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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 key activities of the Independent Evaluation Unit (IEU) for the period of 1 April to 31 May 2022. It reports on the IEU's outputs and achievements in line with its Board-approved work plan for 2022.

## I Introduction

1. This document reports on the key activities and outcomes of the Independent Evaluation Unit (IEU) between 1 April and 31 May 2022. The objectives and key work plan activities of the IEU are presented in the Board-approved "Independent Evaluation Unit 2022 Work Plan and Budget and Update of its Three-year Objectives and Work Plan" (see document GCF/B.30/12<sup>1</sup>). 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: Progress report on the Second Performance Review
    - (ii) Annex II: IEU publications and communications materials
    - (iii) Annex III: List of IEU events and engagements
    - (iv) Annex IV: Summary of LORTA Impact Evaluation Baseline Report for GCF's FP087 'Building livelihood resilience to climate change in the upper basins of Guatemala's highlands'

## II Overview

2. At its twenty-seventh meeting, the Board, by decision B.30/10,<sup>2</sup> approved an overall budget allocation of USD 6,487,012 for the IEU for 2022.
3. More information about the IEU budget for 2022 is available in document GCF/B.30/17 Annex VI.<sup>3</sup>
4. The IEU's key activities for the reporting period of 1 April and 31 May 2022 were:
  - (a) Evaluations
  - (b) Learning, advisory services, and capacity strengthening
  - (c) Uptake, communications, and partnerships
  - (d) Building and strengthening the Independent Evaluation Unit

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<sup>1</sup> <https://www.greenclimate.fund/document/gcf-b30-12>

<sup>2</sup> <https://www.greenclimate.fund/decision/b30-10>

<sup>3</sup> <https://ieu.greenclimate.fund/sites/default/files/document/ieu-2022-workplan-decision-b30-10-annex-vi.pdf>

### III Report on key activities

#### 1.1 Evaluations

5. The Terms of Reference (TOR) of the IEU,<sup>4</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. Below is a list of currently ongoing evaluations.

##### 1.1.1 Ongoing evaluations

6. **Second Performance Review of the Green Climate Fund.**<sup>5</sup> The Board launched the Second Performance Review (SPR) of the GCF in decision B.BM-2021/11 on 10 June 2021.<sup>6</sup> The scope of the SPR is to assess the GCF's progress during the GCF-1 programming period, specifically: (i) the GCF's progress in fulfilling its mandate and operational priorities, as outlined in the Updated Strategic Plan (USP), and (ii) the GCF's performance in promoting a paradigm shift towards low-emission and climate-resilient development pathways. During the reporting period, the IEU made progress on the following deliverables contributing to the SPR.
- (a) **Data collection:** The IEU concluded the pilot country missions and refined country mission protocols, interview questionnaires, and country case study templates. Following this, the IEU launched five additional country case missions during the reporting period. The IEU members undertook travel relating to country missions in coordination with the GCF Secretariat and adherence to the Administrative Instruction on the GCF Official Travel. Also, a survey containing questions on GCF's institutional architecture and performance was administered to the Board members, Alternate Board Members, and their Advisors for data collection. The IEU DataLab commenced SPR data collection in earnest in April 2022 by listing the analytical approaches per each thematic area and identifying existing data sources such as data systems maintained by the Secretariat as well as the Unit's in-house databases and relevant external data, including GIS data. Furthermore, in May 2022, the IEU's DataLab moved into the data collection and exploratory analysis phase based on the identified priority areas such as the readiness preparatory support programme, implementation risks, and gender and social inclusion. Lastly, semi-structured stakeholder interviews for data collection were also launched during this reporting period, following the development of the interview protocol, interview reporting template, and the filing system. In particular, the IEU organized interviews with Board members, alternate members, and advisors in the context of B.32. It is expected that, in June, the data collection will advance with interviews, country case studies, and other data collection methods.
- (b) **SPR substantive outputs:** The IEU previously produced and delivered the FPR Management Action Report (MAR) and the SPR Synthesis Study. During the reporting period, the IEU made progress on the following deliverables contributing to the SPR.
- (i) **Rapid assessment of the USP 2020-2021:** The IEU carried out a Rapid Assessment of the Progress of the GCF's USP 2020-2021 to primarily assess progress and projections independently for the effective delivery of the GCF's

<sup>4</sup> Annex I, Decision B.BM-2021/15 <<https://ieu.greenclimate.fund/sites/default/files/document/updated-tor-ieu.pdf>>

<sup>5</sup> <https://ieu.greenclimate.fund/evaluation/second-performance-review-spr-green-climate-fund>

