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# Report on the activities of the Independent Evaluation Unit

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## **Summary**

This document provides a report of the Independent Evaluation Unit's (IEU) key activities for the period 31 May to 1 September 2021. It reports on the IEU's outputs and achievements in line with its Board-approved work plan for 2021.

## I. Introduction

1. This document reports on the key activities and outcomes of the Independent Evaluation Unit (IEU) between 31 May and 1 September 2021. The objectives and key work plan activities of the IEU are presented in the Board-approved "Independent Evaluation Unit 2021 Work Plan and Budget and Update of its Three-year Objectives and Work Plan" (see document GCF/B.27/11). This activity report is organized as follows:

- (a) Section I: Introduction;
- (b) Section II: Overview;
- (c) Section III: Report on key activities;
- (d) Section IV: Budget and expenditure report;
- (e) Supporting annexes:
  - (i) Annex I: Learning-Oriented Real-Time Impact Assessment (LORTA);
  - (ii) Annex II: Progress report on the Second Performance Review;
  - (iii) Annex III: Management action report on the independent evaluation of the GCF's readiness and preparatory support programme;
  - (iv) Annex IV: IEU communications materials.

## II. Overview

2. At its twenty-seventh meeting, the Board by decision B.27/08, approved an overall budget allocation of USD 5,912,573 for the IEU for 2021.

3. More information about the IEU budget for 2021 is available in document GCF/B.27/11 section IV.

4. The IEU's key activities for the reporting period 31 May and 1 September 2021 were:

- (a) Evaluations;
- (b) Learning, advisory services and capacity strengthening;
- (c) Uptake, communications and partnerships; and
- (d) Building and strengthening of the Independent Evaluation Unit.

## III. Report on key activities

5. The IEU plans to deliver on all key activities of 2021. However, due to a persistent personnel shortage, some of the work items may be impacted.

### 3.1 Evaluations

6. The Updated Terms of Reference (TOR) of the IEU<sup>1</sup>, as derived from the Governing Instrument, states that the IEU will conduct periodic independent evaluations of the GCF's activities to provide objective assessments of the Fund's results, effectiveness, and efficiency.

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<sup>1</sup> Annex I, decision B.BM-2021/15 <<https://ieu.greenclimate.fund/sites/default/files/document/updated-tor-ieu.pdf>>

Below is a list of evaluations undertaken in time for B.29 and B.30, respectively, and the evaluations that are currently ongoing.

### 3.1.1. Completed evaluations

7. **Rapid assessment of the Green Climate Fund's request for proposals modality.** The assessment<sup>2</sup>, submitted in time for B.29, concluded that the GCF's request for proposals (RFP) modalities are unable to address shortcomings of the GCF business model and did not provide an incentive to proponents regarding the project cycle or accreditation. The objective of RFPs to help fill gaps in the climate change financing landscape has not been fully achieved. Additionally, the assessment found that the human and finance resources used for developing and implementing the RFPs are insufficient and uneven. Due to the limited size of the current portfolio and early stages of the projects, the RFPs have not achieved significant outcomes.

8. **Independent Evaluation of the GCF's Approach to the Private Sector.** Against the backdrop of insufficient flows of global climate finance, and given the challenges faced by the GCF in engaging the private sector, this evaluation aimed to assess the relevance and effectiveness of the GCF's approach to the private sector. In the reporting period, the IEU undertook extensive data collection, analysis, drafting and outreach. The IEU presented three webinars on emerging findings for Board members, the Secretariat, CSOs, PSOs, and AEs. The IEU also made early drafts available to inform the Secretariat's drafting of a private sector strategy and another draft for review and fact checking. Following from the approach paper<sup>3</sup> and brief<sup>4</sup> produced earlier, this evaluation also generated four lab reports<sup>5</sup>, which provide insights into this evaluation's early findings. The full report, as well as summaries, will be submitted to the Board and be made available on the Private Sector evaluation page<sup>6</sup> of the IEU microsite in time for B.30.

### 3.1.2. Ongoing evaluations

9. **Independent evaluation of the effectiveness of the GCF's investments in the least developed countries.** This evaluation examines whether the GCF's approach and investments in the LDCs are effective and sustainable in reducing their vulnerability to climate change impacts. The IEU will submit the evaluation to the Co-chairs for inclusion in the first Board meeting of 2022. During the reporting period, the IEU finalized the evaluation's approach paper<sup>7</sup> and its accompanying brief.<sup>8</sup> As this evaluation progresses, the IEU will publish additional briefs, summaries and other supporting materials on the IEU microsite's LDCs evaluation page.<sup>9</sup> The IEU will submit the evaluation report in time for the first Board meeting in 2022 (B.31).

10. **Second Performance Review of the Green Climate Fund.** In decision B.BM-2021/11, the GCF Board, on 10 June 2021, launched the GCF's second performance review.<sup>10</sup> The review will assess the progress made by the GCF in delivering on its mandate and the GCF's performance in promoting a paradigm shift towards low-emission and climate-resilient development pathways. This review will inform the process of replenishing the GCF for the next

<sup>2</sup> <https://ieugreenclimatefund/evaluation/RfP2021>

<sup>3</sup> <https://ieugreenclimatefund/sites/default/files/evaluation/210614-private-sector-approach-paper-top.pdf>

<sup>4</sup> <https://ieugreenclimatefund/sites/default/files/evaluation/private-sector-ieubrief-en.pdf>

<sup>5</sup> [https://ieugreenclimatefund/sites/default/files/evaluation/210521-ieulabreport-no-1-top\\_1.pdf](https://ieugreenclimatefund/sites/default/files/evaluation/210521-ieulabreport-no-1-top_1.pdf)

<sup>6</sup> <https://ieugreenclimatefund/evaluation/Priv2021>

<sup>7</sup> <https://ieugreenclimatefund/sites/default/files/evaluation/210713-lDCs-approach-paper-top.pdf>

<sup>8</sup> [https://ieugreenclimatefund/sites/default/files/evaluation/lDCs-ieubrief-en-top2\\_0.pdf](https://ieugreenclimatefund/sites/default/files/evaluation/lDCs-ieubrief-en-top2_0.pdf)

<sup>9</sup> <https://ieugreenclimatefund/evaluation/LDC2022>

<sup>10</sup> <https://ieugreenclimatefund/evaluation/SPR2023>

programming period (2024-2027). The evaluation report will be submitted in time for the first Board meeting in 2023 (B.34). More information on the progress made with regards to the review can be found in Annex II.

### 3.1.3. **Synthesizing findings and lessons learned from the evaluations**

11. The Updated Terms of Reference of the IEU<sup>11</sup> states that the IEU will synthesize the findings and lessons learned from its evaluations to inform the Board and the Secretariat, NDAs, implementing entities, observer organizations, as well as stakeholders. To this end, the IEU continues to produce communications materials that effectively synthesize key findings and lessons learned from the evaluations and disseminate the learnings through different channels.

## 3.2 Learning, advisory services, and capacity strengthening

### 3.2.1. **Learning papers and evidence reviews**

12. The Evaluation Policy for the GCF requires the IEU to promote learning and dialogue by disseminating lessons learned. Learning papers, working papers and evidence reviews are important tools in fulfilling this role. The IEU produced the materials listed below, either alone or in collaboration with IEU partners.

13. **Working paper: Machine learning and its potential applications in the Independent Evaluation Unit of the Green Climate Fund.**<sup>12</sup> This paper explores the extent to which and how machine learning can potentially support the evaluation function of the IEU and, more broadly, how it can support project development at the GCF and other support of the IUs. It conducts a scoping study of the contemporary uses of machine learning to evaluate climate interventions and reviews the current applications of machine learning within climate impact evaluations and evidence reviews.

14. **Evidence review: Climate change mitigation interventions in the private sector in developing countries.** As described in the activity report submitted at B.29, this evidence gap map (EGM) found little rigorous, causal evidence on private investments in mitigation in developing countries. The available causal evidence is in the energy and industrial sectors, especially fossil fuel substitution and energy efficiency measures. The intervention heat map<sup>13</sup> shows that the GCF portfolio of private investments in mitigation is generally in line with the global distribution of GHG emissions, with the portfolio having a greater relative importance of energy interventions (mostly concentrated around fossil fuel substitution). The synthetic review<sup>14</sup> found that almost all of the causal studies included in the evidence review found significant positive effects on mitigation and broader co-impacts. However, the limited evidence base poses significant challenges for drawing generalizable conclusions. Besides the evidence gap map and intervention heap map, the synthetic review is now also available on the IEU microsite.

15. **Evidence reviews: Gender and behavioural change.** The IEU's 2021 Workplan includes two new evidence reviews on gender and behavioural change. The IEU has now partnered with the International Fund for Agricultural Development (IFAD) to co-finance and co-develop these evidence reviews. The IEU and IFAD held joint sessions between April and August 2021. The procurement processes are expected to conclude in September, with the

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<sup>11</sup> Annex I, Decision B.BM-2021/15 <<https://ieu.greenclimate.fund/sites/default/files/document/updated-tor-ieu.pdf>>

<sup>12</sup> <https://ieu.greenclimate.fund/document/machine-learning-and-its-potential-applications-independent-evaluation-unit-green-climate>

<sup>13</sup> <https://ieu.greenclimate.fund/sites/default/files/page/210806-psim-egm-ihm-top.pdf>

<sup>14</sup> <https://ieu.greenclimate.fund/sites/default/files/page/210812-psim-synthetic-review-top.pdf>

commencement of these evidence reviews to follow shortly thereafter. The IEU and IFAD plan to continue this work until the second half of 2022.

**Table 1: Summary of progress made in IEU evidence reviews**

Evidence Review	Status
Private sector investments in mitigation	Completed
Transformational change: synthetic review	Under review
Gendered interventions	Under procurement
Behavioural change interventions	Under procurement

### 3.2.2. DataLab and BaD Lab activities

16. **IEU DataLab:** The IEU’s DataLab provides high-quality data as part of the IEU’s rigorous, evidence-based evaluations. The DataLab develops and maintains a repository of quantitative and qualitative data from the GCF systems and documents, as well as external sources. Key DataLab activities for the reporting period include quality assurance of qualitative and quantitative evidence for (i) the RFP rapid assessment and data-related support for (ii) the evaluation of the GCF’s approach to the private sector, and (iii) the evaluation of the effectiveness of the GCF’s investments in the LDCs. Evidence for these activities was drawn from datasets retrieved from more than 20 internal and external data sources. Data exploration and analysis for the evaluation of the GCF’s approach to the private sector is currently concluded; for the evaluation of the GCF’s investments in the LDCs, data analysis is ongoing. The DataLab has concluded the update of the data repository to the B.29 version, including the geospatial database of the GCF’s projects’ locations. Geospatial analysis continues to provide valuable insights for triangulation during the COVID-19 pandemic when country missions have to be conducted virtually and support to the IEU’s Learning-Oriented Real-Time Impact Assessment (LORTA) programme.

