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INDEPENDENT EVALUATION OF THE RELEVANCE AND EFFECTIVENESS OF GCF INVESTMENTS IN SMALL ISLAND DEVELOPING STATES

Final Inception Report

GREEN CLIMATE FUND
INDEPENDENT EVALUATION UNIT

Independent Evaluation of the Relevance and Effectiveness of GCF Investments in Small Island Developing States

FINAL INCEPTION REPORT

22 MAY 2020

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ABBREVIATIONS

AE	Accredited Entity
AIMS	Atlantic, Indian Ocean, Mediterranean, and South China Sea region
AOSIS	Alliance of Small Island Developing States
APR	Annual Performance Report
CARICOM	Caribbean Community and Common Market
CCCCC	Caribbean Community Climate Change Centre
CDB	Caribbean Development Bank
CN	Concept Notes
COP	Conference of the Parties
CSO	Civil Society Organization
DAE	Direct Access Entity
EDA	Enhanced Direct Access
FAA	Funded Activity Agreement
FP	Funding Proposal
FPR	Forward-looking Performance Review
GCF	Green Climate Fund
GEF	Global Environment Facility
GHG	Greenhouse Gas
IAE	International Accredited Entity
IEU	Independent Evaluation Unit
iTAP	Independent Technical Advisory Panel
KII	Key Informant Interviews
LDC	Least Developed Country
NAP	National Adaptation Plan
NDA	National Designated Authorities
NDC	Nationally Determined Contribution
OECD	Organisation for Economic Co-operation and Development
OECS	Organization for Eastern Caribbean States
PPF	Project Preparation Facility
PSO	Private Sector Organizations
RPSP	Readiness and Preparatory Support Programme
SAMOA	Small Island Developing States Accelerated Modalities of Action
SAP	Simplified Approval Process
SIDS	Small Island Developing States
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change

I. INTRODUCTION

A. Purpose and scope of the evaluation

The Green Climate Fund (GCF) was created in 2010 to support the efforts of developing countries to respond to the challenges of climate change. It aims to advance and promote a paradigm shift towards low-emission and climate-resilient development pathways in developing countries. As a designated operating entity of the Financial Mechanism of the United Nations Framework Convention on Climate Change (UNFCCC), the GCF provides support to developing countries to limit or reduce their greenhouse gas (GHG) emissions and to adapt to the impacts of climate change, taking into account the needs of those countries most vulnerable to the adverse effects of climate change, including small island developing states (SIDS), least developed countries (LDCs), and African states. The GCF targets a balanced allocation of resources between mitigation and adaptation.¹

This evaluation is part of a concerted effort by the GCF's Independent Evaluation Unit (IEU) to examine the relevance and effectiveness of GCF strategy and investments in these most vulnerable countries. The evaluation focuses on SIDS (some of which are LDCs, African States, or both), as approved by the GCF Board through Decision B.24/06; subsequent evaluations are likely to examine LDCs and Africa, subject to Board approval.

B. Key roles and responsibilities for the evaluation

The IEU leads this evaluation, and the consultancy firm ICF was selected through a competitive procurement process to carry out the evaluation in partnership with the IEU.

The overall evaluation team consists of IEU staff and ICF colleagues. The ICF evaluation team was responsible for developing this inception report, which draws on the evaluation matrix and the approach paper developed by the IEU. The overall team consisting of IEU and ICF members will be responsible for data-collection and analysis and preparing the final evaluation report, under the oversight of and in full collaboration with the IEU. The IEU will bear full responsibility for the evaluation.

A four-person evaluation advisory group has also been established to provide specific advice on this evaluation and ensure that it reflects the needs, rigour, and high quality of evaluations in this field. The advisory group will be consulted throughout the evaluation process for their expert and independent advice, information, and guidance.

C. Road map for this inception report

The report is organized as follows:

- Chapter II provides background and context on the SIDS and climate change challenges, as well as the GCF mandate to address the needs of SIDS.
- Chapter III summarizes existing relevant research and evidence on climate change impacts on SIDS. It synthesizes the evidence from recently conducted IEU country case studies in SIDS and provides the results of a literature review on climate change solutions in SIDS.
- Chapter IV presents the key evaluation questions and the detailed methods that will be employed to answer them.
- Chapter V gives the workplan for the evaluation, including key deliverables and milestones.
- A series of Appendices offer additional detail: Appendix I provides the full evaluation matrix, including the planned

¹ UNFCCC, 2011.

portfolio data analyses; Appendix II presents the proposed outline for the Evaluation Report; Appendix III is the country case study protocol; and Appendix IV presents the qualitative data management guidelines and instrumentation, including the key informant interview (KII) protocols and survey questions.

II. BACKGROUND

A. SIDS and the impact of climate change

The SIDS face high risk from the effects of climate change. On a global scale, SIDS emit negligible GHG emissions, yet for some islands their very existence is threatened by climate-related impacts. SIDS often face particular vulnerabilities due to certain geophysical constraints, their small size, dispersion, vulnerability to natural disasters, high sensitivity to economic shocks and global downturns, heavy reliance on fossil fuels, limited private sector opportunities, weak institutions, and fragile environment.²

Although they are often seen as one group, the SIDS exhibit diverse regional and country vulnerabilities to climate change, which are rooted in often context-specific, non-climate change causes related to diverse socioeconomic, political, and cultural conditions. For instance, some SIDS are considered middle to high income countries with high human development levels, while others are low income and LDCs. Some SIDS have extremely high indebtedness, especially in the Caribbean. Small island economies have different archetypes, from those sustained by remittances and aid flows, to those driven mainly by tourism, to those economies that manage to exploit a broader set of economic opportunities.³ High rates of temporary and permanent, and not-necessarily environmentally-driven, migration causes a

“brain drain” of qualified individuals, especially in the Pacific.

Physical size also varies substantially among the SIDS, from Niue with a total population under 2,000 people to relatively populous states such as the Dominican Republic and Haiti with over 10 million inhabitants. While coastal areas play an important role for development in all SIDS, vulnerability is especially exacerbated in low-lying island contexts (within SIDS and entire SIDS) and atoll nations that are, as a result, at the front-line of sea level rise.⁴ Varying degrees of tourism across SIDS impact coastal and coral reef areas and contribute to water resource and waste management issues, as well as sometimes bring innovative solutions.

Political systems and social and cultural dynamics also differ across SIDS. In the Pacific, for example, tensions exist between secular democracy, traditional leaders, and powerful religious groups. Gender and equity issues vary among countries and regions. For example, in matrilineal societies in Micronesian countries, women still own and have access to land, whereas in other parts of the Pacific women’s access to land remains extremely limited.⁵ Although women generally do not have equal access to productive and economic resources, female labour-force participation is lower in Pacific than Caribbean SIDS. Women’s voice and agency is also generally more limited in Pacific SIDS, with substantially lower female representation in parliaments than in Caribbean SIDS. Gender-based violence is also extremely high in some Pacific SIDS, such as Kiribati and Vanuatu.⁶

The landmark special report by the Intergovernmental Panel on Climate Change (IPCC) on global warming of 1.5°C assessed the literature on climate change impacts on SIDS.⁷ The report recognized that the impacts of climate change are already been felt in

² UNFCCC, 2005; Nurse et al, 2014.

³ World Bank, 2017a.

⁴ Nurse et al, 2014

⁵ UN Women, 2015.

⁶ World Bank, 2017; World Bank, 2018.

⁷ IPCC, 2018; Hoegh-Guldberg et al., 2018.

SIDS and that the risks of climate change are greater than previously assessed, as well as disproportionately higher on SIDS. Limiting warming to 1.5°C was seen as critical for SIDS, who are projected to experience high, multiple, and interrelated risks at that degree of warming, but substantially higher impacts at 2°C.

The IPCC Special Report on the Ocean and the Cryosphere also made the point that vulnerable countries, including SIDS, may exceed adaptation limits well before the end of this century and even on a low GHG emission pathway scenario, putting island contexts such as the urban atoll islands at high risk.⁸ All adaptation measures have their limits, and when those limits are reached, retreat may become inevitable.

B. SIDS in the international climate dialogue

The SIDS have a history of active and vocal participation in international climate dialogue, including UNFCCC negotiations, despite geographic, cultural, and economic differences across SIDS.⁹

The SIDS influence on the UNFCCC has been driven in part by the Alliance of Small Island Developing States (AOSIS), which includes all but a few of the SIDS. The AOSIS was established in 1990, prior to the UNFCCC's creation, to advance the interest of SIDS in the United Nations, including through the establishment of a common position for climate change negotiations.¹⁰ The focus of AOSIS members has varied, with some countries placing more emphasis on adaptation or mitigation priorities during negotiations depending on individual country circumstances.¹¹ However, despite these

differences, they have been recognized as an important contributor to negotiations.

AOSIS was an important contributor to early negotiations establishing the UNFCCC.¹² As a result of its negotiations, the impact of climate change on SIDS and the need for international support to mitigate and adapt to these impacts has been recognized since the inception of the UNFCCC in the early 1990s.¹³ The UNFCCC specifically recognizes SIDS' unique vulnerability to climate change.¹⁴

More recently, AOSIS was a key group during negotiations leading up to the landmark twenty-first session of the UNFCCC Conference of the Parties (COP21) and the adoption of the Paris Agreement.¹⁵ SIDS leaders convened a series of meetings to create momentum and establish expectations for climate ambition in advance of COP21.¹⁶ During negotiations, AOSIS was a key party in support of more ambitious global climate action, building on its call for "1.5°C to stay alive" since 2008.¹⁷ The majority of SIDS wanted the negotiations to lead to a legally binding treaty and were in favour of measures that would support regular Nationally Determined Contribution (NDC) ambition enhancements.¹⁸

On some topics, such as deforestation and forest degradation, international aviation, maritime transport emissions, and emission markets, negotiating positions varied significantly among the SIDS.¹⁹ In the context of climate finance, SIDS repeatedly called for prioritized international support for adaptation and mitigation activities, and have echoed the importance of climate aid as key to their overall development. During the negotiations, AOSIS called for "significantly scaled-up, new, additional and predictable financial

⁸ Oppenheimer et al., 2019; Magnan et al., 2019.

⁹ Ourbak and Magnan, 2018, 2202.

¹⁰ Ourbak and Magnan, 2018, 2201.

¹¹ Betzold, Castro, and Weiler, 2012, 12.

¹² Ourbak and Magnan, 2018, 2202.

¹³ United Nations, United Nations, and Canada, 1992, 1,8

¹⁴ United Nations, 2005, 2

¹⁵ United Nations, 2014, 1,4

¹⁶ Ourbak and Magnan, 2018, 2203.

¹⁷ Benjamin and Thomas, 2016.

¹⁸ Fry, 2016, 107.

¹⁹ Fry, 2016, 107.

resources.”²⁰ AOSIS also urged increased support for adaptation, while seeking to ensure that adaptation measures would be country-driven.²¹ SIDS further sought to preserve their special status as “vulnerable countries” in order to maintain their prioritization for climate financing support.

In their opening statement at COP23 in 2017, leaders of the Pacific SIDS called on global leaders to increase public and private sector support for mitigation and adaptation the pledge of US\$100 billion made as part of the Paris Agreement.²²

SIDS voices have also been heard through the Small Island Developing States Accelerated Modalities of Action (SAMOA) Pathway, adopted in 2014 during the Third International Conference on Small Island Developing States. The SAMOA Pathway is an international framework to advance the sustainable development of the SIDS through 2025. It builds on previous commitments for sustainable development including the 1994 Barbados Programme of Action for SIDS (BPOA) and the 2005 Mauritius Strategy of Implementation for the Further Implementation of the BPOA.²³

The SAMOA Pathway reaffirms the SIDS’ commitments to sustainable development while calling for additional international assistance to address challenges, including climate change.²⁴ The SAMOA Pathway also addresses economic growth, climate change, sustainable energy, food security, biodiversity, disaster risk reduction, and ocean management, and gender equality, among other issues. In regard to climate finance, the SAMOA Pathway resolution emphasizes the importance of “adequate and predictable financial resources” for developing countries.²⁵ Additionally, the resolution welcomed the decision by the GCF Board to direct half of the adaptation

allocation for particularly vulnerable countries, including SIDS.²⁶

Most recently, Heads of State and Government, Ministers and High Representatives, gathered at the United Nations on 27 September 2019 to review the implementation of the SAMOA Pathway. According to the adopted resolution, the General Assembly:²⁷

“Calls for urgent and ambitious global action, in line with the Paris Agreement, to address the threat and impact of climate change on small island developing States;”

“Calls for urgent and ambitious global action, in line with the Paris Agreement,⁸ to address the threat and impact of climate change on small island developing States;”

“Reiterates that many small island developing States continue to face the adverse effects of climate change and natural disasters, and in this regard, recognizes the economic challenges, including unsustainable debt levels, arising in part from extreme weather events and slow onset events”.

C. SIDS and the GCF mandate

The GCF recognizes 40 eligible SIDS; these include the 38 SIDS as classified by the United Nations Office of the High Representative for the LDCs, Landlocked Developing Countries and SIDS (United Nations-OHRLLS), as well as two additional non-United Nations members or associate members of regional commissions.²⁸ These countries are shown in Figure 1 below.

²⁰ AOSIS, 2015, 2

²¹ Fry, 2016, 107.

²² PSID, 2017

²³ United Nations, 2014, 4

²⁴ United Nations, 2014, 8

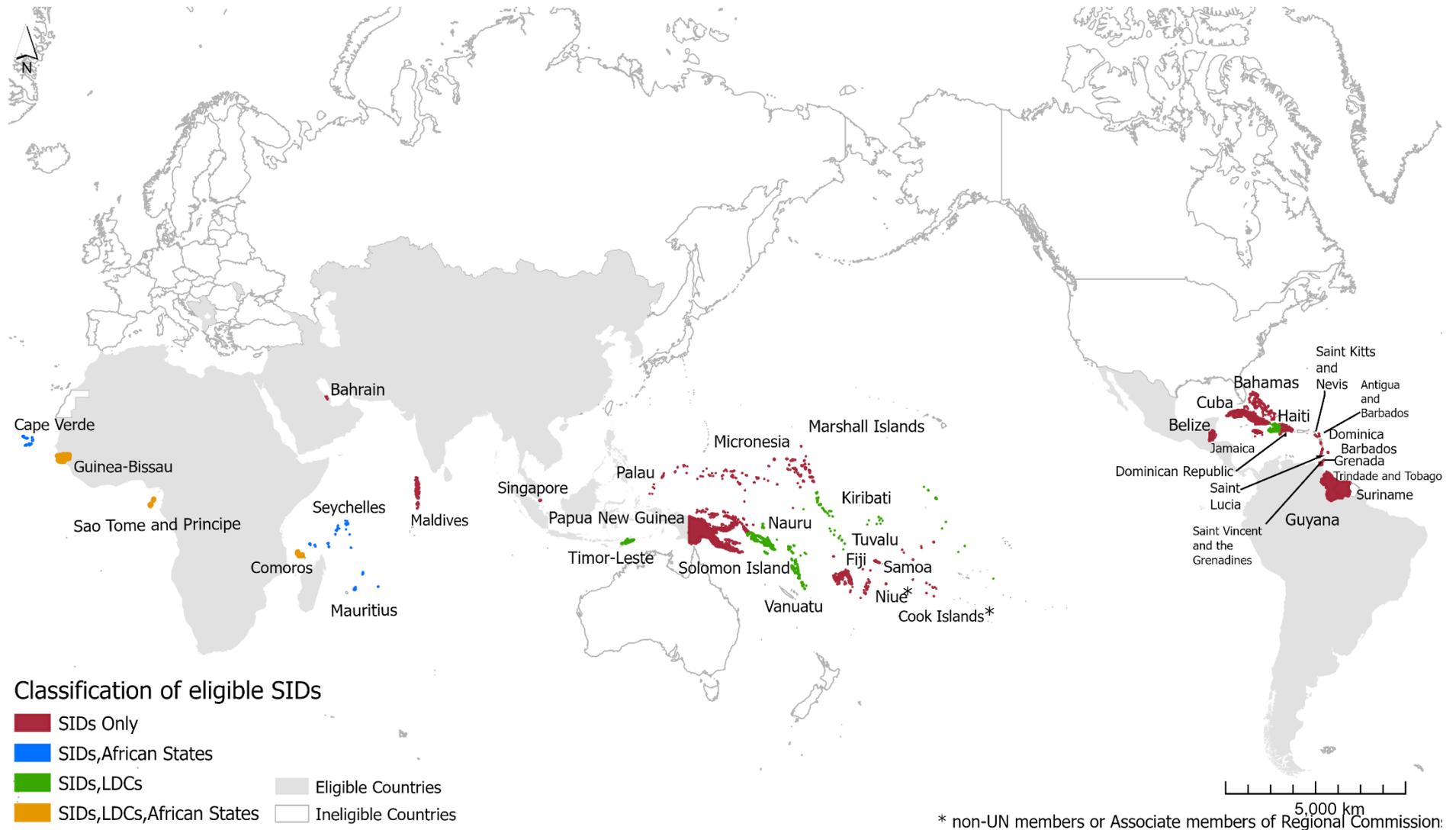
²⁵ United Nations, 2014, 9

²⁶ United Nations, 2014, 4

²⁷ United Nations, 2019, 3-4.

²⁸ Based on IEU communications with GCF Department for Country Programming.

Figure 1: GCF-eligible SIDS



The GCF approach to working with the SIDS is reflected in the Governing Instrument of the GCF, guidance from the UNFCCC Conference of the Parties (COP) to the GCF, as well as numerous Board decisions, discussions, and documents. These mandates and history are traced below, to provide context for the evaluation. Across these guiding documents from the COP and GCF Board, three main themes are identified for SIDS:

- Allocation of 50 per cent for adaptation to developing countries that are particularly vulnerable to the adverse effects of climate change, including SIDS.
- Specific modalities and support for private sector engagement in GCF activities in SIDS.
- The sufficiency of GCF processes and modalities for SIDS.

