul>	<ul style="list-style-type: none"> <li>• Relevant evaluations (accreditation synthesis)</li> <li>• Data on delays on accreditation and its evolution over time</li> <li>• Data on delays between accreditation, concept note, project proposal and project approval and its evolution over time</li> </ul>	<ul style="list-style-type: none"> <li>• Qualitative and quantitative analysis of documents and datasets</li> <li>• Identification of differences and similarities between different types of AEs (national, regional, international, geographical, income level)</li> <li>• Identification of facilitating or hindering factors</li> </ul>
2.3. <b>Effectiveness, coherence:</b> What is the effect of becoming a GCF DAE for the AE in the organization regarding capacity, portfolio, strategy, operations?	<ul style="list-style-type: none"> <li>• DataLab</li> <li>• Focus groups with DAEs</li> <li>• Deep dives</li> <li>• Interviews: Secretariat (reaccreditation)</li> </ul>	<ul style="list-style-type: none"> <li>• Data on accreditation and reaccreditation</li> <li>• Data coming from deep dives</li> <li>• Interview notes</li> </ul>	<ul style="list-style-type: none"> <li>• Quantitative and qualitative analysis of data on accreditation and reaccreditation</li> <li>• Identification of facilitating or hindering factors</li> </ul>
2.4. <b>Effectiveness, gender equity:</b> Are DAEs addressing the needs of vulnerable and indigenous groups, and gender aspects?	<ul style="list-style-type: none"> <li>• DataLab</li> <li>• Focus groups with DAEs</li> <li>• Deep dives including DAEs relevant strategies and policies on vulnerable groups and gender</li> <li>• Interviews: CSOs</li> </ul>	<ul style="list-style-type: none"> <li>• Data on project beneficiaries</li> <li>• Focus group results</li> <li>• Data coming from deep dives</li> <li>• Interview notes</li> </ul>	<ul style="list-style-type: none"> <li>• Quantitative and qualitative analysis of data on projects' beneficiaries</li> <li>• Triangulation of perceptions</li> <li>• Identification of facilitating or hindering factors</li> </ul>
2.5. <b>Effectiveness, coherence:</b> Are the project objectives and results of IAE and DAE projects qualitatively or quantitatively different? What does that show on the internal coherence of the GCF portfolio?	<ul style="list-style-type: none"> <li>• DataLab</li> </ul>	<ul style="list-style-type: none"> <li>• Data on project objectives (results areas) and results</li> <li>• Portfolio analysis (type of DAE)</li> </ul>	<ul style="list-style-type: none"> <li>• Quantitative and qualitative analysis of AEs' project objectives and results, and types of DAEs</li> </ul>

AREAS OF FOCUS	DATA COLLECTION METHODS	DATA SOURCES	DATA ANALYSIS METHODS
<p><b>2.6. Effectiveness, unexpected results:</b> Has the implementation of direct access within the GCF led to unexpected results and/or lessons learned?</p>	<ul style="list-style-type: none"> <li>Document review</li> <li>Interviews</li> <li>Focus groups with DAEs</li> </ul>	<ul style="list-style-type: none"> <li>Relevant IEU evaluations, guidance, Secretariat documents</li> </ul>	<ul style="list-style-type: none"> <li>Qualitative analysis of relevant documentation</li> </ul>
<p><b>3. How does direct access contribute to the paradigm shift necessary to deal with the climate emergency? (Impact and sustainability)</b></p>			
<p><b>3.1. Impact and sustainability:</b> Does direct access help national strategic long-term climate thinking and action, contributing to a sustained paradigm shift at the country level?</p>	<ul style="list-style-type: none"> <li>Document review</li> <li>Focus groups with DAEs</li> <li>Deep dives: interviews with country landscape</li> <li>Interviews with Secretariat, Board members</li> <li>DataLab</li> </ul>	<ul style="list-style-type: none"> <li>NDCs and updated NDCs, relevant policies for deep dives countries</li> <li>Focus group results</li> <li>Deep dives interview notes</li> <li>Interview notes</li> <li>DataLab portfolio data</li> </ul>	<ul style="list-style-type: none"> <li>Identify potential impact of direct access on implementing and updating NDC</li> <li>Qualitative analysis of DAEs' perceptions</li> <li>Qualitative analysis of relevant actors' perceptions from deep dives</li> <li>Qualitative analysis of key informant interview perceptions</li> <li>Quantitative analysis of DAEs' project pipelines</li> <li>Identification of facilitating or hindering factors</li> </ul>
<p><b>3.2. Effectiveness, efficiency, impact and sustainability, innovativeness in result areas:</b> How does direct access contribute to the GCF's targets at the portfolio level and its objective to promote a paradigm shift towards low emission and climate-resilient development pathways in countries?</p>	<ul style="list-style-type: none"> <li>DataLab datasets</li> </ul>	<ul style="list-style-type: none"> <li>DataLab</li> </ul>	<ul style="list-style-type: none"> <li>Analysis of types of actors brought in by DAEs</li> <li>Analysis of DAEs' contributions to GCF targets</li> </ul>
<p><b>3.3. Effectiveness, efficiency, impact and sustainability, innovativeness in result areas:</b> What are the scenarios that can lead to increased direct access in the GCF portfolio? What benefits, downsides and tensions do these scenarios imply? What other aspects of direct access could be enhanced in order to increase DAE's effectiveness and impact?</p>	<ul style="list-style-type: none"> <li>DataLab datasets</li> </ul>	<ul style="list-style-type: none"> <li>DataLab</li> </ul>	<ul style="list-style-type: none"> <li>Identification of criteria for direct access increase scenarios, and direct access vs other access modality benefits</li> <li>DataLab running scenarios</li> </ul>