17. Due to staffing challenges and capacity constraints in the reporting period, several core data-related activities are temporarily postponed. Data analysis guidelines, standardization, and capacity building are paused to allow optimal resource allocation and to ensure the DataLab continues to provide timely input into IEU’s evaluations first and foremost. Additionally, in the reporting period, DataLab started and focused on the updating of the 2019 evaluability data to include 60 newly approved projects. Funding proposals are assessed on indicators related to the potential for measuring causal change, implementation fidelity, reporting credibility, and theory of change in approved funding proposals. The IEU expects to complete the review by the end of 2021.

18. **IEU BaD Lab:** The IEU applies insights from behavioural science to its evaluative and learning work, particularly through the LORTA programme. These insights have also been integrated into LORTA’s Virtual Design Workshop. Additionally, the BaD Lab developed a checklist of simple procedures to test the efficiency and effectiveness of behavioural nudges within the IEU to improve performance and communication. The BaD Lab also planned a short workshop for DAEs, alongside the Busara Center for Behavioral Economics and developed an online toolbox for DAEs to use in considering the integration of behavioural interventions in evaluation planning.

### 3.2.3. Capacity building

19. **IEU to support the development of evaluation capacity.** The IEU's Updated TOR<sup>15</sup> requires the Unit to support strengthening of the evaluation capacities of the GCF's implementing entities. The GCF Evaluation Policy requires the IEU to develop evaluation standards for the GCF in consultation with the Secretariat. Currently, delays are expected in this work due to the IEU's staffing challenges and capacity constraints (see section 3.4).

20. **Capacity building.** Due to COVID-19 travel restrictions, IEU staff could not attend the usual range of key international events to give keynote addresses, participate in international discussions or facilitate capacity building. To overcome this, the IEU actively utilized digital collaboration tools such as Microsoft Teams and Zoom to engage with partners and stakeholders and participate in learning and capacity-building activities. Several of these are noted in the sections on "partnerships", "attending seminars and discussions", "hosting side events" and "webinars".

### 3.2.4. Learning-Oriented Real-Time Impact Assessment Programme

21. **LORTA.** The LORTA<sup>16</sup> programme continues to support real-time impact evaluations of funded projects so that the GCF can access accurate data on the quality of project implementation and impact. The current portfolio of projects has shown further progress. Baseline data collection has been completed in Guatemala and the first LORTA impact evaluation report is being finalized for Malawi. Project teams concluded a four-day virtual inception workshop for the Philippines and finalised impact evaluation designs for Belize and Ecuador. Virtual discussions and a capacity-building workshop for impact evaluation have been held for Vanuatu. Due to the COVID-19 pandemic, the LORTA team is postponing data collection activities in Bangladesh and Uganda. In Paraguay, discussions are continuing with the AE to finalize the timeline for baseline data collection. LORTA will start its second Virtual Design Workshop at the end of August 2021. Participants from Direct Access Entities covering over 12 GCF-funded projects have confirmed attendance for the ten-week course to enhance capacity in impact evaluation. IEU's partners J-PAL and Busara are participating in this event alongside the Food and Agricultural Organization. More information on project activities can be found in newly published communications products,<sup>17</sup> which include LORTA's 4-page GEvalBriefs and 2-page GEvalNotes for both 2019 and 2020 and an up-to-date portfolio brief.

## 3.3 Uptake, communications, and partnerships

22. Partnerships and collaboration are critical to ensure that the IEU delivers effective evaluations, contributes to its own and the GCF's learning, and builds the capacity of in-country stakeholders. Also, IEU partners provide the opportunity to extend greater understanding, outreach, and uptake of IEU recommendations. Apart from fostering partnerships, the IEU further ensures the uptake of its findings and lessons by engaging in external and internal events, producing a wide range of outreach materials, regularly updating its microsite, and sharing content on social media, among others (see section 3.3.5 below).

<sup>15</sup> Annex I, Decision B.BM-2021/15 <<https://ieu.greenclimate.fund/sites/default/files/document/updated-tor-ieu.pdf>>

<sup>16</sup> <https://ieu.greenclimate.fund/evaluation/lorta>

<sup>17</sup> <https://ieu.greenclimate.fund/evaluation/lorta#key-docs>

### 3.3.1. Partnerships

23. **Formal partnerships.** The IEU works with a range of partners.<sup>18</sup> It has Memoranda of Understanding and agreements with 20 accredited entities, national designated authorities, universities, research institutes, government ministries, civil society organizations, multilateral and bilateral agencies, and independent evaluation offices of accredited entities.

### 3.3.2. Webinars

24. The GCF's Evaluation Policy and the IEU's TOR require the Unit to disseminate lessons learned. Webinars are an excellent channel for disseminating information, increasing awareness of the IEU's work and its relevance to the GCF, encouraging the exchange of ideas, and fostering dialogue and learning among the IEU's global stakeholders and partners. During the reporting period, the IEU delivered the following webinars:

- (a) **Rapid assessment of the Green Climate Fund's request for proposals modality** – webinars on the evaluation's findings and recommendations. A video of the webinar is available online.<sup>19</sup>
- (b) **Independent Evaluation of the GCF's Approach to the Private Sector** – webinars on the evaluation's emerging findings and the IEU's proposed 2022 workplan.

### 3.3.3. Hosting Board meeting Side Events

25. **Side Event for the IEU's rapid assessment of the Green Climate Fund's request for proposals modality.** Ahead of B.29, the IEU held a virtual side event on its rapid assessment of the GCF's request for proposals (RFP) modality. It was attended by a wide range of stakeholders, including Secretariat colleagues, Board Members, advisors, AEs, CSOs, and PSOs. A recording of the event is available on the IEU's YouTube channel.<sup>20</sup>

26. **Side Event for IEU's Independent Evaluation of the GCF's Private Sector Approach.** One week before B.30, the IEU will hold a virtual side event on its independent evaluation of the GCF's private sector approach. Secretariat colleagues, Board Members, advisors, accredited entities, civil society organizations, and private sector organizations will be invited to attend the event and engage on the evaluation's key findings and recommendations.

### 3.3.4. External events

27. **The Commonwealth Secretariat's "Leveraging earth observation technologies to enhance access to climate finance" event.** Organized by The Commonwealth Secretariat on 7 June, the event marked the launch of a discussion paper on the use of satellite technology and data to enhance climate finance access. The IEU's Dr. Archi Rastogi attended the event and spoke about one of the data-related findings from the independent evaluation of the relevance and effectiveness of the GCF's investments in the small island developing States.<sup>21</sup> He highlighted the availability of data as a challenge or barrier to accessing the GCF's resources and its importance as evidence that informs decision making.

28. **UN Behavioural Science Week: "Behavioural approaches for development and climate programmes" event.** Hosted by IFAD, this event took place on 23 June during the United Nations Behavioural Science Week. Speaking about the IEU's LORTA Programme, the IEU's Dr. Martin Prowse emphasized the importance of applying behavioural science insights

<sup>18</sup> <https://ieu.greenclimate.fund/about/partners>

<sup>19</sup> <https://www.youtube.com/watch?v=MWSNID3s8Zs>

<sup>20</sup> [https://www.youtube.com/watch?v=S1urhTD\\_hdE](https://www.youtube.com/watch?v=S1urhTD_hdE)

<sup>21</sup> <https://ieu.greenclimate.fund/evaluation/sids2020>

into the programme to increase its flexibility and to share the resulting learnings for future behavioural science interventions in climate projects.

29. **UN Summit Dialogue: “Local and global food security shaped by Northern agriculture” event.** This UN Summit Dialogue, held on 29 June, focused on the ways forward to develop sustainable agri-food systems that lead to agricultural development while maximizing sustainability. The IEU’s Yeonji Kim took part in the event and spoke about the importance of food security and sustainable agriculture and how the GCF supports these objectives. She also highlighted an important finding around the concept of innovation in ‘software’, based on the IEU’s independent evaluation of the adaptation portfolio and approach of the GCF.<sup>22</sup>

30. **26<sup>th</sup> Conference of the Parties (COP26):** The IEU proposed four pavilion events for disseminating lessons learnt from recent IEU evaluations at the upcoming 26<sup>th</sup> Conference of the Parties to UNFCCC (COP26). These events will take a hybrid format that will see them taking place at the GCF/GEF pavilion while also being live streamed online. The IEU is currently engaging with external partners to plan for these proposed events at COP26. The IEU is proposing the following topics:

- (a) GCF’s adaptation approach: Learnings from the independent evaluation of the adaptation portfolio and approach of the GCF
- (b) GCF’s approach to the private sector: Learning from the independent evaluation of the GCF’s approach to the private sector
- (c) Learnings from evaluating GCF’s modalities: Simplified Approval Process (SAP) pilot scheme, Request for Proposals (RFP) modality, Project Preparation Facility (PPF), Readiness and Preparatory Support Programme (RPSP)
- (d) GCF and the SIDS: Learnings from the independent evaluation of the relevance and effectiveness of the GCF’s investments in the small island developing states

31. **Planned engagement opportunities with global evaluation networks:** In line with its mandate of engaging with global evaluation networks, learning continuously and increasing the uptake of its evaluation findings and recommendations, the IEU plans to take part in the following conferences in the remainder of 2021:

- (a) **Asian Evaluation Week (AEW) 2021:** Sponsored by the Ministry of Finance of the People’s Republic of China through the Asia-Pacific Finance and Development Institute and the Asian Development Bank’s Independent Evaluation Department, the theme of this year’s AEW is “Transformational Evaluation: Moving from Uncertainties to Resilience”. The events will take place virtually from 6 to 10 September. The IEU will take part in two joint sessions. The European Bank for Reconstruction and Development is organizing the first session. It will focus on the role of the green agenda for the private sector in the COVID-19 era and feature the IEU’s Dr. Archi Rastogi sharing key learnings from the IEU’s independent evaluation of the GCF’s private sector approach; further, this session will be moderated by the IEU’s Yeonji Kim who will facilitate an in-depth discussion about the role of evaluation in times of uncertainty and how evaluations have enabled effective decision-making in the roll-out of emergency response measures to support the private sector and the economies. The European Investment Bank (EIB) is managing the second session. This session will examine climate change adaptation and include the IEU’s Andreas Reumann showcasing key findings from the IEU’s independent evaluation of the adaptation portfolio and approach of the GCF.
- (b) **European Evaluation Society (EES) conference:** This year’s EES conference will take place virtually from 8 to 10 September and will focus on the theme of “Uncertain World: Complexity, Legitimacy, and Ethics”. The IEU is currently planning to participate in two

<sup>22</sup> <https://ieu.greenclimate.fund/evaluation/adapt2021>



sessions. The first, a joint session with the German Institute for Development Evaluation (DEval) and the European Investment Bank, will focus on evidence gap maps, in Climate Change Adaptation and Forest Conservation. The IEU's Andreas Reumann will participate in this session. The second session is a round table discussion on the topic of "Evaluating Climate Adaptation: Conceptual Clarity, Metrics and Innovation". The IEU's Dr. Martin Prowse will participate in this round table discussion.

