



GREEN  
CLIMATE  
FUND

Independent  
Evaluation  
Unit



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# INDEPENDENT EVALUATION OF THE RELEVANCE AND EFFECTIVENESS OF THE GREEN CLIMATE FUND'S INVESTMENTS AND APPROACH IN THE LEAST DEVELOPED COUNTRIES

## APPROACH PAPER

July 2021



GREEN CLIMATE FUND  
INDEPENDENT EVALUATION UNIT

# Independent Evaluation of the Relevance and Effectiveness of the Green Climate Fund's Investments and Approach in the Least Developed Countries

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APPROACH PAPER

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## ABBREVIATIONS

<b>AEs</b>	Accredited Entities
<b>APRs</b>	Annual performance reports
<b>B.27</b>	Twenty-seventh meeting of the Board
<b>COA</b>	Country Ownership Approach
<b>COP</b>	Conference of Parties
<b>CSO</b>	Civil society organization
<b>DAEs</b>	Direct access entities
<b>DMA</b>	Division of Mitigation and Adaptation
<b>EDA</b>	Enhanced Direct Access
<b>ESS</b>	Environmental and Social Safeguards
<b>FPR</b>	Forward-looking Performance Review
<b>GCF</b>	Green Climate Fund
<b>GDP</b>	Gross domestic product
<b>GEF</b>	Global Environment Facility
<b>GEF IEO</b>	GEF Independent Evaluation Unit
<b>GI</b>	Governing Instrument
<b>GNI</b>	Gross national income
<b>IAEs</b>	International access entities
<b>IEU</b>	Independent Evaluation Unit
<b>IIED</b>	International Institute for Environment and Development
<b>KII</b>	Key informant interview
<b>LDCF</b>	Least Developed Countries Fund
<b>LDCs</b>	Least Developed Countries
<b>LEG</b>	Least Developed Countries Expert Group
<b>LORTA</b>	Learning-Oriented Real-Time Impact Assessment
<b>NAPAs</b>	National Adaptation Programmes of Action
<b>NAPs</b>	National Adaptation Plans
<b>NDA</b>	Nationally Designated Authority
<b>NDCs</b>	Nationally Determined Contributions
<b>PPF</b>	Project Preparation Facility
<b>PSAG</b>	Private Sector Advisory Group
<b>PSO</b>	Private Sector Organization
<b>RfPs</b>	Request for Proposals
<b>RPSP</b>	Readiness and Preparatory Support Programme
<b>SAP</b>	Simplified Approval Process

<b>SBI</b>	Subsidiary Body of Implementation
<b>SCCF</b>	Special Climate Change Fund
<b>SIDS</b>	Small Island Developing States
<b>TOC</b>	Theory of Change
<b>UNCTAD</b>	United Nations Conference on Trade and Development
<b>UNDESA</b>	United Nations Department of Economic and Social Affairs
<b>UNDP</b>	United Nations Development Programme
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>USD</b>	United States Dollar
<b>USP</b>	Updated Strategic Plan
<b>WB</b>	World Bank



## I. INTRODUCTION

### 1. PURPOSE AND SCOPE OF THE EVALUATION

This evaluation is part of a concerted effort by the Green Climate Fund (GCF)'s Independent Evaluation Unit (IEU) to examine the relevance and effectiveness of GCF strategy and investments in the most vulnerable countries. The GCF 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 emissions and to adapt to the impacts of climate change, taking into account the urgent and immediate needs of those countries most vulnerable to the adverse effects of climate change, including the Least Developed Countries (LDCs), the Small Island Developing States (SIDS) and African States. The GCF targets a balanced allocation of resources between mitigation and adaptation. The Governing Instrument (GI) of the GCF requests the Board to consider these needs using minimum allocation floors and further requests the GCF to finance technology development and transfer (including carbon capture and storage), capacity building and the preparation of national reports by developing countries.

