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# INDEPENDENT EVALUATION OF THE GCF'S APPROACH TO INDIGENOUS PEOPLES

## Approach paper

October 2024



GREEN CLIMATE FUND  
INDEPENDENT EVALUATION UNIT

# Independent Evaluation of the GCF's Approach to Indigenous Peoples

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APPROACH PAPER

10/2024

# CONTENTS

Abbreviations .....	v
A. Introduction .....	1
B. Background and context.....	1
1. Indigenous Peoples and the United Nations.....	1
2. The GCF’s mandate on Indigenous Peoples .....	2
3. Relevant policies of the GCF .....	3
a. Indigenous Peoples Policy.....	3
b. Revised Environmental and Social Policy.....	3
c. Gender Policy .....	3
d. Interim Environmental and Social Safeguards of the GCF .....	4
e. On climate rationale.....	4
f. Strategy-related decisions on Indigenous Peoples.....	4
C. Evaluation questions and approach.....	5
1. Evaluation questions .....	5
2. Evaluative approach .....	5
3. Evaluation framework .....	9
D. Methods .....	10
1. Desk research .....	11
a. Literature review.....	12
b. Benchmarking.....	12
2. Portfolio review.....	13
a. DataLab analysis.....	13
b. Stakeholders’ interviews.....	13
c. Country case studies .....	14
d. Country protocol for planning, implementing, reporting, and validation of country visits.....	17
3. Gender equality and social inclusion analysis.....	17
4. Evaluation synthesis.....	17
5. Ethical considerations .....	18
6. Limitations .....	18
E. Workplan.....	19
1. Key roles and responsibilities for the evaluation .....	19
2. Process followed to date.....	19

3. General workplan .....	19
4. Key deliverables .....	20
5. Detailed work plan .....	20

## APPENDICES..... 23

Appendix 1. Evaluation matrix .....	25
Appendix 2. Summary of recommendations and areas for improvement related to Indigenous Peoples in previous IEU evaluations.....	29
Appendix 3. Portfolio analysis.....	31
Appendix 4. Country case study protocol.....	36
Appendix 5. Qualitative data management guidelines.....	38
Appendix 6. Indigenous Peoples findings and recommendations in IEU evaluations: A synthesis	39
Appendix 7. List of documents to be consulted.....	45
Appendix 8. List of internal documents to be consulted.....	48

## REFERENCES ..... 50

## TABLES

Table 1. Definition of the normative standards for the evaluation .....	6
Table 2. Summary of evaluation frameworks and units of analysis.....	9
Table 3. Document review sources.....	11
Table 4. Stakeholders to be interviewed.....	14
Table 5. Country cases with IPs-related projects .....	16
Table 6. Key deliverables and deadlines .....	20
Table 7. Detailed workplan for the evaluation .....	21
Table A - 1. Project budget dedicated to IPs .....	31
Table A - 2. Projects' regions.....	33
Table A - 3. Type, number and percentage of AEs .....	33
Table A - 4. Top 12 agencies per number of projects .....	33

Table A - 5. ESS category numbers and percentages.....	34
Table A - 6. Additional variables used to verify IPs considerations in core projects .....	34

## FIGURES

Figure 1. Evaluation framework.....	10
Figure A - 1. Number of IPs-related projects in GCF investment portfolio.....	31
Figure A - 2. Proportion of IPs-related projects in GCF investment portfolio in terms of size .....	32
Figure A - 3. Proportion of IPs-related projects distributed across GCF portfolio regions .....	32

## ABBREVIATIONS

<b>ADB</b>	Asian Development Bank
<b>AE</b>	Accredited entity
<b>APR</b>	Annual performance report
<b>COP</b>	Conference of the Parties
<b>CN</b>	Concept note
<b>CSO</b>	Civil society organization
<b>DAE</b>	Direct access entity
<b>DCP</b>	Division of Country Programming
<b>DMA</b>	Division of Mitigation and Adaptation
<b>DPM</b>	Division of Portfolio Management
<b>EDA</b>	Enhanced Direct Access
<b>ESIA</b>	Environmental and Social Impact Assessment
<b>ESS</b>	Environmental and social safeguards
<b>FAA</b>	Funded Activity Agreement
<b>FAO</b>	Food and Agriculture Organization of the United Nations
<b>FGD</b>	Focus group discussion
<b>FP</b>	Funding proposal
<b>FPIC</b>	Free, prior and informed consent
<b>GCF</b>	Green Climate Fund
<b>GEF</b>	Global Environment Facility
<b>GESI</b>	Gender equality and social inclusion
<b>GI</b>	Governing Instrument
<b>GRM</b>	Grievance redress mechanism
<b>HWWF</b>	Health, well-being, food and water security
<b>IAE</b>	International accredited entity
<b>IDB</b>	Inter-American Development Bank
<b>IEF</b>	Indigenous Evaluative Frameworks
<b>IEU</b>	Independent Evaluation Unit
<b>IFAD</b>	International Fund for Agricultural Development
<b>IFC</b>	International Finance Corporation
<b>IIED</b>	International Institute of Environment for Development
<b>ILO</b>	International Labour Organization
<b>IPAG</b>	Indigenous Peoples Advisory Group

<b>IPBES</b>	Intergovernmental Science-Policy Platform on Biodiversity
<b>IPP</b>	Indigenous Peoples Policy
<b>IRM</b>	Independent Redress Mechanism
<b>iTAP</b>	independent Technical Advisory Panel
<b>LDC</b>	Least Developed Country
<b>NDA</b>	National designated authority
<b>OHCHR</b>	Office of the High Commissioner for Human Rights
<b>OSI</b>	Office of Sustainability and Inclusion
<b>PS7</b>	Seventh Performance Standards
<b>PSO</b>	Private sector organization
<b>REDD</b>	Reducing emissions from deforestation and forest degradation
<b>RfP</b>	Request for proposals
<b>RPSP</b>	Readiness Preparatory and Support Programme
<b>SIDS</b>	Small islands developing States
<b>ToC</b>	Theory of change
<b>UN</b>	United Nations
<b>UNDP</b>	United Nations Development Programme
<b>UNDRIP</b>	United Nations Declaration on the Rights of Indigenous Peoples
<b>UNEP</b>	United Nations Environment Programme
<b>UNESCO</b>	United Nations Educational, Scientific and Cultural Organization
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>UNPFII</b>	United Nations Permanent Forum on Indigenous Issues
<b>WB</b>	World Bank
<b>WFP</b>	World Food Programme



## A. INTRODUCTION

At the thirty-seventh meeting of the Board (B.37) of the Green Climate Fund (GCF) held in Tbilisi, Georgia, from 23 – 25 October 2023, the Board approved the Independent Evaluation Unit's (IEU) workplan for 2024.<sup>1</sup> The approved workplan mandates the IEU to independently evaluate the GCF's approach to Indigenous Peoples (IPs).

The GCF has articulated an Indigenous Peoples Policy (IPP) adopted by the Board and contained in annex XI to decision B.19/11. The overall aim of the IPP is to provide a structure that ensures GCF activities are developed and implemented in a manner that fosters full respect, promotion, and safeguarding of IPs so that they:

- benefit from GCF activities and projects in a culturally appropriate manner.
- do not suffer harm or adverse effects from the design and implementation of GCF-financed activities.

The evaluation aims to objectively assess the GCF's approach towards IPs, focusing on the relevance, effectiveness, and coherence of the IPP.

The evaluation is expected to contribute to an accountability, learning, and dialogue focusing on IPs. The primary audience of the evaluation will be the GCF Board and Secretariat. The other key stakeholders include the GCF beneficiaries and Indigenous Peoples groups, Indigenous Peoples Advisory Group (IPAG), along with national designated authorities (NDAs), accredited entities (AEs), other entities in the GCF ecosystem, and civil society organizations.

## B. BACKGROUND AND CONTEXT

### 1. INDIGENOUS PEOPLES AND THE UNITED NATIONS

The persistent efforts of IPs to secure their rights at the United Nations (UN) have led to their inclusion in several declarations and conventions.<sup>2</sup> The discourse on IPs internationally is outlined primarily by the following four:

- International Labour Organization (ILO) Convention 169<sup>3</sup>
- United Nations Permanent Forum on Indigenous Issues (UNPFII)
- United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)<sup>4</sup>
- Special Rapporteur on the Rights of the Indigenous Peoples

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<sup>1</sup> See <https://ieu.greenclimate.fund/sites/default/files/document/ieu-work-plan-budget-2023.pdf>.

<sup>2</sup> GCF Indigenous Peoples' Policy and Operational Guidelines list the following conventions as relevant to IPs issues: International Covenant on Economic, Social and Cultural Rights, International Covenant on Civil and Political Rights, International Convention on the Elimination of All Forms of Racial Discrimination, Convention on the Rights of the Child, Convention on the Protection and Promotion of Diversity of Cultural Expressions, Convention on the Elimination of Discrimination Against Women, Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment; Convention for the Safeguarding of Intangible Cultural Heritage, Convention Concerning the Protection of the World Cultural and Natural Heritage, United Nations Framework Convention on Climate Change - Decision 1/CP.16, Warsaw Framework for REDD+, Cancun Agreement (decision 1/CP.16), Convention on Biological Diversity.

<sup>3</sup> International Labour Organization, "C169 - Indigenous and Tribal Peoples Convention (No. 169)", adopted at the 76th ILC session, Geneva, 27 June 1989. Available at

[https://normlex.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100\\_ILO\\_CODE:C169](https://normlex.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C169).

<sup>4</sup> Available at [https://www.un.org/development/desa/indigenouspeoples/wp-content/uploads/sites/19/2018/11/UNDRIP\\_E\\_web.pdf](https://www.un.org/development/desa/indigenouspeoples/wp-content/uploads/sites/19/2018/11/UNDRIP_E_web.pdf).

These four institutional mechanisms each play unique but complementary roles in advancing the recognition and political participation of IPs at the international level. ILO 169, as a legally binding treaty, provides a robust legal foundation for IP rights, ensuring enforceable protections and active involvement in decision-making. The UNPFII is a vital consultative body, integrating indigenous concerns into the broader UN agenda and facilitating dialogue between IP communities and UN agencies. The UNDRIP, though non-binding, offers an extensive set of guidelines that promote the respect and implementation of indigenous rights globally, emphasizing self-determination and free, prior and informed consent. Together, these instruments form a comprehensive Indigenous Rights Framework that informs international discourse, including those within the United Nations Framework Convention on Climate Change (UNFCCC). Other publications from the Convention on Biological Diversity and the Office of the High Commissioner for Human Rights (OHCHR) on IPs and the United Nations Human Rights System are also relevant to the evaluation and will be reviewed.

### **IPs Rights at the UNFCCC**

The importance of engaging with IPs in climate change policies and actions has been recognized by the Conference of the Parties (COP) to the UNFCCC, including in the Cancun Agreement (decision 1/CP.16).

Over the years, in alignment with the broader UN narrative on IPs rights, the COP has increasingly recognized the rights of the IPs, acknowledging their vulnerability to climate change and the value of their knowledge in sustainable adaptation planning and action. For example, the preamble of the Paris Agreement acknowledges that Parties taking action to address climate change should respect, promote and consider their respective obligations on, inter alia, the rights of indigenous people. The COP decision that adopted the Paris Agreement (decision 1/CP.21) recognized the importance of strengthening the practices and efforts of local communities and IPs in addressing climate change and operationalized the local communities and IPs platform to assist them.

## **2. THE GCF'S MANDATE ON INDIGENOUS PEOPLES**

Paragraph 71 of the GCF Governing Instrument (GI) states that the Board “will develop mechanisms to promote the input and participation of stakeholders, including Indigenous Peoples, in the design, development, and implementation of the strategies and activities to be financed by the Fund”.

In 2014, the GCF received guidance from COP20 to “enhance [its] consideration of local, indigenous and traditional knowledge and practices and their integration into adaptation planning and practices, as well as procedures for monitoring, evaluation and reporting”.<sup>5</sup> At its fifteenth meeting, the GCF Board adopted decision B.15/01, which requested the GCF Secretariat to develop a fund-wide Indigenous Peoples Policy.<sup>6</sup>

Subsequently, COP26 guidance<sup>7</sup> encouraged the GCF Board to clarify further the role of data and information from, inter alia, the Intergovernmental Panel on Climate Change and traditional, local and indigenous knowledge, and practices in the assessment of concept notes (CNs), project

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<sup>5</sup> Annex to Decision 4/CP.20 (FCC/CP/2014/10/add.2). Available at

<https://documents.un.org/doc/undoc/gen/g15/018/27/pdf/g1501827.pdf>.

<sup>6</sup> GCF Board Decision B.15/01. Available at <https://www.greenclimate.fund/decision/b15-01>.

<sup>7</sup> Decision 6/CP.26

preparation funding applications, and funding proposals. Further, COP27 (2022)<sup>8</sup> urged the GCF Board to

“continue incorporating Indigenous Peoples’ and local communities’ interests, perspectives, knowledge and climate priorities into its decision-making, including through its Indigenous Peoples Policy and the recommendations of the IPAG as well as through continued engagement with, inter alia, the Facilitative Working Group of the Local Communities and Indigenous Peoples Platform and the International Indigenous Peoples’ Forum on Climate Change.”<sup>9</sup>

### 3. RELEVANT POLICIES OF THE GCF

#### a. Indigenous Peoples Policy

In 2018, the GCF Indigenous Peoples Policy<sup>10</sup> was adopted by the GCF Board in decision B.19/11. The policy assists the GCF in incorporating considerations related to IPs into its decision-making while working towards its mitigation and adaptation goals. The overall objective of this policy is to provide a structure that ensures GCF activities are developed and implemented in a way that fosters full respect, promotion, and safeguarding of IPs so that they (i) benefit from GCF activities and projects in a culturally appropriate manner, and (ii) do not suffer harm or adverse effects from the design and implementation of GCF-financed activities.

The operational guidelines further explained the policy requirements and related environmental and social safeguards (ESS)<sup>11</sup> for assisting the AEs in meeting the policy requirements.