- (c) **Global Development Network (GDN) conference:** Titled 'Evidence for Development: What Works Global Summit 2021', this conference will take place virtually from 18 to 27 October. Together with DEval, the IEU will engage in a joint panel on the topic of evidence curation. The IEU's Viktoriya Khan will discuss the lessons learnt from the IEU's extensive review of global evidence on topics such as the role of credit in the uptake of adaptation activities in developing countries.

### 3.3.5. Communications products and uptake

32. **Overview of major communications and uptake products.** The IEU produces a wide range of communications products tailored to the needs of its broad spectrum of stakeholders. Such products include print and online publications, multimedia content (e.g. videos and podcasts), newsletters, press releases, and promotional materials for internal and external engagement. Additionally, the IEU continues to update its microsite and maintain a solid presence on social media platforms. These outreach activities and materials disseminate the IEU's evaluations, support their uptake, and serve the IEU's broader learning and advisory function. They also enhance the unit's profile and presence in the international climate finance landscape.

33. **Communicating IEU's evaluative work and learnings in different languages.** To better communicate with the GCF's global stakeholders, the IEU continues to expand the number and range of products available in multiple languages. In addition to translating the evaluations' summary briefs in Spanish and French, the IEU finalized and published its first Arabic briefs during the reporting period. A total of twenty briefs and notes have been made available in Arabic on the IEU website. Furthermore, the IEU has provided Korean subtitles to a few of the IEU's most recent videos highlighting its evaluations - e.g., a video<sup>23</sup> on the SIDS evaluation.

34. **IEU microsite analytics.** One of the most recently completed evaluations, the Adaptation evaluation, and one of the IEU's ongoing evaluations, the Private Sector evaluation, stand among the top ten most-viewed IEU microsite pages in the reporting period, reflecting the interest from stakeholders over the last few months. Visitors to the microsite<sup>24</sup> come from 140 countries, and user interactions with the microsite have totalled more than 4,800, including the number of downloads, link clicks, form submissions, and video plays.

35. **Social media analytics:** The IEU's presence on multiple social media platforms enables the unit to reach a wide range of stakeholders, including members of global evaluation networks and associations, other climate funds and international organizations, evaluation offices of UN agencies, AEs, NGOs, and academia.

- (a) **Twitter:** The IEU's Twitter<sup>25</sup> account has 1,177 followers, coming from more than 100 countries. Almost 16 per cent of the IEU's Twitter followers are from the USA, and nearly 7 per cent from each of India and the UK. About 5 per cent and 4.5 per cent come from Kenya and South Korea, respectively. Regular interactions with the IEU's Twitter account (including likes, retweets, and mentions) come from global and regional

<sup>23</sup> <https://www.youtube.com/watch?app=desktop&v=E86D6ALywcw>

<sup>24</sup> <https://ieugreenclimate.fund/>

<sup>25</sup> [https://twitter.com/GCF\\_Eval](https://twitter.com/GCF_Eval)

evaluation networks and organizations, including the United Nations Evaluation Group, European Evaluation Society, African Development Bank's Independent Development Evaluation, UNFPA Evaluation Office, Asian Development Bank's Independent Evaluation Department. Other key stakeholders engaging with the IEU on Twitter on a regular basis are IEU's partners, such as the Center for International Forestry Research, the Center for Evaluation and Development, and Deval, as well as other relevant organizations, such as the International Financial Corporation, the International Program for Development Evaluation Training, and Steward Redqueen.

- (b) **LinkedIn:** The number of followers of IEU's LinkedIn<sup>26</sup> account continues to increase, amounting to almost 1,400. These followers regularly interact with the IEU's content. They include, among others, the United Nations Evaluation Group, the United Nations Capital Development Fund, IFAD, Mathematica, Steward Redqueen, the Center for Evaluation and Development, the Commonwealth Secretariat, International Initiative for Impact Evaluation, Climate Investment Funds and UNEP.
- (c) **YouTube:** With a total of 151 videos receiving hundreds of weekly views, the IEU's YouTube<sup>27</sup> account keeps attracting a wide range of followers from all over the world. "Spotlight" videos – focusing on key findings and recommendations from the IEU evaluations – remain the most popular on the platform.
- (d) **Podcast:** The IEU's podcast "The Evaluator",<sup>28</sup> disseminated through Anchor, has reached listeners in more than 70 countries, with an almost equal share of male and female listeners.

### 3.4 Building and strengthening the Independent Evaluation Unit

36. According to the Evaluation Policy for the GCF (Decision B.BM-2021/07) and the IEU's TOR (Decision B.BM-2021/15), the Unit is expected to be at the frontier of climate evaluation and assume a leadership role in the evaluation community. To this end, it ensures the development of internal capacity through a wide range of training.

37. **Updating the IEU's Terms of Reference.** In May 2021, the Board adopted the GCF's Evaluation Policy<sup>29</sup> and requested the IEU to present at B.29 an amendment, including an update to the IEU's TOR. Accordingly, the IEU prepared a revised TOR constituting an amendment to the GCF's Evaluation Policy for the GCF for the Board's consideration. On 3 June 2021, the IEU organized a technical session for consultation with the GCF Board. For transparency and information purposes, the IEU shared all related documents with the GCF Secretariat prior to submitting these to the Board. Based on the discussion and subsequent guidance provided by the Board, the IEU further developed the updated TOR. Finally, in decision B.BM-2021/15, the Board approved the IEU's Updated TOR<sup>30</sup> as an amendment to the Evaluation Policy for the GCF.

38. **Staffing.** In the Board approved 2021 IEU work plan and budget, the Board authorized five new staff positions: three additional staff positions and two consultant-converted positions by the end of 2021. Additionally, the IEU needs to fill four existing positions that became vacant in late 2020. Furthermore, following the resignation of the IEU Head in November 2020 and

<sup>26</sup> <https://www.linkedin.com/company/ieu-gcf/posts/?feedView=all&viewAsMember=true>

<sup>27</sup> <https://www.youtube.com/channel/UC00Tb189SV7n3n4CzbwmXRg>

<sup>28</sup> <https://anchor.fm/theevaluator>

<sup>29</sup> <https://ieu.greenclimate.fund/sites/default/files/page/evaluation-policy-final.pdf>

<sup>30</sup> <https://ieu.greenclimate.fund/sites/default/files/document/updated-tor-ieu.pdf>

subsequent delays in appointing a Head a.i. in her place, hiring processes for three staff that had commenced in mid-2020 were delayed and only finalized in February 2021.

39. In accordance with the updated TOR for the IEU<sup>31</sup> and the updated TOR for the Head of the IEU,<sup>32</sup> the IEU adheres to the GCF Secretariat’s administrative processes, including the Office of Human Resources’ (OHR) oversight of IEU-related recruitment. This close collaboration is particularly important in resolving the kinds of staffing challenges the IEU currently faces. Unfortunately, the OHR has informed the IEU that, for several reasons, it is also presently understaffed and trying to manage a challenging workload. These reasons include (i) declining human resource capacities within the OHR, (ii) an increase in the Secretariat’s staffing needs to deliver the mandates of the updated strategic plan, and (iii) the recruitment needs to cope with the retention challenges posed by COVID-19 that the entire GCF currently faces. The situation made it additionally challenging for the OHR to complete the recruitments planned for the IEU in 2021.

40. Until the finalization of this activity report, in August 2021, the IEU had 11 of its 22 planned staff members. Based on this, the IEU implemented mitigation actions before B.29 to best navigate its personnel shortage while finding measures that ensure the IEU works optimally towards fulfilling most of its 2021 work plan. While the full impact of the IEU’s staff shortage will fluctuate in response to the OHR’s recruitment success, the IEU anticipates that the following work items may be affected in varying degrees.

**Table 2: IEU Activities**

Activities	Main outputs for the relevant period	Anticipated delays
<b>I. BUILD THE IEU</b>		
1. IEU staffing	IEU recruitment completed	Delayed
2. IEU activity reports	Engagement & final report	
3. Evaluation standards and guidelines	Guidelines and standards for approval	Delayed
<b>II. UNDERTAKE AND DELIVER HIGH-QUALITY EVALUATIONS TO THE GCF BOARD</b>		
4. Relevance and Effectiveness of GCF investment in LDC	Engagement & final report	Partially delayed
5. Evaluation of Private Sector	Engagement & final report	On track
6. Evaluation of GCF’s Request for Proposal (RFP) approach	Engagement & final report	On track
7. LORTA	Report from baseline data	Partially delayed
8. Second Performance Review of the GCF	Inception engagement	Partially delayed
<b>III. EVALUATION-BASED ADVISORY SERVICES, LEARNING &amp; CAPACITY STRENGTHENING</b>		
9. LORTA related advisory services	Tracking systems built	Delayed
10. Capacity building advisory services	Behavioural Science	Delayed

<sup>31</sup> Decision B.BM-2021/15

<sup>32</sup> Decision B.24/15

Activities	Main outputs for the relevant period	Anticipated delays
11. Database development	GIS data and IEU DataLab	Delayed
<b>IV. COMMUNICATIONS, BUILDING STRATEGIC PARTNERSHIPS AND ENGAGEMENT</b>		
12. Evaluation findings uptake	Engagement & joint work	Delayed
13. IEU partnerships	Engagement & joint work	Delayed
14. IEU communications	Strategy for each evaluation prepared	Partially delayed
15. Evidence review papers	Gendered impact/behavioural intervention	Delayed

41. **Training on team building:** Following advice from the Office of Human Resources, the IEU recently participated in training and a workshop that examined the feedback provided in the GCF's 2020 staff engagement survey. The workshop addressed questions of team culture, purpose, value, and internal coordination of the team with the aim of preparing a shared workplan through participatory activities. The subsequently submitted draft team workplan on culture, purpose, value, and coordination was reviewed and commented on by an external specialist and will be operationalized by the IEU team for the remainder of 2021.