<sup>6</sup> <https://www.greenclimate.fund/decision/bbm-2021-11>

- USP as part of the SPR. The report was published in April 2022. It was on the agenda for B.32 and was noted by the Board.
- (ii) **SPR approach paper.** The IEU also prepared the SPR approach paper to outline the work to be undertaken in the evaluation, which was made available in April 2022. The approach paper includes an illustration of the methodological approach, expected schedule, key evaluation questions, and the criteria for identification of country case studies. The approach paper is informed by the findings from the SPR Synthesis Study and the Rapid Assessment of the USP 2020-2021. It was on the agenda for B.32 and was noted by the Board.
- (c) **SPR procedural outputs:** The SPR continued to produce expected procedural deliverables, including:
- (i) **Progress Report on the Second Performance Review:** The IEU submitted the SPR Progress Report for the reporting period of January-March 2022 to the Board as Annex III in the IEU Activities Report for B.32. For the current reporting period of April-May 2022, the IEU produced an updated progress report, which is contained in Annex I of this report.
- (ii) **Expenditure report to the Budget Committee:** The IEU submitted the Expenditure Report, which accounts for the progress made on the SPR and budget expenditure from October 2021 to March 2022. This report was submitted to the Board's Budget Committee in May 2022, after the constitution of the Committee.
- (d) **Engagement and uptake:** The IEU members presented the key messages and findings emerging from the SPR Synthesis Study to the GCF Secretariat through the so-called 'IEU eSPresso Sessions'. These were short 15-minute espresso-sized debriefs, specifically designed to facilitate a two-way conversation and exchange of information. These sessions served the purpose of dissemination and transparency while creating a virtual space for dialogue and soliciting inputs on the SPR from the Secretariat. The IEU presented the key Synthesis findings over five sessions, which covered the five key themes of the Synthesis Report, namely: access, governance, programming, implementation and results, and complementarity and coherence. More details on these debrief sessions are available in the Progress Report on the Second Performance Review, in Annex I of this report.
7. **Independent Evaluation of the Relevance and Effectiveness of the GCF's Investments in the African States.**<sup>7</sup> This evaluation examines the GCF's effectiveness and efficiency in reducing the vulnerability of local communities and livelihoods to the effects of climate change in the African States, and whether these impacts are likely to be sustained. According to the approved 2022 IEU workplan, the final evaluation report will be submitted to the Board by the year's end. During the reporting period, the IEU published the approach paper that outlines the evaluation's framework. The IEU held a series of stakeholder interviews and discussions including the webinar on the evaluation scope and approach with the Secretariat. In the reporting period, in-person and virtual country case studies were planned. As the evaluation progresses, briefs and summaries will become available on the African States evaluation page of the IEU microsite.

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<sup>7</sup> <https://ieu.greenclimate.fund/AFR2022>

8. **Independent Synthesis of Direct Access in the Green Climate Fund.**<sup>8</sup> The Independent Synthesis of Direct Access in the GCF aims to examine direct access in the GCF by implementing an in-depth analysis of available data and evidence, a literature review, and a synthesis of existing evaluations and analyses from the IEU, the GCF Secretariat, and external consultants. In the reporting period, the evaluation team prepared the approach paper that includes a ‘policy-based’ theory of change for GCF’s direct access based on relevant Board decisions, COP guidance, GCF’s direct access project portfolio, and potential evaluation questions; the approach paper is set to be published in June. During the reporting period, the evaluation team also prepared a workshop for Secretariat colleagues to discuss and further inform the policy-based theory of change for GCF’s direct access. This workshop is planned for mid-June. As the evaluation progresses, briefs and summaries will become available on the Direct Access evaluation page of the IEU microsite. The final evaluation report is due to be submitted at B.35 in 2023.

## 1.2 Learning, advisory services, and capacity strengthening

### 1.2.1 Learning papers and evidence reviews

9. The Evaluation Policy for the GCF<sup>9</sup> 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.
10. **Evidence reviews: Gender and behavioural change.**<sup>10</sup> The IEU is undertaking two evidence reviews in 2022. The evidence review on gender is the first to complete an evidence gap map (EGM) on women’s empowerment in developing countries across a wide range of intervention and outcome areas. The evidence gap map depicts what evidence exists within the specific intervention and outcome combinations. In this reporting period, the IEU completed draft and final versions of the evidence gap map and a draft of the protocol for the linked systematic review, which will take a deep dive into specific cells of the map. The systematic review will focus on life skills interventions to promote the empowerment of women of all ages across self-empowerment outcomes (such as self-confidence, self-esteem, leadership, self-efficacy, ability to make decisions, awareness about rights) and social empowerment outcomes (such as norms and values, access to justice and social services, association, and social networks). The second evidence review explores the evidence and effectiveness of behavioural science interventions on environmental and development outcomes in developing countries. During the reporting period, the IEU finalised the EGM on behavioural interventions and drafted the protocol for the systematic review. The systematic review focuses on widespread interventions, including receiving feedback, reminders, prominence, and goal setting in promoting environmental and development outcomes. The IEU also published the approach paper for the behavioural science evidence review.