#### b. Revised Environmental and Social Policy

The Revised Environmental and Social Policy is essential to the GFC ESS. The revised policy, adopted by Board decision B.BM-2021/18, reflects GCF’s commitment to “give due consideration to persons in vulnerable positions and situations and marginalized populations, groups, and individuals, including women and girls, local communities, IPs, and other marginalized groups of people and individuals that are affected or potentially affected by GCF-financed activities and are especially vulnerable to exploitation or other potentially harmful unintended project impacts”.<sup>12</sup> Regarding IPs, the revised Policy states that all GCF-financed activities will avoid adverse impacts on IPs and support the full and effective participation of Indigenous Peoples.<sup>13</sup>

#### c. Gender Policy

The Gender Policy, adopted by Board decision B.24/12 in 2019, is guided by the Paris Agreement, which acknowledges that the rights of IPs and local communities, among others, shall be considered when taking actions to address climate change and that the adaptation action should be based on and guided by the best available science and traditional knowledge, knowledge of IPs and local knowledge systems, where appropriate.

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<sup>8</sup> Decision 16/CP.27

<sup>9</sup> Details on International Indigenous Peoples Forum on Climate Change are available at <http://www.iipfcc.org>.

<sup>10</sup> See <https://www.greenclimate.fund/sites/default/files/document/ip-policy.pdf>.

<sup>11</sup> Operational guidelines: Indigenous Peoples Policy. Available at

<https://www.greenclimate.fund/sites/default/files/document/ipp-operational-guidelines.pdf>.

<sup>12</sup> Revised Environmental and Social Policy, paragraph 3(d)

<sup>13</sup> Revised Environmental and Social Policy, paragraph 8(q)

#### **d. Interim Environmental and Social Safeguards of the GCF**

In decision B.07/02, the Board adopted, on an interim basis, the Environmental and Social Performance Standards of the International Finance Corporation (IFC)<sup>14</sup> as the interim ESS of the GCF. Among eight Performance Standards, the seventh Performance Standard (PS7) on Indigenous Peoples ensures full respect for IPs, including human rights, dignity, livelihoods, culture, knowledge and practices. PS7 recognizes IPs as more vulnerable to the adverse impacts associated with project development than non-indigenous communities. PS7 aims to anticipate and avoid adverse impacts of projects on IPs communities or minimize and/or compensate for such impacts. The GCF has not completed the process of developing its own ESS standards. However, it is developing an overarching framework for improving environmental and social outcomes while addressing any unintended adverse impacts of GCF-financed activities.

#### **e. On climate rationale**

Additionally, in decision B.33/12, paragraph (h), the Board decided that using the best available information and data is sufficient to form the basis for demonstrating impact potential for GCF-supported activities while taking into account the context of the proposal, the different capabilities of AEs, and country and regional circumstances. Such data and information are available from the Intergovernmental Panel on Climate Change and traditional, local and indigenous knowledge and practices.

#### **f. Strategy-related decisions on Indigenous Peoples**

In addition to policies, the Board has also articulated some strategic decisions with implications for programming with and for IPs. The Strategic Plan for the Green Climate Fund 2024–2027 mentioned IPs and traditional knowledge concerning innovation and the private sector, collaboration for paradigm shift, adaptation, resources to support planning/origination, and access. For example, paragraph 8 states that the “GCF puts a specific focus on supporting developing countries and their communities and people, who are most vulnerable to the adverse effects of climate change, striving for inclusive climate action in line with its Revised Environmental and Social Policy, and integrating local communities, IPs, women and people with disabilities as agents of change”.<sup>15</sup> Furthermore, clause 4.2(g) of the strategic plan states that the GCF will “pursue collaborative stakeholder engagement with the IPAG and other stakeholders to scope where there is potential for inclusive innovation based on traditional, local, and indigenous knowledge and practices, social and digital enterprises, and also to identify opportunities to source and aggregate a pipeline of locally led solutions”.<sup>16</sup> Also on knowledge and learning the strategic plan states that GCF should be “establishing more structured forums for stakeholder engagement and expert feedback, learning loops and advice, adopting participatory approaches that draw on insights of affected communities, IPs, civil society, women, youth and academia”<sup>17</sup>.

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<sup>14</sup> International Finance Corporation, “Performance Standards on Environmental and Social Sustainability (2022). Available at <https://www.ifc.org/content/dam/ifc/doc/2010/2012-ifc-performance-standards-en.pdf>.

<sup>15</sup> Strategic Plan for the Green Climate Fund 2024–2027. Available at <https://www.greenclimate.fund/sites/default/files/document/strategic-plan-gcf-2024-2027.pdf>.

<sup>16</sup> Ibid.

<sup>17</sup> Ibid.

## C. EVALUATION QUESTIONS AND APPROACH

### 1. EVALUATION QUESTIONS

In light of the current stage of GCF operations and approach to IPs, this evaluation primarily aims to assess the relevance and effectiveness of the GCF approach to IPs. The approach of the GCF to IPs encompasses the GCF's Indigenous Peoples Policy (IPP) and the portfolio directed towards the IPs. The evaluation will also investigate the effectiveness and benefits of the GCF portfolio and modalities on IPs and the extent to which the implementation of the GCF's IPP has guided such results. The evaluation will also assess the internal and external coherence of the policy.

In addition, the evaluation asks several specific questions, including:

- What is the GCF approach to IPs? How does the GCF policy framework respond to international standards, including providing necessary and sufficient mechanisms to ensure the full and effective participation, protection, and sharing of benefits of IPs in GCF activities?
- What has been learned about IPP coherence and best practices regarding (i) its alignment with internal policies, processes and procedures and (ii) IPP provisions from similar organizations?
- To what extent are IPs involved in GCF country coordination and consultation processes, and with what results?
- To what extent has the GCF identified, utilized, and integrated traditional and local IPs' knowledge into project innovations and climate data, and how has this knowledge influenced the design of subsequent projects and supported capacity and resilience building?
- To what extent have GCF-funded activities respected and promoted IPs practices, governance structures and complex knowledge systems?
- To what extent has the IPP been effectively implemented and avoided potential risks concerning IPs?
- How effectively has the GCF ensured ongoing engagement, including consent, participation and leadership of IPs, especially indigenous women, in its activities, and what have been the effects?
- What unforeseen adverse impacts have GCF-funded activities had on IPs?

For detailed information about the evaluation matrix, see Appendix 1.

### 2. EVALUATIVE APPROACH

The evaluation team will approach work with the universally upheld commitment of respect for IPs, guided by the evaluation questions and aligned with GCF Evaluation Standards. The evaluation framework will be based on participatory and culturally sensitive approaches. However, the requirements and timeline of this evaluation limit the full application of Indigenous Evaluative Frameworks (IEFs). Therefore, the evaluation **will adopt a theory-based approach to assess GCF processes and practices against established GCF evaluative criteria**, informed by a set of normative standards tailored to the specific mandate and context of the GCF.

**Normative standards.** To ensure the evaluation is objective, the evaluation team will identify a set of standards by reviewing the current discourse on IPs. The current discourse on IPs, as particularly evidenced through the UNDRIP and the Indigenous and Tribal Peoples Convention (ILO No. 169), identifies certain principles and values as universally applicable to international development cooperation. While climate finance is often considered separate from development cooperation,

many valuable lessons from development cooperation may apply to the GCF. Therefore, the evaluation team will apply these standards in evaluating the GCF's approach to IPs. The standards identified by the evaluation team include:

- Ensuring free, prior and informed consent (FPIC)
- Respecting and enhancing the rights of IPs to their lands
- Avoiding adverse impacts on IPs
- Facilitating IPs' access to resources
- Respecting systems of self-government
- Providing grievance mechanisms
- Enhancing gender considerations for IPs

Detailed definitions of all standards are explained in Table 1.

*Table 1. Definition of the normative standards for the evaluation*

NORMATIVE STANDARDS	SUMMARY OF RELEVANT INTERNATIONAL PROVISIONS	IEU'S ASSESSMENT OF IMPLICATIONS FOR THE GCF
Free, prior and informed consent	<i>UNDRIP articles 10, 11.2, 19, 28, 29.2, 32.2</i> IPs must not be forcibly removed from their lands without free, prior, and informed consent. Fair compensation and the option to return whenever possible must be provided.	Consultation and FPIC through representative institutions Redress, including restitution, for property damaged or taken without consent or in violation of indigenous laws
Respect and enhance the rights of IPs to their lands, territories and resource	<i>UNDRIP articles 8.b, 10, 25, 26.1, 26.2, 26.3, 27, 28.1, 28.2, 29.1, 29.2, 30.1, 30.2, 32.1</i> IPs have the right to determine and develop strategies for managing their lands, territories, and resources while preserving their spiritual, cultural, and material relationship with these areas for future generations.	Recognize and protect lands, respecting indigenous customs and land tenure systems. Obtain FPIC before approving projects affecting indigenous lands or resources. Ensure IPs are not forcibly removed from their lands without consent, fair compensation, and the option of return. Prevent dispossession of IPs' lands and ensure redress through restitution or fair compensation. Protect IPs' environment and resources, such as prohibiting hazardous materials and restricting military activities on IPs' land unless freely agreed upon.
Avoid adverse impact on IPs	<i>Indigenous and Tribal Peoples Convention 1989, ILO No 169, Article 7.3; UNDRIP, UNGA, Article 32.3</i> Governments will ensure, where appropriate, that studies are conducted in cooperation with the communities involved to assess the social, spiritual, cultural and environmental impacts of planned development activities. The	Conduct studies in partnership with IPs to assess the social, spiritual, cultural, and environmental impacts of planned development activities. Treat the results of these studies as fundamental criteria in designing and implementing activities. Provide effective just and fair redress mechanisms while implementing

NORMATIVE STANDARDS	SUMMARY OF RELEVANT INTERNATIONAL PROVISIONS	IEU'S ASSESSMENT OF IMPLICATIONS FOR THE GCF
	<p>results of these studies will be treated as fundamental criteria for implementing these activities.</p> <p>States will provide effective mechanisms for just and fair redress for such activities and take appropriate measures to mitigate adverse environmental, economic, social, cultural or spiritual impacts.</p>	<p>measures to mitigate any adverse environmental, economic, social, cultural, or spiritual impacts.</p>
<p>Facilitate access to resources for IPs</p>	<p><i>UNDRIP, UNGA, Article 39</i></p> <p>Indigenous Peoples have the right to access financial and technical assistance from states and through international cooperation to enjoy the rights contained in this Declaration.</p>	<p>As stated in its strategy, the GCF is committed to improving resource access, a cross-cutting priority. It will achieve this by enhancing programming and operational capacities, including considering a regional GCF presence.</p> <p>The GCF will focus on increasing resources managed by direct access entities (DAEs) by offering capacity-building, improving the predictability of programming, and simplifying communications to ease the funding process.</p> <p>The GCF will also expand the Enhanced Direct Access (EDA) modality and other devolved financing approaches, enabling faster access to funds for locally led adaptation efforts ensuring the involvement of IPs, affected communities, and civil society in delivering solutions that reach last-mile beneficiaries.</p>
<p>Respect the system of self-government</p>	<p><i>Indigenous Peoples Policy, GCF, Annex XI to Decision B.19/11; UNDRIP, UNGA, Article 4</i></p> <p>The GCF should promote respect for the right of indigenous communities to freely pursue their economic, social and cultural development and their right to autonomy or self-governance in matters relating to their internal and local affairs, including access to resources for financing their autonomous functions.</p> <p>In exercising their right to self-determination, IPs are entitled to autonomy or self-governance in their internal and local affairs and access to resources for financing their autonomous functions.</p>	<p>Uphold the right of IPs to freely pursue their economic, social, and cultural development, as well as their right to autonomy or self-government in matters relating to their internal and local affairs.</p> <p>Support IPs in accessing resources to finance their autonomous functions.</p>
<p>Grievance mechanisms</p>	<p><i>UNDRIP, UNGA, articles 8, 11.2, 12.2, 32.3</i></p> <p>Indigenous Peoples are entitled to</p>	<p>Provide effective mechanisms for just and fair redress for activities that adversely impact IPs.</p>

NORMATIVE STANDARDS	SUMMARY OF RELEVANT INTERNATIONAL PROVISIONS	IEU'S ASSESSMENT OF IMPLICATIONS FOR THE GCF
	redress, which may include restitution or, when this is not feasible, just, fair and equitable compensation for lands, territories and resources they have traditionally owned, occupied, or used that have been taken, occupied, used or damaged without their FPIC.	
Gender consideration for IPs	<p><i>UNDRIP, UNGA, articles 21.2, 22; Indigenous and Tribal Peoples Convention 1989, ILO No 169, Article 20.2.d</i></p> <p>States will take effective measures and, where appropriate, targeted actions to ensure the ongoing improvement of IPs' economic and social conditions. Particular attention will be given to the rights and needs of indigenous elders, women, youth, children and people with disabilities.</p> <p>Indigenous workers, both women and men, must be given equal opportunities, fair treatment, and protection from sexual harassment.</p>	<p>Where appropriate, take effective and targeted measures to improve the economic and social conditions of Indigenous Peoples, with a particular focus on the rights and needs of women.</p> <p>Ensure that indigenous women are fully protected from all forms of violence and discrimination.</p>

Source: IEU evaluation team

This normative framework has identified the key assessment areas based on internationally recognized treaties and institutions. To ensure transparency, the evaluation team will also develop **evaluative rubrics** with clear standards for each area of inquiry within this list of normative standards.

**Utilization-focused:** The evaluation will focus on the utility of the process and the evaluation products for key stakeholders, aiming to provide learning opportunities, inform decision-making, and improve GCF's overall performance concerning IPs. The primary audiences for this evaluation are the GCF Board and Secretariat. Key stakeholders also include GCF beneficiaries, IPs groups, NDAs, AEs, and other entities within the GCF ecosystem, including the IPAG. The final evaluation report will be presented at the first GCF Board meeting in 2025.