42. **Training on being a respectful supervisor:** Guided by the discussions held during and the result of the above-mentioned team-building workshop, some IEU team members enrolled in the following two online courses: "Respectful Supervisor: Motivating and Retaining Employees" and "Respectful Supervisor: Integrity and Inclusion".

43. **Training on applying behavioural insights to project designs:** Recognizing the vital role that behavioural insights play in ensuring effective climate action, the IEU in September will participate in a training organized by the IEU's Bad Lab in partnership with the Busara Center for Behavioral Economics. The training will take place within the broader framework of the LORTA Virtual Design Workshop, and will consist of three 2-hour sessions, supplementing the workshop's behavioural evaluation session. These sessions will be open to IEU team members. The training builds upon last year's training and will enhance the IEU's evaluation capacity by exploring the applications of behavioural interventions within project designs.

44. **Other internal GCF trainings:** Compulsory GCF virtual trainings were held for new staff as part of the onboarding process. The training topics included "Privacy and Data Protection", "H-103G: Preventing Workplace Harassment for Employees", "Respectful Workplace: It Starts With You, and The Respectful Communicator: The Part You Play".

45. **2022 Workplan and Budget workshop:** Due to COVID-19 restrictions, the IEU was not able to attend an off-site retreat this year to discuss its 2022 workplan. Nevertheless, during a series of dedicated team meeting, the IEU had the opportunity to exchange ideas, share thoughts and co-develop the proposed workplan for next year.

46. **Internal training on how to conduct interviews (qualitative and quantitative methods):** To improve and build internal capacity, the IEU plans to undertake internal training on how to conduct interviews. Procurement efforts for these trainings have started.

47. **Guidelines for the effective functioning of the IEU:** The IEU developed and shared a draft of the guideline for the effective functioning of the IEU with the Co-chairs. The latest version of the draft guidelines for the effective functioning of the IEU were annexed to the B.29 Activity report of the IEU.

48. **Internship programme:** The IEU's recruitment of interns aims to ensure both training and learning. In addition to a final report at the end of the internship, IEU interns are

responsible for drafting and distributing a weekly internal report that provides an update and overview of tasks assigned in the previous week. They are required to attend team meetings and encouraged to participate in weekly evaluation meetings, depending on their responsibilities and interests. A new initiative is the once-a-month “Interns’ Day,” when interns have the opportunity to put aside their day-to-day tasks and learn about other IEU work, the GCF as a whole, or climate change activities in Incheon and/or Korea. All activities must comply with the current COVID-19 regulations. Following “Interns’ Day”, participants submit a short report or a blog to share their learning with their IEU colleagues.

#### **IV. Budget and expenditure report**

49. Table 3 shows the IEU’s 2021 budget and expenditure report as of 31 July 2021 in USD.

**Table 3: IEU Budget and Expenditure report for 2021 in United States dollars (USD) as of 31 July 2021**

Items	2021 Budget (1)	Actual spent (2)	Committed amounts as of July 2021. (3)	Sub-total (4)= [2+3]	% [4] as a percent age of [1]	Remaining Budget [1-4]
<b>Staff Costs</b>						
Full-time Staff	3 015 569	1 026 770		1 026 770	34%	1 988 799
Consultants	582 200	232 001	368 068	600,069	103%	-17 869
Sub-total	<b>3 597 769</b>	<b>1 258 772</b>	<b>368 068</b>	<b>1 626 840</b>	<b>45%</b>	<b>1 970 929</b>
<b>Travel</b>	218 915	20 060	-	20 060	9%	198 855
<b>Professional services</b>						
Legal and professional services	1 678 000	247 545	876 239	1 123 784	67%	554 216
Operating Costs	47 000	6 205	-	6 205	13%	40 795
Sub-total	<b>1 725 000</b>	<b>253 750</b>	<b>876 239</b>	<b>1 129 988</b>	<b>66%</b>	<b>595 012</b>
<b>Grand Total</b>	<b>5 541 684</b>	<b>1 532 581</b>	<b>1 244 306</b>	<b>2 776 888</b>	<b>50%</b>	<b>2 764 796</b>

## Annex I: Learning-Oriented Real-Time Impact Assessment (LORTA)

### Portfolio Update

#### Background

1. In 2018, the Independent Evaluation Unit (IEU) started the multi-year Learning-Oriented Real-Time Impact Assessment (LORTA) programme that aims to provide capacity building and advisory services for the AEs, especially DAEs, in the area of impact evaluation and real-time measurement for impact evaluation of the GCF-funded activities. Through rigorous empirical evidence in climate adaptation and mitigation activities, this programme enhances learning in the funded organizations and across different stakeholders. LORTA is now in its 4<sup>th</sup> year, and the following five key lessons have emerged:

- (a) The co-development of impact evaluation designs with project teams is essential to ensure country ownership.
- (b) Capacity-building enhances understanding of impact evaluations and supports the institutional memory of partner organizations.
- (c) Early clarity on the required budget for the impact evaluation is crucial to manage expectations and foresee possible implementation constraints.
- (d) Planning and communication can be enhanced through the early onboarding of monitoring and evaluation personnel to manage the impact evaluation through project implementation.
- (e) Adaptive management is increased via timely and close communication on project implementation progress to allow for real-time adjustment.

2. To date, LORTA has produced 4 baseline reports that utilize household data from Rwanda, Madagascar, Malawi and Zambia. These data sets are a rich source of information for stakeholders and policymakers to learn about project beneficiaries and the accuracy of GCF targeting (as LORTA samples aim to be representative of all project beneficiaries).

3. For example, in Rwanda less than 2% of beneficiaries use an alternative source of energy other than biomass and less than 1% irrigate their farmland. In Madagascar, one quarter of respondents were not aware of the impact of climate change nor of the positive contribution of nature in reducing people's climate-related vulnerability. In Malawi, we learned that farmers mainly receive climate information via the radio and are unlikely to rely on official short-term and seasonal weather forecasts to make their decisions. Instead, they mainly rely on local knowledge-sharing and "word of mouth". In Zambia, we learned that about 18% of the households reported income losses due to COVID-19. Overall, the baseline data sets highlight how beneficiary households are, on average, poor and vulnerable and may benefit considerably from the GCF project.

#### LORTA phases

4. The LORTA portfolio currently contains 18 projects. All these projects have participated in a LORTA (virtual) design workshop. Of these projects, seven are in Phase I, which consists of early formative work with project teams and stakeholders to develop the optimal impact evaluation design for a project or a component. A further 10 countries are in Phase II, where LORTA supports project teams to integrate the design into project implementation, create data systems, generate data, and ensure real-time measurement for the impact evaluation. Phase III of LORTA is data analysis and impact evaluation estimates. One project, FP002, the Malawi M-Climes PICSA project, has completed this phase.

## Conclusions

5. The technical assistance and capacity building efforts through LORTA are demand-driven and are oriented to accommodate the needs and learning interests of project teams. The lessons LORTA has learned are that co-development, country ownership and capacity building are key to a successful impact evaluation. Early clarity on budget expectations for the impact evaluation helps to forestall possible constraints. As a result of LORTA's capacity-building activities and support, project teams will be able to develop and tailor their project theory of change for GCF-approved projects and go about assessing the causality of impacts in a credible way. Finally, flexibility through adaptive management and real-time adjustments based on robust evidence make it possible to bring benefits to GCF project beneficiaries, stakeholders and the broader climate change field.

**Table 4: Status of the 18 projects in the LORTA portfolio**

Project Name	Country	AE	Theme/Sector	Evaluation questions	Design
<b>Phase I</b>					
Resilient Rural Belize (Be-Resilient)	Belize	International Fund for Agricultural Development	Adaptation / Public	Does household resilience increase as a result of backyard gardens and matching grants?	Propensity score matching; Phase-in randomized control trial
Ecuador REDD+ RBP for results period 2014	Ecuador	United Nations Development Programme	Mitigation / Public	What is the impact of farmer field schools on resilience and emission reductions?	Phase-in randomized control trial
Transforming the Indus Basin with Climate Resilient Agriculture and Water Management	Pakistan	Food and Agriculture Organization	Adaptation / Public	What is the gendered impact of farmer field schools on the outcomes of interest such as increased yields?	Phase-in randomized controlled trials or random encouragement design
Multi-Hazard Impact-Based Forecasting and Early Warning System for the Philippines	the Philippines	Land Bank of the Philippines	Adaptation / Public	What type of early warning message is the most effective in inducing early response actions and enhancing preparedness?	Randomized controlled trials
Productive investment initiative for adaptation to climate change	Central America (seven countries)	Central American Bank for Economic Integration	Adaptation / Private	Are micro-, small- and medium-sized enterprises less vulnerable or better adapted to climate change owing to the adaptation of climate-smart agriculture?	Difference-in-differences with propensity score matching; random encouragement design