Governing Instrument

The Governing Instrument provides some specific guidance relevant for SIDS, as follows:

- The composition of the Board will include representatives from SIDS (Paragraph 9).
- The private sector facility will “support activities to enable private sector involvement in SIDS” (Paragraph 43).
- “In allocating resources for adaptation, the Board will take into account the urgent and immediate needs of developing countries that are particularly vulnerable to the adverse effects of climate change, including LDCs, SIDS and African States, using minimum allocation floors for these countries as appropriate. The Board will aim for appropriate geographical balance” (Paragraph 52).

COP guidance

Much of the guidance from the COP to the GCF has been relevant to SIDS as a subset of the developing countries for which the GCF is mandated to provide support. This section focuses on the guidance to the GCF that

specifically refers to SIDS and issues that have been a priority for SIDS during UNFCCC negotiation (e.g. loss and damage). SIDS-specific guidance has primarily focused on Board membership, engagement of private sector, and timely implementation of the GCF’s Readiness and Preparatory Support Programme (RPSP) and project application and approval procedures, in order to provide urgent support to SIDS.

- Decision 3/CP.17 provides for one **Board member** and alternate Board member from SIDS.
- Decision 7/CP.20 requests the GCF to “accelerate the operationalization of the **Private Sector Facility**”, including by “expediting action to engage local private sector actors in developing country Parties, including small- and medium-sized enterprises in the LDCs, small island developing States and African States.” In Decision 10/CP.22, the COP encourages the GCF “to develop modalities to support activities enabling private sector involvement in the LDCs and small island developing States, and to seek opportunities to engage with the private sector, including local actors, on adaptation action at the national, regional and international levels.”
- Decision 7/CP.20 requests the GCF “to accelerate the implementation of its work programme on readiness and preparatory support, ensuring that adequate resources are provided for its execution, including from the initial resource mobilization process, providing urgent support to developing countries, in particular the LDCs, small island developing States and African States, led by their national designated authorities or focal points to build institutional capacities in accordance with GCF Board decision B.08/11.”
- In Decision 12/CP.25, the COP requests the GCF to continue to enhance its support for adaptation, including “for the implementation of national adaptation plans, in line with Board decisions on enhancing readiness programming.”

- Decision 7/CP.22 noted the key messages from a 2016 workshop on long-term climate finance, including that “**access to adaptation finance** remains a challenge, particularly for small island developing States.”
- Decision 10/CP.22 requests the GCF “to enhance the coordination and delivery of resources to support country-driven strategies through **simplified and efficient application and approval procedures**, and through continued readiness support to developing country Parties, including the LDCs and small island developing States.”
- Decision 12/CP.25 invites the GCF “to continue providing financial resources for activities relevant to averting, minimizing and addressing **loss and damage** in developing country Parties, to the extent consistent with the existing investment, results framework and funding windows and structures of the GCF, and to facilitate efficient access in this regard, and in this context to take into account the strategic workstreams of the five year rolling workplan of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts.”

Board decisions and discussions

The specific needs of SIDS have been considered in a range of Board decisions and discussions, focused on resource allocation, private sector, and business model considerations such as programmes, pilots, and processes. The history of Board decisions and deliberations in each of these areas are traced below.

Resource allocation

Through Decision B.06/06, the Board decided “to aim for a floor of 50 per cent of the adaptation allocation for particularly vulnerable countries, including least developed countries (LDCs), small island developing States (SIDS) and African States.” This minimum allocation was further reiterated in the Initial Strategic Plan for the

GCF (Decision B.12/20) and the Updated Strategic Plan for the GCF: 2020-2023, which was presented in GCF/B.25/09, but not yet adopted.

Also related to allocation, Decision B.09/05(d)(ii) requests the Secretariat to present indicative minimum benchmarks in order to “take into account those developing countries particularly vulnerable to the adverse effects of climate change,” including the SIDS. It also requests the Secretariat and Independent Technical Advisory Panel (iTAP) in the application of the assessment scale to take into account the needs of those developing countries particularly vulnerable to the adverse effects of climate change, again including the SIDS. The Board-approved terms of reference for the iTAP (Decision B.BM-2018/09) provide that experience in the appraisal and operation of projects in SIDS is an asset.

Private sector modalities

Special consideration has been given to SIDS and other vulnerable countries in establishing the GCF’s private sector facility and modalities for private sector engagement in GCF activities in these countries, although the latter have not yet been clearly articulated.

Decision B.04/08 set forth that the PSF will “support activities to enable private sector involvement in small island developing States and LDCs. Modalities will be developed for consideration by the Board.” Specifically, the Board requested its Private Sector Advisory Group to provide recommendations on “modalities to promote participation of private sector actors in developing countries, in particular local actors, including small and medium-sized enterprises and local financial intermediaries in small island developing States, LDCs and Africa, and with a special emphasis on adaptation” in multiple decisions (B.07/08; B.15/03; B.17/06).

At its nineteenth meeting, the Board considered the PSAG’s recommendations in this regard (see Box II-1) and decided to (Decision B.19/18):

- Request the Secretariat to develop modalities “to support activities to enable domestic and international private sector actors to engage in GCF activities in” LDCs and SIDS, for consideration by the Board at its twentieth meeting;

- Request “the Secretariat, in cooperation with private and public sector entities, accredited entities, national designated authorities and focal points, to identify and facilitate the development of funding proposals targeting LDCs and small island developing States, which involve innovative financing structures or modalities, such as project and small-scale solution aggregation, public-private insurance structures, and on-lending and risk capital investments through climate-oriented financial intermediaries;”
- Take into account the recommendations from the PSAG “when (i) revising policies, programmes and processes, such as the accreditation framework, investment criteria indicators, the RPSP, the Project Preparation Facility and the project approval process; and (ii) approving work plans and budgets relevant for private sector engagement.”

In Decision B.24/04, the Board decided to consider under the Strategic Plan for 2020-2023 “modalities to support activities to enable domestic and international private sector actors to engage in GCF activities” in

Box II-1: Private Sector Advisory Group recommendations for SIDS private sector modalities

Creating strong enabling policy, planning, regulatory and financial environments. This could be implemented through the RPSP or project-specific technical assistance facilities.

Demand and dealflow aggregation. This could involve aggregation or bundling of smaller-scale climate projects (such as minigrids) and aggregate purchasing of small-scale solutions at lower effective prices. This could be at local, national regional, or other collective market levels.

Market activation. This could be through RPSP, technical assistance facilities, or other tools and processes. It could involve support for private sector capacity through technical and vocation education and training institutions and business incubators; training in climate finance for local business; encouraging industry bodies and associations to work with government and consumers to design locally appropriate policy and regulatory environments; support market data-collection and publication; and support for demand growth through support to civil society and awareness or communication campaigns.

Innovative financing structures and modalities. GCF should engage with partners (AEs, countries, and other stakeholders) to develop and structure innovative projects with high impact potential for SIDS. GCF is encouraged to analyse the use of risk-transfer instruments to address climate-induced risks, specifically guarantee funds. GCF should analyse the engagement with Green Banks as well as other dedicated local green financing entities to generate projects or aggregate demand for SIDS.

Modalities for working with the private sector. There should be increased interaction between PSAG and the GCF Accreditation Panel to better understand the barriers and challenges.

Targeted requests for proposals. The Mobilizing Funds at Scale Requests for Proposals (RfP) is oversubscribed and should be carefully analysed for its relevance to SIDS, LDCs, and adaptation.

Source: GCF/B.19/31

LDCs and SIDS. The updated Strategic Plan as presented at B.25 proposed to develop a private sector strategy focused on, among other issues, supporting private sector engagement in all developing countries, in particular LDCs and SIDS. This would build on the PSAG recommendations to “help build markets for climate action in LDCs and SIDS, focusing on market activation, enabling environments and facilitation of the aggregation of demand for mitigation and adaptation services.” Box II-2 below summarizes the SIDS input on the update of the GCF strategic plan.

Programmes, pilots, and processes

The approval of several GCF programmes, pilots, and processes have specifically considered the needs of SIDS.

Through Decision B.05/14, adopting the scope for the **RPSP**, the Board noted the importance of such support for “*effective private sector engagement, particularly for small- and medium-sized enterprises and local financial intermediaries in developing countries, and activities to enable private sector involvement in*” SIDS and LDCs. The Board also noted that the allocation of such RPSP support would “*take into account the*

urgent and immediate needs of developing countries that are particularly vulnerable to the adverse impacts of climate change,” including SIDS.

The Board-approved policy on **fees for accreditation** waives such fees for basic fiduciary standards for subnational and national entities in SIDS and LDCs that apply for accreditation for micro- and small-sized funding activities (Decision B.08/04).

In Decision B.10/04, the Board approved the terms of reference for a pilot phase for **EDA**, with the “*initial aim of providing up to US\$ 200 million for at least 10 pilots, including at least four pilots to be implemented in small island developing States, the least developed countries and African States.*”

At B.12, the Board approved the Initial Strategic Plan for the GCF (Decision B.12/20), in which the GCF expressed its intent to “*streamline and, wherever appropriate, simplify its processes and templates particularly for micro-scale activities in LDCs and SIDS.*”

In Decision B.18/06, the Board approved the **Simplified Approval Process** pilot scheme. In previous Board meetings, discussions had

Box II-2: SIDS input to the update of the GCF Initial Strategic Plan

The SIDS comments include key messages urging the Board and Secretariat to:

Consider the IPCC’s 1.5°C Special Report in reflecting the **urgency of the GCF’s transformational mandate**, as well as the GCF’s strategy and policies on accreditation and reaccreditation, project cycle approval, and performance management framework.

Promote paradigm shift, including through: **a higher risk appetite** than other funds; strong national and regional institutional capacity and ownership, supported through **strengthening and enhancing RPSP, direct access entity (DAE) accreditation, enhanced direct access (EDA), simplified approval process (SAP), and private sector engagement**; promoting and testing **new innovative approaches** to climate finance; and promoting the **use of best available science** on climate impacts in financial decisionmaking.

Scale up and **accelerate support for National Adaptation Plan (NAPs) and FPs** that meet GCF criteria, and ensuring efficient access to financial resources

Learn from the findings of the IEU, especially on the RPSP, country ownership, transformational ability, and process review.

Source: SIDS input to the update of the Initial Strategic Plan for the GCF, 2018.

Bolding added for emphasis.

highlighted the perceived importance of the SAP for SIDS. In particular, at B.15, numerous Board members lamented the delay in operationalizing the SAP, and the Co-Chairs acknowledge the significance and urgency of SAP on behalf of all SIDS and developing countries.

III. EXISTING RESEARCH AND EVIDENCE

A. Existing evaluative evidence on the SIDS from GCF IEU studies

The recent IEU evaluations of the GCF RPSP, Forward-Looking Performance Review, Country Ownership Approach (COA), and environmental and social safeguards included country case studies in the SIDS that explored relevant issues for this evaluation. Eight case studies (conducted in 2017–19) found and reviewed for this synthesis are:

- FPR: Mauritius, Grenada, Solomon Islands.
- COA: Fiji.
- RPSP: Vanuatu, Antigua and Barbuda, Haiti.
- ESS: Samoa.

Pertinent lessons are summarized below.

Relevance

Relevance of modalities, programmes, and processes

RPSP: In all SIDS case studies, it is clear that GCF’s requirements around project feasibility, design, and management are higher than each SIDS’ human resource capacity. For this reason, the RPSP was found to be highly relevant to support SIDS to prepare for project proposals and management. The RPSP has also proven adaptable to the specific needs and interests of each country. For example, Antigua and Barbuda has had four RPSP projects that supported development of a ‘No Objection’ procedure, strengthening the NDA role,

technical and financial feasibility studies, building its climate change rationale, conducting environmental impact assessments and gender analysis and market analysis for the pipeline of projects. Vanuatu used RPSP to: strengthen the NDA and develop a country programme for GCF; research and develop a Fund proposal to provide climate information services; and engage stakeholders in consultative processes to establish a national green energy fund.

Project Preparation Facility (PPF): SIDS case studies offered little discussion about the sufficiency of this facility. However, given the low levels of government capacity in the SIDS case studies, support for project preparation is highly relevant.

Country programmes for GCF: Fiji preferred to prepare a climate investment strategy that included all potential funding sources, not only GCF. Solomon Islands implied similar concerns. Other SIDS accepted the country programme as a step that must be done for GCF.

Accredited entity (AE) accreditation process: Few national level organizations have pursued or completed accreditation in the case study SIDS, due to the high required standards and investment of time and resources. However, in Fiji and Grenada, where their respective national development banks have pursued accreditation, informants reported that it improved their institution. In both countries, such direct access was seen as the most important modality for funding because of its implication of “country ownership.” The low number of DAEs means that countries may be compelled to bend their priorities to fit with the mandates or interests of what external AEs they can partner with. Nevertheless, the Samoa case study found that regional DAEs had the best ‘fit’ to deal with applying GCF policies in SIDS. International Accredited Entities (IAEs) utilized GCF-focused teams at their international headquarters, away from the

project context, with lower likelihood of following the rules.

GCF's stringent accreditation standards mean that SIDS have access to very few DAEs. In cases such as Haiti, Antigua and Barbuda, and Fiji, RPSP funds were used to prepare nominated national banks for direct access. However, there is no such support mentioned for capacity-building actual or potential regional DAEs, which are also few in number (two in the Pacific shared between 14 countries, for example).

Private Sector Facility: Interaction between National Designated Authorities (NDAs) and the private sector has been quite limited, according to case study informants. Nevertheless, the IEU's COA evaluation (p.150) found evidence of relative interest in private sector engagement in SIDS. Fifty-two per cent of SIDS countries that applied for the GCF PSF claimed some level of engagement between GCF projects and the private sector, compared to just 13 per cent of African states and 18 per cent of LDCs. Most country NDAs are working on strategies to engage the private sector primarily because GCF expects it. Challenges identified in the country case studies included that:

- Domestic banks would not be able to absorb climate capital on top of existing capital reserves.
- SIDS private sector enterprise are mostly typified by very small and disparate businesses, low technical skills, misunderstanding of language, climate finance illiteracy, and low understanding of climate issues. These make it difficult for GCF projects to engage 'the private sector.'
- Private sector entities are discouraged by the bureaucratic requirements of accessing GCF funds. There is much perceived red tape and time delays from concept development to funding disbursement.
- GCF is largely perceived by businesses as an arrangement between government and multilateral agencies.

Financial instruments: SIDS' contexts were typified by low ability to service sovereign debt and "diseconomies of scale" due to high transportation costs and low populations. Thus, grants were seen as more applicable than loans. Though a couple of alternatives were identified. In Antigua and Barbuda, some respondents noted that access to guarantees and equity would also be appropriate to assist private sector engagement, to mitigate businesses' risk aversion. In Fiji, another agency assisted the government to develop and float a 'sovereign green bond' which raised US\$50 million in capital for investment in climate resilience opportunities.

Regional projects: The Grenada case study pointed out that regional projects form an easier entry point for a country with low capacity; but the benefit per country is lesser, and they also bring uncertainty about what each country should plan for and expect. However, the Samoa case found that regional, multi-country programmes had poorer, unsystematic progress reporting.

GCF – SIDS communications: Consistently across country case studies, informants praised the utility and confidence in advice and support from GCF's regional contact staff. Across all three regions (Africa, Pacific and Caribbean) they noted their considerateness, ability to explain GCF process and knowledge and adaptability to country and region context. For the SIDS informants, direct, relational contact was of prime importance, in contrast with general impressions (documented later in this report) that GCF processes overall are difficult and unpredictable.

Gender: In general, the SIDS country case studies suggested that the GCF gender policy and gender-related requirements for accreditation are well accepted. Though levels of gender equality vary widely across the various SIDS contexts, stakeholders are willing to undergo the expected gender

assessments and follow guidelines required by GCF.

Country ownership: Across all SIDS, government partners demonstrated a sense of identity, independence and priorities in determining development priorities.

Engagement of non-governmental stakeholders, however, is often lacking. Four countries' case studies noted that national government partners use GCF funds for government activities alone. Engagement with parts of civil society that represent target beneficiary populations is almost absent.

Barriers

The case studies revealed the following weaknesses in GCF's business model, in relation to SIDS. SIDS case studies revealed that GCF processes were perceived to impede urgent responses to climate change readiness.

- GCF's administrative requirements are consistently higher than ministries' capacity.
- GCF processes are unwieldy and unpredictable. For example: "While there is strong interest and inclination in Vanuatu to have an accredited DAE, accreditation is regarded as unlikely because of the complexities and rigour." (Vanuatu). "Perceptions remain that GCF is challenging to work with, and characterized by delays, high transaction costs, and considerable uncertainty." (Mauritius).
- Keeping up with evolution of GCF processes is challenging. Informants noted that the GCF is a young organization, with rapidly evolving policies and processes. There are concerns that processes are expanding, compounded by a steady stream of changes. Informants also note that it is often not clear to in-country stakeholders who to contact for specific reasons.
- International and regional projects are slow to reach country activity. The Grenada case study pointed out that where projects cover multiple countries, "it is unclear how resources will be divided among participating countries..."

and it is not always clear how things will unfold in-country. This is one part of the reasons behind the delays to the respective global and regional GCF projects; factors exterior to the country affecting design and execution."

Relevance to the needs of the countries

The mandate of GCF was found to be highly relevant to the climate vulnerabilities of all the SIDS case studies. In most cases, this climate vulnerability intersects with high levels of poverty as well.

In each case, proposals and subsequent projects pursued with GCF funding directly supported each country's national climate strategy. However, while there is general alignment, IEU DataLab findings in the COA evaluation report (p.76) revealed that, overall, there is less alignment between NDC priorities and GCF country targets for SIDS than for LDCs or African States. In one case, Solomon Islands, informants were antagonistic to the climate change specific focus on GCF funding, with the view that they are so climate vulnerable that any development priority was a justified adaptation priority.