**Incorporating IEFs:** Given the scope and focus of the evaluation, there are limitations on the extent to which the evaluation can include IPs' participation. However, the team will gather and reflect on IPs' perspectives whenever possible. The team aims to apply the principles of IEFs to guide data-collection and analysis (LaFrance and Nichols, 2008; Kovach, 2010). This involves using qualitative research methods to explore different perspectives on the areas of inquiry set out by the IPs normative framework. The team composition will also include IPs professionals and evaluation specialists to transparently reflect IPs' views on GCF's policies and practices (Squire, 2013). IEF principles will be incorporated into the evaluation's modalities, tools, and protocols, including interview guides and the country case study protocol. Additionally, IEF principles will be applied in the quantitative analysis of the portfolio to assess how well GCF's projects address IPs' needs and priorities.



### 3. EVALUATION FRAMEWORK

To answer the main evaluation questions, the evaluation will focus on three units of analysis: the GCF institutional framework, the GCF institutional strategy and the effects of the GCF IPP on the ground.

Firstly, **the GCF institutional framework** covers the IPP and its coherence with other GCF policies and practices. The assessment will evaluate how the IPP aligns with other GCF policies and practices, such as the GI, Strategic Plan, Gender Policy, Environmental and Social Standards, and the accreditation process. It will also assess the policy's relevance and alignment with international commitments. The assessment will look at how the IPP is consistent with the updated Gender Policy, the updated ESS and the Environmental and Social Management System. Findings will be derived from policy mapping, benchmarking studies, a desk review, and key informant interviews with GCF staff, stakeholders, and sector experts.

Secondly, **the GCF institutional strategy** includes (i) the strategic approaches identified by the GCF and the reflection of IPs in these strategies, and (ii) the capacities of the GCF and its stakeholders to engage effectively with IPs. Findings will be drawn from a review of key documents on accreditation, readiness, funding modalities, and project management, including monitoring, an assessment of quantitative data collected by the GCF, and key informant interviews with GCF staff. These will be assessed for alignment with the GCF strategic plan 2024 – 2027.

Thirdly, **the effectiveness of the GCF IPP** in applications for funding proposals (FPs). This unit of analysis examines the performance of GCF's investments against some of the normative standards. It covers the observable results in FPs and relates to (i) adherence to FPIC principles by AEs, DAEs and implementing entities, (ii) consideration of IPs knowledge in GCF projects, (iii) effectiveness of the grievance and redress mechanism in line with the IPP, (iv) engagement of IP organizations in project origination, and (v) capacity development of IPs and local communities and organization to engage with GCF projects. Findings will be derived from key informant interviews with representatives of AEs and IPs' organizations and sector experts, a secondary review of GCF qualitative and quantitative data, and an analysis of primary data collected during the five case study missions.

These three units will be evaluated using eight GCF criteria and the above normative framework. The combination of these two analytical frameworks will guide the development of key evaluation questions, as discussed in the next section, and the subquestions, which are available in Appendix 1. Table 2 presents a summary of the two analytical frameworks and the units of analysis.

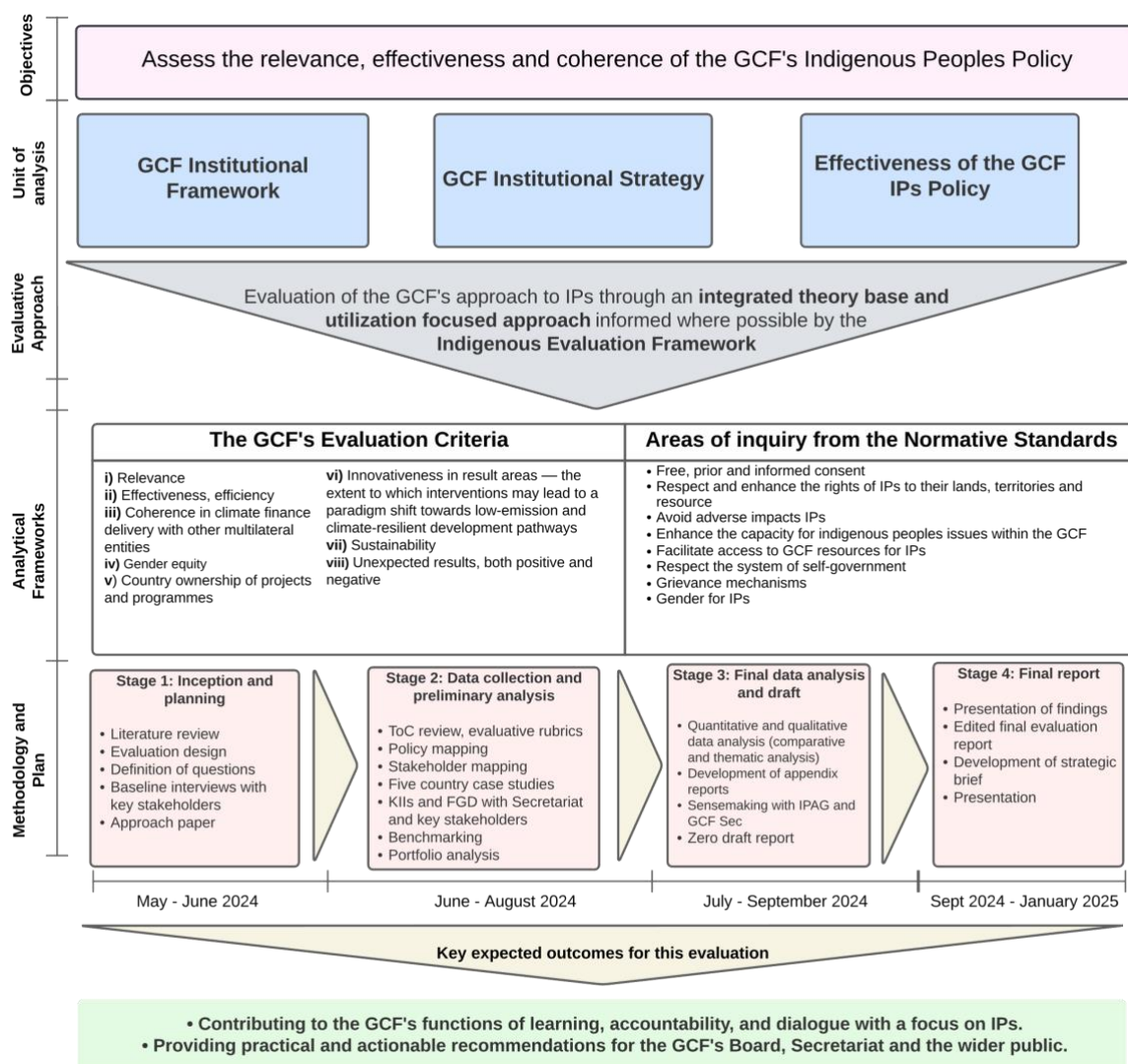
*Table 2. Summary of evaluation frameworks and units of analysis*

GCF EVALUATION CRITERIA	NORMATIVE FRAMEWORK	UNITS OF ANALYSIS
<ul style="list-style-type: none"> <li>• Relevance</li> <li>• Effectiveness</li> <li>• Coherence in climate finance delivery with other multilateral entities</li> <li>• Gender equity</li> <li>• Country ownership of projects and programmes</li> <li>• Innovativeness in result areas and sustainability</li> </ul>	<ul style="list-style-type: none"> <li>• FPIC</li> <li>• Respect and enhance the rights of IPs to their lands, territories and resource</li> <li>• Avoid adverse impact on IPs</li> <li>• Enhance the capacity for IPs' issues within the GCF</li> <li>• Facilitate access to GCF resources for IPs</li> <li>• Respect the system of self-</li> </ul>	<ul style="list-style-type: none"> <li>• GCF Institutional framework</li> <li>• GCF institutional strategy</li> <li>• Effectiveness of the GCF IPP on the ground</li> </ul>

GCF EVALUATION CRITERIA	NORMATIVE FRAMEWORK	UNITS OF ANALYSIS
<ul style="list-style-type: none"> <li>Sustainability</li> <li>Unexpected results, both positive and negative</li> </ul>	<ul style="list-style-type: none"> <li>government</li> <li>Grievance mechanisms</li> <li>Gender for IPs</li> </ul>	

Source: IEU evaluation team

Figure 1. Evaluation framework



Source: IEU evaluation team

## D. METHODS

The evaluation will adopt a utilization-focused approach and framework, aiming to be practical for its intended users by providing learning, accountability and dialogue purposes. In keeping with this approach, the evaluation team will work closely with relevant stakeholders to ensure a participatory, consultative, and engaging process. Engaging key stakeholder representatives in diverse ways throughout the evaluation will generate relevant insights and recommendations that are useful to all and foster appropriation, ownership, and buy-in.

This evaluation will use standard evaluation methods. The team will integrate elements of the IEF approaches, methods, and tools to maintain a focus on utilization and learning, ensure participation at key stages, and deliver rigorous and credible findings. The evaluation will use a theory-based and mixed methods approach, incorporating qualitative and quantitative methods for data-collection, data set building, and data analysis.

Key methods for data gathering include:

- Synthesizing past evaluation reports and case studies.
- Reviewing relevant literature such as those from comparator organizations and peer-reviewed sources.
- Conducting desk research encompassing policy and project document analyses as well as programme theory analyses.
- Performing portfolio and subportfolio analyses using detailed and comprehensive data collected on projects by the IEU.
- Engaging in semi-structured interviews and focus group discussions (FGDs).
- Undertaking a series of country case studies through in-person field visits.

Each evaluation question will be answered using systematic, traceable and relevant information sources, ensuring a rigorous triangulation of evidence. This approach aims to enhance the representativeness and credibility of the evidence and recommendations while indicating areas where evidence was insufficient nor where confidence in the evidence was low. The evaluation team will apply a diverse set of methods to assess the GCF's approach to IPs against the units of analysis. Each method is described in detail below.

## 1. DESK RESEARCH

The evaluation team will review various documents to better understand the GCF suite of policies and other operational guidelines that directly and indirectly impact IPs. This process will provide insights into the strengths and limitations of the existing data by drawing from a diverse range of sources, as listed in Table 3 and full list of documents in Appendix 8.

*Table 3. Document review sources*

POLICIES AND GUIDELINES	PROJECT AND READINESS DOCUMENTS AND EVALUATIONS
Indigenous Peoples plan	Project cycle documents (CNs, FPs)
Indigenous Peoples Policy	Project Preparation Facility documents
Operational guidelines: Indigenous Peoples Policy	Readiness proposals, accreditation guidelines
Indigenous Peoples planning framework	Audits and evaluations
Gender action plan	Simplified Approval Process documents
Gender and social inclusion Action plan	
ENVIRONMENTAL AND SOCIAL	COUNTRY LEVEL PLANNING
Environmental and Social Assessment Report	Country programme documents
Environmental and Social Safeguards	National Adaptation Plan
Environmental and Social Management Plan	Nationally determined contributions

Source: IEU evaluation team

### a. Literature review

The evaluation team will review relevant peer-reviewed and grey literature on IPs and climate change. The review will be extended to literature from other academic and non-academic papers that examine the challenges and results of climate resilience investments aimed at supporting IPs. Additionally, the evaluation will review IPs-related evaluations from the evaluation offices of other multilateral organizations and climate funding agencies. The methods and early results were described earlier in the report, while the literature review will continue to be refined and expanded throughout the evaluation.

During the inception period, the evaluation team reviewed key peer-reviewed and grey literature on interventions related to IPs in climate change investments. This review aimed to provide a foundational understanding for the evaluation and to establish a normative standard.

To identify relevant peer-reviewed literature, the team conducted a web search on IPs in climate finance and development and consulted experts. From the search results, the evaluation team selected approximately 44 studies based on two criteria: their focus on IPs and their relevance to the evaluation questions. These studies included documents from multilateral organizations, academic papers, grey literature published by international development organizations, and project evaluations. These documents will also be used for benchmarking analysis and country case studies. The literature review will be ongoing throughout the evaluation to refine and enhance the evaluation framework. The initial set of 43 documents identified for review is listed in Appendix 7.

Additionally, the evaluation team plans to conduct a policy mapping exercise for the final evaluative report to better understand the coherence among GCF policies. This will provide important background and context for the evaluation and help identify issues of alignment and consistency needed for effective governance.

### b. Benchmarking

Benchmarks refer to the criteria by which an evaluand is judged during an evaluation. The criteria are related to standards and evaluative criteria. Benchmarking is used here to refer to the process of a contextualized and comparative assessment of how the GCF engages with IPs. This exercise will involve assessing a range of comparable climate finance organizations with the GCF regarding different aspects of engaging with IPs.

**Scoping of standards:** The evaluation team will draw on an initial review of secondary information to propose standards and performance measures regarding engagement with IPs for the benchmarking process. These will be added to and/or adjusted during the benchmarking work.

**Organizations to be included in the benchmarking:** As comparators to the GCF, the benchmarking will include other organizations that are either climate finance providers or climate finance delivery organizations.

- Climate finance providers, e.g. Asian Development Bank (ADB), African Development Bank, Inter-American Development Bank (IDB), World Bank (WB), Global Environment Facility (GEF), Adaptation Fund, and Climate Justice Resilience Fund.
- Philanthropic Funds, e.g. Rainforest Foundation Norway, Ford Foundation, and OAK Foundation.
- Climate finance delivery organizations, e.g. United Nations Development Programme (UNDP), Food and Agriculture Organization of the United Nations (FAO), World Food Programme and International Fund for Agricultural Development (IFAD).

- IPs and other local-level funds, e.g. Fundo Casa Socioambiental and Fundo Podáali.

## 2. PORTFOLIO REVIEW

### a. DataLab analysis

Portfolio-wide and external data analysis will be critical for this evaluation. The evaluation team will work closely with the IEU DataLab to determine which data analyses could inform the key evaluation questions and to identify the data needed for those analyses. Data analysis will also be important for the interview process, as described in Table 4 below. Data and analysis from the DataLab will be triangulated with findings from key informant interviews and FGDs to validate the evidence emerging from those exercises. An initial list of data analyses organized by evaluation questions is included in Appendix 3. The portfolio review will also analyse qualitative data from the following types of documents: FPs,<sup>18</sup> Funded Activity Agreements (FAAs),<sup>19</sup> annual performance reports (APRs),<sup>20</sup> interim evaluations (IEs), inception reports, and terminal evaluations.