## Appendix 2. PRELIMINARY LIST OF TYPES OF DOCUMENT IDENTIFIED AS RELEVANT TO REVIEW

- Evaluative evidence from the GCF (e.g. FPR, accreditation synthesis, country ownership evaluation, SIDS evaluation, synthesis report of the SPR, progress report on the USP)
- Policies, strategies, guidance related to direct access and direct-access related programmes within the GCF
- Guidance and evaluations regarding direct access in entities covered by the landscape review
- Academic sources on direct access concept and history
- NDCs and updated NDCs, relevant policies of countries selected for deep dives
- Grey and peer-reviewed literature relevant to direct access

### Appendix 3. QUESTIONS OF THE ANALYTICAL FRAMEWORK TO GUIDE INTERVIEWS WITH STAKEHOLDERS

	BOARD MEMBERS	SECRETARIAT	DAEs	IAEs	NDAs	CSO	PSO	OTHER
<b>1. Does direct access fit in with the GCF’s mandate and business model and respond to the needs of its partner countries?</b>								
1.1. <b>Relevance:</b> For what reason(s) was direct access included as one of the modalities of the GCF business model?								Adaptation Fund
1.2. <b>Relevance, internal coherence:</b> Is the direct access ToC clear, focused and fit for purpose relative to the GCF mandate?								
1.3. <b>Relevance, country ownership:</b> Is the direct access ToC clear, focused and fit for purpose relative to partner countries’ priorities?								As relevant and possible: other national actors from deep dives
1.4. <b>Relevance, internal coherence:</b> How relevant is the guidance given by the COP, the Board, and the Secretariat regarding direct access for its operationalization?								
1.5. <b>Relevance, country ownership:</b> To what extent has the GCF’s business model and processes (e.g. fast-tracked accreditation, readiness support, PPF) been relevant to the specific needs of the direct access modality and DAEs?								
1.6. <b>Coherence and complementarity, country ownership:</b> Are projects implemented by international AEs contributing to building national capacity and facilitating direct access?								

	BOARD MEMBERS	SECRETARIAT	DAEs	IAEs	NDAs	CSO	PSO	OTHER
1.7. <b>Relevance:</b> Has the GCF learned from the experiences and applied lessons learned from other entities regarding direct access?								
<b>2. What are the results of direct access?</b>								
2.1. <b>Effectiveness:</b> Has the GCF effectively met its mandate on delivering financing through DAEs to countries? What factors can explain variations in performance? More specifically, has GCF been able to provide sufficient guidance and support for efficient approval and effective implementation of DAE funding proposals?								
2.2. <b>Efficiency:</b> How efficient is direct access within the GCF, and has this evolved over time? Have new and/or enhanced modalities (e.g. fast-tracked accreditation, project-specific assessment approach, readiness and PPF) had an impact on efficiency?								
2.3. <b>Effectiveness, coherence:</b> What is the effect of becoming a GCF DAE for the AE in the organization regarding capacity, portfolio, strategy, operations?								
2.4. <b>Effectiveness, gender equity:</b> Are DAEs addressing the needs of vulnerable and indigenous groups, and gender aspects?								
2.5. <b>Effectiveness, coherence:</b> Are the project objectives and results of IAE and DAE projects qualitatively or quantitatively different?								
2.6. <b>Effectiveness, unexpected results:</b> Has the implementation of direct access within the GCF led to unexpected results and/or lessons learned?	Interviews Focus groups with DAEs							

	BOARD MEMBERS	SECRETARIAT	DAEs	IAEs	NDA	CSO	PSO	OTHER
<b>3. How does direct access contribute to the paradigm shift necessary to deal with the climate emergency?</b>								
3.1. <b>Impact and sustainability:</b> Does direct access help national strategic long-term climate thinking and action, contributing to a sustained paradigm shift at the country level?	Focus groups with DAEs Deep dives: interviews with country landscape Interviews with Secretariat, Board members DataLab							As relevant and possible: other national actors from deep dives
3.2. <b>Effectiveness, efficiency, impact and sustainability, innovativeness in result areas:</b> How does direct access contribute to the GCF’s targets at portfolio level and its objective to promote a paradigm shift towards low emission and climate-resilient development pathways?								
3.3. <b>Effectiveness, efficiency, impact and sustainability, innovativeness in result areas:</b> What are the scenarios that can lead to increased direct access in the GCF portfolio? What benefits, downsides and tensions do these scenarios imply? What other aspects of direct access could be enhanced in order to increase DAEs’ effectiveness and impact?								