### 1.2.2 DataLab activities

11. The IEU’s DataLab provides high-quality data as part of the Unit’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

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<sup>8</sup> <https://ieugreenclimatefund/evaluation/DA2022>

<sup>9</sup> Annex I, Decision B.BM-2021/07 <<https://ieugreenclimatefund/document/evaluation-policy-gcf>>

<sup>10</sup> <<https://ieugreenclimatefund/evaluations/evidence-reviews>>

DataLab activities for the reporting period include (i) data analysis for the report of the SPR (see paragraph 6a above for more information), (ii) development of a data analysis plan, and initiating analysis for the Independent Synthesis of Direct Access in the GCF, (iii) support data analysis for the approach paper of the Independent Evaluation of the Relevance and Effectiveness of the GCF's Investments in the African States, and (iv) maintenance and update of data repositories. In the reporting period, the DataLab also focused on updating the database of GCF's project locations and developed a project location map.

### 1.2.3 Capacity building

12. **IEU to support the development of evaluation capacity.** The IEU's TOR<sup>11</sup> requires the Unit to support the strengthening of the evaluation capacities of the GCF's implementing entities. Under the Evaluation Policy for the GCF, the IEU is responsible for developing the GCF's evaluation standards in consultation with the Secretariat. During the reporting period, the IEU developed the Standards<sup>12</sup> based on consultations with the Secretariat and other stakeholders and drawing heavily from the state-of-the-art international evaluation practice. The IEU held frequent, in-depth consultations with the Secretariat as well as experts, including members of the United Nations Evaluations Group, independent experts, evaluation offices of other climate funds, and some accredited entities. During the reporting period, the IEU also prepared their inputs for a Secretariat-organized webinar, to take place in early June, on the Evaluation Policy for the GCF and relevant guidelines for the Accredited Entities. Both the IEU Head a.i. and the IEU Associate are scheduled to participate in the webinar.
13. **Capacity building.** The IEU is conducting a capacity needs assessment of DAEs of the GCF as part of its non-LORTA capacity-building efforts. In addition, the IEU is organizing internal meetings with other Independent Units of the GCF to collaborate with them and create synergies in the Units' efforts toward the capacity building of DAEs. The IEU continued to actively utilize digital collaboration tools such as Microsoft Teams and Zoom to engage with partners and stakeholders and participate in various learning and capacity-building activities.

### 1.2.4 Learning-Oriented Real-Time Impact Assessment Programme

14. The IEU's LORTA programme<sup>13</sup> continues to support real-time impact evaluations of GCF projects so that the GCF can access accurate data on the quality of project implementation and impact. In this reporting period, further progress was made with the existing portfolio of projects. Onboarding activities for the four new DAE projects - Mexico (SAP023), Senegal (FP138), Nepal (FP172), and Barbados (FP060) - continued with a capacity-building inception workshop for the DAEs, which was completed with the Caribbean Community Climate Change Center. Workshops for Mexico (SAP023) and Nepal (FP172) had already been completed in March 2022. A noteworthy achievement by the LORTA team, during the reporting period, was the finalization and publication of the first impact evaluation report on GCF's FP002 project 'Scaling up the Use of Modernized Climate Information and Early Warning Systems' in Malawi. The impact evaluation found positive evidence on the use of seasonal forecasts, changes to crop activities, yields, and income for lead farmers, who participated in the Participatory

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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/green-climate-fund-evaluation-standards>

<sup>13</sup> <https://ieu.greenclimate.fund/evaluation/lorta>

Integrated Climate Services for Agriculture, or PICSAs, component of the project. Furthermore, the impact evaluation baseline report for GCF's FP087 project 'Building Livelihood Resilience to Climate Change in the Upper Basins of Guatemala's Highlands' was also published in the reporting period. A summary of this impact evaluation baseline report is contained in Annex IV.

### 1.3 Uptake, communications, and partnerships

15. 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 learned 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.

#### 1.3.1 Partnerships

16. The IEU works with a range of partners.<sup>14</sup> To date, it has Memoranda of Understanding agreements, and membership with 22 accredited entities, national designated authorities, universities, research institutes, government ministries, civil society organizations, multilateral and bilateral agencies, and independent evaluation offices of accredited entities. In April 2022, the IEU signed an MoU with Ewha Womans University Graduate School for International Studies.

#### 1.3.2 Webinars

17. The GCF's Evaluation Policy and the IEU's TOR require the IEU 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) **Five eSPresso debrief sessions on the SPR Synthesis Study** – the IEU organized five 15-minute debrief sessions to present the key findings of the SPR Synthesis Study and solicit input from GCF colleagues to inform further data collection for the final SPR report. Each of the eSPresso sessions summarized one chapter of the Synthesis Study covering access; governance; programming; implementation and management of results; and complementarity and coherence.
  - (b) **'Independent Evaluation of the Relevance and Effectiveness of the GCF's Investments in the African States'** and **'Independent Synthesis of Direct Access in the GCF'** – the IEU organized a webinar, during the reporting period, to introduce the two evaluations' draft approach, methods, and timeline.