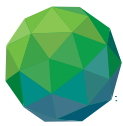


Project Name	Country	AE	Theme/Sector	Evaluation questions	Design
Green Mini-Grid Programme	Democratic Republic of Congo	African Development Bank	Mitigation / Private	TBC	TBC
Carbon Sequestration through Climate Investment in Forests and Rangelands in Kyrgyz Republic	Kyrgyzstan	Food and Agriculture Organization	Cross-cutting / Public	TBC	TBC
<b>Phase II</b>					
Enhancing adaptive capacities of coastal communities, especially women, to cope with climate change induced salinity	Bangladesh	United Nations Development Programme	Adaptation / Public	Do the adaptive livelihoods promoted by the programme provide sustainable means of earnings?	Clustered phase-in randomized controlled trials
Scaling-up Multi-Hazard Early Warning System and the Use of Climate Information in Georgia	Georgia	United Nations Development Programme	Adaptation / Public	What is the impact of community-based early warning systems and community-based climate risk management on households' resilience against natural hazards?	Clustered randomized controlled trials; difference-in-differences with propensity score matching
Building livelihood resilience to climate change in the upper basins of Guatemala's highlands	Guatemala	International Union for Conservation of Nature	Adaptation / Public	Do farmers become more resilient and/or less vulnerable to extreme weather events?	Difference-in-differences with propensity score matching
Sustainable Landscapes in Eastern Madagascar	Madagascar	Conservation International	Cross-cutting / Private	Does the adoption of new practices lead to an increase in agricultural production and food security?	Phase-in randomized controlled trials; difference-in-differences with propensity score matching
Strengthening climate	Rwanda	Ministry of Environment	Cross-cutting / Public	Does the project contribute to	Difference-in-differences





<b>Project Name</b>	<b>Country</b>	<b>AE</b>	<b>Theme/Sector</b>	<b>Evaluation questions</b>	<b>Design</b>
resilience of rural communities in northern Rwanda				incremental and transformational climate change adaptation and to the mitigation of greenhouse gas emissions?	with propensity score matching
DBSA Climate Finance Facility	Southern Africa (four countries)	Development Bank of Southern Africa	Cross-cutting / Private	Do investments by the private sector, which are funded by the Climate Finance Facility, lead to reduced usage of on-grid electricity?	Event study
Poverty, Reforestation, Energy and Climate Change Project (PROEZA)	Paraguay	Food and Agriculture Organization	Cross-cutting / Public	Does the training and environmental conditional cash transfer lead to an increase in forest coverage on non-indigenous and indigenous land?	Clustered randomized controlled trials
Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda	Uganda	United Nations Development Programme	Adaptation / Public	Is the resilience of community members increased due to wetland restoration and alternative agricultural and non-agricultural livelihood options?	Difference in-differences with propensity score matching
Climate Information Services for Resilient Development Planning in Vanuatu (Van-CIS-RDP)	Vanuatu	South Pacific Regional Environment Programme	Adaptation / Public	Implementation tracking to inform an impact evaluation	Implementation tracking to inform an impact evaluation
Strengthening climate resilience of agricultural livelihoods in Agro-Ecological Regions I and II in Zambia	Zambia	United Nations Development Programme	Adaptation / Public	Does the promotion of diversified and alternative livelihoods increase the resilience of smallholder	Instrumental variable regression



Project Name	Country	AE	Theme/Sector	Evaluation questions	Design
				farmers in agro-ecological regions I and II?	
<b>Phase III</b>					
Scaling up the use of modernized climate information and early warning systems in Malawi	Malawi	United Nations Development Programme	Adaptation / Public	Are farmers better aware of climate risks and adapting their plans based on changes in seasonal and short-term forecasts?	Propensity score matching

## Annex II: Progress report on the Second Performance Review<sup>1</sup>

### Introduction

1. In decision B.27/08, the GCF Board approved the work plan and budget of the Independent Evaluation Unit for 2021. In the same decision, the Board further requested the IEU in consultation with the Budget Committee: “to prepare a multi-year budget and schedule for the second performance review of the GCF for consideration by the Board at its twenty-eighth meeting.”
2. In decision B.BM-2021/11, the Board agreed to the scope of the second performance review (SPR) and approved a budget of USD 1,315,000 for it, as contained in document GCF/BM-2021/12.
3. Document GCF/B.28/07 notes that “At every Board meeting, IEU activities reports will include an update on the progress made on the second performance review.”
4. This progress report provides an account of the progress made on the SPR during the period November 2020–July 2021.

**Table 5: Budget for the Second Performance Review (2021–2023), USD<sup>2</sup>**

Category		2021–2023
(1)	Full-time Staff and Consultants	[Included in the IEU’s core budget]
(2)	Travel	325 000
(3)	Professional Services	960 000
(4)	Other Operating Costs	30 000
<b>(5)</b>	<b>Grand Total Cost (2) +(3) +(4)</b>	<b>1 315 000</b>

<sup>1</sup> Annex II contains two appendices – (i) Decision B.27/08 (Decision of the Board on the 2021 Workplan and Budget of the Independent Evaluation Unit) and (ii) Decision B.BM-2021/11 (Decision of the Board on the Second Performance Review of the Fund by the Independent Evaluation Unit). These appendices are available on pages 22 and 23, respectively.

<sup>2</sup> Decision B.BM-2021/11



## Progress report: activities and expenditure

### Consultations

5. Between November and December 2020, the IEU consulted with colleagues from the GCF Secretariat, particularly colleagues from the Office of the Executive Director and the Division of External Affairs. These consultations assisted the IEU in drafting and proposing a schedule for the SPR. This schedule also takes into account planning for GCF-2, as well as the second replenishment of the GCF.
6. Between December 2020 and February 2021, the IEU consulted with the Budget Committee to prepare a budget and schedule for the SPR. After a series of consultations, including written comments and feedback, the Budget Committee endorsed the SPR budget. This allowed the IEU to prepare, in time for B.28, the document GCF/B.28/07: Schedule and budget for the second performance review of the Green Climate Fund.
7. Throughout the reporting period, the IEU held bilateral consultations with members of the Board to discuss, among other things, any emerging concerns or comments related to the budget, schedule, and scope of the SPR.
8. The IEU organized two internal workshops to plan for the SPR. These workshops were undertaken in anticipation of the Board's consideration of the SPR. They provided the IEU with an opportunity to collectively discuss the schedule, deliverables, expectations, and planning in order to deliver a timely and high-quality SPR.

### Document review

9. The IEU undertook a brief review of relevant GCF documents, including the Updated Strategic Plan, Workplan of the Board for 2020–2023, and the Policies for Contributions. The IEU further consulted its 2019 forward-looking performance review of the GCF and other ongoing and completed evaluations. These documents informed the preparation of the documents for consideration by the Board.
10. The IEU also examined other performance reviews undertaken by comparable organisations with a similar scope and mandate, looking at the scope and budget for these reviews. This review also informed the IEU's discussions with the Budget Committee regarding the SPR.

### Drafting of Board documents

11. As stated above, the IEU prepared the following documents for the Board's consideration:
  - (a) GCF/B.28/07: Schedule and budget of the second performance review of the Green Climate Fund.
  - (b) GCF/BM-2021/12: Launching the Second Performance Review of the Green Climate Fund.
  - (c) Following the approval of the budget and scope of the SPR by the Board, the IEU prepared a document to launch procurement of external experts to support the SPR.

## Procurement schedule

12. Together with the CFO and the Division for Support Services Procurement team, the IEU has outlined and agreed on a procurement timeline. On 6 July 2021, the Division for Support Services Procurement team provided a revised timeline, adjusting some scheduled deliverables.

13. The Division for Support Services Procurement team and the IEU are committed to awarding the contract to a bidder by September 2021, to allow sufficient time for the commencement of the evaluation and delivery of two reports at the first Board meeting to take place in 2022. The initial deliverables of the SPR, two reports for B.31, are based on the assumption that the award of the contract takes place by September 2021. Any changes may result in changes to the SPR schedule (Figure 1).

## Expenditure

14. During the reporting period December to July 2021, no expenditure has been recorded.

**Table 6: Expenditure of Budget for the Second Performance Review as of July 2021 (USD)**

Category	Approved Amount	Disbursed Amount*	Committed Amount**	Total committed/disbursed
(1) <b>Full-time Staff and Consultants</b>	[Included in the IEU's core budget]	N/A	N/A	N/A
(2) <b>Travel</b>	325,000	0	0	0
(3) <b>Professional Services</b>	960,000	0	0	0
(4) <b>Other Operating Costs</b>	30,000	0	0	0
<b>(5) Grand Total (2)+(3)+(4)</b>	<b>1,315,000</b>	<b>0</b>	<b>0</b>	<b>0</b>

\* "Disbursed Amount" shows paid amounts to contractors/consultants/vendors.

\*\* "Committed Amount" includes accrued and unpaid amounts to contractors/consultants/vendors.

## Appendix I: Decision of the Board on 2021 Workplan and Budget of the Independent Evaluation Unit

### Decision B.27/08:

The Board, having considered document GCF/B.27/11 titled “Independent Evaluation Unit 2021 Work Plan and Budget and Update of its Three-year Objectives and Work Plan”:

- (a) Approves the work plan and budget of the Independent Evaluation Unit for 2021 for an amount of USD 5,912,573 as contained in annex VII to this document;
- (b) Agrees to further consider the matters, including written comments in accordance with paragraph 23 of Rules of Procedure of the Board, raised by Board members in the consideration of this matter;
- (c) Urges the Independent Evaluation Unit, in accordance with decision B.24/15, to present the Evaluation Policy and the detailed procedures and guidelines for the effective operation of the Independent Evaluation Unit, for consideration and approval by the Board at its twenty-eighth meeting;
- (d) Requests the Budget Committee to review the budget execution during 2021 and acknowledges that the Independent Evaluation Unit may present to the Board for consideration at its twenty-ninth meeting an additional budgetary request to execute its Workplan for 2021; and
- (e) Further requests the Independent Evaluation Unit, in consultation with the Budget Committee, to prepare a multi-year budget and schedule for the second performance review of the GCF for consideration by the Board at its twenty-eighth meeting.