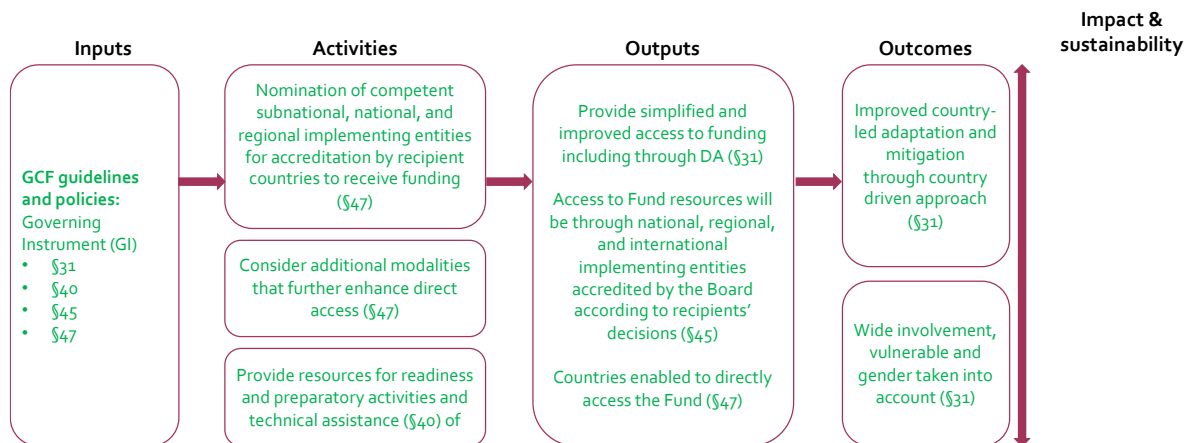
## Appendix 4. ILLUSTRATION OF THE PRELIMINARY WORK ON THEORY OF CHANGE RECONSTITUTION

As part of inception, the evaluation team has started to reconstruct the ToC of direct access in the GCF, based on the relevant policies.

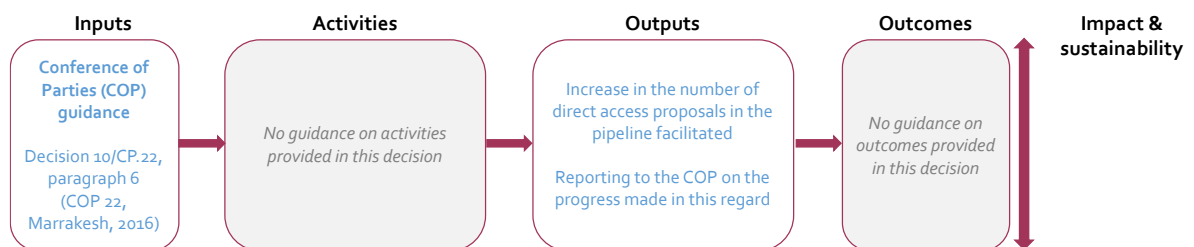
The following slides show how different policy sources point toward activities, expected outputs, and expected outcomes regarding direct access. Not every policy covers every aspect, meaning slides dedicated to individual policies do not always include a full ToC.

It should also be noted that these ToC are based on numerous assumptions that are not made explicit in the policies reviewed. While general-level assumptions have been included in the overview slide, the proceeding steps will focus on identifying the reconstructed ToC's specific assumptions, to test them and to put the direct access ToC in perspective in the context of the broader GCF mandate.