#### 1.3.3 External events

18. **Engagement opportunities with external stakeholders:** The IEU continued with its engagement and exchange of information with external stakeholders, building on the success of the IEU Partners' Meeting held in March. On 12 May, the IEU took part in the

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<sup>14</sup> <https://ieu.greenclimate.fund/about/partners>

TCLP-hosted webinar titled “Transformational Climate Finance: How can multi-stakeholder finance models drive rapid and just responses to the climate crisis?”; in the event, the IEU presented key findings and lessons learned from its “Independent Evaluation of the GCF’s Approach to the Private Sector”. In June, the IEU plans to engage in the European Evaluation Society’s Biennial Conference (EES2022)<sup>15</sup> and the 2022 gLOCAL Evaluation Week.<sup>16</sup> The IEU team is also slated to attend IFAD’s Jobs, Innovation, and Value Chains in the Age of Climate Change Conference on 23 June as well as the Campbell Collaboration Webinar Series on 28 June. The IEU also began looking into potential engagement opportunities with various external stakeholders in the 27<sup>th</sup> session of the Conference of the Parties to the UNFCCC to be held in November.

#### 1.3.4 Communications products and uptake

19. **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, 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. See Annex II for a complete list of IEU publications and communications products that the Unit produced during the reporting period.
20. **IEU microsite analytics.** Recent analytics from the IEU microsite reveals that, in the two-month reporting period, the site received a total of 3,006 visitors. While recording 3,006 total visitors, 2,718 were marked as engagements from ‘new users’ and 743 as engagements from ‘returning users’. Visitors predominantly used three main avenues: (i) web searches (e.g. via Google), (ii) direct URL access (e.g. via a browser bookmark), and (iii) social media (e.g. via IEU linked stories posted on Twitter or LinkedIn). The microsite’s most visited pages in the reporting period were the landing page, the IEU blog titled “Designing impact evaluation in six steps”, the Meet the Team page, and the LORTA impact evaluation page. With regards to IEU publications, the page containing the recently published LORTA Impact Evaluation Report for GCF’s FP002 project was the most frequently visited page with a total of 140 downloads and 118 views. Other evaluation products were also widely accessed. For instance, the report of the SPR Synthesis Study was downloaded 116 times, the SPR approach paper 96 times, and the report of the Independent Evaluation of the GCF’s Adaptation Portfolio and Approach 82 times. Finally, Annex VI of the IEU’s Annual Work Plan and Budget for 2022 received 123 downloads.
21. **Social media analytics:** The IEU’s presence on social media 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, in addition to the GCF stakeholders including the Board members.
  - (a) **Twitter.**<sup>17</sup> The IEU disseminated 37 new tweets in the two-month reporting period, attracting close to 5,000 visitors. These tweets informed key stakeholders of IEU’s latest evaluation products, learning papers, summaries, briefs, blogs, events, and operational

<sup>15</sup> <https://ieu.greenclimate.fund/event/ieu-ees-2022>

<sup>16</sup> <https://ieu.greenclimate.fund/event/ieu-glocal-evaluation-week-2022>

<sup>17</sup> [https://twitter.com/GCF\\_Eval](https://twitter.com/GCF_Eval)

documents. Tweets also disseminated relevant information about the B.32 proceedings and discussions. Other tweets encouraged stakeholders to follow the global evaluation conferences and webinars that were attended by the IEU personnel. The IEU's Twitter account attracted likes, retweets, and mentions from a range of global and regional evaluation networks and organizations, including the Global Evaluation Initiative, and the Independent Evaluation Office of the Global Environment Facility, among others.

- (b) **LinkedIn.**<sup>18</sup> The number of followers of IEU's LinkedIn account increased by 303 to 2,275 in the reporting period. These followers regularly interact with the IEU's content. They include, among others, the International Center for Integrated Mountain Development, the Adaptation Fund, 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. The IEU launched 22 new posts on LinkedIn in the reporting period. The posts contained information ranging from the IEU's latest evaluations and summary papers, promotion of events, recruitment announcements, blogs, and learning papers. The posts also disseminated information about the GCF Board's deliberations on IEU evaluations during B.32.

## 1.4 Building and strengthening the Independent Evaluation Unit

22. Based on the Evaluation Policy for the GCF and the IEU's TOR, the IEU is expected to be a global leader in climate evaluation. Accordingly, it places considerable emphasis on developing internal capacity through a wide range of training and learning opportunities.
23. **Staffing.** Two new Evaluation Specialists joined the IEU in April and May, respectively. Within the reporting period, recruitment for the positions approved by the Board in 2021 as well as replacement of the vacant staff positions were still underway. In addition to these positions, the IEU's hiring will continue to fill the Board-approved 25 staff positions for 2022. The Head of the IEU position also remains unfilled. As the Unit has grown and welcomed new members recently, the need for building and strengthening team spirit is all the more essential. In this regard, the IEU plans to host a team retreat in July to check on the progress made since the 2021 team retreat and engage in activities that aim to enhance team building, internal team communication and collaboration.
24. **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. As a part of the GCF internship programme, the IEU internship offers two young graduates an opportunity to learn and grow by supporting the development and undertaking of evaluations for six months. The IEU will be welcoming two new interns in July. The IEU's Interns Day programme allows the interns to put aside their usual day-to-day tasks and learn about other areas of the IEU's work, the GCF, or climate change. The IEU will continue to enhance the capacity of the interns to contribute to the IEU through its monthly Interns Day programme and relevant training.
25. **Training.** During the reporting period, the individual members of the IEU took the GCF's mandatory online training on sexual exploitation, sexual abuse, and sexual harassment