The evaluation team will also develop a typology of IPs-related projects for both qualitative and quantitative analyses. This typology recognizes the diversity of these projects regarding IPs' engagement, benefits, and effects. The typology will be based on other well tested scales of citizen and IPs participation and will draw from current literature and good practice. Key references for developing the scale of indigenous engagement in GCF projects and programmes will include Dawson and others (2024) typology of the roles of IPs and local communities in conserving biodiversity and Norwegian Agency for Development Cooperation (2013) framework for analysing participation in development. Once developed, all projects and programmes in the evaluation will be coded using a qualitative thematic review of key documents, guided by clear standards that define the different levels of IPs participation.

For the quantitative analysis and descriptive statistics, the evaluation team will determine the share of investment in GCF IPs-related projects and prepare data summaries in both tabular and graphical forms. The current portfolio includes 156 projects that are IPs-related, of which a narrower group of 89 projects have substantially considered IPs' issues in their FPs. The evaluation will also consider the date of the adoption of the IPP as another comparison variable to identify any before and after patterns.

### b. Stakeholders' interviews

The evaluation will include interviews with a wide range of stakeholders. The evaluation team conducted a stakeholder analysis to identify the relevant stakeholders at all Fund levels.

To guide the interviews, semi-structured interview protocols will be developed, tailored by stakeholder type, and iteratively tested and improved. Interviews will be held in-person when feasible or via telephone or videoconference when not. Interviewers will take detailed, typed notes, which will be held confidentially and coded through a user-friendly software platform to facilitate qualitative analysis. Table 4 shows the types of stakeholders that will be consulted and the sampling approach.

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<sup>18</sup> Monitoring framework of funded proposals of AEs.

<sup>19</sup> Contract signed between the GCF and the AE for a particular project, post Board approval of a project, the FAA also includes any covenants placed by the GCF on that project – contract covenants on ESS.

<sup>20</sup> As part of the FAA contract and the MAF, AEs are required to share their APRs every year, which serve as the key document for the GCF to track project implementation.

**Table 4. Stakeholders to be interviewed**

TYPE OF STAKEHOLDER	CONSIDERATIONS OF PURPOSIVE SAMPLE
GCF Secretariat <sup>21</sup> independent units and panels/committees	All relevant divisions and units at the Secretariat/independent units, specifically OSI, DCP, DPM, DMA, ORMC, IRM, iTAP and Accreditation Panel, IPAG
GCF Board Member	Specific bilateral interviews with Board Members and advisers
IPs as beneficiaries	Country case studies, IPs' networks at the regional, global and country level
GCF active CSO and private sector organization (PSO) observers	Select interviews with CSO/PSO active observers, interviews as part of case studies
NDA/focal points and DAEs	As part of case studies, with a focus on contexts with experience with IP programming
IAEs	UN, private sector, regional, and as part of the case studies
Additional international actors	UNFCCC Secretariat, academics
Additional external actors for benchmarking	Actors mentioned in the benchmarking section
IPs leads and experts from academia and NGOs	Bilateral specific interviews with external experts

Source: IEU evaluation team

Abbreviations: OSI = Office Sustainability and Inclusion; DCP = Division of Country Programming; DPM = Division of Portfolio Management; DMA = Division of Mitigation and Adaptation; ORMC = Office of Risk Management and Compliance; IRM = Independent Redress Mechanism; iTAP = independent Technical Advisory Panel

### c. Country case studies

Country case studies will assess the relevance, effectiveness, and coherence of the GCF's approach to IPs. These case studies are not intended to be representative of the overall GCF portfolio, given the diversity of IPs. Instead, they will provide insights into the effectiveness and efficiency of the IPP's implementation and the factors that determine or hinder the results of GCF investments. A cross-case analysis will be conducted to inform the overall findings of the evaluation, which will be aligned with selected subquestions in the evaluation matrix and analytical framework of the evaluation.

**Country case study selection:** The evaluation applied purposive sampling to identify five countries for the case studies: Paraguay, Colombia, Botswana, the Philippines and Vanuatu, based on the criteria and considerations described below. Country case studies cover projects with all three ESS categories (A, B, C). The GCF-oriented selection criteria applied to select countries comprise the following:

- Countries with different types of IPs engagement and benefits, such as:
  - IPs as implementers and beneficiaries

<sup>21</sup> The evaluation team is collaborating with the OSI team in GCF, as the custodian of the IP Policy, and with IPAG members during the evaluation's different phases. Additionally, interviews will be conducted within the Secretariat with the DMA, focusing on project origination for activities involving IPs' considerations; the DPM, focusing on project implementation for activities involving IPs' considerations; the DCP, covering regional desks, the ORMC; and the Independent Redress Mechanism, to explore aspects of the policy related to the GRM process at the project level, including capacity building for AEs regarding the GRM. Interviews will also involve the Office of General Counsel to explore contract negotiation issues pertinent to IPs.

- IPs in participation, consultation, capacity-building
- IPs benefits in land and resource rights and access, livelihoods
- IPs as part of safeguarding
- Geographical distribution, taking into account countries not recently visited for IEU evaluations and those with travel restrictions
- A balanced mix of project sizes, themes, types of AEs, financial instruments, results areas, ESS categories, and sectors
- The countries' diversity of geographical, linguistic and legal characteristics
- Preference for countries with at least one completed, or fully disbursed project.

Table 5 presents the attributes of the countries identified using these criteria.

*Table 5. Country cases with IPs-related projects*

COUNTRY	REGION	# IPs-RELATED APPROVED FPS				IPs-RELATED PROJECTS			
			# DAE IMPLEMENTED	# IAE IMPLEMENTED	# SINGLE-COUNTRY	# RPSP	# PSF	ESS CATEGORY	THEME
Botswana	Africa	2	0	2	1	6 grants 1 relevant	0	1 Category A 1 Category B	1 mitigation 1 cross-cutting
Paraguay	LAC	5	1	4	2	9 grants 2 relevant	1	4 Category B 1 Intermediation 1	3 mitigation 2 cross-cutting
Philippines	Asia-Pacific	7	2	5	2	6 grants 1 relevant	4	1 Category B 1 Category C 2 Intermediation 1 3 Intermediation 2	2 adaptation 1 mitigation 4 cross-cutting
Colombia	LAC	11	1	10	3	18 grants 2 relevant	5	6 Category B 2 Intermediation 1 3 Intermediation 2	4 mitigation 5 cross-cutting 2 adaptation
Vanuatu	Asia-Pacific	4	2	2	3	10 grants	0	1 Category B 2 Category C 1 Intermediation 2	4 adaptation

Source: IEU evaluation team

Abbreviation: RPSP = Readiness and Preparatory Support Programme; LAC = Latin America and the Caribbean



#### **d. Country protocol for planning, implementing, reporting, and validation of country visits**

A protocol for the country case studies has been prepared to ensure that evaluators plan, implement, report, and validate country visits consistently to enable cross-case analysis. The protocol will be piloted in one country, reviewed and refined, and then applied in the remaining countries. This protocol is provided in Appendix 4. The NDAs/focal points will be actively involved in the conduct of the country case studies to support ownership, learning, and validation. NDAs/focal points will be engaged in the planning process and will have the opportunity to review case study reports, ensure factual accuracy, and suggest improvements.

### **3. GENDER EQUALITY AND SOCIAL INCLUSION ANALYSIS**

The GCF's updated Gender Policy calls for an institution-wide commitment to promoting gender equality across its investment criteria and as "an integrated measure of the social dividends of the overall portfolio". The evaluation will assess the coherence and alignment between the GCF IPs Policy and procedures and its policies and procedures concerning gender equality and social inclusion (GESI). Issues at the intersection of these two areas will be examined to understand how the Gender Policy can ensure proper recognition, participation and support for IPs facing intersecting causes of marginalization and vulnerability. The evaluation will assess the following three key aspects of the GESI policy:

- How effectively have indigenous women, youth, and people with disabilities been involved and consulted in FPIC processes?
- To what extent have the adverse effects of GCF-funded activities impacted indigenous women and other marginalized groups?
- To what extent have GCF activities promoted and supported the participation and leadership of indigenous women and other marginalized groups?

The evaluation will assess the extent to which gender differentiation and equality are considered at the project and programme levels and how investments enhance indigenous women's participation in climate interventions. The evaluation will utilize a mixed methods approach to collect and analyse evidence on the GCF's performance regarding GESI and IPs. Where feasible, the focus will be interpretive analysis driven by qualitative methods and informed by quantitative data.

GESI considerations will be mainstreamed throughout the evaluation to the extent feasible, and gender analysis will be used in each evaluation area. Each tool or framework developed for each method and each data-collection tool will be reviewed from a GESI perspective to ensure they appropriately address the drivers and outcomes of GESI. For example, GESI will be explored in each country case study and reported in a dedicated section. Questions regarding GESI will be included in the interview guides and protocols. DataLab analysis is also expected to provide a gender disaggregated analysis of GCF activities related to IPs.

### **4. EVALUATION SYNTHESIS**

By developing a clear evaluation framework, including evaluation rubrics, key evaluation questions and subquestions, and a theory of change (ToC) for the GCF's approach to IPs, the evaluation team will be able to draw transparent evaluative conclusions using diverse evidence from GCF documentation and a range of external sources. Particular attention will be paid to communicating the evaluation results. To maximize the use of the evaluation findings, a communication strategy

will be agreed upon at the beginning of stage two and reviewed during the evaluation as findings emerge.

As part of the process, the evaluation team will develop annexes and case study reports by the end of phase two. The final evaluation report will also include a concise executive summary. Table 7 presents an overview of the evaluation's workplan.

## 5. ETHICAL CONSIDERATIONS

The team will comply with ethical evaluation standards, including integrity, accountability, and respect, as required under the GCF's Evaluation Standards. In particular, the evaluation will develop and apply ethical protocols that prioritize cultural, social, and individual rights, ensuring culturally sensitive engagement with IPs.

The evaluation team will communicate transparently and openly with relevant stakeholders regarding aspects of the evaluation, such as findings, procedures, limitations, or any changes that may occur during the evaluation.

The team is committed to being sensitive to differences in stakeholders' culture, ethnicity, ability, age, sexual orientation, language, religious beliefs, manners, customs, and practices. In alignment with this commitment, interviews with IPs will be conducted in local languages. To ensure human rights are upheld, the team commits to the principle of "do no harm", respecting the traditions, knowledge, and rights of IPs in all engagements.

Consistent with the principle of inclusion, all country case study reports will be shared with NDAs of the respective countries for factual review and correction. Participation in the evaluation and related data-collection efforts will be strictly voluntary, with an opportunity to refuse or opt-out at any point. Furthermore, participant anonymity will be maintained for all relevant data-collection methods, including interviews and surveys. Interview notes will be anonymized for analysis and not shared outside the evaluation team. If participants request confidentiality, their names will be omitted from the annexes listing interviewees. Interviewers will not disclose the names of other respondents during interviews, even if they may appear to mutually agree. The evaluation team will not base findings on a single source of evidence, ensuring that sensitive data cannot be traced back to its source through triangulation.

## 6. LIMITATIONS

The evaluation faces inherent limitations concerning data quality. The GCF portfolio data on IPs, including direct beneficiaries, investment impacts, and co-benefits, are not tracked with specific indicators. Additionally, budget tracking and disbursement at the activity level are unavailable for all projects, preventing a granular and consistent analysis of financial investments targeting IPs. The data are self-reported by AEs, with limited quality assurance from the Secretariat. To mitigate these limitations, the evaluation team will deploy proxy indicators, cross-check with potential secondary data, and expand the evidence gathered from country case studies.

The evaluation team also faces challenges related to internal validity and reliability of findings. The reliability of the evaluation findings and conclusions may be affected by the reliance on self-reported secondary data from AEs and other GCF stakeholders as the primary data source for the portfolio review. Challenges to internal validity include the limited purposive sample of cases analysed to draw conclusions about the overall performance of the GCF portfolio.

## E. WORKPLAN

### 1. KEY ROLES AND RESPONSIBILITIES FOR THE EVALUATION

The IEU leads this evaluation in partnership with an independent consortium of organizations selected through a competitive procurement process. The consortium comprises the International Institute of Environment for Development (IIED) UK, IIED Europe, and Sophoi. The evaluation team will consist of IEU staff and consortium colleagues, with the IEU fully responsible.

A 2-person evaluation advisory group<sup>22</sup> has also been established to provide specific advice and quality assurance for the evaluation, ensuring it reflects the needs and rigour of high-quality evaluations in this field. The advisory group will be consulted throughout the evaluation process for their expert and independent advice, information, and guidance; however, their advice and inputs will not be binding to the evaluation. The advisory group members were selected based on the following criteria: expertise in IPs issues, membership in IPs communities, and experience in evaluative work related to IPs' concerns and issues.

### 2. PROCESS FOLLOWED TO DATE

Initial inception meetings were held from 27 to 30 May 2024. These meetings enabled the evaluation team to identify clear priorities and finalize key elements of the approach and methods. The evaluation team immediately began the initial data analysis and document review, including examining relevant GCF documents.

A series of scoping conversations with various GCF Secretariat units helped inform the design of the evaluation matrix and identify key issues. These units included the Office of Sustainability and Inclusion (OSI), the Division of Mitigation and Adaptation (DMA), the Division of Portfolio Management (DPM), and the Division of Country Programming (DCP). Additionally, the IEU organized a virtual inception workshop to introduce the GCF to IIED and discuss the approach paper.

### 3. GENERAL WORKPLAN

The evaluation process has been divided into four general stages:

- **Inception, planning, approach paper/inception report and evaluability assessment stage** (April 2024 – May 2024): This stage involves the inception mission, preparations of data-collection, and management tools. It serves the purpose of ensuring that preparations and planning could be undertaken appropriately.
- **Data-collection, data management, and initial analysis stage** (May–September 2024): This stage involves planning and implementing the data-collection and analysis methods described above.
- **Analyses, evidence tree, and factual draft stage** (August–September 2024): This stage involves synthesizing data analysis, report writing and delivering a presentation. During this stage, findings and recommendations will be drafted.

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<sup>22</sup> Myrna Cunningham Kain, Miskita feminist and indigenous rights activist, Pawanka Fund. Ms. Ekaterina Sediakina, Principal Evaluation Specialist, UNESCO

- **Reporting stage** (December–March 2025) involves finalizing and disseminating the evaluation report and associated products.