## Appendix II: Decision of the Board on the Second Performance Review of the Fund by the Independent Evaluation Unit

### Decision B.BM-2021/11:

The Board, having considered document GCF/BM-2021/12 titled “Launching the Second Performance Review of the Green Climate Fund”:

- (a) Recalls paragraph 59 of the Governing Instrument for the GCF, which states that “there will be periodic independent evaluations of the performance of the Fund in order to provide an objective assessment of the results of the Fund, including its funded activities and its effectiveness and efficiency”;
- (b) Also recalls decision B.24/04 of the Board, endorsing the Board’s four-year workplan and policy cycle, noting the need to utilize the Fund’s periodic performance review as the starting point for a holistic overall policy review process in the third year of the replenishment (2023);
- (c) Further recalls decision B.27/06, paragraph (p), and the role of the reports from the Independent Evaluation Unit for the update of the Strategic Plan in the next replenishment;
- (d) Decides to initiate the second performance review of the performance of GCF for the GCF-1 programming period, in a manner appropriate to the current stage of GCF operations, while recognizing that GCF will be a continuously learning institution guided by processes of monitoring and evaluation;
- (e) Agrees that the scope of the second performance review will be to assess:
  - (i) Progress made by GCF in delivering on its mandate as set out in the Governing Instrument as well as in terms of its strategic and operational priorities and actions as outlined in the Updated Strategic Plan for 2020–2023, in particular, the extent to which GCF has: responded to the needs of developing countries and the level of country ownership; the ability of GCF to catalyse public and private climate finance, including the use of financial instruments; and supported the building of institutional capacity in developing countries and accredited entities;
  - (ii) Performance of GCF in promoting the paradigm shift towards low-emission and climate-resilient development pathways, including the effectiveness of the funded activities and its effectiveness and efficiency;
- (f) Takes note of the schedule of the second performance review as contained in document GCF/BM-2021/12; and
- (g) Approves a budget of USD 1,315,000 for the second performance review as contained in document GCF/BM-2021/12.



## **Annex III: Management action report on the independent evaluation of the GCF's readiness and preparatory support programme**

1. As stipulated in the GCF's Evaluation Policy<sup>1</sup>, the Board "receives management action reports prepared by the IEU." Management action reports tracks the progress made in the adoption of recommendations contained in IEU evaluations.

2. In preparing this Management Action Report (MAR), the IEU considered both the GCF Secretariat's management response to the report of the independent evaluation of the RPSP (GCF/B.22/03/Add.01) and the Secretariat's proposal titled "Readiness and Preparatory Support Programme: Strategy for 2019-2021 and Work Programme 2019" (GCF/B.22/08). In developing the RPSP strategy in 2019, the Secretariat has considered, amongst others, the findings and recommendations of the independent evaluation of the RPSP undertaken by the IEU.

3. For each recommendation made by the IEU evaluation, this MAR provides a rating and commentary prepared by the IEU. The draft rating scale and commentary were shared and discussed with the GCF Secretariat. The comments provided by the Secretariat were taken into account in the preparation of the MAR. The rating scale for the progress made on the adoption of recommendations is as follows:

- (a) High: Recommendation is fully adopted and fully incorporated into policy, strategy or operations;
- (b) Substantial: Recommendation largely adopted but not fully incorporated into policy, strategy or operations as yet;
- (c) Medium: Recommendation is adopted in some operational and policy work, but not significantly in key areas;
- (d) Low: No evidence or plan for adoption, or plan and actions for adoption are in a very preliminary stage;
- (e) Not rated: ratings or verification will have to wait until more data is available or proposals have been further developed.

**Table 7: Evaluation recommendations for Secretariat**

No	IEU recommendations (decision B.22/10)	Management response provided to the Board (decision B.22/10)	Related section or objectives/outcome from Readiness 2.0 strategy (GCF/B.22/08)	IEU Rating	IEU Comments
<b>1A. Capacity building, outreach and support to countries</b>					
1	Outreach to countries should be improved, by translating the Readiness Guidebook and associated templates at least into French and Spanish, regularly updating it (in all	We noticed the comment on language, and will improve it in the future. In addition, we also plan to translate the next version and other key documents into other languages. We need to quickly get the Guidebook translated into all UN languages. This is not a big expense, and it will have	The strategy document in section 4.4.1 addresses this recommendation  Revised Readiness Programme new access and delivery modality to be reflected in readiness programme policies and guidance issued for the	High	The readiness guidebook has been translated into French, Spanish and Arabic.

<sup>1</sup> Decision B.BM-2021/07



No	IEU recommendations (decision B.22/10)	Management response provided to the Board (decision B.22/10)	Related section or objectives/outcome from Readiness 2.0 strategy (GCF/B.22/08)	IEU Rating	IEU Comments
	languages) and enabling opportunities for timely and continuous learning about changes to the Programme. Any such changes should be communicated to all stakeholders concerned	big impact on improving our user-friendliness.	Readiness Programme. Standard operating procedures will be developed and disseminated to help countries and delivery partners understand the operational processes within the Secretariat.		
2	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>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 &amp; programmes for the GCF, fostering peer-to-peer learning among countries, and more recently also to promote complementarity &amp; coherence with other climate funds.</p>	<p>The strategy document in section 7.5 addresses this recommendation</p> <p>Structured Dialogues, sector specific and other issue-focused technical clinics, south-south exchanges, web-based knowledge sharing, and development good practice guidance to be provided to strengthen awareness of key actors, and learn based on purposeful monitoring and evaluation systems. Targeted support to NDA mapping and engagement of relevant private sector actors, identification of and pre- and post-accreditation support for private sector DAEs, and strategic frameworks aimed at addressing the legal, regulatory, policy, operational and investment barriers to scaled-up private investment in climate actions. Support for compliance with GCF policies and implementation of measures to ensure gender, ESS and indigenous peoples considerations are addressed will figure prominently in all five objectives.</p>	Medium	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 COVID-19 pandemic in 2020.



<b>No</b>	<b>IEU recommendations (decision B.22/10)</b>	<b>Management response provided to the Board (decision B.22/10)</b>	<b>Related section or objectives/outcome from Readiness 2.0 strategy (GCF/B.22/08)</b>	<b>IEU Rating</b>	<b>IEU Comments</b>
3	<p>Post accreditation support and capacity strengthening: Provision should be made for strengthening the capacities of NDA/FPs 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 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 DAEs request for pipeline development, in 2018, DCP has put in place a roster of 3 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>	<p>The strategy document in section 3.4 addresses this recommendation</p> <p>Enhanced work under this outcome for Readiness Phase 2 will ensure countries with least capacity, including LDCs, have a foundational level of capacity to engage with the GCF.</p> <p>Continuous support to the accredited Direct Access Entities to enhance their capacity in developing concept notes with strong climate rationale through structured trainings and deploying project development consultants, including support through the Fund's expertise on gender ESS and IP. In addition, the option to hire dedicated expert consultants via the Readiness resources in the context of a multiple-year grant would allow for longer support to build institutional capacity. Dedicated support to the accredited Direct Access Entities to enhance their capacity in developing and implementing funding proposals with a strong climate rationale and paradigm shift potential.</p>	Medium	<p>Support extended to NDAs and DAEs in crafting country programmes (CPs and EWPs). The Secretariat has created a roster of experts to support DAEs in developing RPSP proposal and strengthening CNs for improvement of their pipelines.</p>



No	IEU recommendations (decision B.22/10)	Management response provided to the Board (decision B.22/10)	Related section or objectives/outcome from Readiness 2.0 strategy (GCF/B.22/08)	IEU Rating	IEU Comments
4	Capacity building: Countries should be provided with financial support plus advisory services (i.e. capacity building and technical assistance) for meeting their needs and priorities; More long-term national consultants should be funded to provide support to weak NDA/FPs 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 indigenous peoples policies of the GCF. With respect to gender, a concerted effort should be made in Africa.	We partially agree with the findings. The awareness of DAE support as part of the readiness 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 A11 well as pipeline development. 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 DAEs request for pipeline development, in 2018, DCP has put in place a roster of 3 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.	The strategy document in section 4.2.5 addresses this recommendation.  Revised RPSP will include targeted sector specific trainings and knowledge sharing clinics to overcome challenges of limited project pipelines and understanding of key elements of climate rationale. Learning from trainings and capacity development initiatives in both adaptation and mitigation focus areas will be organized to address capacity development needs observed and reported in the IEU's report on ESS and gender. Sector specific clinics will continue using south-south sharing modalities to provide practical hands-on coaching and peer support to NDAs, AEs and DAEs.	Medium	Ongoing, several countries in the SIDS and the LDCs have utilized readiness grants to bring on board long term consultants who are embedded either in the NDA offices, or in some cases, national DAE offices, to provide long term support.
<b>1B. Country programmes and in-country support</b>					
5	Country programmes: Clear guidelines for country programmes should be provided, with a focus on developing clear priorities and concrete concept notes, taking into account fully the policies of the GCF regarding gender, ESS and indigenous people, and strengthening climate rationales, while articulating the overall outcomes of country programmes and their value-added	It's widely recognized by countries that country programme is a tool for driving their future pipelines with the GCF and engaging stakeholders to build support for their programming plans. So the goal of country programmes is clear. However, the modality of providing them grants with some basic guidelines from the Secretariat has yielded country programmes that are neither analytically robust nor are they being produced in a timely manner. To address these issues, the Secretariat is strengthening its support to countries through direct engagement as well as through additional expert support from	The strategy document in section 3.4 addresses this recommendation  Initial country programmes to guide GCF investments and programming of GCF readiness and preparatory resources developed.	Substantial	The Secretariat has prepared the Country programme guidance and translated it into two UN languages (French and Spanish), further webinars have been offered across all regions in providing



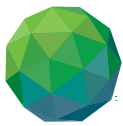
No	IEU recommendations (decision B.22/10)	Management response provided to the Board (decision B.22/10)	Related section or objectives/outcome from Readiness 2.0 strategy (GCF/B.22/08)	IEU Rating	IEU Comments
	<p>and managing expectations. This is especially timely since the GCF is spending a lot of energy and resources on these and it will be useful to course-correct since the evaluation remains unclear about the additional value of these programmes</p>	<p>a roster of firms under procurement.</p>			<p>additional guidance/s support. On top of that, the USP put the emphasis on streamlining programming process by re-focusing country programming. Country programmes will inform programming at scale by identifying opportunities for multi-staged or regional programmatic approaches.</p>
6	<p>DAEs and country ownership: Criteria should be developed to determine if some countries need several DAEs to pursue their objectives. If so, pre-accreditation support should be made available to all potential candidates recommended by NDA/FPs</p>	<p>DCP has put in place a roster of 3 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>	<p>The strategy document in section 4.4.1 addresses this recommendation</p> <p>To further guide and support the implementation of Readiness grants by NDAs and delivery partners, standardized policies on issues such as no-cost extension, timing of reporting, cancellation, restructuring, change of delivery partner during implementation, refunding GCF after completion, among others, will be developed and implemented during the new phase.</p>	Low	<p>The DAE action plan was presented to the Board under RPSP – Annual update report for 2020 (GCF/B.29/Inf.07/Add.04). Also, the OPM is developing procedural guidance and templates on handling readiness grant implementation challenges,</p>