Though SIDS account for very little of the world GHG emissions, around half of GCF's funding in SIDS goes to mitigation projects, with the majority focused on energy generation projects. GCF funds in Vanuatu, Solomon Islands, Grenada and Mauritius include a focus on increasing SIDS' energy autonomy and resilience via renewable energy generation (and emissions reduction in Vanuatu).

Effectiveness

At the time of documenting the case studies between mid 2018 and 2019, **GCF projects in SIDS either had not started or were too young to have achieved meaningful impacts.** The main results have been in relation to government ministries' administrative capacities, associated with RPSP support. Most SIDS cited that GCF

support has increased overall institutional strengthening of government capacity, for GCF and other fund types. Examples include providing a more systematic ways of vetting proposals, boosting the strength of the NDA/FP; establishing a government working group for climate action; and incorporating ESS, and gender integration as elements of quality design and planning.

Perceived barriers to GCF investments achieving effectiveness and paradigm shift in SIDS by the GCF stakeholders and its ecosystem have included:

- A focus on development of infrastructural improvements in renewable energy generation without paying attention to “soft” reforms in the realm of electricity tariff regulation and policy.
- GCF-funded investments do not engage in the socialization of new technologies, and therefore acceptance/adoption by the wider population that case study informants note are keys to achieving paradigm shift.
- Interlinkages between development needs in SIDS, and resulting dependencies that undermine utility of single-sector projects
- Poor definition of what “paradigm shift” means to GCF.

Case studies reported very little about the utility or likelihood of **replicating** GCF project lessons from one country to the next, or **scaling up of current project activities into non-project areas**. The low-level of reporting is most likely due to SIDS studied having either only RPSP grants or very early-stage implementation projects. All examples of replicability related to processes developed under RPSP. These ranged from cross-country learning about DAE accreditation preparedness and utilization of longterm consultant secondments for knowledge transfer from Fiji, to utilization of regional organizations and GCF Structured Dialogues

in the Caribbean to cross-pollinate ideas among countries.

The SIDS case studies suggested that **innovation** was not prominent in GCF projects.

- The Vanuatu case study suggested that the large scale of GCF projects is seen as its own impediment to innovation. Informants had the view that innovations come from smaller and more nimble development players who can pilot innovations and may be less stifled by international/multilateral bureaucratic requirements.
- The Fiji case study informants suggested that prioritizing innovation and paradigm shift may be counter-productive because it demotes existing solutions that are ready to scale below new and untested solutions that will take more time and resources to learn and scale up.
- In Solomon Islands, where poverty is deeper than other Pacific countries, “some stakeholders are primarily focused on immediate socioeconomic development needs and do not welcome a rigorous review of climate rationales.”

Coherence and complementarity in climate finance delivery

In terms of climate finance readiness, many GCF RPSP grants are building on or modifying processes already commenced under other donors’ projects.

With respect to coverage, after five years of operation, the GCF now covers 80 per cent of its 40 eligible SIDS. The Global Environment Facility (GEF) has provided climate finance to all 40 SIDS, given its longer operational history. The Adaptation Fund provides funding in 16, and the Climate Investment Funds’ pilot programmes operate in 22 SIDS. Seven SIDS receive climate funding from all four of these climate funds.²⁹ In six countries, only GCF and GEF are active.³⁰

²⁹ Cooks Islands, Fiji, Saint Lucia, Maldives, Papua New Guinea, Solomon Islands and Samoa

³⁰ Bahrain, Bahamas, Barbados, Guyana, Saint Kitts and Nevis and Suriname

With regard to institutional coordination in the case study SIDS, the GCF NDA is usually the same focal point as for other climate funders such as GEF and Adaptation Fund. This centralization of government oversight has enabled reasonable transparency to government of what climate projects are taking place in each country.

B. Results of literature review

During the inception period, the evaluation team conducted an initial identification and review of key peer-reviewed and grey literature on climate change interventions in the SIDS. This literature was reviewed to provide a research grounding to the overall evaluation, as well as with the purpose of contributing to a **normative standard** for the evaluation. This standard is framed as a guiding question: *What are critical constraints and opportunities for better climate finance in SIDS that GCF should consider in making its support for adaptation and mitigation more relevant and effective?*

To identify the peer-reviewed literature, we searched the Web of Science Centre for Agriculture and Bioscience Abstracts collection for literature on climate change and SIDS between 2012 and 2020 using relevant climate change related keywords as well as the list of GCF-eligible SIDS and Caribbean, Pacific, and permutations of small island state/nation/country. This literature search identified 1,259 studies.³¹ The titles of these studies were reviewed to determine their relevance. Among those deemed relevant, a first priority selection was made of 20 studies based on these criteria:

- Focus on SIDS or a SIDS region (e.g. Pacific, Caribbean), rather than being country specific.
- Focus on mitigation or adaptation barriers and solutions, rather than being intervention/sector specific.
- Ensure coverage of the SIDS perspective, including indigenous approaches and views.
- Include SIDS authors.

In addition, the list of selected studies was shared with a prominent scholar in the field, and three additional studies were added at his suggestion; one study was removed. A similar search was also conducted through Google for grey literature, and four key papers were added, for a total of 26 studies in the initial literature review. Additional grey literature will also be reviewed as part of the benchmarking and meta-analysis exercise (see section on detailed methods below).

As a result of the initial literature review, the following constraints, barriers, and opportunities for effective climate action in SIDS were the most commonly identified. Literature will continue to be identified and reviewed over the course of the evaluation, to refine and build on the framework below.

- **Domestic capacity constraints.** Low numbers of qualified staff working in key capacities “constrain the ability of SIDS to access and manage different sources of concessional finance, and limit their absorption and implementation capacity.”³² In addition to human resource capacities, other constraints relate to technical, monitoring, evaluation, implementation, and enforcement capacities.³³ SIDS face a cycle of “limited capacities and low use of country systems” which can increase delivery speed and results in the short-term but constrain effectiveness in the long-term.³⁴ SIDS (and in particular LDCs) identify more barriers than other developing country parties in their NDCs in terms of the development and transfer of

³¹ As Kuruppu and Willie (2015) also note, there is a lack of climate change studies on African and Caribbean LDC-SIDS, as well as “a paucity of academic as well as grey literature being produced by authors from LDC-SIDS.” The evaluation team identified a greater number

of relevant studies for the Pacific and Caribbean SIDS regions than for the AIMS.

³² OECD, 2018; OECD and World Bank, 2016

³³ Robinson, 2018

³⁴ OECD and World Bank, 2016

mitigation and adaptation technologies.³⁵ Capacity is especially limited within local government and rural communities.³⁶

- **A lack of public awareness and risk communication to people and institutions.** Numerous studies have documented the limited awareness of climate change in local populations in the SIDS, as well as among key local and national decision makers.³⁷ “The scholarly consensus is clear: adaptation is fundamentally a local issue, and local involvement, participation and ownership is a central precondition for successful adaptation. For communities, however, to know about their needs and options, to be able to make informed decisions, and to implement these, they in turn need to be aware of climate change, to learn about the underlying science and available technologies, and to command the necessary resources – financially, but also in terms of technical expertise and knowledge.”³⁸ Especially in the Pacific, the fact that climate information is often available only in English strengthens the perception of climate change as an “alien” problem; local linguistic translations also face issues. Difficulties in effective communication to local Pacific communities “also stem from the pervasive spiritual beliefs of many islanders.”³⁹
- **A lack of alignment between national approaches and the needs of vulnerable communities.** The literature identifies gaps between climate action focused on the “core” of the island states (e.g. the capital island) and the periphery, as well as gaps between top-down (national) and bottom-up (community) approaches to adaptation, especially given the importance of informal governance in the Pacific islands. Challenges have been noted in terms of filtering adaptation

funding down from governments to communities,⁴⁰ as well as the varying needs of individual islands in an archipelago, with concerns regarding the distribution of national resources to the islands.⁴¹ This is further compounded by segregation within islands between rich and poor populations,⁴² the physical distance between government offices and rural communities especially in archipelagic states,⁴³ and in the Pacific SIDS, the tension between top-down governance and traditional leadership in the outer and rural areas. In Pacific SIDS, many national governments emphasize top-down centralized governance, but in the periphery (rural, outer-island) “communities generally regard the lands they occupy as being under their exclusive control.” Top-down approaches to adaptation have been ineffective in Pacific SIDS,⁴⁴ yet traditional decision-making structures are not well suited for “dealing with both the complexity and pace of climate-driven environmental changes.”⁴⁵

Perception of overemphasis on shorter term adaptation actions rather than the longer-term ones or ones that address the root causes of vulnerability, as well as the increased risk of maladaptation. International adaptation funding modalities (i.e., through the UNFCCC) have been found to do little to address root causes of vulnerability or support system transformations. Instead, these funds were geared at supporting sectoral level adaptation initiatives for vulnerable natural resource sectors such as water, biodiversity and coastal zones.⁴⁶ SIDS are also seen to be at a potentially higher risk for maladaptation, given the intricate linkages between sectors and communities.⁴⁷ Some authors call for a

³⁵ Traerup et al, 2018

³⁶ Kuruppu and Willie, 2015

³⁷ Petzold and Magnan, 2019; Nunn et al., 2013; Nurse et al., 2014

³⁸ Betzold, 2015

³⁹ Betzold, 2015

⁴⁰ Nunn and McNamara, 2019

⁴¹ Petzold and Magnan, 2019

⁴² Petzold and Magnan, 2019

⁴³ Betzold, 2015

⁴⁴ Nunn et al., 2013

⁴⁵ Betzold, 2015

⁴⁶ Kuruppu and Willie, 2015

⁴⁷ Nurse et al., 2014

wider recognition that “transformational adaptation invariably involves relocation of and infrastructure to less-vulnerable locations, a process that may be accompanied by livelihood reconfiguration, and economic and cultural changes that may also be transformative.”⁴⁸ A contributing factor to the overemphasis on shorter term climate actions is the low predictability of resilience funding, constraining SIDS “ability to take more comprehensive and forward-looking steps to build resilience, as well as limit their space for addressing less urgent and yet fundamental aspects of resilience.”⁴⁹

- **Combining knowledge from within and outside of SIDS communities for effective climate action.**⁵⁰ “SIDS peoples have a long history of using their own knowledge – termed indigenous knowledge, traditional knowledge, and local knowledge – to deal with environmental changes.”⁵¹ Island jurisdictions have shown innovation in terms of entrepreneurship and business ventures, in “public, private, and public-private governance and regulation” and in culture that can be relevant to designing local responses to global issues such as climate change.⁵² Papers that make the case for nissology argue that successful interventions look to context on the islands (e.g. history, elevation, way of life, successes, failures, colonization, lifestyles, food source, location, linkages, associations, and any other island-based characteristics).⁵³ A case is also made to channel adaptation funding for SIDS “into research or other in-country institutions that builds agency and enable researchers, practitioners and government officials to generate their own knowledge that can meet the adaptation needs of SIDS.”⁵⁴

- **Different pathways to development in SIDS.**⁵⁵ The design of successful climate interventions is influenced by the potentially different development pathways and national budget restrictions of SIDS. ⁵⁶ “Because of their unique economic geography, the feasible development paths for [Pacific SIDS] are likely to differ from the typical strategy followed by many other developing countries.” In particular, “[r]eforms to improve the business environment are unlikely to be sufficient to ensure global competitiveness given the costs imposed by size and distance from markets. Moreover, implementing a full suite of policy and institutional reforms to assist exporters is likely to be beyond the reach of most [Pacific SIDS], given their constrained fiscal resources and limited capacity in many areas.”⁵⁷ In addition, “[t]he debt distress and higher income levels of some SIDS limits access to concessional finance. Some SIDS – especially microstates, which face more limited economic prospects – may present a structural need for sustained support from the international community.”⁵⁸
- **Limited climate change and socioeconomic data at the required scale for small islands, as well as limited scientific research in SIDS.** There is a need for such data at smaller (e.g. national or even local) scales.⁵⁹ Several studies have also noted the lack of climate change studies in African and Caribbean LDC-SIDS⁶⁰ as well as the limited use of scientific research in SIDS in terms of informing climate planning and interventions.⁶¹
- **High transaction costs.** “The large transaction costs involved in the small-scale of SIDS project proposals can weaken prioritization by multilateral intermediaries and thus result in fewer

⁴⁸ Nunn and McNamara, 2019

⁴⁹ OECD and World Bank, 2016

⁵⁰ Kelman, 2017.

⁵¹ Kelman, 2010.

⁵² Kelman et al, 2015

⁵³ Schwebel, 2017

⁵⁴ Kuruppu and Willie, 2015.

⁵⁵ World Bank, 2017a

⁵⁶ Robinson, 2018

⁵⁷ World Bank, 2017a.

⁵⁸ OECD, 2018

⁵⁹ Nurse et al., 2014; OECD and World Bank, 2016

⁶⁰ Kuruppu and Willie, 2015

⁶¹ Robinson, 2018

opportunities for funding. Therefore, more than for other developing countries, a trade-off exists for SIDS between investing in national capacities to gain direct access versus relying on an intermediary agency.”⁶²

IV. METHODS

A. Key evaluation questions and matrix

The evaluation questions are structured around four key themes related to: the relevance of the GCF portfolio to the needs and urgency of climate action in the SIDS; the appropriateness of the GCF business model to the needs and urgency of climate action in the SIDS; the effectiveness of the GCF in delivering results through the

implementation of GCF-funded projects and programmes; and the coherence and complementarity of GCF activities with other climate finance delivery channels. The themes of private sector engagement and innovation in the SIDS are planned to receive special attention as cross-cutting themes.

These themes will be considered both from the "demand" and "supply" sides, in terms of what SIDS needs are and what GCF is currently doing or could do better to meet those needs. The evaluation will also consider the heterogeneity of the SIDS in assessing these issues, as described in Section II.A and discussed in the detailed methods below.

For a detailed evaluation matrix with key methods and source/type of data, see Appendix I.

Table IV-1 Evaluation questions

No.	KEY QUESTIONS	SUB-QUESTIONS	IEU Evaluation Criteria ^a
1	Is the GCF portfolio relevant to the specific needs and urgency of climate action of the SIDS?	<ul style="list-style-type: none"> To what extent is the GCF portfolio aligned with the evolving adaptation and mitigation needs and priorities of SIDS? To what extent is GCF finance suited to and addressing the needs of the private sector in SIDS? Is GCF finance helpful in mobilizing private sector investment for the SIDS? In improving the resilience of the local private sector and de-risking investment by local private sector entities in the SIDS? To what extent does the GCF portfolio include actions that promote gender and indigenous peoples' equality and empowerment in SIDS? To what extent are GCF projects and programmes in the SIDS country-owned? What has been the extent of stakeholder participation in design and implementation of GCF activities? Have GCF programmes and windows (PSF, RPSP, RfPs, EDA, PPF, SAP) contributed to a pipeline of climate finance for the SIDS? To what extent has the GCF been responsive to UNFCCC guidance to the GCF that is specific to SIDS? 	Relevance; Country ownership; Gender equity
2	Is the GCF business model appropriate for the specific needs and urgency of climate action of	<ul style="list-style-type: none"> How relevant and how constraining are GCF policies and frameworks to the SIDS? To what extent are GCF processes, programmes, funding windows, and modalities responsive to the needs and urgency of climate action of the SIDS? Are they 	Relevance; Efficiency; Gender equity

⁶² OECD, 2018.

No.	KEY QUESTIONS	SUB-QUESTIONS	IEU Evaluation Criteria ^a
	the SIDS?	<p>accessible and feasible for SIDS partners to successfully navigate? Are they matched to SIDS' capacities?</p> <ul style="list-style-type: none"> To what extent have GCF processes and projects exercised efficiency while also recognizing the high cost of operation in the SIDS? Is the process of accreditation responsive to the needs of the SIDS? Is the portfolio of AEs suited to the needs and urgency of climate action of the SIDS? 	
3	Is GCF support effective in delivering sustainable results and learning from those results?	<ul style="list-style-type: none"> To what extent is the GCF meeting its objectives, and those of the UNFCCC and Paris Agreement, in the SIDS portfolio? What role is the GCF playing in channelling new, additional, adequate, and predictable financial resources? And to what extent has the GCF catalysed climate finance from and for the SIDS, both public and private? To what extent is the GCF portfolio in SIDS achieving intended results, including through investments and RPSP? What are those results (intended and unintended)? To what extent are GCF investments mobilizing potential for paradigm shifts within SIDS? To what extent are GCF investments replicable and scalable? To what extent are GCF investments employing innovations in SIDS? And to what extent do they support well-established local processes or knowledge? To what extent has the GCF learned from its experiences in SIDS? 	Effectiveness; Innovativeness in results areas; Replication and scalability; Unexpected results
4	Is GCF climate finance complementary and coherent with other climate finance delivery channels?	<ul style="list-style-type: none"> What is the coverage of GCF projects in SIDS compared to other climate finance delivery channels? To what extent are GCF investments complementary and coherent with other climate finance delivery channels? To what extent does GCF build on climate finance provided by other delivery channels (e.g. does GCF lag or lead)? 	Coherence and complementarity in climate finance delivery

^a As defined in the IEU's Terms of Reference.

B. Detailed methods

This section presents the methods for this evaluation. The evaluation will take a mixed methods approach, using both qualitative and quantitative data and methods to inform its evidence-based findings, conclusions, and recommendations. Specific methods include: document review, quantitative and qualitative data analysis, meta-analysis and benchmarking, thematic analyses on private sector and innovation, stakeholder consultation (key informant interviews and

surveys), and country case studies.

Ultimately, the evaluation team will conduct a synthesis across methods and data sources to identify common themes and important differences as well as to address discrepancies. This process will also enable the team to identify where evidence is sufficient and where evidence may be thin, to document the strength of evidence and ensure that the final findings and conclusions are soundly evidence-based.