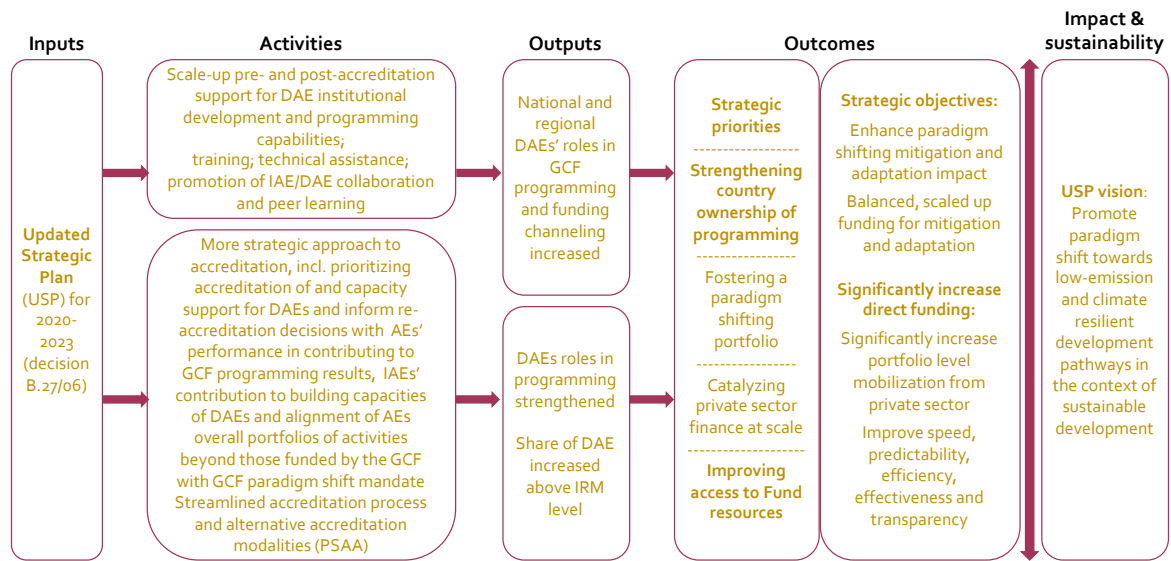
### Direct access theory of change: GCF Governing Instrument



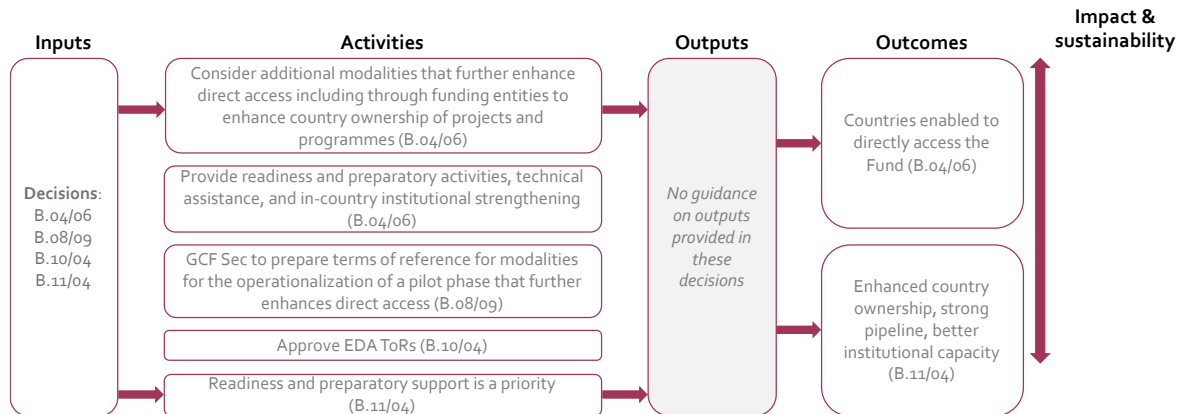
### Direct access theory of change: COP guidance



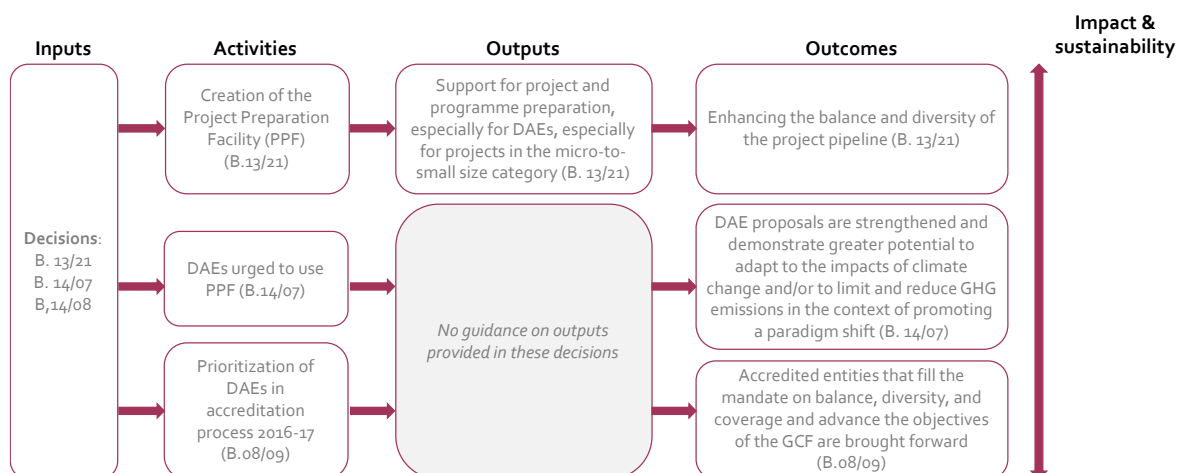
### Direct access theory of change: GCF Updated Strategic Plan