This evaluation focuses on LDCs (some of which are SIDS, African States or both), as approved by the GCF Board through Decision B.27/08. The evaluation will ask whether the GCF's approach and investments have been effective in reducing the vulnerability of local communities and their livelihoods to the effects of climate change, and whether these impacts are likely to be sustained. In particular, the evaluation will take into account the effectiveness and efficiency of the GCF's approach and investments in the context of both mitigation and adaptation and identify the expected and actual impacts on livelihoods and local communities. Overall, the evaluation endeavours to understand how and to what extent the GCF's approach, mechanisms and financial modalities respond to the unique conditions facing the LDCs. The evaluation will assess the GCF's investments in concrete terms and will aim to assess the impact, or projected impact of the GCF's projects in the LDCs. The evaluation will be guided by the evaluation criteria for the IEU, which form the foundation of our core evaluation questions and associated subsidiary questions as described in Section IV.1.

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

The overall evaluation team consists of IEU staff and colleagues of the consultancy firm Baastel. Both IEU staff and consultants have been responsible for developing this approach paper, which draws on the evaluation matrix and the Terms of Reference developed by the IEU in 2020. The overall team consisting of the IEU and Baastel 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.

The IEU will support the evaluation throughout, providing access to data, stakeholders and working in tandem with the Baastel team to synthesize data, consider analysis and review evaluative products.

An evaluation advisory panel 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 panel will be consulted throughout the evaluation process for their expert advice and guidance.

### 3. LIMITATIONS

This evaluation is being conducted within strict resourcing and time constraints. In addition, international travel has been limited during the time that this approach paper is drafted due to travel restrictions related to the COVID-19 pandemic. Given recent staff turnover at the GCF, the evaluation team will seek to identify Secretariat stakeholders who can provide a historical perspective on the key issues for the evaluation.

In response to these limitations, the Baastel team will work closely with the IEU to ensure that a) the scope of the evaluation remains focused and streamlined; b) existing evaluations and data analyses are maximized; c) the evaluation is designed to maximize virtual methods of communication; d) the team will engage with project implementers to the extent possible to maximize institutional memory, and e) Baastel evaluators and the IEU staff are in constant communication with regard to emerging issues.

The evaluation team will seek to use Annual Performance Reports of projects to assess self-reported results and impact in the LDCs. The team will also seek information on results from stakeholders' interviews and during case studies. In case a limited number of results are apparent, the evaluation team will use the theory of change approach to assess the extent to which the activities supported by the GCF are likely to result in outputs that will contribute to long-term goals.

### 4. ROAD MAP FOR THIS APPROACH PAPER

The report is organized as follows:

- Section II provides background and context on the LDCs and climate change challenges as well as the GCF Board's early decisions on meeting the climate needs of the LDCs including the approach of the recently adopted Updated Strategic Plan (USP) 2020-2023.
- Section II continues by describing the GCF portfolio in the LDCs and the GCF mandate in the 46-eligible LDCs recognized by the GCF, including a focus on three programmes of particular relevance to the LDCs: the Readiness and Preparatory Support Programme (RPS), the Simplified Approval Process (SAP) and the Pilot Programme for Enhanced Direct Access (EDA).
- Section III synthesizes existing evaluative evidence from previous evaluations conducted by the IEU, according to the five key evaluation criteria that structure our core evaluation questions: relevance; country ownership; efficiency and effectiveness; results, impacts and sustainability; and coherence, replication and scale. This section also presents the main findings from evaluations on LDCs support by other Funds, and from a literature review on systemic barriers to effective adaptation and mitigation in the LDCs. Drawing on this evidence base, it then proposes a Theory of Change framework as a guide for the evaluation.
- Section IV outlines the core and subsidiary research questions, offers details of the methods to be used (including the GCF documents to be reviewed), the approach to data analysis as well as the cross-cutting foci of innovation and indigenous knowledge and gender, which will be woven into the fabric of this report. The section also explains the choice of the six primary and five alternate country case studies.
- Section V focuses on the workplan for the evaluation, including key deliverables and milestones in the form of a Gantt chart.

A series of appendices offer additional detail: Appendix 1 Appendix 2 Appendix 3 provides the full evaluation matrix, including the planned data analyses; Appendix 2 presents the proposed outline for the evaluation report; Appendix 3 illustrates the approach to the country case study protocol;

Appendix 4 details the qualitative data management guidelines and instrumentation, including the key informant interview protocols and approach to country case study protocols; Appendix 5 lists the LDCs plus Vanuatu; Appendix 6 Appendix 7 shows an overview of the LDCs; and Appendix 7 offers some initial figures from the portfolio analysis.