Document review

General document review

The evaluation team will conduct a comprehensive document review to inform our understanding and assessment of the relevance and effectiveness of GCF activities in the SIDS, drawing on the following documents:

- GCF policies, Board decisions, Board meeting reports, and Strategic Plans.
 - UNFCCC decisions and guidance to the GCF, and Board responses to such guidance.
 - GCF Secretariat administrative/operational documents, reviews, and reports.
 - SIDS submissions to the Board.
 - Readiness documents, including proposals, CPs, NAPs and progress reporting.
 - Accreditation documents, including nominations, accreditation master agreements, and entity work programmes.
 - Project cycle documents, including concept notes (CNs), PPF proposals, FPs, Secretariat and independent iTAP reviews, comments from civil society organizations (CSOs), funded activity agreements (FAAs), and annual performance reports (APRs).
 - Country-level documentation for the case studies (such as NDCs, NAPs, climate change policies and strategies, relevant documents for climate projects funded by other multilateral and bilateral agencies, academic and grey literature on climate solutions and challenges in the country, and so on).
- Readiness and Preparatory Support Programme (B.05/14; B.22/11)
 - Initial Guiding Framework for the Fund's Accreditation Process (B.07/02, Annex I)
 - Policy on Fees for Accreditation (B.08/04); Policy on Fees for AEs and DPs (B.11/10, Annex II)
 - Results Management Framework and Performance Measurement Frameworks (B.08/07; B.07/04; B/05/03)
 - Investment Framework (B.09/05; B.22/15)
 - Gender Policy (B.09/11; B.24/15)
 - Monitoring and Accountability Framework for AEs (B.11/10, Annex I)
 - Operational framework for complementarity and coherence (B.17/04)
 - Risk Management Framework (B.17/11 and B.19/04); Revised Risk Register and Risk Appetite Statement (B.17/11); Compliance Risk Policy (B.23/14)
 - Guidelines for enhanced country ownership and country drivenness (B.17/21)
 - Environmental and Social Policy (B.19/10)
 - GCF Indigenous Peoples Policy (B.19/11)
 - Anti-Money Laundering and Countering the Financing of Terrorism Policy (B.23/15)
 - *Proposed Policy on Co-financing* (B.24/04)
 - *Proposed Policy on Programmatic Approaches* (B.25/08)

Policy and operational framework analysis

The evaluation team will conduct a systematic analysis of GCF policies and operational frameworks to assess the extent to which they consider and are sufficient to meet the needs and urgency of climate action in the SIDS. These policies and operational frameworks are expected to include:

The team will also draw on IEU assessments of these policies conducted by previous evaluations and in parallel to this evaluation, including of the Gender Policy, Environmental and Social Policy, and Accreditation Process.

Literature review

As noted in Section B above, the evaluation team has conducted a preliminary review of the relevant peer-reviewed and grey literature on climate change solutions and innovations in SIDS. The methods and early results are described earlier in the report, and the

literature review will continue to be refined and expanded over the course of the evaluation.

DataLab analysis

Portfolio-wide and external data analysis will be critical for this evaluation. The evaluation team will work closely with the IEU DataLab team to identify what data analyses could inform the key evaluation questions, what data would be needed for those analyses, and the respective roles and responsibilities of the evaluation team and the IEU DataLab. Data analysis will also be an important input into the interview process (see the “Stakeholder consultation” sub-section below), using the data to identify trends and potential bottlenecks and the interviews to help understand and explain these findings.

An initial list of data analyses organized by evaluation question is included in the evaluation matrix provided in Appendix I. The GCF data sets to be used will be valid through 30 June 2020.

The evaluation team will also develop a typology of SIDS that will be used for both qualitative and quantitative analyses. This typology recognizes the diversity of SIDS in terms of their physical, institutional, financial, and economic characteristics that may influence the relevance and effectiveness of their engagement with the GCF. The typology will be used to identify patterns or relationships between SIDS’ characteristics and GCF-related outcomes. A preliminary typology, with three dimensions, is presented in the country case study selection approach further below and will be further refined during the evaluation process.

Meta-analysis and benchmarking

A meta-analysis and benchmarking exercise will be conducted to learn from the

approaches of other climate finance agencies working in the SIDS. This analysis will help externally frame how “SIDS-ready” the GCF is, compared to the experiences and strategies of other agencies. The focus will be to identify lessons learned and successful strategies that other agencies have employed in their business models for SIDS.

Agencies for benchmarking

Relevant agencies for potential benchmarking were identified by including global climate finance organizations, as well as multilateral, bilateral, and regional agencies that are dedicated to the SIDS, operate specific SIDS windows or programmes, or provide high volumes of finance to SIDS.

Multilateral providers of climate finance to SIDS are dominated by the World Bank, GEF, Asian Development Bank, and Climate Investment Funds, representing more than four-fifths of multilateral climate finance prior to the launch of the GCF.⁶³ Other relevant multilateral climate funds include the Adaptation Fund (AF), and the Global Climate Change Alliance (GCCA).⁶⁴

The World Bank has taken several measures to support SIDS unique development challenges, including a substantial increase in minimum base allocation under the International Development Association (IDA)⁶⁵ window and extension of IDA’s most concessional lending terms to all IDA-eligible SIDS. A subset of SIDS also benefits from a small island economies exception for the IDA window extended to small islands facing significant vulnerabilities due to size and geography, with limited creditworthiness, who have per capita incomes above the IDA cut-off.⁶⁶ In the Asian Development Bank (ADB), SIDS’ access to lending options is largely determined by per capita income, creditworthiness, and debt distress risks, and

⁶³ OECD and World Bank (2016). The IEU DataLab is working on an updated analysis of climate finance flows to SIDS as part of the evaluation.

⁶⁴ The GCCA is funded by the EU with a unique focus on SIDS and LDCs.

⁶⁵ IDA is the part of the World Bank that helps the world’s poorest countries, based on income per capita and lack of creditworthiness.

⁶⁶ World Bank (2019).

some SIDS receive 100 per cent grant financing from the ADB.⁶⁷ Much of the World Bank and ADB's climate finance has focused on infrastructure investments in the SIDS.⁶⁸ Both World Bank and ADB have also used donor trust funds to boost their climate change efforts, such as the SIDS DOCK Support Program administered by the World Bank⁶⁹ and a new Ireland Trust Fund for Building Climate Change and Disaster Resilience in SIDS in ADB.

In addition, the Inter-American Development Bank is a major multilateral provider of development aid in the Caribbean, with important lessons to be learned from its approaches in the SIDS. The European Investment Bank has also made a commitment to particularly support SIDS in reducing their vulnerability to climate change and building a more resilient ocean economy.⁷⁰

Australia, EU institutions,⁷¹ France, and Japan are the top four **bilateral providers of climate finance to SIDS**, representing about three-quarters of all such aid.^{72,73} The Government of New Zealand represents a further important development partner in the Pacific SIDS; and the United States Agency for International Development is the top provider of development finance in SIDS.⁷⁴

Some of that bilateral finance to SIDS, however, is being channelled through multilateral organizations, such as the World

Bank and United Nations Development Programme (UNDP), and regional partners, who are major **implementers of climate finance**.⁷⁵ UNDP has implemented about a third of all non-GCF climate finance from dedicated multilateral climate funds and is among the top three agencies implementing GCF projects in the SIDS.⁷⁶

In the Pacific, major regional implementing partners include the Pacific Islands Forum Secretariat, the Pacific Community (SPC), and the Secretariat of the Pacific Regional Environment Programme (SPREP).⁷⁷ In the Caribbean, major partners are the Caribbean Community and Common Market (CARICOM), Organization for Eastern Caribbean States (OECS), Caribbean Community Climate Change Centre (CCCCC), and Caribbean Development Bank (CDB). In the AIMS SIDS, the Indian Ocean Commission is active.

Approach

Table IV-2 summarizes the approach to the meta-analysis and benchmarking. A benchmarking tool will be developed to enable systematic extraction and comparative analysis of information from policy and operational documents, as well as through KIIs. Evaluative information will also be reviewed, to the extent that it exists and can inform a better understanding of what works

⁶⁷ ADB (2019).

⁶⁸ OECD and World Bank (2016).

⁶⁹ The SIDS DOCK Support Program is administered by the World Bank's Energy Sector Management Assistance Program (ESMAP) and focuses in renewable energy and energy efficiency in SIDS. It is a joint effort with UNDP and AOSIS, funded by the Governments of Denmark and Japan.

⁷⁰ UN, 2017.

⁷¹ Because the main channel for EU support to specific, targeted climate action in developing countries is the GCCA, however, the benchmarking will focus on the latter. See, for example:

https://ec.europa.eu/clima/policies/international/finance_en

⁷² OECD and World Bank (2016). The IEU DataLab is working on an updated analysis of climate finance flows to SIDS as part of the evaluation.

⁷³ Data on the amounts of climate finance provided by non-traditional development partners, such as the People's Republic of China, are not comprehensively available but are considered significant. See for example, the Pacific Aid Map developed by the Lowry Institute at <https://pacificaidmap.lowryinstitute.org/>.

⁷⁴ According to IEU analysis of OECD Creditor Reporting System data for 2005-2017.

⁷⁵ OECD and World Bank (2016).

⁷⁶ Calculated based on data available from Climate Funds Update.

⁷⁷ For instance, the Pacific Initiative for Climate and Biodiversity, launched in 2018 and funded by AFD, the EU, New Zealand, and Australia, will be implemented largely by SPC and SPREP. Significant EU funding for climate resilience in SIDS is also channeled through GCCA. Japan channels finance through the multi-lateral SIDS-DOCK program, implemented through the World Bank.

and does not work in SIDS for climate finance.

For many agencies, especially bilateral and regional agencies, it is anticipated that much

of the relevant information will not be available in the public sphere, or may not even be documented. Thus, for these agencies, KIIs will be the main evidence source for benchmarking.

Table IV-2 Meta-analysis and benchmarking approach

AGENCIES TO BE BENCHMARKED	ISSUES TO BE BENCHMARKED	POSSIBLE DOCUMENT SOURCES
<p>Global programmes:</p> <ul style="list-style-type: none"> • GEF • Climate Investment Funds • Adaptation Fund • GCCA <p>Multilateral agencies:</p> <ul style="list-style-type: none"> • World Bank • ADB • UNDP • Interamerican Development Bank • EIB <p>Bilateral agencies:</p> <ul style="list-style-type: none"> • Government of Australia • Government of New Zealand • USAID • Agence française de développement (AFD) • Government of Japan <p>Regional agencies:</p> <ul style="list-style-type: none"> • Pacific: PIFS, SPC, SPREP • Caribbean: CARICOM, OECS, CCCCC, CDB • AIMS: Indian Ocean Commission 	<p>Approaches for and lessons learned on:</p> <ul style="list-style-type: none"> • Working with SIDS with weaker institutional and technical capacities • Building country capacities • Investment modalities and financial instruments • Considering regional versus national engagement • Effective private sector engagement in SIDS and considering different strategies for engaging different types of private sector actors • Ensuring that resources flow down to local beneficiaries and out to remote islands/areas, and that women’s and indigenous voices are heard • Addressing the higher cost of doing business in SIDS • Innovations, scaling/replication, and risk appetite in SIDS • Addressing and dealing with data paucity in SIDS 	<ul style="list-style-type: none"> • World Bank evaluations of its SIDS portfolio and operational documents, including World Bank (2016a, 2016b, 2016c, 2019) • IDB evaluations of its SIDS portfolio, including IDB (2014) • ADB evaluations and of its SIDS portfolio and operational documents, including ADB (2015, 2019a, 2019b) • GEF evaluations of its SIDS portfolio and operational documents, including GEF (2018) • Evaluation of Australia’s climate change assistance (Gayfer et al., 2018)

Thematic analyses on private sector and innovation

Below, methods for the themes of private sector engagement and innovation in the SIDS are described.

Private sector

As noted in Section II.C above, the theme of private sector in SIDS has been prominent in GCF Board decisions. Private sector will be a cross-cutting theme for this evaluation, with evidence collected and analysed through multiple methods, including document and

literature review, DataLab analysis, benchmarking, KIIs and surveys, and country case studies, as described throughout this section and in the evaluation matrix in Appendix I.

In addition, the evaluation will look at the extent to which the GCF has supported activities to enable private sector involvement in SIDS through two desk analyses of all approved GCF RPSP proposals and FPs. This desk analysis will be complemented by, among other evidence sources, DataLab analysis of private sector elements (e.g. non-

grant instruments) in relevant datasets (e.g. RPSP, Approved Projects, Pipeline, APRs), as detailed in Appendix I. Results reporting (e.g. RPSP completion reports and APRs) will also be reviewed, but this evidence is expected to be limited in the SIDS.

The table below shows initial data extraction protocols for approved RPSP proposals and FPs. These protocols will be refined through piloting their application, and pattern analysis conducted on the extracted information.

Table IV-3 Rubric for assessing support for private sector engagement

Questions	RESPONSE OPTIONS
RPSP proposals	
Does the RPSP proposal provide an evidenced overview of the country’s private sector as it relates to the targeted interventions (i.e., is there evidence that they know “who” the private sector is)?	[Extract text describing the private sector in the country/region]
What barriers to private sector engagement are described in the RPSP proposal?	[Extract text describing barriers]
What enablers or opportunities for private sector engagement are described in the RPSP proposal?	[Extract text describing opportunities]
What support is planned to be provided through RPSP for the private sector?	Engage private sector entities in-country consultative processes (e.g. the development of country programme or comparable strategic document, identification of priority projects, etc.)
	Develop a study, strategy, or plan related to the private sector (e.g. background study on private sector, strategy for private sector engagement, strategy for attracting private sector investment for low-emissions and climate resilience projects)
	Build awareness among local private sector actors of key GCF procedures
	Support the enabling environment to crowd in private sector investment (e.g. strengthened regulatory or policy environment, accessibility of finance for enterprises)
	Support mechanisms for market activation and reform (e.g. building awareness and demand for mitigation and adaptation goods and services, skilled local workforces and entrepreneurs, availability of affordable and appropriate technologies that match local needs, a local financial sector with the tools and understanding to finance climate investments, enterprise development for local currency funding)
	Support accreditation of a private sector DAE
	Support project pipeline for private sector projects (e.g. help develop CNs and/or funding proposals for private sector projects, support preparation/approval of a project to be implemented by a private sector DAE)
	Other (specify)

Questions	RESPONSE OPTIONS
Funding proposals	
What barriers to private sector engagement are described in the FP?	[Extract text on barriers]
What types of businesses are planned to be engaged during implementation?	International financial institutions (e.g. banks, credit unions, and institutional investors, such as insurance companies, private equity funds, etc.)
	Local or sub-regional (e.g. Pacific or Caribbean) financial institutions
	International enterprises in the “real economy” (e.g. that produce market goods or non-financial services)
	Local or sub-regional (e.g. Pacific or Caribbean) enterprises in the real economy (including smallholders and individual or household entrepreneurs, cooperatives/associations, and other non-financial private enterprises)
	Local state-owned enterprise
What is the focal Industry/Sector(s) of the private sector entities to be engaged?	[Extract text on industry/sector]. NB: The focus of the industry sector for private sector engagement may be different to the project sector. E.g. a food production project might engage private sector in microfinance
What type of support is planned for the private sector?	Direct support (e.g. financial or in-kind support provided directly to private sector entities, such as micro-, small- and medium-sized enterprises; not including state-owned enterprise)
	Indirect support (e.g. support for the enabling environment [policy/regulatory environment, access to finance]; demand and dealflow aggregation; support for market activation, education and enterprise development, and local currency funding; related support to public sector/infrastructure)
What financial instruments will be used with the private sector?	Grant
	Non-grant instrument
	N/A (e.g. in-kind or indirect support)
What types of businesses are planned to provide co-financing?	International financial institutions
	Local or sub-regional financial institutions
	International enterprises in the real economy
	Local or sub-regional enterprises in the real economy
	Local state-owned enterprise
Sustainability: Does the proposal describe any forecast benefit to the private sector that may result from participation in the project?	[Extract text on benefits to the private sector]

Source: Developed by the evaluation team based on review of GCF and external literature, including GCF/B.19/31; GCF/B.22/08; Morgado and Lasfargues, 2017; Fayolle et al., 2019.

Innovation

The evaluation will look at the extent of innovation in the GCF-funded SIDS portfolio

as a special theme. In its input to updating the GCF’s initial strategic plan, the SIDS constituency called on the GCF to use its transformational mandate to “promote and

test new and innovative approaches to climate financing such as debt for climate swaps, climate-related insurance mechanisms etc.” while also calling for efficient access to climate finance in light of the urgent needs in SIDS.

The evaluation team will assess the innovative qualities at design in approved GCF-funded investment projects, according to the rubric presented in Table IV-4 below. The unit of analysis will be the project, giving self-assessment respondents the flexibility to identify multiple instances of innovation within a single project. The rubric will be applied using two methods in a staged approach:

- **Self-assessment.** A short self-assessment survey will be administered to AEs and GCF Secretariat task managers to assess their perceptions of the innovativeness of GCF-funded projects. This survey is provided in Appendix IV.
- **Expert assessment.** The results of the self-assessment will be triangulated via interviews with experts in climate change approaches in the SIDS to discuss the innovation typologies assigned.⁷⁸

The result of this triangulation will be a portfolio-level assessment of the patterns of innovativeness in GCF SIDS projects from expert and entity/SIDS perspectives.