### Direct access theory of change: Board decisions and Board guidance related to DA and related GCF modalities (1/3, 2013-2015)

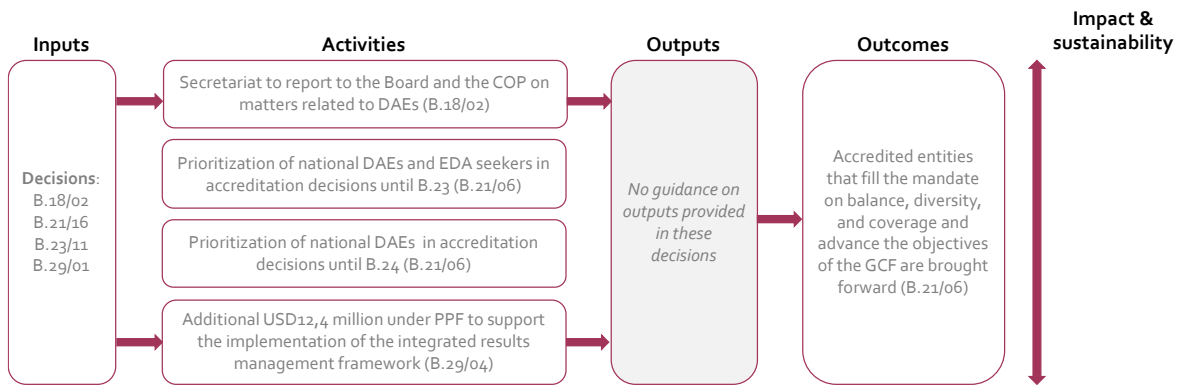


### Direct access theory of change: Board decisions and Board guidance related to DA and related GCF modalities (2/3, 2016-2017)

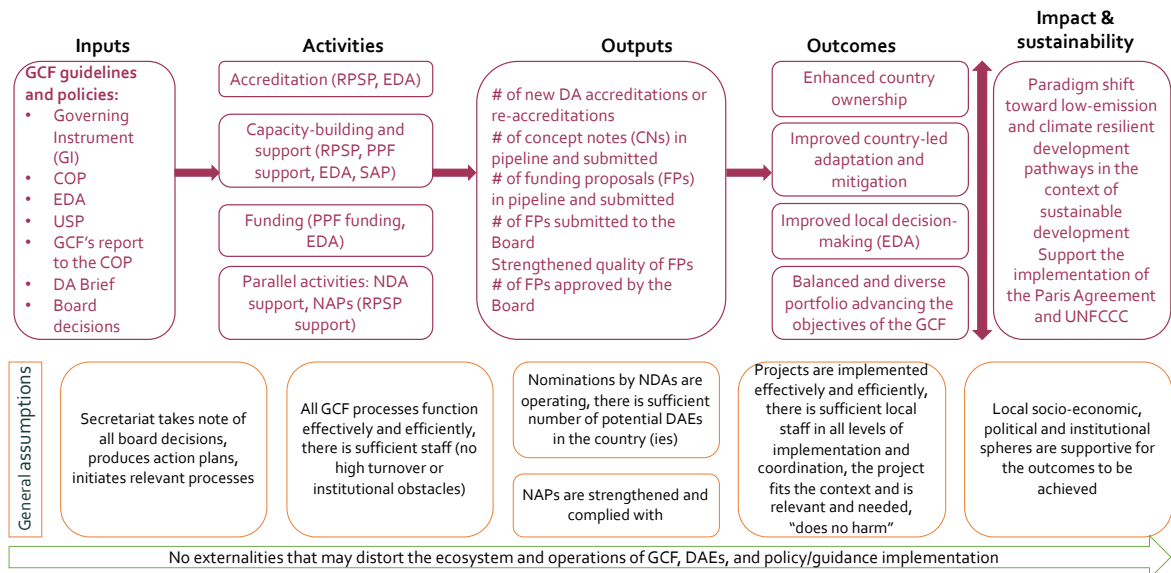




### Direct access theory of change: Board decisions and Board guidance related to DA and related GCF modalities (3/3, 2017-2021)