The four key deliverables for the evaluation are described in Table 6, followed by a detailed workplan in Table 7. The plan may change due to evolving needs concerning data, method, Board and IEU priorities, and other factors involved in executing a complex evaluation within the GCF.

#### 4. KEY DELIVERABLES

In addition to the key deliverables outlined below, outreach products, such as evaluation briefs and learning materials, will be produced by 31 March 2025.

*Table 6. Key deliverables and deadlines*

KEY DELIVERABLE	DESCRIPTION	EXPECTED DATE
Inception report/ Approach paper	Final approach paper: describe the evaluation's approach, methods, workplan, and plan for country visits, and include a refined evaluation matrix for developing the data-collection tools.	September 2024
Collected data and analysis	Data-collection and analysis: collect data, conduct landscape analysis, perform benchmark assessments, synthesize past IEU evaluations, analyse data, finalize country mission reports, and develop the initial evidence tree.	30 September 2024
Factual report	Factual report: cover the data analysis and synthesis, identify trends and outliers, present preliminary findings and recommendations, and share with stakeholders.	11 November 2024
Final evaluation report	Final evaluation report: provide the evaluation's data and analysis, key findings, conclusions and recommendations. Include annexes to ensure the transparency of the evidence, such as the stakeholders consulted, structured bibliography, country case studies, benchmarking results, and survey results. Include an executive summary and the country mission reports.	Ahead of the first meeting of the GCF Board in 2025

Source: IEU evaluation team

#### 5. DETAILED WORK PLAN

Table 7 presents a detailed workplan for the evaluation.

**Table 7. Detailed workplan for the evaluation**

ACTIVITIES	2024				2025					
	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR
<b>Phase 1: Inception</b>										
1	Inception (+ consultations)									
2	Review of literature									
3	Approach paper		*							
<b>Phase 2: Data-collection</b>										
4	KIIs with GCF staff									
5	Retrofitting ToC									
6	Portfolio review (qual. and quant.)		*							
7	Case study visits									
8	Interview/ Doc review									
9	Benchmarking									
10	Annex: Portfolio review report									
<b>Phase 3: Analysis</b>										
11	Analysis and sensemaking				*					
12	Annex: Case study reports									
13	Factual report					*				
<b>Phase 4: Reporting</b>										
14	Draft report									
15	Final report							*		
16	Communications and socialization									*

Note: The dark grey denotes review time, and the asterisks indicate deliverables.



## APPENDICES





## Appendix 1. EVALUATION MATRIX

KEY QUESTIONS	SUBQUESTIONS	EVALUATION CRITERIA AND NORMATIVE FRAMEWORK	AREAS OF UNIT OF ANALYSIS
1. What is the GCF approach to IPs? How does GCF policy framework <b>respond to international standards</b> , including providing necessary and sufficient mechanisms to ensure the full and effective participation, protection, and sharing of benefits of IPs in GCF activities?	<p>1.1. To what extent does the GCF policy on IPs align with the mandates and guidance established by the UNFCCC and GCF GI?</p> <p>1.2. Does the GCF approach align with international best practices, such as those articulated by the UNDRIP and other bodies and instruments?</p> <p>1.3. To what extent has the entire GCF system, including partners and the Board, facilitated the participation and leadership of IPs in GCF activities?</p> <p>1.4. To what extent are the GCF's available in-house resources and capacities adequate and commensurate with the implementation requirements under the IPP?</p> <p>1.5. Have the capacities of the Secretariat been developed to understand and properly address IPs' issues and rights? What type of training has been conducted, and with what results?</p> <p>1.6. How effective have the IPAG and other related bodies been in informing GCF governance structures?</p> <p>1.7. Are IPs or IPs experts included in the independent panels and advisory groups, apart from the IPAG and with what results?</p>	<p>Relevance</p> <ul style="list-style-type: none"> <li>Avoid adverse impacts on IPs</li> <li>Respect and enhance the rights of IPs to their lands, territories and resources</li> <li>Enhance the capacity for Indigenous people issues within the GCF</li> </ul>	1, 2
2. To what extent are IPs involved in GCF <b>country coordination, consultation and origination processes</b> and with what results?	<p>2.1. To what extent are IPs' considerations effectively integrated into the process of co-creating FPs, including through but not necessarily limited to ESS designs and plans?</p> <p>2.2. What efforts have been made at the country level to support building the capacities for IPs' engage? To what extent are the capacity-building needs of DAEs being met to implement IPs-related projects?</p> <p>2.3. To what extent have approved RPSP grants supported NDAs in enhancing their capacity to implement the GCF IPP?</p> <p>2.4. To what extent were IPs fully informed, consulted and engaged in GCF-financed activities, including REDD+ related projects?</p> <p>2.5. To what extent does compliance with ESS and IPs standards for REDD+ results-</p>	<p>Country ownership:</p> <ul style="list-style-type: none"> <li>FPIC</li> <li>Respect and enhance the rights of IPs to their lands, territories and resources</li> <li>Facilitate access to GCF resources for IPs</li> </ul>	1, 2, 3

KEY QUESTIONS	SUBQUESTIONS	EVALUATION CRITERIA AND NORMATIVE FRAMEWORK	AREAS OF UNIT OF ANALYSIS
based finance boost countries' ability to access results-based financing?			
<p>3. What has been learned about the <b>coherence and best practices</b> of the IPP regarding (i) its alignment with internal policies, processes and procedures and (ii) IPP provisions in similar organizations?</p>	<p>3.1. To what extent does the GCF policy on IPs align with its policy framework?</p> <p>3.2. To what extent is each of the GCF policy framework, including their processes, modalities, and support programmes sufficiently flexible to be tailored to the circumstances and needs of IPs?</p> <p>3.3. How does the GCF IPP compare to similar policies among equivalent organizations?</p> <p>3.4. What lessons can be learned from other comparable organizations on policy provisions and enablers of meaningful consultation, participation, and FPIC that could strengthen the coherence and effectiveness of climate finance delivery?</p> <p>3.5. What best practices can the GCF learn from similar organizations in implementing IPP?</p>	<p>Coherence:</p> <ul style="list-style-type: none"> <li>• Avoid adverse impacts on IPs</li> <li>• Facilitate access to GCF resources for IPs</li> </ul>	<p>1</p>
<p>4. To what extent has the IPP been effectively <b>implemented and avoided potential risks</b> to IPs?</p>	<p>4.1. Is the GCF's access approach optimized to meet IP's needs and aspirations? What less apparent barriers might inhibit IPs' meaningful access to the GCF? What are the enablers of access?</p> <p>4.2. Do GCF-funded activities affecting IPs fully respect and support their rights related to (i) land, territories and resources, and (ii) cultural and spiritual heritage and values?</p> <p>4.3. To what extent has the GCF engaged IPs in contributing to the Fund's effective, sustainable and equitable climate change results, outcomes and impacts?</p> <p>4.4. What impact has the GCF approach to IPs had at the community, country, and institutional level?</p> <p>4.5. To what extent have consultations, project planning and documentation processes addressed potential risks and impacts that may affect IPs?</p> <p>4.6. How has the GCF established and maintained continuing engagement, including FPIC, and ensured the effective participation of IPs affected by GCF-financed activities throughout the activities' implementation?</p> <p>4.7. To what extent do post-approval systems, including the Integrated Results Management Framework and the risk framework, facilitate managing for results, co-benefits and risk? Are the current monitoring framework functions and tools adequate for collecting disaggregated and meaningful data on IPs during the implementation of</p>	<p>Effectiveness:</p> <ul style="list-style-type: none"> <li>• Respect the system of self-government</li> <li>• Avoid adverse impacts on IPs</li> <li>• FPIC</li> <li>• Grievance mechanisms</li> </ul>	<p>3</p>

KEY QUESTIONS	SUBQUESTIONS	EVALUATION CRITERIA AND NORMATIVE FRAMEWORK	AREAS OF UNIT OF ANALYSIS
	GCF-funded activities? 4.8. How effective are various GCF mechanisms in ensuring IPs participate, avoid harm and receive benefits at the project level? 4.9. How effective is GCF grievance redress mechanism as provided in the IPP?		
5. How effectively has the GCF ensured its activities include <b>ongoing engagement</b> , consent, participation and leadership of IPs, particularly indigenous women, and what have been the <b>impacts</b> ?	5.1. How has the GCF promoted, established, supported and maintained the continuous engagement of indigenous women throughout the implementation of its projects, including through FPIC? 5.2. Have any GCF-funded activities had an adverse or potentially adverse impact on indigenous women and children? 5.3. To what extent has the GCF promoted and supported the participation and leadership of indigenous women and other marginalized groups in its activities?	Gender equity: • Gender considerations for IPs	3
6. To what extent has the GCF identified, utilized, and integrated IPs' <b>traditional and local knowledge</b> into project innovations and climate data, and how has this knowledge influenced the design of subsequent projects and supported capacity and resilience building?	6.1. To what extent has the GCF identified and leveraged IPs' traditional and local knowledge and solutions to innovate projects and inform climate data? 6.2. Do GCF activities that affect IPs fully respect and support traditional knowledge? 6.3. To what extent are best practices and lessons learned from IPs' traditional and local knowledge integrated into the design and implementation of GCF-funded projects?	Innovativeness • Avoid adverse impacts on IPs	3
7. To what extent have GCF-funded activities respected and promoted IPs <b>practices, governance structures and complex knowledge systems</b> ?	7.1. To what extent have GCF-funded activities respected IPs' self-governance systems? 7.2. Have GCF readiness grants supported capacity and resilience building by applying traditional knowledge and respecting self-governance systems? 7.3. What measures are in place to ensure that GCF promotes the participation and leadership of traditional knowledge holders in GCF-financed activities?	Sustainability: • Respect the system of self-government	3

KEY QUESTIONS	SUBQUESTIONS	EVALUATION CRITERIA AND NORMATIVE FRAMEWORK	AREAS OF UNIT OF ANALYSIS
8. What <b>unforeseen adverse impacts</b> have GCF-funded activities had on IPs?	8.1. Have there been any unforeseen adverse impacts on IPs caused by activities funded by the GCF-funded activities? 8.2. What factors contributed to the unintended results? 8.3. Which lessons can be learned from these unforeseen impacts?	Unintended results: <ul style="list-style-type: none"> <li>• Avoid adverse impacts on IPs</li> <li>• Facilitate access to GCF resources for IPs</li> </ul>	3

Source: IEU evaluation team

Abbreviations: REDD = Reducing emissions from deforestation and forest degradation

## Appendix 2. SUMMARY OF RECOMMENDATIONS AND AREAS FOR IMPROVEMENT RELATED TO INDIGENOUS PEOPLES IN PREVIOUS IEU EVALUATIONS

EVALUATIVE THEME	RELEVANT EVALUATION, PERFORMANCE REVIEW, SYNTHESIS REPORT	RELEVANT RECOMMENDATION	ACTION	AREA FOR IMPROVEMENT
Limited meaningful engagement	RPSP2018; COA2019; FPR2019; ADAPT2021; SPR2023; RPSP2023	<p>Need for greater capacity-building for IPs and ESS via readiness</p> <p>Development of stakeholder engagement policies</p> <p>Development of activity level grievance redress mechanisms</p> <p>Support an active network of in-country and international CSOs/PSOs, and representatives of IPs and vulnerable communities</p> <p>Need for enhanced facilitation between national governments, AEs and IPs</p> <p>Formalization of IPs participation in GCF's business model</p> <p>Develop clear guidelines for country programmes incorporating IP policy</p>	<p>Stakeholder engagement policies developed;</p> <p>ESS and Gender Policy improved</p> <p>Some capacity-building activities incorporated in readiness grants</p>	<p>Establish mechanism to financially and operationally support in-country and international CSOs, PSOs and IPs</p> <p>Improve engagement with active observer input within GCF</p> <p>Improve coordination within GCF to ensure smooth transition between readiness and downstream initiatives</p>
Lack of reporting and monitoring mechanisms	ESS2020; COA2019; RMF2018	<p>Revision of GCF monitoring and reporting approaches</p> <p>Development of tools to integrate and track IP concerns throughout the project cycle</p> <p>Revision of Gender Policy to address other aspects of social inclusion; Improve sustainable development criterion and make “equity” a salient consideration</p>	<p>Conceptualization of gender aspect integrated in the International Monetary Fund</p> <p>Direct and indirect beneficiaries reached disaggregated as per sex and results area</p> <p>Readiness results management framework included IP considerations in the indicators (grant</p>	<p>Lack of clarity on whether and to what extent current Integrated Management Framework captures IPs engagement in the results area</p> <p>Current disaggregation of data on the basis of sex</p> <p>Lack of clarity on whether and to what extent IP inclusion and impact is reported and monitored in readiness programmes</p>

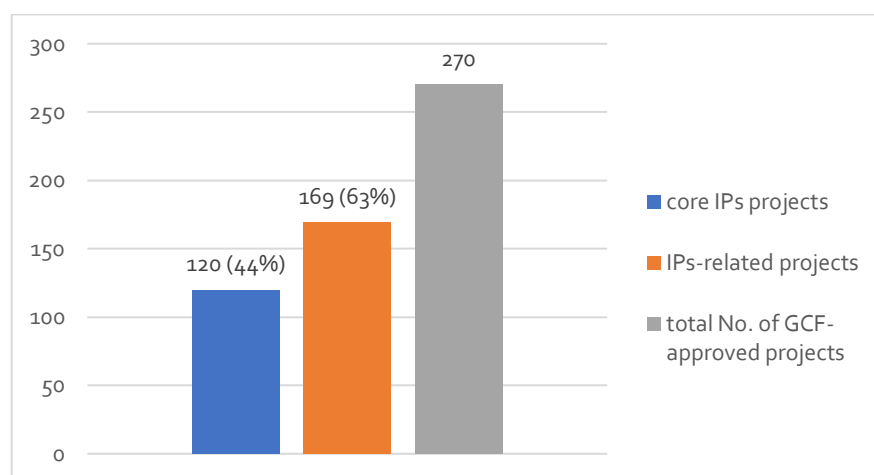
EVALUATIVE THEME	RELEVANT EVALUATION, PERFORMANCE REVIEW, SYNTHESIS REPORT	RELEVANT RECOMMENDATION	ACTION	AREA FOR IMPROVEMENT
			output, portfolio output, outcome and impact level) and proposal template	
Limited opportunities to engage through direct access modality	RFP2021	EDA request for proposals (RFP) offers an opportunity to work at the grassroots with local communities, and IPs	Promote EDA modality	Improve capacities of accredited and potential DAE to access EDA Develop RFP as a modality
Lack of consideration of local and indigenous knowledge	SIDS2020; LDC2022	Develop inclusive knowledge management framework to ensure learning and adaptive management, especially in terms of gender and IPs Develop and operationalize tools that allow the use of use of traditional and indigenous knowledge in project development, implementation and monitoring	Lack of clarity on steps taken to ensure IP knowledges are integrated in project planning and implementation	IP policy to clarify the definition of local, indigenous and traditional knowledge Incentivize and give adequate weight to IP knowledges in iTAP assessments

Source: IEU evaluation team

## Appendix 3. PORTFOLIO ANALYSIS

During 2014–2024, approximately 63% of approved funding proposals (see Figure A - 1 below) mentioned IPs among expected direct and indirect beneficiaries (169 FPs and SAP). However, only 120 proposals (approximately 44%) have substantial references to IPs in various parts of the FP documents as explained in the methodology section. Thus, these 120 projects represent the core set for this evaluation.