Table IV-4 Rubric for assessing innovativeness at design

DIMENSIONS	TPOLOGY	CONSIDERATIONS AND GCF-RELEVANT EXAMPLE
Type	Technology, product, or service	Is this innovation a technology, product, or service? <i>E.g. a renewable energy technology or climate information product.</i>
	Process, social, or policy	Is this innovation a new process or social design, or is it policy-related? <i>E.g. an innovation in the value chain for producing a technology/product, an innovation in livelihoods configurations, or an innovative policy.</i>
	Business model or financial instrument/structure	Is this innovation a business model for delivering a technology, product, or service? Or a financial instrument? <i>E.g. a public-private partnership model for delivering mini-grids, debt swaps, or blue bonds.</i>
Context	Macro: New to the world or region	Is this innovation new to the world or new to the region? <i>E.g. a business model for deploying renewable energy that is being piloted for the first time.</i>
	Micro: New to the country or institution	Is this innovation new in the context of the country or the institution that is implementing it? <i>E.g. a financial instrument that has never been used in the country for climate finance.</i>
Scale	Central to the project design	Is this innovation central to the design of the GCF project? <i>E.g. the project squarely focuses on introducing a new technology or business model.</i>
	Peripheral to the project design	Is this innovation a smaller component or aspect of the project? <i>E.g. the innovation is involved in only some of the project components.</i>
Intensity	Incremental	Is the innovation considered an improvement within a given frame of solutions? <i>E.g. doing what we already do, but better.</i>
	Radical	Is the innovation dissimilar from both prior and current interventions? <i>E.g. piloting or commercialization of a breakthrough idea.</i>

⁷⁸ See also the stakeholder consultation plan in the following section. Experts will be identified based on the literature review and snowballing.

DIMENSIONS	TYPOLGY	CONSIDERATIONS AND GCF-RELEVANT EXAMPLE
	Disruptive	Does the innovation substantially alter a system or market? <i>E.g. a combination of technology and business model innovation that may enable new market entrants to challenge incumbents, or that may result in changing the risk profile of the country.</i>

Source: Developed by the evaluation team based on review of academic and grey literature on conceptual frameworks, definitions, and classifications of innovation, including: Grazzi, Sasso, and Kemp (2019); Hopp, Antons, Kaminski, and Salge (2018); Kobagayev and Maziliauskas (2017); and Huesig (2014).

Stakeholder consultation

A wide range of stakeholders will be consulted via KIIs and a perception survey. Interview responses will be compared with survey data to identify commonalities and divergences, as well as to help explain survey trends.

Key informant interviews

To guide the interviews, semi-structured interview protocols will be developed,

tailored by stakeholder type, and iteratively tested and improved. KIIs will be held in-person when feasible, or via telephone or videoconference when not feasible. Interviewers will take detailed, typed interview notes, which will be held confidentially and coded in a user-friendly software platform, Dedoose, to facilitate qualitative analysis. Table IV-5 shows the types of stakeholders that will be consulted and the sampling approach.

Table IV-5 Stakeholders to be consulted

TYPE OF STAKEHOLDER	PURPOSIVE SAMPLING
GCF Staff, across key offices, divisions, and units; iTAP and Accrediation Panel members	Key actors, plus snowballing approach; approximately 20
GCF Board Member and Alternate Member representing SIDS, LDCs, and Africa	All; 5
GCF Active CSO and Private Sector Organization (PSO) Observers	All; 4
NDAs/focal points	2 per country case study (12) Additional reached through consultation at GCF events and online survey
DAEs	All national DAEs accredited for SIDS, including Ministry of Health and Environment, Government of Antigua and Barbuda, Fiji Development Bank, Ministry of Finance and Economic Management, Cook Islands, and Protected Areas Conservation Trust (PACT); 4 All regional DAEs accredited for SIDS, including BOAD, CCCCC, CDB, CABEI, MCT, SPC, SPREP; 8 Additional nominated DAEs reached through country case studies
IAEs	IAEs with approved FPs in SIDS, including World Bank, ADB, IDB, International Fund for Agricultural Development, EIB, and others to be identified through portfolio analysis

TYPE OF STAKEHOLDER	PURPOSIVE SAMPLING
	IAEs with substantial pipelines in SIDS, to be identified through portfolio analysis Including public ⁷⁹ and private entities
Current and former GCF Regional Advisers	One per region; 4
Additional international actors	UNFCCC Secretariat, United Nations Department for Economic and Social Affairs SIDS Unit, AOSIS, Commonwealth Secretariat Climate Finance Access Hub, SIDS Lighthouse Initiative); 4
Additional regional actors in the Pacific	PIFS, University of South Pacific, Pacific Centre for Renewable Energy and Energy Efficiency, Pacific Power Association, Pacific Private Sector Development Initiative, Pacific Islands Private Sector Organization; Association of Development Financing Institutions in Asia and the Pacific; 7
Additional regional actors in the Caribbean	OECS, CARICOM, Caribbean Climate Innovation Center, and University of the West Indies; 5
Additional regional actors in AIMS	Indian Ocean Committee; 1
Additional country-level stakeholders	Public and private implementing partners, accreditation stakeholders, RPSP Delivery Partners, CSOs (including representatives of women’s groups and those representing indigenous peoples), PSOs (such as national chambers of commerce, industry associations, MSMEs), beneficiaries and potential beneficiaries, consultants, plus snowballing approach; minimum of 10 per country case study
Additional external actors for benchmarking	GEF, CIF, AF, GCCA; bilateral agencies; approximately 8
SIDS climate change experts from academia and NGOs	Ilan Kelman, Professor of Disasters and Health, University of College London Institute for Risk and Disaster Reduction Stacy-Ann Robinson, Assistant Professor of Environmental Studies, Colby College Patrick Nunn, Professor of Geography and Co-Director of the Sustainability Research Centre, University of the Sunshine Coast Virginie Duvat, Professor of Geography, University of La Rochelle, and IPCC author for the AR6 and AR5 Small Islands chapters Adelle Thomas, Director of the Climate Change Adaptation and Resilience Research Centre at the University of the Bahamas, and IPCC AR6 and Special Report on 1.5°C author Melanie Pill, PhD student, Australian National University Potentially others to be identified through snowballing and literature review

Perceptions survey

The evaluation team will administer a survey in collaboration with other ongoing IEU evaluations. The purpose of this survey will be to systematically collect perceptions data at the country-level that can feed into analyses both for this evaluation as well as

other evaluations currently in progress and planned by the IEU.

The survey will be administered to purposively selected respondents in all GCF-eligible SIDS via two approaches, depending on whether the SIDS has been selected for a country case study (see next section) or not. For case study SIDS, the survey will be

⁷⁹

administered in-person, during KIIs conducted as part of the country case study visits. For all other GCF-eligible SIDS, the survey will be administered through an online or phone-based platform. These two

administrative approaches are summarized in Table IV-6.

The survey questions to be included on behalf of the SIDS evaluation are provided in Appendix IV.

Table IV-6 Perception survey approaches

GROUP	SURVEY ADMIN. METHOD	RESPONDENT SAMPLING
Country case study SIDS	In-person	All individuals consulted as part of the country case study, including NDA, AEs, Delivery Partners, CSOs, PSOs, and so on (see country case study protocol in Appendix III)
All other GCF-eligible SIDS	Online	All NDAs; AEs with submitted FPs or CNs in SIDS; regional or national CSOs and PSOs as identified by the GCF Active Observers; Delivery Partners as identified in approved RPSP proposals

Country case studies

Country case studies will be used to take a more intensive look at the relevance, effectiveness, and coherence of GCF activities in SIDS recipient countries. These case studies are not intended to be representative of the overall GCF portfolio or SIDS experience, given the diversity among SIDS. Instead, the country studies will be important to inform a more in-depth and grounded understanding of how “SIDS-ready” the GCF is in terms of its business model, how relevant GCF-funded activities have been to the climate change needs and urgency of the SIDS, and how effective GCF-funded activities are in producing results on-the-ground.

Country case study selection

Six countries were purposively selected for case studies (Barbados, Belize, Saint Lucia, Comoros, Marshall Islands, Kiribati), according to the criteria and considerations described below.

A short list of 32 selectable countries was first identified by excluding SIDS that have already been visited for previous IEU evaluations from the total population of 40 GCF-eligible SIDS. These eight country

studies constitute an important source of information and experiences that will be incorporated into the evaluation at hand. They are:

- Mauritius, Grenada, and Solomon Islands (FPR).
- Fiji (Country Ownership Evaluation).
- Vanuatu, Antigua and Barbuda, and Haiti (RPSP Evaluation).
- Samoa (ESS Evaluation).

To this short list, a series of **GCF-oriented selection criteria** were applied to ensure a diversity of experiences:

- Ensure geographic coverage, including at least two Caribbean SIDS, two Pacific SIDS, and one African SIDS. Consideration was also given to sub-regional representation (e.g. CARICOM and OECS affiliations in the Caribbean).
- Ensure inclusion of at least one country in each region with an approved project.
- Ensure diversity of focus (mitigation, adaptation, cross-cutting).
- Ensure diversity of multi-country and single-country projects.

- Ensure diversity of financial instruments and public and private sector projects.⁸⁰
- Ensure diversity of AEs with approved projects in the selected countries.
- Ensure inclusion of at least one country with a national DAE.

Selection continued by applying a further set of **criteria based on the typology of external factors** that are hypothesized to influence the relevance, effectiveness, and coherence of GCF activities in SIDS.

Diversity was sought across these factors:

- Vulnerability and exposure are hypothesized to affect the urgency of a country's climate change needs and thus the relevance of GCF activities. This is considered through several indicators, including the Notre Dame Global Adaptation Initiative (ND-Gain) Vulnerability Index,⁸¹ Economic Vulnerability Index (EVI),⁸² and LDC status.
- Institutional and social capacity and readiness is hypothesized to affect the how effectively a country engages with the GCF, as well as the relevance of GCF activities. This is considered through the identification of countries with high institutional and social fragility, as measured by the World Bank, and the ND-Gain Readiness Index, which considers governance, institutional, and social capacity.⁸³⁻⁸⁴

- Climate finance and aid profile is hypothesized to affect the ability of a country to secure and absorb GCF finance. Income level is also hypothesized to affect SIDS' ability to access finance from some AEs. This is considered through gross national income (GNI) per capita, national debt ratio,⁸⁵ official development aid (ODA) as a percentage of GNI (as an indicator of the aid dependency of the country) and the volume of non-GCF climate finance from dedicated climate funds and multilateral development banks⁸⁶ (as a measure of the extent of climate finance already processed by the country).

In applying all of these criteria, consideration was also given the characteristics of the SIDS already visited by the IEU in selecting a diverse sample. In addition, given the remoteness of SIDS, some consideration was also given to logistical and travel implications in making the final selection of country combinations.

Given the global pandemic of the novel coronavirus that has broken out during the Inception Phase of this evaluation, contingencies are also being proposed to recognize that in-person visits to some countries may be delayed or in some cases not possible. To that end, potential alternate countries have also been identified based on the same criteria described above.

⁸⁰ Among the SIDS that have not been visited by prior IEU evaluations, only two countries have private sector projects in implementation: Dominican Republic and Guinea-Bissau.

⁸¹ The ND-Gain Vulnerability Index summarizes a country's vulnerability to climate change and other global challenges. ND-GAIN assesses the vulnerability of a country by considering six life-supporting sectors: food, water, health, ecosystem services, human habitat and infrastructure. Each sector is in turn represented by six indicators that represent three cross-cutting components: the exposure of the sector to climate-related or climate-exacerbated hazards; the sensitivity of that sector to the impacts of the hazard and the adaptive capacity of the sector to cope or adapt to these impacts. Source: Chen et al. (2015).

⁸² The Economic Vulnerability Index is developed by UN-DESA and measures structural vulnerability to economic and environmental shocks. It includes indicators such as population, remoteness, and share of

population in low elevated coastal zones, among other economic structural indicators. Source: UN-DESA (2018).

⁸³ ND-GAIN measures readiness by considering a country's ability to leverage investments to adaptation actions. ND-GAIN measures overall readiness by considering three components: economic readiness, governance readiness and social readiness.

⁸⁴ The Corruption Perceptions Index was also considered as a potential measure, but data were not available for most SIDS.

⁸⁵ The SIDS constituency input to the GCF update of its strategic plan indicated that "debt sustainability and sovereign risk ratings [make it] more difficult to access concessional financing and more expensive to access funding at market rates."

⁸⁶ Data on bilateral climate finance received for each individual SIDS country is not yet readily available, although the evaluation team is pursuing such information.

Table IV-7 below shows the attributes of the countries selected against these key criteria.

Table IV-7 Selected country cases and key attributes

COUNTRY	REGION	GCF CRITERIA			VULNERABILITY AND EXPOSURE CRITERIA				INSTIT./SOCIAL CAPACITY CRITERIA		CLIMATE FINANCE AND AID CRITERIA			
		Approved projects & characteristics	RPSP appr./ disb. ('000s)	DAE ?	LDC ?	ND-Gain Vuln. Index	EVI	No. of island	Fragile?	ND-Gain Readi. Index	GNI per capita	Debt to GDP ratio	ODA/GNI (%)	Non-GCF climate finance (millions)
Barbados	Caribbean	<ul style="list-style-type: none"> FP060, Cross-Cutting, Single-Country, CCCCC, Disbursing, Grant FP038, Mitigation, Multi-Country, EIB, Approved, Grant/Equity 	\$924/\$250	N	N	0.38	27.8	1	N	0.47	\$15,207	141	N/A	\$10.5
Belize	Caribbean	<ul style="list-style-type: none"> FP101, Adaptation, Single-Country, IFAD, FAA Effective, Grant/Loan FP038, Mitigation, Multi-Country, EIB, Approved, Grant/Equity 	\$1,000/\$474	Y	N	0.47	43.9	240	N	0.32	\$4,438	78	1.9	\$103.6
Saint Lucia	Caribbean	<ul style="list-style-type: none"> FP020, Mitigation, Multi-Country, IDB, Disbursing, Grant/Loan 	\$470/\$396	N	N	0.39	45.1	1	N	0.45	\$7,033	65	0.5	\$76
Comoros	Africa	<ul style="list-style-type: none"> FP094, Adaptation, Single-Country, UNDP, Disbursing, Grant FP038, Mitigation, Multi-Country, EIB, Approved, Grant/Equity 	\$426/\$115	N	Y	0.48	52.4	16	Y	0.26	\$1,595	NA	7.5	\$45.9

Kiribati	Asia-Pacific	<ul style="list-style-type: none"> FP091, Cross-Cutting, Single-Country, ADB, Approved, Grant 	\$586/ \$147	N	Y	NA	86.8	161	Y	0.42	\$2,986	NA	20.5	\$44.9
Marshall Islands	Asia-Pacific	<ul style="list-style-type: none"> FP036, Cross-Cutting, Multi-Country, ADB, Disbursing, Grant FP066, Adaptation, Single-Country, World Bank, FAA effective, Grant FP112, Adaptation, Single-Country, UNDP, FAA Effective, Grant 	\$564/ \$400	N	N	NA	82.2	715	Y	0.36	\$4,661	49	19.5	\$57

ALTERNATES

Dominica	Caribbean	<ul style="list-style-type: none"> FP061, Adaptation, Multi-Country, Antigua DAE, Disbursing, Grant FP038, Mitigation, Multi-Country, EIB, Approved, Grant/Equity FP020, Mitigation, Multi-Country, IDB, Disbursing, Grant/Loan 	\$4,000/ \$638	N	N	0.43	40.8	1	N	0.54	\$6,547	NA	5.3	\$71.8
Jamaica	Caribbean	<ul style="list-style-type: none"> None 	\$2,000/ \$951	N	N	0.43	30.5	ND	N	0.41	\$4,747	122	0.7	\$474.3
Bahamas	Caribbean	<ul style="list-style-type: none"> FP038, Mitigation, Multi-Country, EIB, Approved, Grant/Equity 	\$2,000/ \$815	N	N	0.38	39.1	1,265	N	0.43	\$29,563	51	NA	\$153.2
Guinea-Bissau	Africa	<ul style="list-style-type: none"> FP105, Mitigation, Multi-Country, BOAD, FAA executed, Grant/Loan 	\$300/ \$255	N	Y	0.63	52.4	141	Y	0.27	\$595	NA	10.5	\$79.1
Seychelle	Africa	<ul style="list-style-type: none"> None 	\$903/ \$903	N	N	0.47	45.2	115	N	0.44	\$13,632	63	NA	\$42

s			\$339											
Nauru	Asia-Pacific	<ul style="list-style-type: none"> FP052, Cross-Cutting, Single-Country, ADB, Disbursing, Grant FP036, Cross-Cutting, Multi-Country, ADB, Disbursing, Grant 	\$339/ \$130	N	N	NA	58.3	1	N	0.41	\$11,169	NA	21.2	\$68.3
Tonga	Asia-Pacific	<ul style="list-style-type: none"> FP036, Cross-Cutting, Multi-Country, ADB, Disbursing, Grant FP090, Mitigation, Single-Country, ADB, Disbursing, Grant 	\$3,000/ \$695	N	N	0.57	56.0	142	N	0.40	\$4,246	52	19.1	\$65.4
Tuvalu	Asia-Pacific	<ul style="list-style-type: none"> FP015, Adaptation, Single-Country, UNDP, Disbursing, Grant 	\$619/ \$0	N	Y	NA	56.0	44	Y	0.55	\$5,388	NA	29.3	\$31.5

Sources:

GCF criteria data from IEU DataLab, February 2020.

Notre Dame Global Adaptation Initiative (ND-GAIN) Vulnerability and Readiness indices are for 2018 with indicators ranging from 0 (least vulnerable/ready) to 1 (most vulnerable/ready). Data downloaded on March 22, 2020 from: <https://gain.nd.edu/our-work/country-index/download-data/>

Economic vulnerability index (EVI) and GNI per capita data are for 2018. EVI ranges from 0 (least vulnerable) to 100 (most vulnerable). Data downloaded on March 22, 2020 from: <https://www.un.org/development/desa/dpad/least-developed-country-category/ldc-criteria.html>

ODI per GNI data are for 2017, from the Organisation for Economic Co-operation and Development (OECD) (2020).