### Tentative reconstructed policy-based theory of change for direct access



## Appendix 5. LIST OF DIRECT ACCESS ENTITIES AS OF B.30

S. No.	ENTITY NAME	ACCREDITATION STATUS	COUNTRY OF HQ	SIZE	RE-ACCREDITATION STATUS
1	Acumen Fund, Inc.	AMA effective	United States of America	Micro	Re-accredited as IAE
2	Agency for Agricultural Development of Morocco	AMA effective	Morocco	Small	Re-accredited
3	Alternative Energy Promotion Centre	AMA effective	Nepal	Small	Under term I
4	Attijariwafa Bank	AMA executed	Morocco	Large	Under term I
5	<i>Banco Nacional de Desenvolvimento Econômico e Social</i>	AMA executed	Brazil	Large	Under term I
6	<i>Banque Ouest Africaine de Développement (West African Development Bank)</i>	AMA effective	Togo	Medium	Applied
7	Bhutan Trust Fund for Environmental Conservation	AMA effective	Bhutan	Micro	Under term I
8	<i>Caixa Economica Federal</i>	Board accredited	Brazil	Large	Under term I
9	Caribbean Community Climate Change Centre	AMA effective	Belize	Small	Under term I
10	Caribbean Development Bank	AMA effective	Barbados	Small	Under term I
11	CDG Capital S.A.	AMA effective	Morocco	Medium	Under term I
12	Central American Bank for Economic Integration	AMA effective	Honduras	Large	Applied
13	<i>Centre de Suivi Ecologique</i>	AMA effective	Senegal	Micro	Re-accredited
14	China Clean Development Mechanism Fund Management Center	AMA effective	China	Medium	Under term I
15	<i>Corporación Andina de Fomento</i>	AMA effective	Venezuela (Bolivarian Republic of)	Large	Under term I
16	CRDB Bank Public Limited Company	AMA effective	United Republic of Tanzania	Medium	Under term I
17	Department of Environment, Ministry of Health and the Environment, Government of Antigua and Barbuda	AMA effective	Antigua and Barbuda	Small	Under term I
18	Development Bank of Southern Africa	AMA effective	South Africa	Large	Re-accredited
19	Development Bank of the Philippines	Board accredited	Philippines	Medium	Under term I

S. No.	ENTITY NAME	ACCREDITATION STATUS	COUNTRY OF HQ	SIZE	RE-ACCREDITATION STATUS
20	Development Bank of Zambia	Board accredited	Zambia	Medium	Under term I
21	Ecobank Ghana Limited	AMA executed	Ghana	Medium	Under term I
22	Environmental Investment Fund of Namibia	AMA effective	Namibia	Micro	Re-accredited
23	Environmental Project Implementation Unit, State Agency of the Ministry of Nature Protection, Armenia	AMA effective	Armenia	Micro	Under term I
24	Fiji Development Bank	AMA effective	Fiji	Small	Under term I
25	<i>Finanzas Y Negocios Servicios Financieros Limitada</i>	AMA effective	Chile	Medium	Under term I
26	Findeter	Board accredited	Colombia	Small	Under term I
27	<i>Fondo Mexicano para la Conservación de la Naturaleza A.C.</i>	AMA effective	Mexico	Micro	Under term I
28	<i>Fondo para la Acción Ambiental y la Niñez</i>	AMA effective	Colombia	Micro	Under term I
29	Foreign Economic Cooperation Office, Ministry of Environmental Protection of China	AMA effective	China	Small	Applied
30	<i>Fundación Avina</i>	AMA effective	Panama	Micro	Under term I
31	<i>Fundo Brasileiro para a Biodiversidade</i>	AMA effective	Brazil	Medium	Under term I
32	General Directorate of Sectoral and Special Programmes and Projects of the Under-Secretariat of Administrative Management of the Ministry of Agriculture, Livestock and Fisheries (formerly <i>Unidad para el Cambio Rural</i> (Unit for Rural Change) of Argentina)	AMA executed	Argentina	Small	Under term I
33	IL&FS Environmental Infrastructure and Services Limited	Board accredited	India	Small	Under term I
34	Infrastructure Development Bank of Zimbabwe	Board accredited	Zimbabwe	Small	Under term I
35	Infrastructure Development Company Limited	AMA effective	Bangladesh	Medium	Under term I
36	Infrastructure Development Finance Company Limited	Board accredited	India	Medium	Under term I
37	Inter-America Institution for Cooperation on Agriculture	AMA executed	Costa Rica	Small	Under term I

S. No.	ENTITY NAME	ACCREDITATION STATUS	COUNTRY OF HQ	SIZE	RE-ACCREDITATION STATUS
38	JS Bank Limited	AMA effective	Pakistan	Medium	Under term I
39	JSC TBC Bank	Board accredited	Georgia	Medium	Under term I
40	KCB Bank Kenya	Board accredited	Kenya	Medium	Under term I
41	<i>Kemitraan bagi Pembaraun Tata Pemerintahan</i>	AMA executed	Indonesia	Micro	Under term I
42	Korea Development Bank	AMA effective	Republic of Korea	Medium	Applied
43	Korea International Cooperation Agency	Board accredited	Republic of Korea	Small	Under term I
44	<i>La Banque Agricole (formerly Caisse Nationale de Credit Agricole du Senegal)</i>	Board accredited	Senegal	Small	Under term I
45	Landbank of the Philippines	AMA effective	Philippines	Medium	Under term I
46	Micronesia Conservation Trust	AMA effective	Micronesia (Federated States of)	Micro	Under term I
47	Ministry of Environment (formerly Ministry of Natural Resources of Rwanda)	AMA effective	Rwanda	Small	Applied
48	Ministry of Finance and Development of the Federal Cooperation Republic of Ethiopia	AMA effective	Ethiopia	Small	Applied
49	Ministry of Finance and Economic Management of the Cook Islands	AMA effective	Cook Islands	Small	Under term I
50	Ministry of Water and Environment of Uganda	AMA effective	Uganda	Small	Under term I
51	Moroccan Agency for Sustainable Energy S.A.	Board accredited	Morocco	Large	Under term I
52	<i>Nacional Financiera, S.N.C., Banca de Desarrollo</i>	Board accredited	Mexico	Medium	Under term I
53	National Bank for Agriculture and Rural Development	AMA effective	India	Large	Applied
54	National Committee for Sub-National Democratic Development	AMA effective	Cambodia	Micro	Under term I
55	National Environment Management Authority of Kenya	AMA effective	Kenya	Micro	Under term I
56	National Fund for the Environment and Climate of Benin ( <i>Fonds National pour L'Environnement</i> )	AMA executed	Benin	Micro	Under term I