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<sup>18</sup> <https://www.linkedin.com/company/ieu-gcf/posts/?feedView=all&viewAsMember=true>

(SEAH). The newly joined members of the Unit also took part in the GCF's conflict resolution and management training, offered by the GCF ombudsperson Dr. Kevin Brown in May 2022.

## IV Budget and expenditure report

26. Table 1 below shows the IEU's 2022 budget and expenditure report as of 30 May 2022 in USD.

**Table 1. IEU budget and expenditure report for 2022 in United States dollars (USD) as of 30 May 2022**

Budget Category	2022 Board approved budget	Actuals	Commitments	Sub-total	%	Remaining budget
<b>Staff, consultants, interns</b>						
Full-time staff	3,640,213	913,033	-	913,033	25%	2,727,180
Consultants & interns	504,875	141,561	295,973	437,533	87%	67,342
<b>Sub-total</b>	<b>4,145,088</b>	<b>1,054,594</b>	<b>295,973</b>	<b>1,350,566</b>	<b>33%</b>	<b>2,794,522</b>
<b>Travel</b>						
General	218,915	270	25,323	25,593	12%	193,322
<b>Sub-total</b>	<b>218,915</b>	<b>270</b>	<b>25,323</b>	<b>25,593</b>	<b>12%</b>	<b>193,322</b>
<b>Contractual services</b>						
Professional services	1,386,000	164,009	418,724	582,733	42%	803,267
Other operating costs	46,500	9,108	-	9,108	20%	37,392
<b>Sub-total</b>	<b>1,432,500</b>	<b>173,117</b>	<b>418,724</b>	<b>591,841</b>	<b>41%</b>	<b>840,659</b>
<b>Sub-Total</b>	<b>5,796,503</b>	<b>1,227,980</b>	<b>740,019</b>	<b>1,967,999</b>	<b>34%</b>	<b>3,828,504</b>
Shared cost allocation	690,509	251,985	352,779	604,764	88%	85,745
<b>Grand Total</b>	<b>6,487,012</b>	<b>1,479,965</b>	<b>1,092,798</b>	<b>2,572,763</b>	<b>40%</b>	<b>3,914,249</b>

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## Annex I. Progress report on the Second Performance Review

### 1.1 Introduction

1. The Board launched the Second Performance Review (SPR) of the GCF in decision B.BM-2021/11 on 10 June 2021.<sup>19</sup> The scope of the SPR is to assess the GCF's progress during the GCF-1 programming period, specifically: (i) the GCF's progress in fulfilling its mandate and operational priorities, as outlined in the Updated Strategic Plan (USP), and (ii) the GCF's performance in promoting a paradigm shift towards low-emission and climate-resilient development pathways.
2. In decision B.27/08, the GCF Board approved the work plan and budget of the Independent Evaluation Unit for 2021. 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." This progress report provides an account of the progress made on the SPR in the reporting period.

### 1.2 Activities under the SPR

#### 1.2.1 Data collection

3. During the reporting period, the SPR launched major data collection activities, including:
    - (a) The IEU concluded the SPR pilot country mission during the reporting period. Following the completion of the pilot country mission, the IEU developed the country mission protocol, interview questionnaire, and the country case study template.
    - (b) The IEU launched country missions in five additional countries following the conclusion of the SPR pilot mission. Before the launch, extensive planning was undertaken to engage with and obtain consent from the NDA. Each country mission was organized through a similar process, which included the organization of a launch meeting, soliciting the suggestions of the NDA on potential stakeholders to be interviewed, conducting country mission interviews with all relevant stakeholders, and site visits where feasible. Each country mission concluded with a final debrief with the NDA. As protocol, the case study report is also shared with the NDA for review before finalizing the report.
    - (c) IEU members undertook travel relating to country missions in coordination with the GCF Secretariat, including the travel and the security teams, and in adherence to the Administrative Instruction on the GCF Official Travel.
    - (d) The IEU also launched the survey containing questions on GCF's institutional architecture and performance, which was administered to the Board members, Alternate Board Members, and their Advisors. This survey was launched in May 2022 and is expected to be completed before B.33.
    - (e) The IEU commenced SPR data collection in April 2022 by listing the analytical approaches per thematic area. The existing data sources such as data systems maintained by the Secretariat and the IEU's in-house databases and relevant external data, including GIS data, were identified. Several new approaches were proposed to
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close the information gaps and triangulate the evidence under the mixed methods approach. Further, in May 2022, the IEU's DataLab moved into the data collection and exploratory analysis phase, based on the identified priority areas such as the readiness preparatory support programme, implementation risks, and gender and social inclusion. The IEU is also building upon the emerging areas based on the conclusions from the USP progress report.