Fragility determination is based on the World Bank list of fragile and conflict-affected situations for fiscal year 2020, available at:

<https://www.worldbank.org/en/topic/fragilityconflictviolence/brief/harmonized-list-of-fragile-situations>

Debt ratio is central government debt as a percentage of GDP for the latest available year. Data downloaded on March 22, 2020 from:

<https://data.worldbank.org/indicator/GC.DOD.TOTL.GD.ZS>

Non-GCF climate finance is aggregated from data reported for dedicated climate funds by Climate Funds Update and joint harmonized reporting on climate finance from the MDBs for 2015-2018 (EBRD, 2019). Climate fund data downloaded on March 10, 2020 from: <https://climatefundsupdate.org/>. Project approval volumes for climate funds do not include regional projects and thus may underreport climate finance for some countries. These data are in the process of being updated by the IEU DataLab.

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 in a consistent manner. The protocol will be piloted in one country first, reviewed and refined, and then applied in the remaining countries. This protocol is provided in Appendix III.

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, as well as have the opportunity to review the case study reports, to ensure factual accuracy and opportunity for improvement.

V. WORKPLAN

A. Process followed to date

A series of initial inception calls⁸⁷ were held between the IEU and the ICF evaluation team from 3 to 5 March 2020.⁸⁸ These calls enabled the evaluation team to identify clear priorities for this evaluation, finalize key elements of the approach and methods, and generally establish a working relationship.

The evaluation team immediately began initial data analysis, document review, including relevant GCF Board decisions and documents as well as external academic and grey literature on climate solutions in SIDS. A structured bibliography (list of documents consulted for the preparation of this inception report), as well as an annotated bibliography for the literature review [*to be included in final version*], are provided at the end of this report.

⁸⁷ Initially, a four-day inception mission at the GCF headquarters in Songdo, South Korea, was planned between the IEU and the ICF Team Leader and Deputy Team Leader (Jessica Kyle and Peter Weston). However, given the global outbreak of the novel

A series of scoping conversations were also held with the GCF Secretariat and the Board member and alternate member representing developing country parties from SIDS to inform the design of the evaluation matrix and identification of key issues and tensions.

B. General work plan

The evaluation process has been divided into three general phases:

- **Inception and planning phase** (February–March 2020) – This phase involves the process followed to date and culminates in the final Inception Report (see also Table V-1 below).
- **Data-collection and analysis phase** (April–August 2020) – This phase involves the planning and implementation of the data-collection and analysis methods described above in Section IV.B, including the country case studies.
- **Reporting phase** (July–October 2020) – During this phase, the evaluation report will be drafted, shared and socialized; feedback will be received and responded to, and the report will be finalized and widely communicated.

The key deliverables for the evaluation are described below, followed by a detailed workplan for the evaluation.

C. Key deliverables

The evaluation team will produce three key deliverables, as shown in Table V-1 below. In addition to these key deliverables, other work products will include data sets produced or analysed in collaboration with the IEU DataLab, presentations, and learning products. All outputs produced by the evaluation team will go through a thorough quality assurance process prior to delivery to the IEU.

coronavirus, these meetings were rescheduled to be held virtually, with wider team participation.

⁸⁸ The contract was fully executed on February 24, 2020.

Table V-1 Key deliverables and deadlines

KEY DELIVERABLE	DESCRIPTION	DATE
Inception Report	Describes the approach, methods, and workplan for the evaluation; includes analytical tools and evaluation report outline.	<ul style="list-style-type: none"> • Draft Inception Report (31 March 2020) • Final Inception Report (based on receipt of comments)
Country Case Study Reports	Describes the country context and findings of the case studies. Will also include annexes that ensure transparency of the evidence base, such as list of stakeholders consulted and survey results. A draft outline for these stand-alone reports is provided in the country case study protocol in Appendix III.	<ul style="list-style-type: none"> • Draft Country Case Studies (submitted within two weeks of return to office/completion of data-collection). • Final Country Case Studies (within one week of receipt of comments from NDA; no later than 15 August 2020)
Evidence Tree	Includes key questions, sub-questions, evidence/data, key findings, and recommendations.	<ul style="list-style-type: none"> • Draft Evidence Tree (15 September 2020) • Final Evidence Tree (30 September 2020)
Evaluation Report	Provides the evaluation’s data and analysis, key findings, conclusions and recommendations; a draft outline for this report is provided in Appendix II. Will also include annexes that ensure the transparency of the evidence base, such as the list of stakeholders consulted, structured bibliography, country case study reports, portfolio analysis results, meta-analysis and benchmarking results, and survey results.	<ul style="list-style-type: none"> • Factual Report (15 August 2020) • Final Report (15 September 2020)

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APPENDIX I: EVALUATION MATRIX

KEY QUESTIONS	IEU EVALUATION CRITERIA	SUB-QUESTIONS	METHODS, TOOLS, AND DATA	PORTFOLIO DATA ANALYSIS (DATA LAB)
Is the GCF portfolio relevant to the specific needs and urgency of climate action of the SIDS?	Relevance; Country ownership; Gender equity	<ul style="list-style-type: none"> To what extent is the GCF portfolio aligned with the evolving adaptation and mitigation needs and priorities of the SIDS? 	<ul style="list-style-type: none"> KIIs with GCF Board members representing SIDS, GCF Active Observers, GCF Regional Advisors, regional and international actors representing SIDS, country stakeholders Country case studies and synthesis of previous IEU country case studies Desk review of SAMOA Pathway and other international statements of needs and priorities Online perception survey 	<ul style="list-style-type: none"> Mapping alignment between SIDS' FP results areas with NDC/NAP priorities/needs (Datasets: <i>Recipient Needs, Project portfolio, NDC/NAP</i>) Mapping alignment of SIDS' FP results areas with SAMOA Pathway (Datasets: <i>Project portfolio</i>) GIS analysis of project intervention sites and analysis of whether GCF dollars are reaching local actors (Datasets: <i>FAA/trickledown</i>)
		<ul style="list-style-type: none"> To what extent is GCF finance suited to and addressing the needs of the private sector in SIDS? Is GCF finance helpful in mobilizing private sector investment for the SIDS? In improving the resilience of the local private sector and de-risking investment by local private sector entities in the SIDS? 	<ul style="list-style-type: none"> Thematic analysis on private sector KIIs with GCF Secretariat, private sector AEs, regional and international actors representing SIDS, GCF Board members representing SIDS, GCF Active Observers, GCF Regional Advisors, country stakeholders Country case studies and synthesis of previous IEU country case studies Online perception survey 	<ul style="list-style-type: none"> Analysis of SIDS' project portfolio and pipeline for proportion of PSF and non-grant instruments (Datasets: <i>Project portfolio, Financial, Pipeline</i>) Analysis of SIDS' RPSP funding allocated for private sector related outcomes (Dataset: <i>RPSP</i>) Text analysis of RPSP proposals and completion reports to typify the private sector support being requested by SIDS and specific activities/approaches funded (Dataset: <i>RPSP or new extraction</i>) Text analysis (and categorization) of SIDS' FPs and APRs for private sector involvement (Dataset: <i>APR and new extraction</i>) Analysis of stakeholder engagement by PSOs (Dataset: <i>Country ownership</i>)

KEY QUESTIONS	IEU EVALUATION CRITERIA	SUB-QUESTIONS	METHODS, TOOLS, AND DATA	PORTFOLIO DATA ANALYSIS (DATA LAB)
		<ul style="list-style-type: none"> To what extent does the GCF portfolio include actions that promote gender and indigenous peoples' equality and empowerment in SIDS? 	<ul style="list-style-type: none"> Desk review of gender issues in SIDS KIIs with regional and international actors representing SIDS, GCF Board members representing SIDS, GCF Regional Advisors, country stakeholders Country case studies and synthesis of previous IEU country case studies 	<ul style="list-style-type: none"> Text analysis of SIDS' FP gender assessments (<i>New extraction</i>) Text analysis of identified gender and IP concerns and/or strengths (Dataset: <i>Secretariat Review</i>) Text analysis of CSO comments on SIDS' FPs for identified gender and IP concerns and/or strengths (Dataset: <i>CSO</i>) Analysis of stakeholder engagement by women's groups and indigenous peoples (Dataset: <i>Country ownership</i>)
		<ul style="list-style-type: none"> To what extent are GCF projects and programmes in the SIDS country-owned? What has been the extent of stakeholder participation in design and implementation of GCF activities? 	<ul style="list-style-type: none"> KIIs with GCF Board members representing SIDS, GCF Active Observers, GCF Regional Advisors, country stakeholders Country case studies and synthesis of previous IEU country case studies 	<ul style="list-style-type: none"> Review of whether projects are coherent with existing national climate plans and policies (Dataset: <i>Country ownership</i>) Analysis of the type and extent of stakeholder engagement and consultations (Dataset: <i>Country ownership</i>)
		<ul style="list-style-type: none"> Have GCF programmes and windows (PSF, RPSP, RFPs, EDA, PPF, SAP) contributed to a pipeline of climate finance for the SIDS? 	<ul style="list-style-type: none"> KIIs with GCF Secretariat, AEs, GCF Board members representing SIDS, GCF Active Observers, GCF Regional Advisors, country stakeholders Synthesis of IEU evaluations Country case studies and synthesis of previous IEU country case studies Online survey 	<ul style="list-style-type: none"> Analysis of proportion of SIDS' projects in PSF, RPSP, RFPs, EDA, PPF, and SAP (Datasets: <i>Project lifecycle, Project portfolio, RPSP, Project Preparation Facility</i>) Analysis of SIDS' CNs in the pipeline (Datasets: <i>Project portfolio, Projects pipeline</i>)
Is the GCF business model appropriate for the specific	Relevance; Efficiency; Gender equity	<ul style="list-style-type: none"> How relevant and constraining are GCF policies and frameworks to the SIDS? 	<ul style="list-style-type: none"> Desk analysis of GCF policies and frameworks Synthesis of IEU evaluations 	<ul style="list-style-type: none"> Analysis of points of strength/concerns associated with SIDS projects in the context of GCF policies and frameworks (Datasets: <i>Secretariat Review, ITAP</i>)

KEY QUESTIONS	IEU EVALUATION CRITERIA	SUB-QUESTIONS	METHODS, TOOLS, AND DATA	PORTFOLIO DATA ANALYSIS (DATA LAB)
needs and urgency of climate action of the SIDS?		<ul style="list-style-type: none"> To what extent are GCF processes, programmes, funding windows, and modalities responsive to the needs and urgency of climate action of the SIDS? Are they accessible and feasible for SIDS partners to successfully navigate? Are they matched to SIDS' capacities? 	<ul style="list-style-type: none"> Synthesis of IEU evaluations Desk review of GCF processes, programmes, and modalities KIIs with GCF Secretariat, AEs, international and regional actors representing SIDS, GCF Board members representing SIDS, GCF Active Observers, GCF Regional Advisors, country stakeholders Country case studies and synthesis of previous IEU country case studies Benchmarking study Online survey 	<ul style="list-style-type: none"> Project cycle time-lag analysis by programmes and windows (Dataset: <i>Project Portfolio</i>) Accreditation cycle time-lag analysis, including AEs and at each stage of the accreditation process (Dataset: <i>Accreditation Portfolio</i>) Analysis of readiness requests and expected project outcomes (Dataset: <i>RPSP</i>)
		<ul style="list-style-type: none"> To what extent have GCF processes and projects exercised efficiency while also recognizing the high cost of operation in the SIDS? 	<ul style="list-style-type: none"> Benchmarking study KIIs with GCF Secretariat, AEs, international and regional actors representing SIDS, GCF Board members representing SIDS, GCF Regional Advisors, country stakeholders Country case studies and synthesis of previous IEU country case studies 	<ul style="list-style-type: none"> Analysis comparing indicators to total project financing (Datasets: <i>Efficiency and Effectiveness</i>)
		<ul style="list-style-type: none"> Is the process of accreditation responsive to the needs of the SIDS? Is the portfolio of AEs suited to the needs and urgency of climate action of the SIDS? 	<ul style="list-style-type: none"> Synthesis of IEU evaluations KIIs with GCF Secretariat, AEs, international and regional actors representing SIDS, GCF Board members representing SIDS, GCF Active Observers, GCF Regional Advisors, country stakeholders Country case studies and synthesis of previous IEU country case studies Benchmarking Online survey 	<ul style="list-style-type: none"> Analysis of nominated and accredited entities by country, region, and sub-region, including private sector AEs and national and regional AEs; analysis of accreditation level of those AEs, including risk level and financial instruments (Datasets: <i>Accreditation portfolio</i>) Mapping of results areas covered by AEs with country needs (Datasets: <i>AE purpose statements; NDCs/NAPs</i>)

KEY QUESTIONS	IEU EVALUATION CRITERIA	SUB-QUESTIONS	METHODS, TOOLS, AND DATA	PORTFOLIO DATA ANALYSIS (DATA LAB)
				<ul style="list-style-type: none"> Analysis of SIDS eligibility for financing from MDBs (Datasets: <i>new extraction</i>) Analysis of EWPs and coverage in SIDS (Datasets: <i>EWP</i>)
Is GCF support effective in delivering sustainable results and learning from those results?	Effectiveness; Innovativeness in results areas; Replication and scalability; Unexpected results	<ul style="list-style-type: none"> To what extent is the GCF meeting its objectives, and those of the UNFCCC and Paris Agreement, in the SIDS portfolio? 	<ul style="list-style-type: none"> Desk review of GCF, UNFCCC, and Paris Agreement objectives KIIs with GCF Secretariat, UNFCCC Secretariat Country case studies and synthesis of previous IEU country case studies 	<ul style="list-style-type: none"> Analysis of investment criteria (Datasets: <i>Impact Potential, Paradigm Shift</i>)
		<ul style="list-style-type: none"> What role is the GCF playing in channeling new, additional, adequate, and predictable financial resources? And to what extent has the GCF catalyzed climate finance from and for the SIDS, both public and private? 	<ul style="list-style-type: none"> Country case studies and synthesis of previous IEU country case studies 	<ul style="list-style-type: none"> Analysis of climate finance and co-financing by SIDS, including actual disbursement (Datasets: <i>Approved FPs and Finance</i>)
		<ul style="list-style-type: none"> To what extent is the GCF portfolio in SIDS achieving intended results, including through investments and RPSP? What are those results (intended and unintended)? 	<ul style="list-style-type: none"> Peer-reviewed and grey literature review KIIs with GCF Secretariat, AEs, international and regional actors representing SIDS, GCF Board members representing SIDS, GCF Active Observers, GCF Regional Advisors, country stakeholders Country case studies and synthesis of previous IEU country case studies Online survey 	<ul style="list-style-type: none"> Analysis of project APRs for SIDS to assess progress toward outputs and indicator targets (Dataset: <i>APR</i>) Analysis of potential unintended results (Datasets: <i>Secretariat Review, ITAP, and Risk Factors</i>) Analysis of RPSP completion reports for results achieved (Dataset: <i>RPSP or new extraction</i>)
		<ul style="list-style-type: none"> To what extent are GCF investments mobilising 	<ul style="list-style-type: none"> KIIs with GCF Secretariat, AEs, international and regional actors representing SIDS, GCF 	<ul style="list-style-type: none"> Analysis of transformation potential of SIDS projects, including scale, depth,

KEY QUESTIONS	IEU EVALUATION CRITERIA	SUB-QUESTIONS	METHODS, TOOLS, AND DATA	PORTFOLIO DATA ANALYSIS (DATA LAB)
		<p>potential for paradigm shift within SIDS?</p> <ul style="list-style-type: none"> To what extent are GCF investments replicable and scalable? 	<p>Board members representing SIDS, GCF Active Observers, GCF Regional Advisors, country stakeholders</p> <ul style="list-style-type: none"> Country case studies and synthesis of previous IEU country case studies Online survey 	<p>permanence, behavioral change, policy change, demonstration ability, and innovation variables (Dataset: <i>Transformational Change</i>)</p> <ul style="list-style-type: none"> Analysis of innovation/modification entries for SIDS projects to identify learned experiences (Dataset: <i>Efficiency and Effectiveness</i>)
		<ul style="list-style-type: none"> To what extent are GCF investments employing innovations in SIDS? And to what extent do they support well-established local processes or knowledge? 	<ul style="list-style-type: none"> Thematic analysis on innovation Peer-reviewed and grey literature review KIIs with GCF Secretariat, AEs, international and regional actors representing SIDS, GCF Board members representing SIDS, GCF Active Observers, GCF Regional Advisors, country stakeholders Country case studies and synthesis of previous IEU country case studies Online survey 	
		<ul style="list-style-type: none"> To what extent has the GCF learned from its experiences in SIDS? 	<ul style="list-style-type: none"> Desk review of GCF knowledge or learning documents KIIs with GCF Secretariat, AEs, GCF Board members representing SIDS, GCF Active Observers, GCF Regional Advisors, country stakeholders Country case studies and synthesis of previous IEU country case studies 	
Is GCF climate finance complementary and coherent	Coherence and complementarity in climate finance delivery	<ul style="list-style-type: none"> What is the coverage of GCF projects in SIDS compared to other climate finance delivery channels ? 	<ul style="list-style-type: none"> Benchmarking Country case studies and synthesis of previous IEU country case studies 	<ul style="list-style-type: none"> Analysis to compare GCF project result areas with External Bilateral & Multilateral Projects Data, considering also years of operation of each

KEY QUESTIONS	IEU EVALUATION CRITERIA	SUB-QUESTIONS	METHODS, TOOLS, AND DATA	PORTFOLIO DATA ANALYSIS (DATA LAB)
with other climate finance delivery channels?		<ul style="list-style-type: none"> To what extent are GCF investments complementary and coherent with other climate finance delivery channels ? To what extent does GCF build on climate finance provided by other delivery channels (e.g. does GCF lag or lead)? 	<ul style="list-style-type: none"> KIIs with AEs, GCF Board members representing SIDS, GCF Active Observers, GCF Regional Advisors, country stakeholders Country case studies and synthesis of previous IEU country case studies KIIs with AEs, GCF Regional Advisors, country stakeholders Country case studies and synthesis of previous IEU country case studies 	<ul style="list-style-type: none"> fund/financier (Dataset: <i>Project Portfolio</i>) Analysis of climate finance and co-financing by SIDS (Datasets: <i>External Bilateral & Multilateral Projects Data; Approved FPs</i>)

APPENDIX II: DRAFT OUTLINE FOR THE EVALUATION REPORT

Chapter I: Introduction

1. Introduction
2. Objectives of the evaluation
3. Scope, methods, and limitations
4. Structure of the report

Chapter II: Background, Context, and Lessons

1. Introduction
2. SIDS and climate change
3. SIDS and the international climate policy dialogue
4. Learning from the experience of other agencies working in SIDS: benchmarking the GCF

Chapter III: Relevance of the GCF Portfolio in SIDS

1. Introduction
2. Data and analysis
3. Findings
4. Conclusions and recommendations

Chapter IV: Relevance of the GCF Business Model in SIDS

1. Introduction
2. Data and analysis
3. Findings
4. Conclusions and recommendations

Chapter V: Effectiveness of GCF Interventions in SIDS

1. Introduction
2. Data and analysis
3. Findings
4. Conclusions and recommendations

Chapter VI: Coherence and Complementary of GCF Interventions in SIDS

1. Introduction
2. Data and analysis
3. Findings
4. Conclusions and recommendations

Chapter VII: Conclusions and Recommendations

1. Conclusions
2. Recommendations

APPENDIX III: 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 at the end.