S. No.	ENTITY NAME	ACCREDITATION STATUS	COUNTRY OF HQ	SIZE	RE-ACCREDITATION STATUS
57	National Rural Support Programme	AMA effective	Pakistan	Small	Under term I
58	National Trust for Nature Conservation	AMA effective	Nepal	Micro	Under term I
59	Palli Karma-Sahayak Foundation	AMA effective	Bangladesh	Small	Under term I
60	Peruvian Trust Fund for National Parks and Protected Areas	AMA effective	Peru	Small	Re-accredited
61	Protected Areas Conservation Trust	AMA effective	Belize	Micro	Under term I
62	<i>PT Sarana Multi Infrastruktur</i>	AMA effective	Indonesia	Small	Applied
63	Sahara and Sahel Observatory	AMA effective	Tunisia	Micro	Under term I
64	Secretariat of the Pacific Regional Environment Programme	AMA effective	Samoa	Medium	Re-accredited
65	Small Industries Development Bank of India	AMA effective	India	Large	Under term I

Source: IEU DataLab

## Appendix 6. KNOWLEDGE MANAGEMENT PLAN / COMMUNICATION STRATEGY

### A. BACKGROUND

Paragraph 64 (a) of the Evaluation Policy for the GCF, contained in GCF/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, “The GCF will promote the sharing of evaluative evidence across GCF partners through different modes of dissemination and communication.”

In this context, this draft communications strategy has been developed by the IEU to serve as the Unit’s “dissemination/knowledge management plan” for its “Independent Synthesis of Direct Access in the GCF”. This strategy outlines how the IEU plans to disseminate the findings and learnings from this synthesis, including information about suggested modes of dissemination and communication. It also includes an indicative timeline for the evaluation team’s key activities and engagement plans.

### B. ABOUT THE INDEPENDENT SYNTHESIS

Approved by the Board in the 2022 workplan of the IEU, in decision B.30/10, this synthesis will examine the GCF’s direct access modality. The draft evaluation report will be ready by October 2022, while the final evaluation report will be submitted in time for the thirty-fifth meeting of the Board (B.35), the first Board meeting to take place in 2023.

### C. OBJECTIVES OF THE PLAN

This knowledge management plan/communications strategy 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 to the key stakeholders of the IEU, including the GCF Board, GCF Secretariat, AEs, NDAs, CSOs and PSOs, and the evaluation offices of other international organizations and climate funds.

### D. KEY AUDIENCES

KEY AUDIENCE GROUP	TARGET SUBGROUP (IF APPLICABLE)	DESIRED CHANGE	KEY OUTPUTS, ENGAGEMENT OPPORTUNITIES	MAIN PRODUCTS OF INTEREST
GCF Board	All Board members, including the Co-Chairs, and those who can be considered “champions” for this synthesis – such as members of	The Board’s awareness of the synthesis’s key findings and use of its recommendations in improving the GCF’s direct access	Webinars, board side events, bilateral consultations between the IEU management and the Board members, IEU newsletters,	Executive summary, evaluation report chapter summaries/synthesis notes, final evaluation report (50 - 70 pages), GEvalBrief, IEU