*Figure A - 1. Number of IPs-related projects in GCF investment portfolio*



Source: IEU Datalab, as of 7 October 2024

In terms of the flow of finance, the current analysis indicated that a very small portion of GCF investment has been targeting IPs. More specifically, the budget dedicated to IPs or budget lines that had identified a budget of project components and activities that explicitly covered IPs for the core 120 projects, constitutes only 6.28% of the total GCF budget and 1.66% when we consider the co-financing. All financial instruments (loans, grants, equity, in-kind, RBP, reimbursable grants, etc.) of GCF are available in these projects, with grants and senior loans being the most prevalent (25%).

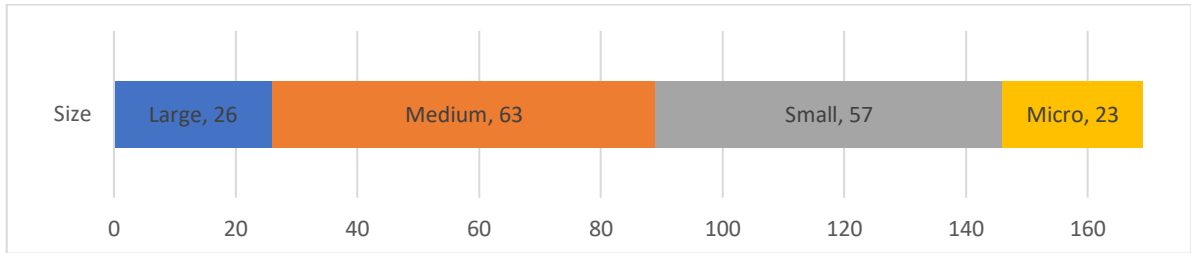
*Table A - 1. Project budget dedicated to IPs*

PROJECT BUDGET DEDICATED TO IPs	USD MILLION	% OF TOTAL
GCF budget	562.29	6.28
GCF budget + co-financing	883.38	1.66

Source: IEU Datalab, as of 7 October 2024

In terms of the size of funding, the majority of these FPs are either medium size (n = 63, 37%), or small (n = 57, 34%). Smaller portions go to large (n = 26, 15%), and micro (n = 23, 14%) projects account for the rest of the IPs-related projects in an almost equal manner.

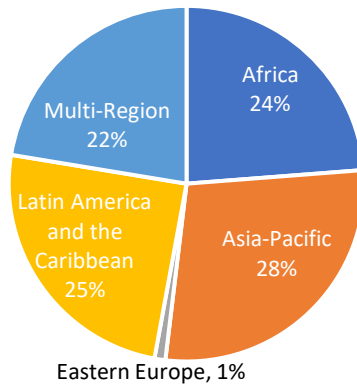
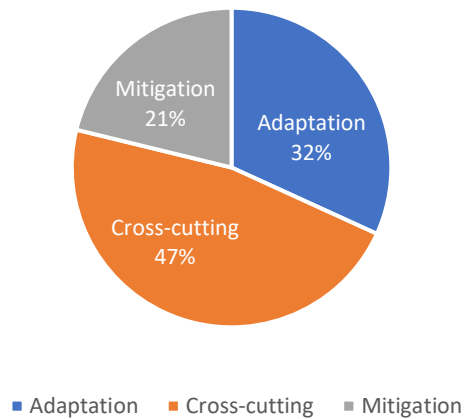
**Figure A - 2. Proportion of IPs-related projects in GCF investment portfolio in terms of size**



Source: IEU Datalab, as of 7 October 2024

GCF finance of FPs related to IPs are distributed rather evenly among four regions, including Latin America and the Caribbean (25%), Asia-Pacific (28%), multi-region (22%), and Africa (24%). Only 1% of the projects are implemented in Eastern Europe (Figure A - 3). Additionally, the multi-region category includes grants from across different countries and it has not been disaggregated at this point of the evaluation.

**Figure A - 3. Proportion of GCF finance of IPs-related projects distributed across GCF portfolio regions**



Source: IEU Datalab, as of 7 October 2024

As per priority areas, the projects were mostly covering LDCs rather than SIDS.



**Table A - 2. GCF special themes coverage in the GCF financing of IPs-related projects**

SIDS	LDC	AFRICA
31.86%	49.26%	43.66%

Source: IEU Datalab, as of 7 October 2024

The distribution of approved IPs-related projects (n = 169) also reveals some trends in relation to ESS category, size of projects, entity type, and the type of access through which the projects were funded. In terms of sector, the wide majority of AEs awarded grants are public (84%). Among these, 125 (74%) are international entities, 29 are national (17%), and 15 (9%) are regional, meaning a quarter of all IPs projects, i.e. 44 (26%) were through DAEs. It is important to note that there are no IPs organizations acting as executing entities for any of the projects. Top AEs with the highest IPs-related projects are UN agencies.

**Table A - 3. Type, number and percentage of AEs**

TYPE AEs	# OF AEs	% OF TOTAL
International	125	74
DAEs:	44	26
National (29)		
Regional (15)		

Source: IEU Datalab, as of 7 October 2024

**Table A - 4. Top 12 agencies per number of projects**

AES	# IPS- RELATED PROJECTS
UNDP	28
FAO	20
UNEP	8
GIZ	7
IFAD	7
WB	6
ADB	5
AFD	5
IUCN	5
EIF	4
IDB	4
CAF	3

Source: IEU Datalab, as of 7 October 2024

Abbreviation: UNEP = United Nations Environment Programme

As for ESS category, only 4 projects (2%) were categorized as A, i.e. implementing activities with potential significant adverse environmental and/or social risks and impacts; 102 projects (60%) were categorized as B, i.e. implementing activities with potential limited adverse risks and impacts, and

38 projects (22%) were categorized as C, i.e. activities with minimal risks or impacts. The remaining 25 projects (15%) went for intermediation.

**Table A - 5. ESS category numbers and percentages**

ESS CATEGORY	NUMBER OF PROJECTS	%
A	4	2
B	102	60
C	38	22
Intermediation	25	15

Source: IEU Datalab, as of 7 October 2024

### Key IPs considerations in projects

The project team also identified additional variables to verify how some key IPs consideration were applied across 120 core projects. Overall, as a portfolio, the application of the Environmental and Social Impact Assessment (ESIA) and the setting up of grievance redress mechanism (GRM) with specific measures for IPs was applied in the majority of projects. Other, lesser coverage was on obtaining FPIC, engagement of IPs in project origination, the development of IPP and training, and capacity-building for IPs. Low coverage was identified on the presence of IPs specialists in the team, monitoring of IPs considerations, and the budget line for IPs.

Additional details below outline more than 73% of projects (87 projects) have IPs identified in the ESIA, but the IPP plan was developed for only 46% of them (55 projects). FPIC was obtained for 28% of the projects (33 projects). The GRM with specific measures for IPs were applied to 80 projects, around 67% of total, but information and awareness on GRM access were explicit in only 46% of the projects and use of GRM (reporting of issues) in only three projects. In relation to monitoring and reporting, IPs indicators were identified in only 13% (15 projects), and IPs referencing in ToC occurred in only five projects.

**Table A - 6. Additional variables used to verify IPs considerations in core projects**

VARIABLES	CORE PROJECTS	%
IPs identified in the ESIA	87	73
Specific GRM measures for IPs	80	67
Stakeholder informed about GCF GRM and IP Specialist	55	46
IPs engaged in project origination	57	48
Use of traditional and indigenous knowledge	67	56
FPIC (intent of consent) been obtained	33	28
Indigenous Peoples Plan, IPPF or its equivalent	55	46
Project materials translated into local languages	48	40
IP-focused outreach and trainings activities	33	28
IP Specialist in the project team	25	21
IP indicators in the monitoring and reporting table	15	13
Budget line for participation of IPs in the project management cost and	9	8

VARIABLES	CORE PROJECTS	%
programme coordination unit		
Specific budget line for IPs	8	7
Mentioned of IPs in the ToC of the project	5	4
Have the IPs used the GRM for the project	3	3

Source: IEU Datalab, as of 7 October 2024

## Appendix 4. COUNTRY CASE STUDY PROTOCOL

The country case study protocol summarizes the process and deliverables resulting from the country visits. It considers the different stages of country visit planning, implementation, and follow-up, as well as summarizes the team composition, timing, and deliverables from this process. An outline for the country case study reports is provided hereunder.

**Introduction.** This section provides an overview of the country context for IPs and the GCF portfolio in the country. We first explore the recognition of IPs by the government, detailing their institutional status, relevant laws and regulations, and their mobilization efforts on climate change. We then present a summary of the GCF portfolio, including the number of projects, beneficiaries, total investment, and key entities involved in these projects. This background sets the stage for a deeper examination of the GCF's impact on IPs. An illustrative list of questions outlining these different elements are presented below.

- Country context and IPs context
  - What is the context of IPs in the country?
  - Are they institutionally recognized by the Government?
  - If not, why? Are they recognized but with other terms? Which terms?
  - If yes, how and to what extent?
  - Please give a brief account of the domestic laws and regulations protecting and promoting IPs interests in the country.
  - Please provide a brief background on IPs mobilization on climate change in the country.
- GCF portfolio
  - Overview of GCF's portfolio in the country: number of projects, number of beneficiaries, amount of investment, names and details of NDAs, AEs, DAI, EEs and IPs entities engaged in the projects.

**Findings and results discussion.** This section evaluates the effectiveness of GCF-funded projects in addressing the needs of IPs. We examine stakeholder engagement, the relevance and impact of interventions, country ownership, and IPs' access to GCF resources. We also discuss the effectiveness and efficiency of these projects, their replicability and scalability, and their consideration of gender issues. Additionally, we explore innovative approaches, unintended effects, and the integration of REDD+ projects into the country's strategy for IPs, aiming to highlight key lessons and outcomes. An illustrative list of questions outlining these different elements are presented below.

- **Stakeholder engagement:** How have GCF-funded projects engaged with IPs? Under which context IPs are included in the GCF-funded projects? (adaptation/ mitigation/ local/ national or international projects/ safeguards/ beneficiaries/ key stakeholders)
- **Relevance of interventions:** How relevant are GCF interventions in the country concerning IPs? Please provide examples to illustrate their impact and significance.
- **Country ownership:** How is country ownership reflected in the project? Include details on participation, engagement, and consultations with stakeholders, particularly IPs, and their representatives.
- **Access to GCF:** How accessible are GCF resources to IPs? What mechanisms are in place to ensure their inclusion and participation?

- **Effectiveness and efficiency:** How effective and efficient are the interventions in delivering results for IPs? Provide specific examples and explain the methods used for monitoring and reporting these outcomes.
- **Gender considerations:** How does the project address gender considerations? Include specific actions taken to ensure gender inclusivity and equality.
- **Innovation:** What innovative approaches have been incorporated into the project to benefit IPs? Provide details on the implementation and impact of these innovations.
- **Sustainability:** To what extent have GCF-funded activities respected and promoted IPs practices, governance structures and their complex knowledge systems?
- **Unintended effects:** What unintended effects, both positive and negative, have emerged from the project? How have these effects been managed or addressed?
- **REDD+ integration:** If applicable, how are REDD+ projects integrated into the country's approach to IPs? Include specific strategies, outcomes, and challenges related to these projects.

**Key takeaways and lessons learned:** In this section, we summarize the key takeaways and lessons learned from the GCF project implementation. We assess the effectiveness of safeguarding IPs' rights, the benefits received by IPs, and the strategies used to ensure their engagement and participation throughout the project lifecycle. We also evaluate how traditional knowledge was utilized for scalability, the consideration of gender issues, and the overall impact of these approaches. This analysis aims to highlight what worked well, what challenges were faced, and how these insights can inform future policies. An illustrative list of questions covering these aspects are provided below.

- **Safeguarding:** How effective has the policy been in safeguarding the rights and interests of IPs? What measures were implemented to ensure IPs' rights were protected? What were the outcomes of these measures, and how were they monitored?
- **Benefits:** What benefits have the IPs received from the policy, and how effective has the policy been in delivering these benefits? What specific benefits were provided to IPs through the policy? How were these benefits assessed and measured for effectiveness?
- **Engagement and participation:** How effective was the policy in promoting IPs' engagement and participation throughout the project lifecycle, from origination to implementation, including access to resources? What strategies were used to engage IPs in the project's design and implementation phases? How accessible were GCF resources to IPs, and what mechanisms were in place to facilitate their participation?
- **Use of traditional knowledge:** How effectively did the policy incorporate traditional knowledge of IPs, and what were the results for scalability? In what ways was traditional knowledge utilized in the policy's design and implementation? What were the outcomes of incorporating traditional knowledge, and how did this impact the scalability of the interventions?
- **Gender considerations:** How well did the policy address gender considerations, and what were the results for gender inclusivity and equality? What specific actions were taken to ensure gender inclusivity in the policy's implementation? What were the outcomes of these actions in terms of achieving gender equality?