- (f) Semi-structured stakeholder interviews for data collection were also launched during this reporting period. And for this, the interview protocol, interview reporting template, and the filing system were developed. In particular, the IEU organized interviews with members and alternate members of the Board and their advisors in the context of B.32.
- 4. In June, the SPR is expected to continue with data collection efforts and launch the remaining country case studies. Further data collection and analysis will lead to the preparation of SPR's summary report and final report.

### 1.3 SPR substantive outputs

- 5. The IEU is expected to produce several deliverables under the SPR. The IEU previously produced and delivered the FPR Management Action Report (MAR) and the SPR Synthesis Study. During the reporting period, the IEU delivered the following outputs contributing to the SPR:
  - (a) **Rapid Assessment of the USP 2020-2021:** The IEU carried out a Rapid Assessment of the Progress of the GCF's USP 2020-2021 to primarily assess progress and projections independently for the effective delivery of the GCF's USP as a part of SPR. The report was published in April 2022. It was on the agenda for B.32 and was noted by the Board.
  - (b) **SPR approach paper.** The IEU also prepared the approach paper to outline the work to be undertaken in the SPR, which was made available in April 2022. The approach paper includes an illustration of the methodological approach, expected schedule, key evaluation questions, and the criteria for the identification of country case studies. The approach paper is informed by the findings from the SPR Synthesis Study and the Rapid Assessment of the USP 2020-2021. It was on the agenda for B.32 and was noted by the Board.
- 6. The SPR is on track to produce a summary report in time for B.34, and a final report in time for B.35.

### 1.4 SPR procedural outputs

- 7. As a part of the SPR, the IEU is expected to produce several procedural deliverables, including:
  - (a) **Progress Report on the Second Performance Review:** The IEU submitted the Progress Report for the reporting period of January-March 2022 to the Board as Annex III in the IEU Activity Report for B.32. For the current reporting period of April-May 2022, the IEU prepared this progress report, which is part of the activities report shared for B.33.
  - (b) **Expenditure report to the Budget Committee:** The IEU submitted the Expense Report, which accounts for the progress made on the SPR and budget expenditure from October 2021 to March 2022. This report was submitted to the Board's Budget Committee in May 2022, after the constitution of the Committee.

## 1.5 Engagement and uptake

8. The GCF Evaluation Standards call for evaluations to take a participatory approach.
- (a) **B.32 items** – As noted above, the IEU submitted to the Board the Rapid Assessment of the USP 2020-2021 and the SPR approach paper for consideration at B.32. These documents were considered by the Board at B.32 and the Board took note of these at B.32.
- (b) **IEU eSPresso Sessions** - The IEU members presented the key messages and findings emerging from the SPR Synthesis Study to the GCF Secretariat by organizing short 15-minute espresso-sized debriefs. These sessions served the purpose of dissemination and transparency while creating a virtual space for dialogue and soliciting inputs on the SPR from the Secretariat. The IEU presented findings over five sessions, and each session covered the five themes of the Synthesis Study report, namely: access, governance, programming, implementation and results, and complementarity and coherence.

**Table 2. List of IEU eSPresso Sessions that presented the findings of the SPR Synthesis Study**

Name of the eSPresso session	Date
Access to the GCF	10 April 2022
Institutional Architecture and Performance	11 April 2022
Implementation and Results	12 April 2022
Programming in the GCF	13 April 2022
Complementarity and Coherence	14 April 2022