KEY AUDIENCE GROUP	TARGET SUBGROUP (IF APPLICABLE)	DESIRED CHANGE	KEY OUTPUTS, ENGAGEMENT OPPORTUNITIES	MAIN PRODUCTS OF INTEREST
	the Accreditation Committee and other Board members who have raised questions around the GCF's direct access and ways to improve the modality/model.		social media, COP27 side events in Sharm el-Sheikh, IEU website updates.	newsletters – Board editions.
GCF Secretariat	Especially the Secretariat's Climate Investment Committee, Division of Country Programming, and Division of Mitigation and Adaptation (the Accreditation team)	The Secretariat's awareness of the synthesis' key findings and recommendations, and the Secretariat's timely and thoughtful management response to the synthesis. The Secretariat's integration of the evaluation learnings/take-aways into its operational strategies and planning.	IEU website updates. Webinars, Board side events, regular meetings between the IEU head a.i. and the Executive Director. IEU newsletters, news updates on the GCF intranet Green Shift and social media. COP27 side events.	Executive summary, final evaluation report, GEvalBrief, Green Shift updates, IEU newsletters, press releases, Secretariat webinars/workshops, IEU Virtual Talks (when they resume)
GCF partners/stakeholders (AEs, executing entities, etc.)	Direct access entities of GCF, including those who will be interviewed/surveyed during the synthesis process – national, regional, and international entities. Potential DAEs. NDAs of countries where the evaluation's in-depth deep dives will be conducted.	The AEs' and the observers' improved understanding of the GCF and awareness of the IEU synthesis's key findings and recommendations	IEU website updates, webinars, Board meeting side events, IEU newsletters, social media updates, COP27 side events.	Executive summary, Final evaluation report, GEvalBrief, press releases, IEU newsletters, IEU Virtual Talks (when they resume)
External partners of IEU (other evaluation officers)	United Nations Evaluation Group member institutions. Evaluation offices of United Nations	IEU's evaluation report, synthesis notes and summaries are shared with the external partners, and these exchanges lead to bigger and more	IEU website updates. Cross-posting of relevant contents. Regular technical exchanges and meetings like IEU Partners'	Executive summary, Final evaluation report, GEvalBrief, IEU newsletters, 'The Evaluator' podcast, IEU Virtual Talks, joint COP

KEY AUDIENCE GROUP	TARGET SUBGROUP (IF APPLICABLE)	DESIRED CHANGE	KEY OUTPUTS, ENGAGEMENT OPPORTUNITIES	MAIN PRODUCTS OF INTEREST
	entities/MDBs/ other climate funds.	frequent technical exchanges and meaningful engagement opportunities.	Meeting. Joint side events at UNFCCC COP.	side events, cross-participation in evaluation related events organized by the IEU/partner organizations.

## E. COMMUNICATIONS AND KNOWLEDGE MANAGEMENT RELATED OUTPUTS

OUTPUT	KEY AUDIENCE	CONTENT/COMMENTS	EXPECTED DELIVERY
IEU website	All	Serves as a hub for all public resources generated by the synthesis	Throughout the evaluation cycle
Social media	All	Key updates for every product/event related to the evaluation	Throughout the evaluation cycle
Approach paper	Board, Secretariat	Approach, questions, messages of the synthesis	June 2022
Draft evaluation report	All	To be completed by the evaluation team	September – October 2022
Final evaluation report (50-70 pages)	All		Unedited, unformatted version by October 2022 Final version by the time submitting for B.35.)
Webinars to present emerging findings	Board, Secretariat, PSOs/CSOs		October – December 2022
Executive summary	All	A 10–15-page executive summary of the evaluation report	October – November 2022
GEvalBrief	All	A 4-page summary that focuses primarily on the evaluation’s background, key questions, findings, and recommendations. This is for busy readers and useful for wider dissemination.	November 2022
Video or podcast (only if resources permit)	All	A quick video/podcast summary of the evaluation’s key findings and recommendations, which will be uploaded to YouTube and the IEU’s website.	December 2022 – March 2023
B.35 side event (to present findings and recommendations)	All		February – March 2023



## F. OPPORTUNITIES AND PLAN FOR ENGAGING KEY STAKEHOLDERS ON THE EVALUATION FINDINGS AND RECOMMENDATIONS

- 2022 Asian Evaluation Week
- IEU webinars in Q4 of 2022 to share emerging findings with the stakeholders
- UNFCCC COP27 (November 2022)

On the topic of direct access, a joint side event by the IEU and the Adaptation Fund's Technical Evaluation Reference Group (AF-TERG) could possibly be held at COP27. At such a side event, the IEU can present its findings and learnings from the DA2022, and its partner AF-TERG can share its lessons learned on the Adaptation Fund's direct access modality. Representatives of other partner organizations or relevant development agencies can attend the event as panellists for the dialogue.

As part of the IEU's outreach efforts, and to ensure a good turnout, the IEU will prepare and distribute meeting invites to the potential audiences in due time, that is, well before the date of these events. Additionally, with the aim of reaching a wider audience, the events will also be simultaneously advertised via IEU's social media channels – Twitter and LinkedIn.

A recording of the events will be made available on the IEU's YouTube channel shortly after they have taken place. The recordings will then be shared on social media to further increase their reach and enhance the uptake of key takeaways. Other IEU products, such as podcast episodes, may be produced based on the content of these events.

- GCF B.35 (March 2023)

The IEU will hold one or more side events in the week before B.35, where key findings and recommendations from the evaluation will be presented to the relevant stakeholders: Board members, advisors, AEs, NDAs, CSOs/PSOs and the GCF Secretariat. Each event will be tailored to emphasize the aspects/points that are of particular interest to the target audience groups.

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