**List of interviewees**

**References**

## Appendix 5. QUALITATIVE DATA MANAGEMENT GUIDELINES

### A. INTERVIEW NOTES

Ideally, interview notes will be directly typed (lightly transcribed) during interviews, as the most efficient way to capture rich data. When this is not possible (e.g. in FGDs with groups of final beneficiaries during site visits), hand-written notes will be typed up soon after the session.<sup>23</sup>

Interview notes should be organized according to the broad categories of the interview guides and evaluation matrix. They should be sufficiently detailed, capturing the interviewees' perspectives, including specific quotations. The interview notes should not be influenced by the interpretations of the interviewer, but should rather transcribe the interview.

Interview notes should be saved on the IEU OneDrive project folders. They should be labelled with the interviewees' name, affiliation, and date of the interview. Interview notes saved into this folder will be anonymized and coded into Dedoose by the evaluation team.

### B. CODING AND CAQDAS SOFTWARE

Nvivo or Dedoose, two user-friendly software platforms, will be used to ease the management and analysis of qualitative data gathered through stakeholder consultations and portfolio review. Data processing consists of simply highlighting excerpts of text and assigning codes from the coding tree structure. A draft coding structure will be developed in line with the key questions and subquestions of the evaluation matrix. The coding scheme will be piloted and blind-coded by multiple team members to ensure consistency in coding, as well as to resolve any remaining discrepancies and ensure the robustness of the coding scheme as it is rolled out across the rest of the evaluation.

### C. SECONDARY DATA MANAGEMENT

Secondary data that is reviewed and referenced by team members should be uploaded into the IEU OneDrive folders, so that the evaluation team can add each uploaded document to the overall structured bibliography. Zotero software will be used to ensure fast, consistent and accurate reference list.

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<sup>23</sup> While audio recording can be helpful, especially in case of data losses, we work on the assumption of preparing detailed, typed up interview notes, with a view to their analysis.

## Appendix 6. INDIGENOUS PEOPLES FINDINGS AND RECOMMENDATIONS IN IEU EVALUATIONS: A SYNTHESIS

### A. METHODOLOGY

The synthesis included a review of 18 evaluations published from 2018 to 2024 by the IEU. The authors searched for findings and recommendations related to IPs using key terms such as "Indigenous Peoples," "Indigenous Peoples Plan" and "indigenous knowledge". Out of this search, 13 evaluations mentioned these key terms. The relevant paragraphs or sentences were then synthesized manually and with the aid of QuillBot. Further reviews were conducted to identify relevant text sections and include any relevant factors and contexts when applicable.

### B. FINDINGS

These evaluations have assessed indigenous issues as part of the evaluation framework criteria of effectiveness and social inclusion. Findings and recommendations are consistent and capture relevant issues on IPs, tease out factors related to IPs considerations, and cover areas of policy, project design and implementation, monitoring, participation, capacity-building, use of traditional knowledge, and impact.

**GCF's approach and capacity on ESS and IPs have improved but have only slightly leveraged the use of RPSP. Significant efforts are needed to engage IPs and other vulnerable groups, which remains rudimentary in most countries.**

The evaluation on GCF Readiness and Preparatory Support Programme (RPSP2023) found that the approach and capacity of the GCF to incorporate ESS with particular attention to vulnerable, marginalized, and IPs and local communities is improving, but this expertise in the Secretariat is being under-utilized by the RPSP. This evaluation highlighted how significant efforts were required to create buy-in and enable the meaningful participation of the IPs (among other vulnerable groups and the general public) since full country ownership requires appropriate participation in climate action by the private sector, by CSOs, and by vulnerable, marginalized, and IPs and local communities. This participation was rudimentary in most countries. The evaluation highlighted how the approach and capacity of the GCF on ESS, and vulnerable/marginalized/local community/IPs was improving and increasing but is only being leveraged slightly in the context of the RPSP.

**Concerns remain around the depth of engagement and empowerment of IPs. FPs lack descriptions of consulted stakeholders during design and have inadequate involvement of non-state stakeholders (including IPs) during project development.**

The evaluation on country ownership approach (COA2019) found that concerns remain over the real engagement and empowerment of civil society in particular, as well as groups such as local communities, IPs, and women. The country ownership evaluation highlighted how more than 40 per cent of FPs did not describe the stakeholder groups consulted during design. The evaluation also found that concerns had been raised by CSO observers over the degree of stakeholder engagement. In 2019, CSO comments on 58 per cent of GCF projects claimed that non-state stakeholders have not been adequately engaged during the development of these projects.

**GCF right-based policy suite has been enhanced, however, shortcomings remain, such as a lack of mechanisms ensuring adequate representation of IPs, climate dimension in policies covering indigenous issues, and insufficient formal participation of indigenous groups in the GCF's business model, particularly at the project level.**

In the Forward-Looking Performance Review of the GCF (FPR2019), it was found that within the Fund, the presence of approved rights-based policies, such as the ESS, Gender Policy, and Indigenous Peoples Policy (IPP), and the IRM procedures and guidelines, represent emerging best practices within climate finance. In addition, it was found that apart from rights-based policies, there was no mechanism currently to ensure that the voices of IPs and other vulnerable communities are heard sufficiently and in ways they demand.

Furthermore, the evaluation highlighted how GCF policies focusing on gender and IPs often lack a climate dimension. There is no formal participation of CSOs, PSOs, Indigenous Peoples and vulnerable communities in the business model, particularly at the project level during preparation or during implementation.

**Areas for improvements suggested the updating of the ESS, including benefit sharing, IPs' rights, and FPIC among others. There is a strong alignment of the GCF IPP with other climate funds, but concern remains over reporting mechanisms that ensure proper IPs tracking in climate finance initiatives.**

The evaluation of the GCF's Environmental and Social Safeguards and the Environmental and Social Management System (ESS2020) reported that a gap analysis of the GCF's interim ESS against the principles and provisions set out by the Paris Agreement identified several thematic areas that require further attention when updating of the GCF's ESS. These include benefit sharing, sexual harassment, access to remedy/grievance redress, gender equity, IPs' rights, FPIC and public health. Moreover, the evaluation highlighted how the GCF IPP is aligned with the policies and guidelines of other climate funds and is considered a step in the right direction by civil society and indigenous people's groups "the Indigenous Peoples Policy represents a high-level rights-based benchmark for the Fund's operation and for climate finance at large." However, it was found that 28 of the 55 self-reported APRs tracking ESS and gender, and only one APR mentioned IPs.

**IPs have opportunities to work with GCF through the direct access modality.**

The rapid assessment of the Green Climate Fund's Request for Proposals Modality (RFP2021) found that EDA offers an opportunity to work at the grassroots level with local communities, indigenous populations, and the local private sector and to leverage traditional knowledge and practices on how to adapt to climate change. However, multiple entities expressed concerns that GCF reporting requirements may hinder small organizations' engagement due to a disconnect between perceived procedural complexities and practicalities of transferring funds to grassroots organizations.

**Local and indigenous communities remain underserved priorities, particularly during project implementation. The traditional and indigenous knowledge in SIDS – as a valuable source of innovation – could be better utilized in GCF projects. There are unresolved concerns regarding GCF's risk appetite for innovation and the burden of evidence for indigenous innovations.**

The evaluation of the relevance and effectiveness of the Green Climate Fund's investments in small island developing States (SIDS2020) found that self-reported engagement with local and indigenous communities suggests that they may be an underserved priority in SIDS, especially during project implementation. Only 12 per cent of SIDS projects self-reported engagement with local and indigenous communities in APRs – half the level of engagement by non-SIDS (25 per cent of



projects). Moreover, the evaluation indicated that although not conventionally “new”, traditional, and indigenous knowledge in SIDS represents a potential and important source of innovation that could be better utilized in GCF projects. Lastly, it was found that project designers in SIDS hold unresolved uncertainties about the GCF’s appetite for risks associated with innovating, and the burden of evidence for indigenous innovations.

**GCF adaptation projects lack adequate engagement with IPs. IAEs often overlook the participation of IPs and GCF lacks guidelines for proactive inclusion in project development and review processes.**

Adaptation requires multi-stakeholder engagement, however the GCF adaptation projects lack sufficient participation from CSOs, PSOs, IPs, and vulnerable communities. Early involvement could make these projects more efficient and effective. Traditional knowledge from national or regional CSOs is crucial for mitigating environmental, social, and governance risks. IAEs often adopt a high-level consultative approach rather than inclusive approach that would involve Indigenous Peoples and CSOs. GCF also lacks country ownership guidelines to include indigenous representatives and CSOs more proactively in project development and review processes.

**GCF does not possess the tools to monitor the integration of IPs' concerns and local knowledge into projects, hindering the utilization of valuable insights for understanding climate trends. GCF's reliance on self-reporting from AEs underscored the need for more robust oversight mechanisms. The GCF's inadequate response to the COP's request is particularly significant for many LDCs, where local knowledge serves as essential climate data. There are potential benefits of incorporating indigenous knowledge and engaging with communities to leverage local expertise, especially in data-poor contexts.**

The evaluation of the relevance and effectiveness of the GCF's investments in the Least Developed Countries (LDC2022) indicated that the COP has requested the GCF to enhance consideration of local indigenous and traditional knowledge. The GCF had not done so at that stage. The evaluation highlighted that GCF lacked tools to track the extent to which and how indigenous people’s concerns and local knowledge are incorporated in projects, including how such knowledge can provide valuable information on climate trends. In addition, the evaluation found that the GCF relies on self-reporting from AEs for compliance with the IPP across GCF portfolio. Furthermore, the GCF has not fully responded to the COP request to enhance its consideration of local indigenous and traditional knowledge which has particular importance to many LDCs given the importance of local knowledge, including as a form of climate data. Lastly, the evaluation reported that the use of indigenous knowledge, and consultation with community members may offer an opportunity to learn from local expertise and knowledge of climatic trends in data-poor contexts.

**DAEs and IAEs behave similarly when it comes to the inclusion of IPs considerations.**

The synthesis of direct access in the GCF (DA2022) found that the data do not show important differences in how DAEs include gender considerations and involve stakeholders, including IPs, compared to IAEs. National DAEs report slightly more engagement with NDAs, PSOs and local communities than other AE types, and IAEs report slightly more engagement with CSOs, NGOs and international NGOs.

**Across African States portfolio, evidence of GCF's IPs involvement in project development stages remains low. Key implementation challenges are the recognition of indigeneity varies across regions, and the lack of portfolio-level mechanism to track participation and co-benefits. GCF is under-prepared to engage IPs according to the expectations set out in its policy.**

The evaluation of the relevance and effectiveness of the GCF's investments in the African States (AFR2022) found that in African States portfolio, the involvement of IPs is reflected to a much more limited extent than gender across the stages of project development. Yet, the requirement to engage with IPs as part of the project cycle is spelled out in the GCF's IPP. In certain parts of Africa, there is a reticence to recognize indigeneity. The evaluation also found that stances towards identifying communities as "indigenous" are varied across African states. Some governments are reluctant to assign indigeneity to distinct groups. Importantly, in the context of GCF's work in African states, the IPP provides a generic list of characteristics associated with indigeneity but highlights the principle of "self-identification". Furthermore, it was found that the presence of IPs across many African states would indicate the likelihood that these groups are affected by the presence of GCF-funded activities. Yet the evidence of this involvement is notably scant. In addition, the evaluation encountered little evidence of GCF engagement with IPs across the Africa portfolio, yet indigenous people's observer groups see a different picture. Additionally, there is no provision at a portfolio level to understand the participation of IPs and local communities or to track co-benefits associated with their participation. Additionally, the evaluation indicated that regarding GCF engagement with IPs, without some means of delineating the participation and results contributions of IPs, the GCF is under-prepared to engage IPs according to expectations set out in its policy. Overall, across African States portfolio, the consideration and active involvement of IPs is limited. By the end of 2021, Indigenous Peoples' International Centre for Policy Research and Education's (Tebtebba) tracker of GCF projects had shown 27 of the 84 projects in the African states portfolio that carry this potential to impact (positively or negatively) IPs.

**While progress has been made in implementing the IPP (prior more focus on safeguards, while now more balanced with IPs' co-benefits) awareness of the GCF among indigenous communities remains low. Challenges persist in countries with limited recognition of indigenous rights, hindering effective policy integration at the community level. GCF's internal capacities to deal with IPs-related issues are not sufficient.**

The evaluation of the GCF's Readiness and Preparatory Support Programme (RPSP2023) indicated that the modestly sized OSI with corporate-wide responsibilities covers the readiness programming terrain selectively, reliant on DCP regional teams and DPM to incorporate ESS and inclusion policy requirements into their respective lead roles. It is not clear that this arrangement is sufficient to "mainstream" gender and enhance engagement with IPs as policy requires. Moreover, the RPSP evaluation found that there is one indigenous people's specialist in OSI with lead responsibilities related to IPs. There have been doubts within the Secretariat that this capacity was adequate to meet the GCF's policy and strategy expectations. In addition, GCF's implementation of its IPP has progressed considerably since the establishment of the IPAG. Prior to that the focus was more on safeguards, whereas the focus is now more balanced with IPs' co-benefits. Lastly, the evaluation found a low level of awareness of GCF among IPs, a generalized lack of awareness of indigenous rights in some countries, and a particular reticence among some national governments to identify people groups as "indigenous" inhibits integration of policy requirements where indigeneity is self-declared at a community level.

**Despite GCF efforts to address social inclusion, including IPs, it has not consistently translated into actions on the ground. Data on IPs are sparse and problematic, with limited instances of potential impact or inclusion in FPs. The IPP emphasizes participatory processes, but stakeholders report limited access to GCF. Finally, there is a lack of aggregate data on IPs' involvement, with few implementing entities reporting specific results related to them.**

The Second Performance Review of the GCF (FPR2023) provided a wide range of findings. First, the review found that the GCF has been steadily and systematically positioning itself to better address GESI, including of IPs, throughout GCF-1. This has not automatically translated into meaningful influence or action on the ground. Second, the GCF has strong gender and indigenous people's policies and has made some steps to operationalize them across the organization. Third, the data on IPs is both sparse and problematic. Only 37 per cent of FPs demonstrate potential to impact/include IPs; however, these instances represent locations in which IPs live and not necessarily a targeting of IPs themselves. Fourth, the IPP emphasizes participatory processes, but stakeholders have noted a lack of meaningful access to the GCF. Fifth, no aggregate data are available on IPs, and only 15 per cent of IEs (6 out of 40) indicate specific results related to IPs, with most results limited to some stakeholder engagement activities.