## Annex II. IEU publications and communications materials

Document type	Topic
Board Report	B.32 Report on the activities of the Independent Evaluation Unit
Policy	Evaluation Standards of the Green Climate Fund
Evaluation knowledge product	Rapid Assessment of the Progress of the Green Climate Fund's Updated Strategic Plan, Main Report – Volume I
Evaluation knowledge product	Report of the Synthesis Study: An IEU deliverable contributing to the Second Performance Review of the Green Climate Fund – Executive Summary
Evaluation knowledge product	Approach paper of the Second Performance Review
Evaluation knowledge product	Approach paper of the Independent Evaluation of the Relevance and Effectiveness of the Green Climate Fund's Investments in the African States
Evaluation brief	Second Performance Review of the Green Climate Fund: Approach Brief
Evaluation brief	Brief: Rapid Assessment of the Progress of the Green Climate Fund's Updated Strategic Plan
Evaluation brief	Independent Evaluation of the Relevance and Effectiveness of the Green Climate Fund's Investments in the African States: Approach Brief
IEU Blog	A Behavioural and Design Toolbox
IEU Blog	Enhancing the capacity of GCF accredited entities through the pandemic: What does direct engagement with project teams look like?
IEU Blog	B.32 Data Outlook: Funding proposals for Board's consideration
Learning paper summary	Evaluating Climate Change Action for Sustainable Development: An Introduction
Evidence Review – Behavioural Science	Evidence review on behavioural change in developing countries: Approach paper
Impact evaluation knowledge product	LORTA Impact Evaluation Report for GCF's FP002 'Scaling up the Use of Modernized Climate Information and Early Warning Systems in Malawi'
Impact evaluation knowledge product	LORTA Impact Evaluation Baseline Report for GCF's FP087 'Building livelihood resilience to climate change in the upper basins of Guatemala's highlands'
Impact evaluation brief	Brief: LORTA Impact Evaluation on GCF's FP002 'Scaling up the Use of Modernized Climate Information and Early Warning Systems in Malawi'

## Annex III. List of IEU events and engagements

### IEU events:

- 11 April 2022: IEU eSPresso: Access to the Green Climate Fund
- 12 April 2022: IEU eSPresso: Governance within the Green Climate Fund
- 13 April 2022: IEU eSPresso: Implementing and managing risks and results
- 14 April 2022: IEU eSPresso: Programming in the Green Climate Fund
- 15 April 2022: IEU eSPresso: Complementarity and Coherence
- 25 May 2022: Webinar introducing the 'Independent evaluation of the relevance and effectiveness of the GCF's investments in the African States' and the 'Independent Synthesis of Direct Access in the GCF'.

### External events:

- 10 May 2022: Wilton Park, "Exploring pathways to transformational climate action"
- 12 May 2022: CIF's Evaluation and Learning (E&L) Initiative, "Transformational Change Learning Partnership"

### External events that IEU will participate in June:

- 2 June 2022: 2022 gLOCAL Evaluation Week
- 6-10 June 2022: The 14th EES Biennial Conference: "Evaluation at a Watershed: Actions and Shifting Paradigms for Challenging Times"
- 8 June 2022: Climate Investment Funds (CIF), Transformational Change Climate Partnership: Transformational Climate Action. A roundtable session with CIF, ICF and IEU representatives.
- 9 June 2022: Climate Change Adaptation: From Evaluation to Action. A roundtable session with the IEU, the Asian Development Bank, German Institute for Development Evaluation and the European Investment Bank.
- 9 June 2022: From Neutral Observers to Advocates, Truth Speakers, and Agent Provocateurs: What Role Should Evaluators Play? Reflections Around Evaluations Policies. A roundtable session with the IEU, CGIAR, IFAD, Food and Agriculture Organization of the UN, Organization for Economic Co-operation and Development, and the Technical Evaluation Reference Group of the Adaptation Fund.
- 10 June 2022: Small Islands, Big Finance, and Climate Change: Evaluations of the Green Climate Fund in the Small Island Developing States. A presentation by the IEU on the Independent Evaluation of the Relevance and Effectiveness of the GCF's Investments in the Small Island Developing States (SIDS).
- 23 June 2022: IFAD Jobs, Innovation and Value Chains in the Age of Climate Change Conference
- 28 June 2022: Campbell Collaboration Webinar on the evidence gap map on the effectiveness of interventions promoting women's empowerment

## **Annex IV. Summary of LORTA Impact Evaluation Baseline Report for GCF's FP087 'Building livelihood resilience to climate change in the upper basins of Guatemala's highlands'<sup>1</sup>**

1. The IEU's Learning Oriented Real-Time Impact Assessment (LORTA) programme<sup>2</sup> incorporates state-of-the-art approaches for impact evaluations to measure results and learn about the effectiveness and efficiency of GCF-funded projects. This baseline assessment of GCF's FP087 'Building livelihood resilience to climate change in the upper basins of Guatemala's highlands' project describes the characteristics of the beneficiary and comparison households in treatment and similar nearby micro watersheds (control areas).
2. FP087 focuses on reducing the impacts of climate change on the hydrological cycle in target watersheds in Guatemala's highlands through improved land-use practices, community grants, and an early warning system. The project aims to improve the resilience and livelihoods of the population, strengthen their capacity for adaptation, and reduce their exposure to climate risks through the use and application of tools, information, and practices that are either completely or partially climate-related. The accredited entity for this project is the International Union for Conservation of Nature (IUCN), with offices at the regional level, headquarters in Gland, Switzerland, and a national office in Guatemala. The project is co-financed by the GCF, Korea International Cooperation Agency (KOICA), and the Government of Guatemala (in-kind and cash funding).
3. This baseline report allows an impact evaluation of the following two subcomponents of the project – C1.1: micro watershed management and ecosystem-based adaptation training, and C3: the early warning system. After consultations with the project team, the difference-in-differences (DiD) with matching method was selected as the most robust method to evaluate the impact of the project. The proposed methodology makes it possible to identify the effects of the intervention on participants. The unit of analysis for this baseline report is the household, as all activities target households. To measure the impacts of the two interventions outlined above, endline data will be collected on households in both treatment and control watersheds.
4. The main research questions to be answered by the impact evaluation, derived from the theory of change, are as follows:
  - To what extent are farmers in the intervention area more resilient/less vulnerable to extreme weather events?
  - To what extent did the intervention lead to better awareness and knowledge of climate-smart agriculture by farmers?
  - To what extent did the intervention lead to the implementation of activities related to climate-smart agriculture by farmers?
  - To what extent did the intervention lead to the diversification of crops by farmers?
5. To answer these questions, two indices were created for this baseline report:
  - A resilient and diversified livelihoods index (*Índice de medios de vida diversificados y resilientes*)