## II. BACKGROUND AND CONTEXT

### 1. LDCs AND CLIMATE CHANGE

Following the categorization of 25 countries into an LDC grouping in 1971, 28 further countries have joined this category and seven countries have graduated from LDC status (with at least four further countries scheduled to graduate before 2024). The LDCs are currently defined as “low-income countries suffering from the most severe structural impediments to sustainable development” (UNDESA, 2020). The criteria for determining whether a country qualifies for LDC status has evolved since 1971 when three simple indicators were used: GDP per capita, adult literacy rate and share of manufacturing in GDP (this last indicator reflecting the emphasis on industrialization, often through import substitution, at this time). Since then, the criteria for LDC membership has been adjusted in 1991, 1999, 2002, 2005, 2011, 2017 and 2020. The criteria are deliberated on by the UN's Committee for Development Policy which is mandated by the General Assembly and the Economic and Social Council of the United Nations to review the criteria every three years (UNDESA, 2020). UNDESA's (2018) Handbook on the LDC Country Category highlights how inclusion into the LDC category is not mandatory and requires the agreement of the national government. In contrast, the Handbook highlights how graduation from the category is not dependent on the government's consent. Currently, the United Nations uses three criteria to classify the LDCs:

- a) Gross national income (GNI) per capita (based on a three-year average and using the World Bank's threshold for low-income countries, currently USD 1,018)
- b) A human assets index (currently composed of three health and three education variables: under-five mortality rate; prevalence of stunting; maternal mortality ratio; gross secondary school enrolment ratio; adult literacy rate; gender parity score of gross secondary school enrolment)
- c) An economic and environmental vulnerability index (remoteness and landlockedness; merchandise export concentration; share of agriculture, forestry and fishing in GDP; instability of exports of goods and services; share of population in low elevated coastal zones; share of population living in drylands; victims of disasters; instability of agricultural production)

Both the “human assets” and “economic and environmental vulnerability” indices apply an equal weighting to each component within an overall index that runs from 0-100.

As of 2019, 1.033 billion people lived in the LDCs, corresponding to 13.5 per cent of the world's population. Valensisi (2020) reports that the poverty headcount rate (using the USD 1.90 per day poverty line) in the LDCs has declined from around 60 per cent in 2000 to close to 40 per cent in 2015, and since then has stayed pretty constant. Valensisi (2020) also reports that the LDC share of the world's poor (using the USD 1.90 per day poverty line) stands at over 50 per cent, compared to just over 13 per cent of the world's population.

In 2019, under-5 mortality was 63 per thousand live births (compared to a global figure of 37.7), gross secondary school enrolment was 47 per cent (compared to 76 per cent globally) and the share of agriculture, fishing and forestry in GDP was at 18 per cent compared to 4 per cent globally. Moreover, over 22.5 million internally displaced people live within the LDCs, a figure that has doubled over the past ten years. This highlights how there is a considerable overlap between the LDCs and fragile and conflict-affected states.

The LDCs frequently face extreme weather shocks and stresses which, along with harm to lives and livelihoods, damage economic growth as many countries are highly dependent on agriculture with balance of payments often reliant on foreign exchange earnings from this sector. In this respect, adaptation is an immediate priority within many LDCs. In 2019, the LDCs contributed just under 5 million kilotons of CO<sub>2</sub> equivalent in terms of greenhouse gas emissions per country compared to the global average of 54 million kilotons. Recent literature on climate impacts and adaptation within the LDCs highlights an increased frequency and intensity of climate extremes, which threaten coastal zone and marine ecosystems (Miyani et al., 2019). Overall, the Istanbul Programme of Action for the LDCs highlights how “climate change disproportionately affects the socio-economic development of the least developed countries, considering that they have contributed least to the problem, and also threatens to reverse some of the development gains that have been achieved to date” (Guillaumont and Simonet, 2014).