**Attention to IPs has increased in energy projects since the establishment of respective policies in 2019. Only a few energy projects addressing IPs showed community-level results, such as their participation in project implementation. Lack of tracking or reporting on the extent to which co-benefits reach IPs, and other vulnerable groups, representing a missed opportunity to assess broader project impacts and the Fund's economic and social performance. Afro descendants' leaders were largely dissatisfied with their level of inclusion as project beneficiaries.**

The evaluation of GCF's energy sector portfolio and approach (ES2023) found that energy projects have paid increasing attention to mainstreaming gender and IPs since the GCF established the respective policies in 2019. It is estimated that 37 per cent of all GCF projects have a potential impact on IPs, and 50 per cent of energy projects target IPs. Few energy projects addressing IPs showed results at the community level, such as the participation of IPs in project implementation. Furthermore, the implementation of the IPP requires that AEs deliver a series of documents outlining potential issues that might affect indigenous populations and how these will be addressed at project level. In addition, according to ES2023, indigenous and Afro descendants' leaders were largely dissatisfied with their level of inclusion as project beneficiaries, and integrating gender equality in these contexts can be more challenging due to sociocultural sensitivities. Lastly, the evaluation found that the extent to which certain co-benefits accrue to women, youth, IPs, and other potentially vulnerable groups is not tracked or reported. This is a missed opportunity to observe the wider impacts of GCF-funded projects and the economic and social performance of the Fund.

## C. RECOMMENDATIONS

**GCF evaluations have underscored the critical need for capacity-building for IPs and ESS via readiness. Clear guidelines are recommended for country programmes to ensure the incorporation of Indigenous Peoples' considerations, along with managing expectations. Other recommendations are around enhancing stakeholder engagement, particularly with IPs, and strengthening the role of CSOs/PSOs in project oversight. Developing inclusive stakeholder engagement policies and tools to track IPs' concerns and outcomes in project development and implementation, especially in African states. Revise GCF monitoring and reporting approaches and align them with the IPP.**

Greater capacity-building support should be provided on gender and ESS to ensure that countries are able to develop RPSP and funding proposals in line with the gender, ESS and indigenous people's policies of the GCF. Regarding country programmes, clear guidelines should be provided, with a focus on developing clear priorities and concrete CNs, considering fully the policies of the GCF

regarding gender, ESS and IPs, and strengthening climate rationales, while articulating the overall outcomes of country programmes and their value added and managing expectations.

The COA2019 recommended that the GCF must ensure that IPs are adequately represented in all consultative structures and processes, (where relevant in the country context).

The FPR2019 recommended that the GCF should support an active network of in-country and international CSOs/PSOs, and representatives of IPs and vulnerable communities, both financially and operationally, so they are able to provide much-needed support, voice and guidance for climate projects and investments that by themselves are likely to have repercussions for a vast cross section of people and households in countries, with disproportionate effects on the vulnerable. Secondly, GCF should take immediate actions that may enhance the implementation of the IPP, such as facilitating a dialogue between national IPs and governments and AEs and increasing the direct communication of the GCF with IPs, globally and at the country level, starting with their engagement with the GCF (e.g. as Board observers). Thirdly, GCF should strengthen the role of IPs' participation within GCF country programming and AEs' work programme processes. Lastly, GCF should formalize the participation of CSOs/PSOs, IPs and representatives of vulnerable communities within the business model of the GCF.

The evaluation of the adaptation portfolio and approach of the GCF (ADAPT2021) recommended that the GCF should consider developing an inclusive stakeholder engagement policy that delivers meaningful and active participation in project design and implementation should be strengthened, and it should include indigenous communities.

The LDC2022 recommended that the GCF Secretariat should develop and implement tools to define and track how the use of IPs' concerns is addressed in the project development and implementation of GCF projects.

The AFR2022 recommended that the GCF should strengthen its knowledge base on the integration of environmental and social co-benefits, gender transformation and indigenous considerations, evident across the African portfolio. At the same time, it should become more intentional, consistent and proactive in applying its IPP in African states. Moreover, the GCF should revise its monitoring and reporting approaches and align them with the IPP. Such revision should increase GCF knowledge of the implications and impacts of GCF projects on IPs in the African states. Here, the GCF should actively seek the advice of the IPAG regarding the apparent reticence by some African states to recognize indigeneity in the formulation of projects.

The RPSP2023 recommended that greater capacity-building support should be provided on gender and ESS to ensure that countries are able to develop RPSP and FPs in line with the gender, ESS and indigenous people's policies of the GCF. Moreover, regarding country programmes, it recommended that clear guidelines should be provided, with a focus on developing clear priorities and concrete CNs, considering fully the policies of the GCF regarding gender, ESS and IPs, and strengthening climate rationales, while articulating the overall outcomes of CPs, their value added and managing of expectations.

The ES2023 recommended that the GCF should improve the tracking of the results of the gender action plans and outcomes for IPs at the country and sector levels.

## Appendix 7. LIST OF DOCUMENTS TO BE CONSULTED

SERIAL No.	AUTHOR/ ORGANIZATION	DOCUMENT TITLE	YEAR
1	ILO	C169 – Indigenous and Tribal Peoples Convention	1989
2	UNEP	Convention on Biological Diversity	1993
3	GEF	Principles and Guidelines for Engagement with Indigenous Peoples	2012
4	ADB	Indigenous Peoples Safeguards: A Planning and Implementation Good Practice Sourcebook	2013
5	Tengo and others	Connecting diverse knowledge systems for enhanced ecosystem governance: The multiple evidence base approach	2014
6	UNFCCC	Paris Agreement	2015
7	IFAD	IFAD's engagement with Indigenous Peoples: Evaluation synthesis	2016
8	Tebtebba	Indigenous Peoples and the Green Climate Fund	2017
9	Lima A., Fanzeres A., Alcantara L.	Climate change and indigenous perceptions	2018
10	Obermesiter N.	Local knowledge, global ambitions: IPBES and the advent of multi-scale models and scenarios	2018
11	Parks L.	Challenging power from the bottom up? Community Protocols, benefit sharing, and the challenge of dominant discourses	2018
12	Tebtebba	Green Climate Fund Readiness and Indigenous Peoples, Part 1	2018
13	UN	United Nations Declaration on the Rights of Indigenous Peoples	2018
14	David Vermijs	How value chain mapping is helping companies respect human rights	2019
15	Intergovernmental Science-Policy Platform on Biodiversity (IPBES)	Summary for policymakers of the global assessment report on biodiversity and ecosystem services	2019
16	Parks L.	Benefit-sharing in environmental governance	2019
17	Tebtebba	Green Climate Fund Readiness and Indigenous Peoples, Part 2	2019
18	Hill R. and others	Working with indigenous, local and scientific knowledge in assessments of nature and nature's linkages with people	2020
19	NomoGaia	FPIC at the IFC: How Performance Standard 7 could better protect Indigenous Peoples and uphold human rights	2020
20	United Nations Educational, Scientific and Cultural Organization	Workshop report: Mobilizing indigenous and local knowledge solutions: Addressing climate impacts and vulnerabilities, a perspective from the Caribbean Region,	2020

SERIAL No.	AUTHOR/ ORGANIZATION	DOCUMENT TITLE	YEAR
	(UNESCO)	Georgetown, Guyana, 3-5 September 2019	
21	Virtanen P.K. and others	Introduction: towards more inclusive definitions of sustainability	2020
22	Zamarioli and others	Country ownership as the means for paradigm shift: The case of the Green Climate Fund	2020
23	ADB	Safeguard Policy Statement Review and Update: Policy architecture study	2021
24	ADB	Summary of the Analytical study for the Safeguard Policy Review and Update: Indigenous Peoples	2021
25	Bracking S. and Leffel B.	Climate finance governance: Fit for purpose?	2021
26	Rainforest Foundation Norway	Falling short: Donor funding for Indigenous People and local communities to secure tenure rights and manage forests in tropical countries	2021
27	UNESCO	Knowing our climate changing in Africa	2021
28	UNFCCC	FCCC/CP/2021/12/Add.1: Report of the Conference of the Parties on its twenty-sixth session, held in Glasgow from 31 October to 13 November 2021	2021
29	UNFCCC	FCCC/CP/2021/12/Add.2: Report of the Conference of the Parties on its twenty-sixth session, held in Glasgow from 31 October to 13 November 2021	2021
30	Bertilsson J.	Managing vulnerability in the Green Climate Fund	2022
31	Bertilsson J.	The governance of Global Climate Finance	2022
32	Rainforest Foundation Norway	Funding with purpose	2022
33	The Nature Conservancy	Funding Indigenous Peoples' Climate Efforts through Jurisdictional REDD+	2022
34	UNDP Climate and Forests Programme	The End of Business as Usual	2022
35	UNFCCC	FCCC/CP/2022/10/Add.2: Report of the Conference of the Parties on its twenty-seventh session, held in Sharm el-Sheikh from 6 to 20 November 2022	2022
36	Bertilsson J. and Soneryd L.	Indigenous Peoples and inclusion in the Green Climate Fund	2023
37	Climate Policy Initiative	Global landscape of climate finance 2023	2023
38	OHCHR	Benchmarking study of development finance institutions' safeguard policies	2023
39	Orlove B. and others	Placing diverse knowledge systems at the core of transformative climate research	2023
40	The Danish Institute for Human Rights	Due diligence in the downstream value chain	2023
41	UNFCCC	FCCC/SB/2023/9: Technical dialogue of the first global stocktake	2023
42	Dawson and others	Is it just conservation? A typology of Indigenous Peoples and local communities' roles in conserving biodiversity	2024

SERIAL No.	AUTHOR/ ORGANIZATION	DOCUMENT TITLE	YEAR
43	OHCHR	Development finance institutions: OHCHR and the right to development	N/A

Source: IEU evaluation team

## Appendix 8. LIST OF INTERNAL DOCUMENTS TO BE CONSULTED

SERIAL NO.	POLICY	YEAR
1	Governing Instrument	2011
2	Performance indicators of the initial results areas of the Fund	2013
3	Initial fiduciary principles and standards of the Fund	2014
4	Interim ESS Standards	2014
5	Monitoring and accountability framework	2015
6	Information Disclosure Policy	2016
7	GCF Guidelines for enhanced country ownership and country drivenness	2017
8	Mainstreaming gender in Green Climate Fund projects	2017
9	Risk Management Framework	2017
10	Guidelines for the environmental and social screening of activities proposed under Simplified Approval Process	2018
11	Indigenous Peoples Policy	2018
12	Policy on the protection of whistleblowers and witnesses	2018
13	Gender Policy	2019
14	Operational guidelines: Indigenous Peoples Policy	2019
15	Policy on prohibited practices	2019
16	Procedures and guidelines of the Independent Redress Mechanism	2019
17	Sustainability guidance note: Screening and categorizing GCF-funded activities	2019
18	GCF Programming Manual	2020
19	GCF Evaluation Policy	2021
20	Integrated Results Management Framework	2021
21	Revised Environmental and Social Policy	2021
22	Revised Policy on the Prevention and Protection from Sexual Exploitation, Sexual Abuse, and Sexual Harassment	2021
23	Updated Terms of Reference of the Independent Evaluation Unit	2021
24	GCF Appraisal Guidance: A comprehensive guide to the tools and due diligence processes used to review and assess concept notes and funding proposals	2022
25	GCF Evaluation Standards	2022
26	Guidance on the GCF's vision, approach and scope for providing support to enhance climate adaptation	2022
27	Overall review of Green Climate Fund policy frameworks	2022
28	Private Sector Strategy	2022
29	Sustainability Guidance Note: Designing and ensuring meaningful stakeholder engagement on GCF-financed projects	2022
30	Investment Framework for GCF-2	2023
31	Readiness and Preparatory Support Guidebook: A practical guide on how to	2023



SERIAL NO.	POLICY	YEAR
	prepare readiness proposals and how to implement readiness grants	
32	Readiness Strategy 2024-2027	2023
33	Strategic Plan for the Green Climate Fund 2024-2027	2023

EVALUATION		
1	Independent evaluation of the GCF's Readiness and Preparatory Support Programme (RPSP2018)	
2	Forward-looking Performance Review of the GCF (FPR2019)	
3	Independent evaluation of the GCF's Country Ownership approach (COA2019)	
4	Independent evaluation of the GCF's Environmental and Social Safeguards and the Environmental and Social Management System (ESS2020)	
5	Independent Evaluation of the Relevance and Effectiveness of the Green Climate Fund's Investments in the SIDS (SIDS2020)	
6	Independent evaluation of the adaptation portfolio and approach of the Green Climate Fund (ADAPT2021)	
7	Rapid assessment of the Green Climate Fund's Request for Proposals Modality (RFP2021)	
8	Independent evaluation of the relevance and effectiveness of the GCF's investments in the LDCs (LDC2022)	
9	Independent evaluation of the relevance and effectiveness of the GCF's investments in the African States (AFR2022)	
10	Independent Synthesis of Direct Access in the Green Climate Fund (DA2022)	
11	Second Performance Review of the Green Climate Fund (SPR2023)	
12	Independent Evaluation of the GCF's Readiness and Preparatory Support Programme (RPSP2023)	
13	Independent Evaluation of the Green Climate Fund's Energy Sector Portfolio and Approach (ES2023)	
14	Independent Evaluation of the Relevance and Effectiveness of GCF Investment in the Latin American and Caribbean States (LAC2024)	
15	Independent Evaluation of the Green Climate Fund's Approach to and Protection of Whistleblowers and Witnesses (PPWW2024)	
16	Independent Evaluation of the GCF's "Health, Well-being, Food and Water Security" Result Area (HWW2024)	

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