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<sup>1</sup> <https://ieu.greenclimate.fund/document/impact-evaluation-baseline-report-fp087>

<sup>2</sup> <https://ieu.greenclimate.fund/evaluation/lorta>

- A responsiveness index (*Índice de Capacidad de Respuesta*)
- 6. Both of these indices are composed of numerous indicators that cover multiple dimensions. The resilient and diversified livelihoods index measures the economic resilience of livelihoods for individuals who are exposed to climate shocks. The responsiveness index captures different levels of the response capacity of households and communities to the effects of climate change.
- 7. Baseline data collection was conducted during Q1 and Q2 of 2021. During data-collection preparation, the questionnaire and training material were reviewed by the IUCN and the LORTA team, composed of staff from the GCF Independent Evaluation Unit (IEU), and the Center for Evaluation and Development (C4ED). The IUCN and the LORTA team also carried out daily monitoring of data-collection activities. The total sample size is 1,486 households, distributed into 21 treated (758 households) and 13 control (728 households) micro watersheds.
- 8. As expected, comparisons between treatment and control households show both groups are very similar: households and communities have almost the same vulnerabilities, gaps, and needs regarding improving their resilience. For instance, socioeconomic characteristics are very balanced between both groups: on average, households are considered poor, and education and gender variables show no significant differences. Both groups expressed the same low perception and knowledge of climate change events and consequences.
- 9. Agricultural practices do present some variability: a greater proportion of treatment households grow annual crops; already apply silvopastoral systems, agroforestry techniques, and soil conservation techniques; and have already implemented agricultural practices against climate change (see Table 1). A greater proportion of control households produce perennial crops and farm livestock. Treatment households showed more knowledge on responses to climate change than control group households.
- 10. The variability between treatment and control groups does not threaten the evaluation design, because socioeconomic characteristics that are not balanced will be included in the impact evaluation estimates as controls. Further, systematic differences between clusters of micro watersheds (groups) will be examined. Moreover, any initial differences in outcome variables are accounted for by the difference-in-differences design.

**Table 3. Balance, variables associated with climate change (binary variables)**

VARIABLE	N	CONTROL MEAN/SE (1)	N	TREATMENT MEAN/SE (2)	SIG.
<b>Chi-square-test</b>					
Application of any silvopasture system	716	0.264	756	0.351	0.000***
Application of any agroforestry system	719	0.829	757	0.875	0.014***
Application of any soil conservation technique	724	0.552	757	0.736	0.000***
Implemented agricultural practices against climate change	692	0.480	732	0.586	0.000***

Notes: Variables included, in the table, only the values of 1 or 0. The value displayed for the chi-square test are significance levels. \*\*\*, \*\* and \* indicate significance at the 1, 5 and 10 per cent critical level. Missing values originate from respondents who answered either “do not know” or “refuse to answer”.

11. The baseline survey results highlighted two key features that are important for project and programme implementation. As shown in Table 1, the first of these is the widespread experience of households with agroforestry (around 85 per cent of households), soil conservation measures (about 64 per cent of households), and silvopastoral systems (around 30 per cent of households). Due to these findings, the IUCN (the accredited entity) is considering working with a broader range of interventions that are suited to the different production systems in the area, especially those that complement local knowledge and enable diversification of livelihoods.
12. The second key feature of the baseline survey with direct relevance for project and programme implementation comes from the responsiveness index. Here, respondents reported that only 9 per cent were aware of community EWS and only 7 per cent used EWS information. This is surprisingly low, and the project will focus its resources on enhancing capacities in the communities to increase awareness of these systems with an explicit gender dimension.
13. The baseline data-collection exercise and analysis also highlighted several challenges: for example, due to the COVID-19 pandemic, new communities had to be selected during the fieldwork to replace the communities that chose not to participate in the survey. Moreover, there is also a risk of spillovers from treatment to control micro watersheds. Further, there exists the potential for confounding interventions within the limited number of treatment or control micro watersheds that are part of this evaluation. These challenges will be monitored carefully as we move towards and beyond endline data collection and project interventions scale up.