A further and important recent consideration is the impact of the COVID-19 pandemic, which threatens to undo the progress made within the LDCs in the past decade. Valensisi (2020) highlights how reductions in foreign direct investment, remittance flows and greater debt burdens threaten economic stability through three channels: the severity of the health crisis; the reduced availability of fiscal space and rising debt burdens; and the proximity of many non-poor people to the poverty line.

Adaptation in the LDCs is supported by a wide range of actors. Of particular note are the Global Environment Facility (GEF) funds – the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF). Of the two, the LDCF holds the larger portfolio of adaptation projects. By 2020, the LDCF had financed the formulation of National Adaptation Programs of Action (NAPAs) in 51 LDCs to help countries identify their urgent and immediate adaptation needs. Approximately USD 1.5 billion in grant financing for more than 290 projects in the LDCs had been approved to: (i) implement urgent adaptation measures laid out in NAPAs; and (ii) support the formulation of National Adaptation Plans (NAPs) to help countries identify medium and long-term adaptation needs. Consistent with the GEF-7 Climate Change Mitigation Strategy, the Adaptation Strategy is also designed to be complementary to the efforts to support adaptation by the GCF and other related funds, building on the unique features of the LDCF and SCCF in the global environmental finance architecture, laying the foundation for enhanced climate action.

The SCCF complements the LDCF. Unlike the LDCF, the SCCF is open to all vulnerable developing countries. To date, the SCCF has a portfolio of more than USD 350 million supporting 85 projects globally. Adaptation is a top priority. But the SCCF also funds, through separate financing windows, technology transfer and mitigation in selected sectors.

## 2. THE GCF AND LDCS

The vulnerability of the LDCs, along with the SIDS and African States, is foundational to the creation and operation of the GCF. As highlighted above, the Governing Instrument of the GCF mandates that: *“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.”* The Governing Instrument also highlights how the role of the private sector, including small- and medium-sized enterprises along with local financial intermediaries, will be supported by the GCF “to enable private sector involvement in SIDS and LDCs.” It is relevant to note at this juncture that Africa was not included in this paragraph in the Governing Instrument.

The urgency that is accorded to the LDCs was expanded upon in the fifth Board meeting which highlighted that resources will be allocated, inter alia, to *“the urgent and immediate needs of vulnerable countries, in particular the LDCs, SIDS and African States.”* The sixth meeting of the Board adopted the initial parameters and guidelines for allocation of resources with a decision to *“aim for a floor of fifty per cent of the adaptation allocation for particularly vulnerable countries, including least developed countries (LDCs), small island developing States (SIDS) and African States.”* In this respect, Decision B.06/06 requested the GCF to strive to balance the portfolio based on a 50:50 theme-based allocation between mitigation and adaptation, and importantly, within adaptation, at least 50 per cent allocation for particularly vulnerable countries, which include the LDCs, SIDS and African States.

The ninth meeting of the Board focused, among other issues, on the initial investment framework sub-criteria and assessment factors. Here the Board asked the Secretariat to report at the thirteenth meeting of the Board (B.13) on how it would increase attention to and fully be aware of: *“developing countries particularly vulnerable to the adverse effects of climate change, in particular the least developed countries (LDCs), small island developing States (SIDS) and African States, according to project size, mitigation/adaptation and local and sector circumstances.”*

Before the Secretariat reported on these matters, whilst endorsing the Strategic Plan of the GCF, the Board at its twelfth meeting (B.12) highlighted how the LDCs should be allowed enhanced accessibility and predictability of funding through streamlining and simplifying the “processes and templates particularly for micro-scale activities in LDCs and SIDS.”