Purpose

The purpose of the country case studies is to inform the broader analysis and to ultimately answer the evaluation questions. They will be used to test and triangulate the information gathered by other methods. Finally, they will also contextualize the findings in different regional and national contexts.

The case studies will contribute to all four of the main themes of the evaluation questions (see Inception Report for further detail on the evaluation matrix):

- Relevance of the GCF portfolio to the specific needs and urgency of climate action in the SIDS.
- Appropriateness and sufficiency of the GCF business model to the specific needs and urgency of climate action in the SIDS.
- Effectiveness of the GCF in delivering results.
- Coherency and complementarity of the GCF finance with other climate finance delivery channels.

Timing and duration

The country visits are expected to take place between May and early July, and each visit will last for up to five working days, depending upon the complexity of the given country's portfolio and other constraints, such as requirements for local travel to project sites.

As of the writing of this Inception Report, the global outbreak of the novel coronavirus has caused massive disruptions in international travel, posing challenges and uncertainties for the conduct of the in-person visits to the countries selected for case studies. Paramount importance is placed on the health and safety of evaluation team members, as well as the health and safety of the citizens of the countries to be visited. The implications of the emerging pandemic for fieldwork will continue to be monitored and adaptively managed by the team. Contingencies may include delaying visits (while front-loading desk analysis and other preparatory work) or using hybridized approaches, in which primary data collection is initiated through virtual means (e.g. Skype or BlueJeans video conferencing) and continued through in-person visits when travel restrictions are lifted.

Team composition and responsibilities

In general, the country case study visits will be conducted by a team comprised of one ICF and one IEU staff. A local consultant will be engaged in the case of the Africa SIDS visit.

The key roles and responsibilities of each team member is summarized below:

- The ICF evaluator will take primary responsibility for organizing, leading, and reporting on the country case studies. This includes developing the initial list of stakeholders to be interviewed, arranging the mission agenda and scheduling interviews in coordination with the government liaison identified by the NDA, leading the KIIs, and writing the country case study. (See also the tasks listed in the Work Plan below.) The ICF team is also responsible for arranging their own travel and lodging.
- IEU staff are full members of the evaluation team and will engage as such during the preparation and conduct of the country case study, including suggesting stakeholders to interview, posing

questions during interviews, and participating in team discussions to verify what was heard and to prepare initial observations. IEU staff will be responsible for arranging their travel and lodging.

Mission preparation and organisation will require full support from the IEU, NDAs, and relevant AEs, such as the timely sharing of documentation and suggestions for key stakeholders for interviews and related contact details.

Work plan

Pre-visit

We aim to begin mission planning at least 3 weeks prior to the planned dates, to allow for sufficient time in preparation and organisation on all sides. The initial communication of the mission purpose, team introduction and timeline will be made by the IEU to the NDA, which will confirm acceptance and availability for the proposed mission and dates. After receipt of formal confirmation, the ICF team will take over planning and organisation. Preparation will consist at least of the following:

- **Initial (skype) call** with the NDA and active AEs, to agree on the purpose of the visit and to request relevant information, including an initial list of relevant stakeholder and contact details. An initial communication from the NDA to these stakeholders may facilitate the subsequent direct scheduling of meetings by the evaluation team.
- **Notification of the GCF CSO active observers**, to help identify and put the team in touch with relevant regional and local CSOs.
- **Portfolio and document review**, including the status of GCF projects and relevant GCF documents (readiness documents, country programmes, accreditation proposals, entity work programmes, CNs, PPF proposals, FPs, Secretariat, iTAP, and CSO/PSO comments on FPs, APRs), as well as external and secondary literature (e.g. NDCs, NAPs, papers on the climate finance experiences of the country). A country portfolio package will be assembled with critical support from the IEU DataLab.
- **Stakeholder identification**, the ICF evaluator will develop an initial priority list of key informants based on review of the document review and request for suggestions to the relevant Regional Advisor; the list should include GCF Board member (if applicable), NDA/FP, AE, implementing and executing entities, key donors, accreditation stakeholders, CSOs (including representatives of marginalized groups, such as women, youth, and indigenous peoples), PSOs (such as chambers of commerce and industry associations), academia, beneficiaries and potential beneficiaries, and the UNFCCC focal point, among others. The list should include both those engaged in GCF processes as well as informed “outsiders.” The ICF evaluator will share the initial list with the NDA for input, while maintaining independence in selecting the stakeholders to be interviewed. Approximately 15 – 20 individuals will be consulted per country.
- **Agenda preparation**, based on the information received, a draft agenda will be prepared and a second teleconference may be scheduled to agree on the agenda, including any practical details. The agenda should begin with an in-brief and longer interview with the NDA, to reconfirm the purpose and mission agenda. Interviews with relevant AEs should also be scheduled for earlier in the week. Site visits should ideally be scheduled for later in the week (e.g. Wednesday or Thursday). The agenda should conclude with a debriefing with the NDA, to discuss mission experience, any remaining data gaps, and preliminary observations, as well as the way forward for the rest of the evaluation, including the process and timetable for sharing the draft country case study report.

Visit

The country visit will consist primarily of interviews, an in-person survey, and focus group discussions (used principally for site visits to local communities).

- **Stakeholder consultation interviews** will be conducted following standard semi-structured discussion guides (see Appendix IV) that are tailored for key stakeholder groups. An in-country survey will also be administered (see Appendix IV). Photographic evidence will also be gathered (based on consent of subjects). Detailed notes will be written and typed up, ideally immediately following the interview and prior to leaving the country. (See also the KII and Data Management Guidelines above for more detail on managing qualitative data.)
- **Project site visits** will be conducted when relevant (e.g. sufficient extent of implementation, availability of final beneficiaries) and logistically feasible (whether a project site can be reached and visited within one day) in the time frame. Any site visits will be coordinated with the NDA and the AE, and standard local protocols will be observed in terms of informing local government representatives. Interviews may be conducted with relevant local government representatives, private sector, and civil society representatives. Focus group discussions will be organized with beneficiary populations, with appropriate measures taken to also reach more vulnerable groups, including women and indigenous peoples. Measures will be taken to ensure that beneficiary groups can speak freely, such as meeting without the NDA, AE, or executing entity present and assuring confidentiality.

Preliminary observations will be compiled at the end of the mission and used to debrief the NDA.

Post visit

The main deliverable of the country case study is the country case study report (see below), with standard annexes, including a list of references and stakeholders consulted. The country case study report structure mirrors the evaluation matrix and key questions, as well as the analytical framework, and feeds into the structure of the overall evaluation report structure. Draft case reports will be prepared within two weeks after the end of the mission. The pilot report will be shared and will set the reporting standard within the team.

The draft country case study will be shared with the NDA for the correction of factual errors, ideally with a one week turn around time.

Learning from the mission, relating to findings, methods or logistics, will be included in the agenda of regular ICF and IEU team calls.

The country case study reports will be annexed to the final evaluation report.

Country case study report annotated outline

Below is the draft outline (annotated) that each of the country case studies should follow. This outline will be pilot-tested, adapted, and further guidance issued following the pilot mission.

1. Background and Context (2-3 pages)

A. Geo-climatic, demographic, political and economic context

This section will describe the underlying physical and societal realities of the country. This will include climatic region, geography of the country, ethnic and demographic spread of the population(s), core national governance structures and notable features, and basic economic indicators.

B. Climate and other vulnerability context

This section will summarize the historical hazards that periodically impact the country, be they extreme weather events, geological phenomena, geopolitical, or internal instabilities. It will also seek to describe anticipated shifts in exposure to such hazards in light of best available climate predictions.

C. Climate change policy and insitutional context

This section will describe the existing climate change policies and strategies in place, such as national climate change policies, NDCs, NAPs, and so on. This section will also describe the broader institutional context for addressing climate change in the country, such as which government institutions have the mandate to coordinate climate change activities, where the UNFCCC focal point is located, what inter-ministerial bodies exist to coordinate climate change, and so on.

D. GCF portfolio and institutional arrangements

This section will provide an overview of the country's GCF activities, AEs, and institutional arrangements for engaging with the GCF.

E. Overview of other climate finance

This section will provide an overview of other (non-GCF) climate finance in the country.

2. Key Findings (5-7 pages)

These sections will provide country-level findings and observations against key questions in each of the four thematic areas of the evaluation matrix.

- A. Relevance of the GCF portfolio
- B. Relevance of the GCF business model
- C. Effectiveness in delivering results
- D. Coherency and complementarity of climate finance

Annex A: Stakeholders Consulted

Annex B: List of Documents Consulted

Annex C: Survey Results

Research ethics

The evaluation will comply with basic principles of research ethics in the humanities and social sciences relating particularly to: (1) respecting the autonomy of research subjects, (2) avoiding harm, and (3) privacy and data protection. Participation in the evaluation and related data-collection efforts will be strictly voluntary, with an opportunity to refuse or opt out, at any point in the process. Voluntary, informed consent for participation will be sought for all data-collection tools, with all stakeholder groups in the most appropriate manner. The principle of doing no harm will guide the planning, implementation and reporting of the evaluation, which will apply particularly in sensitive contexts. All data-collection tools will also ensure the confidentiality of the research subjects and will seek consent for the safe collection, storage, and use of related data, in an anonymized form in evaluation deliverables. Interviewers will not name other respondents during interviews, even if they may appear to mutually agree.

All data will be anonymized, separating identifiers from the data itself. Primary research (e.g. interview notes) will be carefully anonymized and will not be shared outside the evaluation team (comprised of the ICF team and IEU).

APPENDIX IV: QUALITATIVE DATA MANAGEMENT GUIDELINES, INTERVIEW PROTOCOLS, AND SURVEY INSTRUMENTS

A. Qualitative data management guidelines

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 focus group discussions with groups of final beneficiaries during site visits), hand-written notes will be typed up soon after the session.⁸⁹

Interview notes should be organized according to the broad categories of the interview guides (see below) 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 and ICF 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.

Dedoose and coding

Dedoose, a user-friendly software platform, will be used to ease the management and analysis of qualitative data gathered through stakeholder consultations. 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 sub-questions 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.

Secondary data management

Secondary data that is reviewed and referenced by team members should be uploaded into the IEU and ICF's OneDrive folders, so that the ICF evaluation team can add each uploaded document to the overall Structured Bibliography.

B. KII Protocols

Tailored interview protocols have been developed for key stakeholder groups, as follows, and are presented further below:

- Country-level stakeholders
- Accredited and nominated entities
- Regional and international organizations and Regional Advisers
- GCF Staff, Board Members, and Observers

Interviewers will follow these guidelines in conducting interviews:

Introducing the evaluation. Interviewers will introduce themselves as representing the GCF IEU and should briefly explain the purpose of the SIDS evaluation and objective of the interview. To in-

⁸⁹ 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.

country stakeholders, they will also clarify that the evaluation is not of the country or the GCF within the country, but looks at the SIDS portfolio overall.

Seeking informed consent and assuring confidentiality. Interviewers will assure interviewees that all responses will be held confidentially and obtain verbal consent that the information shared during the interview can be used in the overall analysis and reporting for the SIDS evaluation and that the interviewee's name can be included in a list of stakeholders consulted. Interviewees will also be informed that they may choose not to participate in the interview, to end the interview prematurely, or to not answer specific questions.

Conducting the interview. Questions will be asked in plain English and tailored to the knowledge and experience of the interviewee. Where language presents a barrier, the interviewee may invite another person of their choosing to act as translator. In some cases, the interview may be conducted in French as an exception.

Conducting the survey questionnaire. For country case studies, an in-person survey will be administered in the last 15 minutes of the interview.

Country-level Stakeholders (including NDA)

Name of interviewee:

Interviewee contact information (email):

Interviewee institutional affiliation:

Interviewee position:

Evaluation team interviewer(s):

Interview date:

Interview location:

Introductory question

- 1. Please tell me what your role involves and briefly how you have been involved with the GCF.**

Big picture

- 2. In summary, is the GCF set up suitably to support SIDS? Is GCF “SIDS-ready”? Why or why not?**
 - If you could change anything about the GCF: if you could redesign the GCF, what would you do?

Relevance of the GCF business model (noting that not all respondents may be familiar with the GCF)

- 3. Overall, what are the major challenges the your country faces in accessing the GCF?**

(If human resource capacity is not raised, then probe before going to the next question)

- What could the GCF do differently to help you overcome these challenges?

- 4. Have you noticed any improvements in GCF accessibility in recent years?**

- 5. Does your country have access to the kinds of Accredited Entities that meet the climate action needs and urgency of your country?**

Potential probing questions:

- Does your country have any climate strategy priorities for which you cannot identify a suitable AE with which to partner? Why?

- 6. Does your country have access to the GCF financial instruments that it needs (e.g. grants, loans, equity, etc.)?**

7. Permit me to list some GCF programmes, modalities, and processes. I'm keen to hear your thoughts on how they are working or not working for your country:

PPF (Project Preparation Facility)

SAP (Simplified Approval Process)

EDA (Enhanced Direct Access)

RfPs

RPSP (Readiness and Preparatory Support Programme)

Potential probing questions:

- If you haven't used these modalities, why not?
- For projects that did not receive PPF, where did the financing come from to support the proposal phases?
- I recognize the high cost of operation in the SIDS. In this context, in your view, to what extent would you say GCF processes and projects achieve efficiency or value-for-money in use of funds and resources while also?

Relevance of the GCF portfolio

8. How well aligned are approved and pipeline GCF projects with your national climate and development priorities?

Potential probing questions:

- In relation to the country's top development strategy priorities, to what extent do GCF climate projects support or distract from them?
- Can you summarize for me the national climate and development priorities for your country? How are they articulated or recorded?
- What pressures or influences external to the country influence projects that your country pursues under GCF?

9. What has been the role of civil society and private sector stakeholders in shaping those priorities and GCF project designs?

(probe about women and indigenous peoples if not covered by the answer)

Effectiveness of GCF support

10. Overall, what would you say are some of the most significant outcomes or progress towards outcomes of GCF engagement in your country? (probe for what GCF funding and what project facilitated what they describe)

Potential probing questions:

- What have been the outcomes of RPSP support?
- What unexpected results have occurred from GCF projects, if any? (positive or negative)

- In your view, will your GCF projects in SIDS support a **paradigm shift** towards low-emissions and climate-resilient development pathways? Which projects? How? (or what's stopping it?)

Cross-cutting themes

11. How well suited is GCF finance to addressing the needs of the private sector in your country?

Potential probing questions:

- Through what pathways is GCF financing expected to reach private sector partners?
- What are the major challenges to private sector engagement?
- How could GCF could better engage the private sector in your country?

12. Are you observing anything innovative within GCF projects in SIDS? That might be a new technology, or process, or business model?

(probe about whether an innovation is new at a global vs. local scale)

(probe whether the innovation is core or peripheral to the project design)

(probe whether the innovation is happening incrementally, or radical or disruptive for the country)

- Is the GCF focus on **Innovation** in the SIDS helpful or an unwelcome distraction?

13. Scalability & Replicability: In what ways, if any, do you expect any of the current GCF-funded project achievements to expand to other parts of the country, or to be shared and adopted in other countries?

Potential probing questions:

- If none, what would need to happen for any of these projects to expand into other parts of the country, or to other countries?

Complementarity and coherency of climate finance

14. How does GCF finance align with other sources of climate finance in your country?

Potential probing questions:

- Do you observe any pattern in the sequencing of GCF project funding relative to other climate funding?
- For example, are some funders more used to pilot projects and others used to continue or expand those pilots? Or, are some preferred for more experimental or risky project ideas, while others are used for tried-and-tested project designs?

Closing

15. We're at the end of the interview. But, before we close, do you have any other reflections on GCF's engagement with SIDS that we have not yet discussed?

Accredited and Nominated Entities

Name of interviewee:

Interviewee contact information (email):

Interviewee institutional affiliation:

Interviewee position:

Evaluation team interviewer(s):

Interview date:

Interview location:

Introductory question

- 1. Please tell me what your role involves and briefly how you have been involved with climate projects (or other development) in this country?**
- 2. Briefly, please summarize what your organization does. What is its mandate?**
 - Does your organization have any internal mandate to work in climate adaptation or mitigation, or with GCF specifically? Such as a Board resolution or strategy?