No	IEU recommendations (decision B.22/10)	Management response provided to the Board (decision B.22/10)	Related section or objectives/outcome from Readiness 2.0 strategy (GCF/B.22/08)	IEU Rating	IEU Comments
					which is planned to be published with the new version of the readiness guidebook.
7	<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.</p> <p>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>	<p>The strategy document in section 3.4 addresses this recommendation</p> <p>Country NDAs or focal points and the network/systems that enable them to fulfil their roles, responsibilities and policy requirements are operational and effective. Direct access applicants and accredited entities (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.</p>	Medium	<p>There is a Sustainability Guidance Note: Designing and ensuring meaningful stakeholder engagement on GCF-financed project, which provides requirements for stakeholder engagement. Several evaluations have recommended Stakeholder engagement policy, however, there is no stakeholder policy in place.</p>
<b>1C. Secretariat level process changes</b>					



No	IEU recommendations (decision B.22/10)	Management response provided to the Board (decision B.22/10)	Related section or objectives/outcome from Readiness 2.0 strategy (GCF/B.22/08)	IEU Rating	IEU Comments
8	<p>Post-approval flexibility: Greater flexibility should be allowed for project-level adjustments after approval, in response to changing conditions and circumstances on the ground</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.</p>	<p>The strategy document in section 4.4.1 addresses this recommendation</p> <p>To further guide and support the implementation of Readiness grants by NDAs and deliver partners, standardized policies on issues such as no-cost extension, timing of reporting, cancellation, restructuring, change of delivery partner during implementation, refunding GCF after completion, among others, will be developed and implemented during the new phase. Templates for communicating these changes will allow for lower paperwork demands to ensure NDAs and delivery partners can focus on implementation rather than administrative tasks.</p>	Substantial	<p>The use of readiness grants is upon the country, and the NDA has the flexibility in the scope of activities supported by the readiness programme .</p> <p>Furthermore, the OPM has developed implementation guidance for NDAs and DPs to address COVID-19 related common implementation issues and allowed a general extension for grants.</p>
9	<p>Roles and responsibilities: The roles and responsibilities of RAs, Associate Professionals, Country Dialogue Specialists and other related staff and consultants should be articulated, developing synergies between them and making best use of expanded regional resources. In an effort to ensure a more efficient coordination and complementarity of different Secretariat</p>	<p>The role of the regional advisers (as GCF consultants) and other staff have rapidly evolved over the course of four years as the Secretariat added capacity. This has naturally resulted in shifting roles and responsibilities and a degree of disruption with such rapid changes. The Secretariat continues to consolidate its capacities and finetune roles and responsibilities. The Secretariat also remains very judicious in authorizing travel but have generally been responsive to requests from NDAs/FPs by deploying regional advisers in most cases.</p>	<p>The strategy document in section 4.6 addresses this recommendation</p> <p>The management of the Readiness Programme has become a Secretariat-wide initiative, involving DCP, OPM, DSS, DMA, PSD and consultants, including regional advisers and NAPs and PPF consultants. The division of labor was outlined among Secretariat teams in order to implement the improved Readiness Programme and its operational modalities.</p>	Substantial	<p>The Secretariat reviewed the job description and clarified country dialogue specialists' roles. Regional advisers now work under new "Readiness Technical Assistance" consultants' TORs to support proposal developme</p>

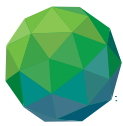


No	IEU recommendations (decision B.22/10)	Management response provided to the Board (decision B.22/10)	Related section or objectives/outcome from Readiness 2.0 strategy (GCF/B.22/08)	IEU Rating	IEU Comments
	divisions and units, the roles and responsibilities of each with respect to the RPSP (and its various component priorities) require greater definition				nt and revision.
10	SOPs for the Readiness Programme need to be more clearly articulated (and in some cases developed), both with respect to the readiness value chain within the Secretariat (i.e. how different entities work together) and in terms of the relationship between the Secretariat, NDA/FPs, AEs, DAEs, DPs and others (e.g. on expected turnaround times)	We welcome this comment, and will also consider this fully into the design of the revised work programme to be submitted to B.22.	<p>The strategy document in section 4.4 addresses this recommendation</p> <p>Standard operating procedures including cross-divisional and inter-divisional policies to guide the review of proposals, expedite feedback to NDAs and delivery partners, and clarify the entire process of Readiness request development, submission, approval and implementation. Such policies will also help the Secretariat to increase efficiency in managing the Readiness Programme. will be developed and disseminated to help countries and delivery partners understand the operational processes within the Secretariat.</p>	Substantial	The Secretariat has developed the readiness guidebook for practical guidance on how to prepare readiness proposals for the GCF and finalized the SOPs, which are under implementation. The SOPs will be included/published in the next version of the RPSP Guidebook.
11	Results-oriented planning and reporting for RPSP activities should be introduced and implemented, including also periodic evaluations	While we agree with this finding, it's 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>The strategy document in section 3.2 addresses this recommendation</p> <p>A summary of the envisioned theory of change for readiness was conceptualized.</p>	Low	The Secretariat is working on developing the RRMF, which is in the consultation phase with key stakeholders.
12	The RPSP should have a database that is open to countries	Not specifically responded.	Left out in the strategy document	Not rated	Fluxx database has been





No	IEU recommendations (decision B.22/10)	Management response provided to the Board (decision B.22/10)	Related section or objectives/outcome from Readiness 2.0 strategy (GCF/B.22/08)	IEU Rating	IEU Comments
	<p>who can then view the status of their applications and grants. The information should be provided in a transparent and an inter-operable 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</p>				<p>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.</p>
<p><b>2. Build a vision and specific targets for the RPSP and manage for results</b></p>					
13	<p>Define vision: What does it mean for a country to be 'ready' (i.e. to be ready to access GCF funding for a project, for accessing climate finance more broadly, for addressing climate change within countries)? This requires developing a clear vision and defining a niche for the RPSP; Define strategy and targets: When is a country 'ready'? This requires the development of readiness targets</p>	<p>The Secretariat has embarked on developing a theory of change for the Readiness Programme and will further develop a vision, strategy and targets when presenting a revised work programme and request for funding for the Board's consideration at its twenty-second meeting (B.22).</p>	<p>The strategy document in section 3.2 and section 4.1 addresses this recommendation</p> <p>A summary of the envisioned theory of change for readiness was conceptualized.</p>	High	<p>The Secretariat has developed the Readiness and Preparatory Support Programme : Strategy for 2019-2021 and Work Programme 2019. The Board adopted the strategy during the 22<sup>nd</sup> meeting of the Board (B.22).</p>
14	<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</p>	<p>While we agree with this finding, it's 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</p>	<p>The strategy document in section 3.2 and section 4.1 addresses this recommendation</p> <p>Indicators have been developed that provide a framework for the countries on how to approach readiness.</p>	Low	<p>The Secretariat is working on developing the RRMF, which is in the consultation phase with key</p>



<b>No</b>	<b>IEU recommendations (decision B.22/10)</b>	<b>Management response provided to the Board (decision B.22/10)</b>	<b>Related section or objectives/outcome from Readiness 2.0 strategy (GCF/B.22/08)</b>	<b>IEU Rating</b>	<b>IEU Comments</b>
	of such a strategy for the RPSP. Nonetheless, the evaluation has identified several choices that the Secretariat could consider.	capture the results achieved so far. DCP and OPM have agreed to look into the qualitative measurements of the RPSP in the future.			stakeholders.
15	Establish complementarity and coherence with unfunded elements of Investment Plans under the CIFs (and potential others), in particular through the PPF and NAP support windows, and report on this as well;	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.	The strategy document in section 3.4 addresses this recommendation  Entity work programmes developed and an increase in number of concept notes and funding proposal submitted by DAEs.	Medium	The Secretariat, since 2019, included in the readiness programme application template the request for information on coherence and complementarity.
16	Identify and remove barriers to crowding-in private sector investments, while defining and supporting the creation of conducive policies for private sector participation;	While the RPSP has been providing funding support to countries for the NDAs/FPs to engage with the private sector on financing climate actions, and all NAPs approved have an explicit set of activities to engage and catalyze adaptation investment with the private sector, the creating national policy environment and the global system were not explicit objectives of the RPSP. The RPSP, together with PSF could look into the strategy and measures in these aspects.	The strategy document in section 3.4 addresses this recommendation  Strategy in place for enabling private sector participation and investment in low emissions development.	Low	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 investment in low emissions development) is not clear.

No	IEU recommendations (decision B.22/10)	Management response provided to the Board (decision B.22/10)	Related section or objectives/outcome from Readiness 2.0 strategy (GCF/B.22/08)	IEU Rating	IEU Comments
17	Develop comprehensive strategies to catalyze 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.	The strategy document in section 3.4 addresses this recommendation  Strategic frameworks in place for GCF recipient countries to address policy gaps, improve sectoral expertise, and enhance enabling environments for GCF programming	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 catalyzing investment nor approach to technology under GCF's readiness support.
18	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/FPs to engage with the private sector on financing climate actions, and all NAPs approved have an explicit set of activities to engage and catalyze adaptation investment with the private sector, the creating national policy environment and the global system were not explicit objectives of the RPSP. The RPSP, together with PSF could look into the strategy and measures in these aspects.	The strategy document in section 3.4 addresses this recommendation  Strategy in place for enabling private sector participation and investment in low emissions development.	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 strategy to allow private sector participation and investment in low emissions development.