The role of the private sector in the LDCs was expanded upon in Decision 19/18 when the Board requested the Secretariat to *“develop modalities, based on the recommendations from the Private Sector Advisory Group to support activities to enable domestic and international private sector actors to engage in GCF activities in least developed countries and small island developing States, for consideration by the Board at its twentieth meeting.”*

The USP 2020-2023 which was approved by the Board at the twenty seventh meeting (B.27), refers to the LDCs in the following ways. First, it confirms that the resource allocation parameters for the GCF-1 programming period, for mitigation, adaptation and the private sector will continue to be based on Board decision B.05/05. Moreover, the USP highlights how the new programming period of GCF-1 will deliver:

*Balanced funding across mitigation and adaptation over time, as well as using minimum allocation floors as appropriate in allocating resources for adaptation, taking 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 in line with the Governing Instrument, decisions of the Board [6] and the Fund's IRM outcomes. The Board will aim for appropriate geographical balance.*

The USP also confirms the GCF's support for private sector engagement in all developing countries, including the LDCs and SIDS, and that the GCF will *“consider recommendations made by the Private Sector Advisory Group (PSAG) 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.”*

The IEU is undertaking the independent evaluation of the GCF's approach to the private sector at the same time as this evaluation. The IEU will ensure that the evaluations inform each other.

In addition, much of the guidance from the Conference of Parties (COP) to the GCF has been relevant to LDCs as a subset of the developing countries for which the GCF is mandated to provide support. This evaluation will also focus on the guidance that the GCF has specifically received

which refers to the LDCs and issues that have been a priority for the LDCs during UNFCCC negotiations.

### 3. GCF PORTFOLIO IN THE LDCs

Up to 26 March 2021, the GCF’s funding in the LDCs was USD 2.5 billion in nominal terms (30 per cent of GCF funding), with USD 4.7 billion in co-financing. At this time, the LDC portfolio consisted of 67 approved projects (39 per cent of the global portfolio), of which 42 were under implementation (post funded activity agreement effectiveness; mainly for adaptation and cross-cutting). The project portfolio included 20 multi-country projects of which 6 are multi-regional.

According to the data available from the IEU DataLab, most GCF projects in the LDCs are small or medium in size with B/I-2 being the most common Environmental and Social Safeguards (ESS) category. Of the 46 LDCs, 40 countries have at least one active project and 45 of the 46 LDCs have at least one active project in the pipeline. Only Yemen does not have any projects approved or in the pipeline with the GCF so far (Appendix 6 contains a summary of LDCs).

Table A - 1 below highlights how most LDC projects are either for adaptation or are cross cutting with the vast majority housed by the GCF’s Division of Mitigation and Adaptation (DMA). Table A - 2 below highlights the national and regional direct access entities (DAEs) within the LDCs. Whilst there are 22 national and regional DAEs that can target the LDCs, the GCF portfolio in the LDCs is mostly led by international accredited entities.

**Table A - 1. Breakdown of the GCF projects in LDCs**

CATEGORY		NUMBER OF PROJECTS	USD MILLION (IN NOMINAL TERMS)
Theme	Adaptation	30	725
	Cross-cutting	18	728
	Mitigation	19	1,011
Sector	DMA	51	1,776
	PSF <sup>1</sup>	16	687
ESS	A/I-1	9	634
	B/I-2	39	1,616
	C/I-3	19	214
Size	Large	8	865
	Medium	26	995
	Small	28	557
	Micro	5	46

<sup>1</sup> PSF denotes Private Sector Facility.