Big picture

- 3. In summary, is the GCF set up suitably to support SIDS? Is GCF “SIDS-ready”? Why or why not?**

Potential probing questions

- How responsive is the GCF business model to the climate needs here? Which parts are creating a challenge?
- If you could change anything about the GCF: if you could redesign the GCF, what would you do?

Relevance of the GCF portfolio and business model

- 4. What does your organization consider in deciding whether to pursue GCF-funded projects in SIDS?**

Prompt examples: Transaction costs. Burden of the GCF accreditation process, Demand, data availability, government capacity, size of the project, past history working in the SIDS, ability of my AE to provide concessional co-financing, etc.

- How have you ensured that your approved or pipeline GCF projects are aligned with national climate and development priorities?

5. For SIDS, what have been your considerations for submitting through SAP or the RfPs [or EDA for DAEs]?

Potential probing questions

- If you have used these modalities, what has been your experience? What could GCF do to improve AE's ability to get resources to the SIDS efficiently?
- In recent years, have you noticed any improvements to GCF processes to make them easier or faster to progress through?
- What could GCF do to improve its processes in SIDS?

6. To what extent have GCF programmes like RPSP and PPF been helpful for you in building a pipeline in SIDS?

Potential probing questions

- For projects that did not receive PPF, where did the financing come from to support the proposal phases?

7. I recognize the high cost of operation in the SIDS. In this context, in your view, to what extent would you say GCF processes and projects achieve efficiency or value-for-money in use of funds and resources?

Potential probing questions

- How does it compare to other climate and development finance providers?

8. What has been the role of civil society and private sector stakeholders in shaping GCF projects?

Potential probing questions

- Have they mentioned gender issues? Disability? Indigenous peoples?
- Are there any actions to promote gender equality and/or social inclusion of marginalized people in your GCF project(s)?
- Are you aware of any evidence that such gender programming is having a positive or negative impact on gender dynamics in your country?

Effectiveness of GCF support

9. What would you say are some of the most significant outcomes or progress towards outcomes of your GCF project(s) in SIDS?

Potential probing questions:

- In your view, will your GCF projects in SIDS support a paradigm shift towards low-emissions and climate-resilient development pathways? Which projects? How? (or what's stopping it?)
- Have there been any unexpected results? (whether positive or negative)

Cross-cutting themes

10. In your opinion, how well suited is GCF finance to addressing the needs of the private sector in the SIDS?

Potential probing questions:

- What modalities has your AE considered to leverage the private sector in GCF projects in SIDS?
- What are the major opportunities and challenges in SIDS for engaging with the private sector in climate adaptation and mitigation?

11. *Scalability & Replicability*: In what ways, if any, do you expect any current GCF-funded project achievements to be expanded to other parts of the country, or to be shared and adopted in other countries?

Potential probing questions:

- If none, what would need to happen for any of these projects to expand into other parts of the country, or to other countries?

12. Are you observing anything innovative within your GCF projects in SIDS? That might be a new technology, or process, or business model?

- (probe about whether an innovation is new at a global vs. local scale)
- (probe whether the innovation is core or peripheral to the project design)
- (probe whether the innovation is happening incrementally, or radical or disruptive for the country)
- Is GCF's focus on **Innovation** helpful or an unwelcome distraction in the SIDS?

Complementarity and coherency of climate finance

13. Are your GCF project(s) in this SIDS linked to any previous or ongoing projects? For example, scaling up a previous pilot project or a next phase of an earlier project.

Potential probing questions:

- Are you aware that this SIDS made explicit decisions about how to coordinate the various climate-related funders, including GCF? In other words, do the different climate projects from various funders get channelled to different parts of the country's climate strategy in a planned way?

Closing

14. We're at the end of the interview. But, before we close, do you have any other reflections on GCF's engagement with SIDS that we have not yet discussed?

GCF Secretariat, and Observers

Name of interviewee:

Interviewee contact information (email):

Interviewee institutional affiliation:

Interviewee position:

Evaluation team interviewer(s):

Interview date:

Interview location:

Introductory question

1. **Please tell me how long you have been involved with the GCF, and what your role involves.**

Big picture

2. **In summary, is the GCF set up suitably to support SIDS? Is GCF “SIDS-ready”? Why or why not?**

Potential probing questions:

- Overall, what are the **major challenges** the SIDS face in accessing the GCF?
- (If human resource capacity is not raised, then probe before going to the next question)
- What are the most helpful things the GCF has done to meet the urgent needs of SIDS?
- Have you noticed any way in which GCF have improved the way they engage SIDS in the last few years?
- What more could the GCF do to help overcome these challenges?

Relevance of the GCF portfolio and business model

3. **Do the SIDS have access to AEs that meet their needs and urgency of climate action?**

Potential probing questions:

- What have been the successes and challenges of matching SIDS and AEs for GCF projects?
- Do SIDS in your region have climate strategy priorities for which they cannot identify a suitable AE partner? Explain
- What has been the experience of SIDS regarding **direct access** in your region?

4. **How are these GCF programmes, modalities, and processes working or not working for SIDS?**

PPF (Project Preparation Facility)

SAP (Simplified Approval Process)

EDA (Enhanced Direct Access)

RfPs (Requests for Proposals)

RPSP (Readiness and Preparatory Support Programme)

5. In your view, how well aligned are GCF projects with national and regional climate and development priorities and strategies?

- To what extent are projects shaped by pressures or influences external to the SIDS?

6. What has been the role of civil society (including women and indigenous peoples) and private sector stakeholders in shaping GCF projects?

Potential probing questions

- Have they mentioned gender issues? Disability? Indigenous peoples?
- Are there any actions to promote gender equality and/or social inclusion of marginalized people in GCF project(s)?
- Are you aware of any evidence that such gender programming is having a positive or negative impact on gender dynamics in the SIDS?

7. In your opinion, how well suited is GCF finance to addressing the needs of the private sector in SIDS?

Potential probing questions:

- How would you describe the private sector players in SIDS?
- What potential private sector partners are being leveraged, and what partners have not yet been leveraged?
- What are the major opportunities and challenges for GCF and the private sector in SIDS?
- How are the modalities identified for SIDS in the PSAG recommendations being supported/mobilized by the GCF?

8. I recognize the high cost of operation in the SIDS. In this context, in your view, to what extent would you say GCF processes and projects achieve efficiency or value-for-money in use of funds and resources?

Effectiveness of GCF support

9. With regard to RPSP support:

- What are some of the most significant results?
- What have been some of the challenges?

10. Overall, what would you say are some of the most significant outcomes or progress towards outcomes of GCF engagement in the SIDS?

Potential probing questions:

- How do these GCF results compare to other climate funds?
- Have there been any unexpected results?
- In your view, will the SIDS' GCF projects support a national **paradigm shift** towards low-emissions and climate-resilient development pathways?
- Which projects? How?

11. Scalability and Replicability: In what ways, if any, do you expect any of the current GCF-funded project achievements to expand to other parts of the country, or to be shared and adopted in other countries?

- If none, what would need to happen for any of these projects to expand into other parts of the country, or to other countries?

12. Are you observing anything innovative within GCF projects in SIDS? That might be a new technology, or process, or business model?

- (probe about whether an innovation is new at a global vs. local scale)
- (probe whether the innovation is core or peripheral to the project design)
- (probe whether the innovation is happening incrementally, or radical or disruptive for the country)
- (Is GCF's focus on **Innovation** helpful or an unwelcome distraction?)

Complementarity and coherency of climate finance

13. How does GCF finance align with other sources of climate finance in SIDS?

- Do you observe any pattern in the sequencing of GCF project funding relative to other climate funding?
- For example, are some funders more used to pilot projects and others used to continue or expand those pilots? Or, are some preferred for more experimental or risky project ideas, while others are used for tried-and-tested project designs?

Closing

14. We're at the end of the interview. But, before we close, do you have any other reflections on GCF's engagement with SIDS?

GCF Board Members

Name of interviewee:

Interviewee contact information (email):

Interviewee institutional affiliation:

Interviewee position:

Evaluation team interviewer(s):

Interview date:

Interview location:

Introductory question

1. **Please tell me how long you have been involved with the GCF.**

Big picture

2. **In summary, is the GCF set up suitably to support SIDS? Is GCF “SIDS-ready”? Why or why not?**

Potential probing questions

- Is the GCF doing the “right things” to support SIDS?
- What are the most helpful things the GCF has done to meet the needs of SIDS?
- What things are the GCF not doing that would be helpful?
- If you could change anything about the GCF: if you could redesign the GCF, what would you do?

Relevance of the GCF portfolio and business model

3. **Overall, what are the major challenges the SIDS face in accessing the GCF? What more could the GCF do to help overcome these challenges?**
4. **In your view, how effective have the GCF programmes and modalities been for SIDS, such as EDA, SAP, PPF, the RfPs? What policies and processes has GCF put in place, or could GCF put in place, that might improve access to funding for SIDS?**
5. **How effective do you think the GCF has been in supporting private sector in SIDS? What more could be done?**
 - How are the modalities identified for SIDS in the PSAG recommendations being supported/mobilized by the GCF?
6. **People talk about the high cost of operating in SIDS, given their remoteness and lack of economies of scale with small populations. In such contexts, what is your point of view about the relevance of GCF’s emphasis on ‘efficiency’ in SIDS projects?**

Closing

7. **We’re at the end of the interview. But, before we close, do you have any other reflections on GCF’s engagement with SIDS?**

Regional and International Organizations and Regional Advisers

Name of interviewee:

Interviewee contact information (email):

Interviewee institutional affiliation:

Interviewee position:

Evaluation team interviewer(s):

Interview date:

Interview location:

Introductory question

1. Please tell me what your role involves and how long you've been in it.

Big picture

2. In summary, is the GCF set up suitably to support SIDS? Is GCF "SIDS-ready"? Why or why not?

Potential probing questions

- How responsive is the GCF business model to the climate needs in the SIDS? Which parts are creating a challenge?
- If you could change anything about the GCF: if you could redesign the GCF, what would you do?

Relevance of the GCF portfolio and business model

3. Overall, what are the major challenges the SIDS face in accessing the GCF? What could the GCF do to help overcome these challenges?
4. Do the SIDS in your region have access to the kinds of AEs that meet their needs and urgency of climate action?

Potential Probing questions:

- Is this approach of using AEs the right approach for the SIDS, considering their absorptive capacity, general lack of data and human resource etc?
- Are there climate strategy priorities for which SIDS cannot identify a suitable AE with which to partner? Why?

5. What are the considerations for SIDS and direct access financing from GCF?
6. Have you noticed any improvements in GCF accessibility in recent years?

7. **I recognize the high cost of operation in the SIDS. In this context, in your view, to what extent would you say GCF processes and projects achieve efficiency or value-for-money in use of funds and resources?**

8. **To what extent do GCF projects align with national climate and development priorities?**

9. **To what extent is civil society and private sector contributing to shaping climate priorities and GCF project designs in countries in your region?**

(probe about women and indigenous peoples if not covered by the answer)

- In your view, are GCF projects including sufficient actions to promote **gender equality and social inclusion** in SIDS?

Cross-cutting themes

10. **What are the major opportunities and challenges for GCF projects engaging the private sector in SIDS?**

Potential probing questions:

- In your opinion, how well suited is GCF finance to addressing the needs of the private sector in the SIDS?
- How would you describe the private sector players in SIDS of your region?

Effectiveness of GCF support

11. **Overall, what would you say are some of the most significant outcomes of GCF engagement in your region? (probe for what GCF funding and what project facilitated what they describe)**

Potential probing questions:

- How do GCF's project outcomes compare with other climate finance organizations?
- What unexpected results have occurred from GCF projects? (positive or negative)
- In your view, will your GCF projects in SIDS support a **paradigm shift** towards low-emissions and climate-resilient development pathways? Which projects? How? (or what's stopping it?)

12. **Scalability & Replicability: In what ways, if any, do you expect any of the current GCF-funded project achievements to expand to other parts of its country, or to be shared and adopted in other countries?**

- If none, what would need to happen for any of these projects to expand into other parts of the country, or to other countries?

13. Are you observing anything innovative within GCF projects in SIDS? That might be a new technology, or process, or business model?

- (probe about whether an innovation is new at a global vs. local scale)
- (probe whether the innovation is core or peripheral to the project design)
- (probe whether the innovation is happening incrementally, or radical or disruptive for the country)
- Is GCF's focus on **Innovation** helpful or an unwelcome distraction in the SIDS?

Complementarity and coherency of climate finance

14. How does GCF finance align with other sources of climate finance in your country?

- Do you observe any pattern in the sequencing of GCF project funding relative to other climate funding?
- For example, are some funders more used to pilot projects and others used to continue or expand those pilots? Or, are some preferred for more experimental or risky project ideas, while others are used for tried-and-tested project designs?

Closing

15. We're at the end of the interview. But, before we close, do you have any other reflections on GCF's engagement with SIDS that we have not yet discussed?

Alternative BENCHMARKING & 'Best Practice' Interview questions for regional and international organizations:

Benchmarking and promising practices

I am hoping to gain some insights from you about the lessons your agency has learned about how to be effective in working in SIDS.

1. What could GCF learn from your agency about to how to:

- Build sustainable capacity in SIDS/deal with domestic capacity constraints?
- Design high quality projects that are relevant to local communities?
- Develop innovative and transformational interventions?
- Work effectively to build help local private sector de-risk investment?
- Ensure that results are sustainable?
- Optimize efficiency while recognizing the high transaction costs in SIDS?
- Find the right balance of regional versus country interventions?

C. Survey instruments

Two survey instruments will be implemented by this evaluation, as described in the Methods section in the main report: a Perceptions Survey and an Innovation Self-Assessment Survey.

Perceptions Survey

The survey will be a joint venture with other ongoing IEU evaluations, including the Adaptation, Accreditation, and SAP evaluations. Thus the survey instrument below includes only the questions on behalf of the SIDS evaluation.

All questions are closed response, with the following Likert scale response options: strongly agree; agree; disagree; strongly disagree; I don't know.

An open-ended box will be included at the end of the SIDS section for comments.

Survey questions

1. GCF investments are aligned with SIDS' adaptation needs.
2. GCF investments are aligned with SIDS' mitigation needs.
3. SIDS have access to GCF accredited entities that can meet the SIDS' climate change needs.
4. The GCF accreditation process is matched to the capacities of direct access entities in the SIDS.
5. The GCF's RPSP is effective in preparing SIDS to access the GCF.
6. GCF funding windows are responsive to the urgency of climate change in the SIDS.
7. GCF project sizes (micro, small, medium, large) are appropriate in the SIDS context.
8. The GCF concept of paradigm shift should look different in SIDS than in other countries.
9. The GCF is helpful for de-risking investment by local private sector entities in the SIDS.
10. GCF investments in SIDS build on other sources of climate finance.
11. The GCF is learning from its experiences in SIDS and applying that knowledge to its programming.

Innovation Self-assessment Survey

Survey questions

1. Please identify which funding proposal you are responding to for this survey.

[Drop-down box of SIDS approved FPs.]

2. Does the design of this GCF-funded project include an innovation(s)?

Yes

No

3. Does the design of this GCF-funded project incorporate local or indigenous knowledge or practices from the SIDS?

Yes

No

Please describe: [*open-ended response*]

4. For each innovation, please choose one option from each category that best describes the innovation:

Innovations	Description	Type	Context	Scale	Intensity
Innovation #1	[<i>Open-ended: please briefly describe the innovation in your own words</i>]	<input type="checkbox"/> Technology, product, or service <input type="checkbox"/> Process, social aspect, or policy <input type="checkbox"/> Business model or financial instrument/structure	<input type="checkbox"/> Innovation is new to the world or region <input type="checkbox"/> Innovation is new to the country or institution	<input type="checkbox"/> Innovation is central to the project design <input type="checkbox"/> Innovation is a smaller component or aspect of the project design	<input type="checkbox"/> Innovation is an improvement of an existing solution (e.g. “doing what we already do better”) <input type="checkbox"/> Innovation is dissimilar from both prior and current approaches <input type="checkbox"/> Innovation substantially alters a system or market or changes the risk profile of the country
Innovation #2	[<i>Open-ended: please briefly describe the innovation in your own words</i>]	<input type="checkbox"/> Technology, product, or service <input type="checkbox"/> Process, social aspect, or policy <input type="checkbox"/> Business model or financial instrument/structure	<input type="checkbox"/> Innovation is new to the world or region <input type="checkbox"/> Innovation is new to the country or institution	<input type="checkbox"/> Innovation is central to the project design <input type="checkbox"/> Innovation is a smaller component or aspect of the project design	<input type="checkbox"/> Innovation is an improvement of an existing solution (e.g. “doing what we already do better”) <input type="checkbox"/> Innovation is dissimilar from both prior and current approaches <input type="checkbox"/> Innovation substantially alters a system or market or changes the risk profile of the country
Innovation #3	[<i>Open-ended: please briefly describe the innovation in your own words</i>]	<input type="checkbox"/> Technology, product, or service <input type="checkbox"/> Process, social aspect, or policy <input type="checkbox"/> Business model or financial instrument/structure	<input type="checkbox"/> Innovation is new to the world or region <input type="checkbox"/> Innovation is new to the country or institution	<input type="checkbox"/> Innovation is central to the project design <input type="checkbox"/> Innovation is a smaller component or aspect of the project design	<input type="checkbox"/> Innovation is an improvement of an existing solution (e.g. “doing what we already do better”) <input type="checkbox"/> Innovation is dissimilar from both prior and current approaches <input type="checkbox"/> Innovation substantially alters a system or market or changes the risk

					profile of the country
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Independent Evaluation Unit
Green Climate Fund
175, Art center-daero, Yeonsu-gu,
Incheon 22004, Republic of Korea
Tel. (+82) 032-458-6428
ieu@gcfund.org
<https://ieu.greenclimate.fund>



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