No	IEU recommendations (decision B.22/10)	Management response provided to the Board (decision B.22/10)	Related section or objectives/outcome from Readiness 2.0 strategy (GCF/B.22/08)	IEU Rating	IEU Comments
19	Engage with additional parts of governments (e.g. ministries of agriculture, forestry, and meteorology departments).	<p>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.</p> <p>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 inter-ministerial coordination mechanisms that are expected to ensure high-level political support as seen as appropriate for each country.</p>	<p>The strategy document in section 3.4 addresses this recommendation</p> <p>Building the capacities of country NDAs and focal points to fulfill their roles and responsibilities and achieve policy requirements and country stakeholders to participate in planning and programming and implementation of GCF funded activities.</p>	Medium	The readiness programme has been used in building 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.
<b>3. Discontinue business-as-usual and develop a specific strategy for RPSP v2.0</b>					
20	Discontinue business-as-usual and develop a specific strategy for RPSP v2.0. This set of recommendations examines two scenarios for the future development of the RPSP. These scenarios are understood to be general, guiding frameworks, which if agreed upon, would then require more targeted	The third group of recommendations proposes discontinuing business-as-usual and developing a specific strategy for a new phase for the Readiness Programme. The Secretariat has included the development of Readiness Programme Phase 2 in its Work Programme 2019. Specifically, on the approach to better cater to different countries based on their national contexts, needs and results, the Secretariat will evaluate measures by which such an approach can be implemented so that the Readiness Programme may	<p>The strategy document in section 3.2 addresses this recommendation</p> <p>A summary of the envisioned theory of change for readiness was conceptualized.</p>	High	The Secretariat has developed the Readiness and Preparatory Support Programme : Strategy for 2019-2021 and Work Programme 2019. The Board adopted



No	IEU recommendations (decision B.22/10)	Management response provided to the Board (decision B.22/10)	Related section or objectives/outcome from Readiness 2.0 strategy (GCF/B.22/08)	IEU Rating	IEU Comments
	thinking. They recognize that the pace of RPSP progress is contextually dependent, based on overall vulnerability; prior readiness support; institutional capacity	provide more fit-for-purpose solutions to countries. The Secretariat will evaluate measures by which an approach to better cater to different countries based on their national contexts, needs and results can be implemented so that the Readiness Programme may provide more fit-for-purpose solutions to countries. An initial analysis of options in this regard and potential resource implications will also be presented to the Board at B.22.			the strategy during 22nd meeting of the Board (B.22)
<p style="text-align: center;"><b>Total: 20 recommendations</b></p> <p><b>In terms of the <i>progress made with the adoption of the 20 recommendations</i> contained in the IEU's RPSP evaluation report:</b></p> <p><b>the rating 'high' is given to 3 of the 20 recommendations;</b>  <b>the rating 'substantial' is given to 4;</b>  <b>the rating 'medium' is given to 6;</b>  <b>the rating 'low' is given to 6.</b>  <b>And one of the 20 recommendations does not have any rating.</b></p>					

## Annex IV: IEU communications materials

1. For the period between 31 May 2021 and the time of writing this report in mid-August, the IEU produced more than 80 communications products, mostly using its in-house capacity, in support of its evaluation, learning, engagement, and capacity building activities. Each of these products is easily found in the Newsroom section of the IEU microsite.

**Table 8: IEU communications materials**

Product	Topic
Blog	Data Outlook: B.29, what would it mean for the GCF's portfolio?
Board Report	Rapid assessment of the Green Climate Fund's request for proposals modality: main report (digital)
Board Report	Report on the activities of the Independent Evaluation Unit (B.29)
Board Report	Independent Evaluation of the GCF's Approach to the Private Sector: main report (digital)
Board Report	2022 Workplan and Budget
Evaluation knowledge product	Chart: Forest cover and forest loss in countries with GCF REDD+ RBP projects
Evaluation knowledge product	Rapid assessment of the Green Climate Fund's request for proposals modality: GEvalBrief (English)
Evaluation knowledge product	Rapid assessment of the Green Climate Fund's request for proposals modality: GEvalNote (English)
Evaluation knowledge product	Independent evaluation of the adaptation portfolio and approach of the GCF: GEvalBrief (English)
Evaluation knowledge product	Independent evaluation of the adaptation portfolio and approach of the GCF: GEvalNote (English)
Evaluation knowledge product	Independent evaluation of the adaptation portfolio and approach of the GCF: GEvalBrief (Spanish)
Evaluation knowledge product	Independent evaluation of the adaptation portfolio and approach of the GCF: GEvalNote (Spanish)
Evaluation knowledge product	Independent evaluation of the adaptation portfolio and approach of the GCF: GEvalBrief (French)
Evaluation knowledge product	Independent evaluation of the adaptation portfolio and approach of the GCF: GEvalNote (French)
Evaluation knowledge product	Independent evaluation of the adaptation portfolio and approach of the GCF: GEvalBrief (Arabic)
Evaluation knowledge product	Independent evaluation of the adaptation portfolio and approach of the GCF: GEvalNote (Arabic)
Evaluation knowledge product	Independent Evaluation of the GCF's Approach to the Private Sector: Approach paper
Evaluation knowledge product	Independent Evaluation of the GCF's Approach to the Private Sector: LabReport #2
Evaluation knowledge product	Independent Evaluation of the GCF's Approach to the Private Sector: LabReport #3
Evaluation knowledge product	Independent Evaluation of the GCF's Approach to the Private Sector: LabReport #4
Evaluation knowledge product	Independent evaluation of the effectiveness of the GCF's investments in the least developed countries: Approach paper
Evaluation knowledge product	Independent evaluation of the effectiveness of the GCF's investments in the least developed countries IEU Brief (English)
Evaluation knowledge product	Independent evaluation of the effectiveness of the GCF's investments in the least developed countries: IEU Brief (Spanish)

Evaluation knowledge product	Independent evaluation of the effectiveness of the GCF's investments in the least developed countries: IEU Brief (French)
Evaluation knowledge product	Learning-Oriented Real-Time Impact Assessment: Portfolio brief
Evaluation knowledge product	The independent evaluation of the relevance and effectiveness of the Green Climate Fund's portfolio in the Small Island Developing States: GEvalBrief (French)
Evaluation knowledge product	The independent evaluation of the relevance and effectiveness of the Green Climate Fund's portfolio in the Small Island Developing States: GEvalNote (French)
Evaluation knowledge product	The independent evaluation of the relevance and effectiveness of the Green Climate Fund's portfolio in the Small Island Developing States: GEvalBrief (Arabic)
Evaluation knowledge product	The independent evaluation of the relevance and effectiveness of the Green Climate Fund's portfolio in the Small Island Developing States: GEvalNote (Arabic)
Evaluation knowledge product	Independent Assessment of the GCF's Simplified Approval Process Pilot Scheme: GEvalBrief (French)
Evaluation knowledge product	Independent Assessment of the GCF's Simplified Approval Process Pilot Scheme: GEvalNote (French)
Evaluation knowledge product	Independent Assessment of the GCF's Simplified Approval Process Pilot Scheme: GEvalBrief (Arabic)
Evaluation knowledge product	Independent Assessment of the GCF's Simplified Approval Process Pilot Scheme: GEvalNote (Arabic)
Evaluation knowledge product	Independent synthesis of the Green Climate Fund's accreditation function: GEvalBrief (French)
Evaluation knowledge product	Independent synthesis of the Green Climate Fund's accreditation function: GEvalNote (French)
Evaluation knowledge product	Independent synthesis of the Green Climate Fund's accreditation function: GEvalBrief (Arabic)
Evaluation knowledge product	Independent synthesis of the Green Climate Fund's accreditation function: GEvalNote (Arabic)
Evaluation knowledge product	Independent evaluation of the GCF's Environmental and Social Safeguards and the Environmental and Social Management System: GEvalBrief (French)
Evaluation knowledge product	Independent evaluation of the GCF's Environmental and Social Safeguards and the Environmental and Social Management System: GEvalNote (French)
Evaluation knowledge product	Independent evaluation of the GCF's Environmental and Social Safeguards and the Environmental and Social Management System: GEvalBrief (Arabic)
Evaluation knowledge product	Independent evaluation of the GCF's Environmental and Social Safeguards and the Environmental and Social Management System: GEvalNote (Arabic)
Evaluation knowledge product	Independent evaluation of the GCF's Country Ownership approach: GEvalBrief (French)
Evaluation knowledge product	Independent evaluation of the GCF's Country Ownership approach: GEvalNote (French)
Evaluation knowledge product	Independent evaluation of the GCF's Country Ownership approach: GEvalBrief (Arabic)
Evaluation knowledge product	Independent evaluation of the GCF's Country Ownership approach: GEvalNote (Arabic)

Evaluation knowledge product	Forward-looking performance review evaluation: Topical Brief (French)
Evaluation knowledge product	Forward-looking performance review evaluation: Topical Brief (French)
Evaluation knowledge product	Forward-looking performance review evaluation: Topical Brief (French)
Evaluation knowledge product	Forward-looking performance review evaluation: Topical Brief (French)
Evaluation knowledge product	Forward-looking performance review evaluation: Topical Brief (Arabic)
Evaluation knowledge product	Forward-looking performance review evaluation: Topical Brief (Arabic)
Evaluation knowledge product	Forward-looking performance review evaluation: Topical Brief (Arabic)
Evaluation knowledge product	Forward-looking performance review evaluation: Topical Brief (Arabic)
Evaluation knowledge product	Independent Evaluation of the GCF's Results Management Framework: GEvalBrief (French)
Evaluation knowledge product	Independent Evaluation of the GCF's Results Management Framework: GEvalNote (French)
Evaluation knowledge product	Independent Evaluation of the GCF's Results Management Framework: GEvalBrief (Arabic)
Evaluation knowledge product	Independent Evaluation of the GCF's Results Management Framework: GEvalNote (Arabic)
Evaluation knowledge product	Independent Evaluation of the GCF's Readiness and Preparatory Support Programme: GEvalBrief (Arabic)
Evaluation knowledge product	Independent Evaluation of the GCF's Readiness and Preparatory Support Programme: GEvalNote (Arabic)
Evidence gap map	Evidence gap map and intervention heat map of climate change mitigation interventions in the private sector in developing countries
Evidence review	Effectiveness of climate change mitigation interventions in the private sector in developing countries - a synthetic review
IEU Terms of Reference	Evaluation Policy for the GCF and Updated Terms of Reference of the Independent Evaluation Unit
News article	Press release: Second Performance Review of the Green Climate Fund launched
News article	Online survey on the GCF's approach to the private sector
News video	Spotlight: The Green Climate Fund's Adaptation Portfolio
News video	Spotlight: The IEU's evidence reviews
Newsletter	What's new with the IEU?
Newsletter	What's new with the IEU?
Podcast	'The Evaluator' Episode 13: REDD+, Cancun Safeguards, and the GCF's pilot programme
Virtual Talk	Private Sector for Sustainability
Webinar video	Webinar: Emerging findings from the Rapid Assessment of the GCF's Request for Proposals Modality
Webinar video	B.29 Virtual Side Event: GCF's RfP Modality - What are we learning? The IEU's Rapid Assessment
Working paper	Machine learning and its potential applications in the independent evaluation unit of the green climate fund: a scoping study