**Table A - 2. DAEs in the LDCs as of B.28**

ACCREDITED DIRECT ACCESS ENTITIES	
<i>National DAEs in the LDCs</i> <i>*The following DAEs are national entities serving their respective countries.</i>	<i>Regional DAEs covering the LDCs</i> <i>*The following regional DAEs cover and serve the LDCs in their respective regions. The country in which the headquarters of these entities are located is indicated below.</i>
<b>FNEC:</b> National Fund for the Environment and Climate, Benin	<b>BOAD:</b> West African Development Bank, Togo
<b>IDCOL:</b> Infrastructure Development Company Limited, Bangladesh	<b>CDB:</b> Caribbean Development Bank, Barbados
<b>PKSF:</b> Palli Karma-Sahayak Foundation, Bangladesh	<b>OSS:</b> Sahara and Sahel Observatory, Tunisia
<b>BT FEC:</b> Bhutan Trust Fund for Environmental Conservation	<b>SPC:</b> The Pacific Community, New Caledonia
<b>MoFEC:</b> Ministry of Finance and Development of the Federal Cooperation, Republic of Ethiopia	<b>SPREP:</b> Secretariat of the Pacific Regional Environment Programme, Samoa
<b>NCDD:</b> National Committee for Sub-National Democratic Development, Cambodia	<b>DBSA:</b> Development Bank of Southern Africa, South Africa
<b>AEPC:</b> Alternative Energy Promotion Centre, Nepal	<b>AWB:</b> Attijariwafa Bank, Morocco
<b>MOE Rwanda</b> (formerly MINIRENA): Ministry of Environment, Rwanda	<b>Acumen:</b> Acumen Fund, Inc., USA
<b>CSE:</b> Centre de Suivi Ecologique, Senegal	
<b>MWE Uganda:</b> Ministry of Water and Environment, Uganda	
<b>CRDB:</b> CRDB Bank Public Limited Company, United Republic of Tanzania	
<b>KCB:</b> KCB Bank Kenya, Kenya	
<b>LBA:</b> La Banque Agricole (formerly Caisse Nationale de Credit Agricole du Senegal, CNCAS), Senegal	
<b>NTNC:</b> National Trust for Nature Conservation, Nepal	

#### 4. GCF MANDATE

As of early March 2021, the GCF recognized 46 eligible LDCs which are the focus of this evaluation. These countries are listed in Appendix 5 along with whether these countries are also a member of the SIDS, a member of the UNFCCC, the geographical and GCF region, the number of GCF-funded projects (including both single and multi-country projects) and total funding amounts (as of March 2021). It is relevant to note that 50 further GCF-eligible countries are not LDCs but are members of one or both of the SIDS and Africa groupings of countries. There are 58 further developing countries which are not members of these most vulnerable groups. The 46 LDCs are shown in Figure A - 1 below. The figure shows that the LDCs are concentrated in Africa between the 20 degree parallel north and the 20 degree parallel south. The LDCs are also located in a belt from Afghanistan in central Asia through Nepal, Bangladesh, Lao People's Democratic Republic to Cambodia.

A number of SIDS are also LDCs, including Haiti, Timor-Leste, Kiribati and the Solomon Islands. It is relevant to note that 9 out of 12 LDCs in Asia-Pacific are in the graduation pipeline. As highlighted above, graduation from the LDC category is not dependent on the government's consent, and there are discussions within the UNFCCC for a graduated mechanism to offer some continued support for these countries. Figure A - 2 below keenly illustrates the low GNI per capita in the LDCs, compared with other GCF-eligible countries.

### **Programmes, pilots, and processes**

Several GCF programmes, pilots and processes are particularly relevant to the needs of the LDCs. The RPSP is the GCF's support programme to countries which aims to build countries' capacity and improve access to GCF funds in a country-driven, autonomous, strategic and effective way. Figure A - 3 shows that, as of March 2021, the LDCs received 27 per cent of readiness grants (134 grants) for an amount of USD 99 million (in nominal terms), equivalent to 30 per cent of readiness funding from the GCF. Of these, 119 grants had disbursed a total of USD 45 million. Figure A - 5 and Figure A - 6 shown in Appendix 7 illustrate that whilst country coverage for readiness grants is comprehensive, country coverage for adaptation planning grants is much lower at less than 50 per cent for all GCF regions within the LDCs group (based solely on single-country grants).<sup>2</sup>

Two further channels deserve a brief mention at this stage. The EDA pilot channels climate finance to home-grown organizations in developing countries. So far, two EDA pilots have been approved by the GCF, none in the LDCs; however, as EDA modalities offer an opportunity to work with local communities and the local private sector, this offers particular potential for the DAEs in LDCs. SAP is a channel intended to reduce the burden for accessing financing for smaller-scale projects or programmes, which is also particularly suitable for LDCs. Note that all three of these channels are the subject of previous or current IEU evaluations.

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<sup>2</sup> Note that readiness support for NAPs is demand-driven based on the priorities of the NDAs.

**Figure A - 1. Regional locations of the LCDs and other countries**

Including: Bhutan, Benin, Burundi, Guinea-Bissau, Rwanda, Sao Tome and Principe, Solomon Islands, South Sudan, Tuvalu, Yemen

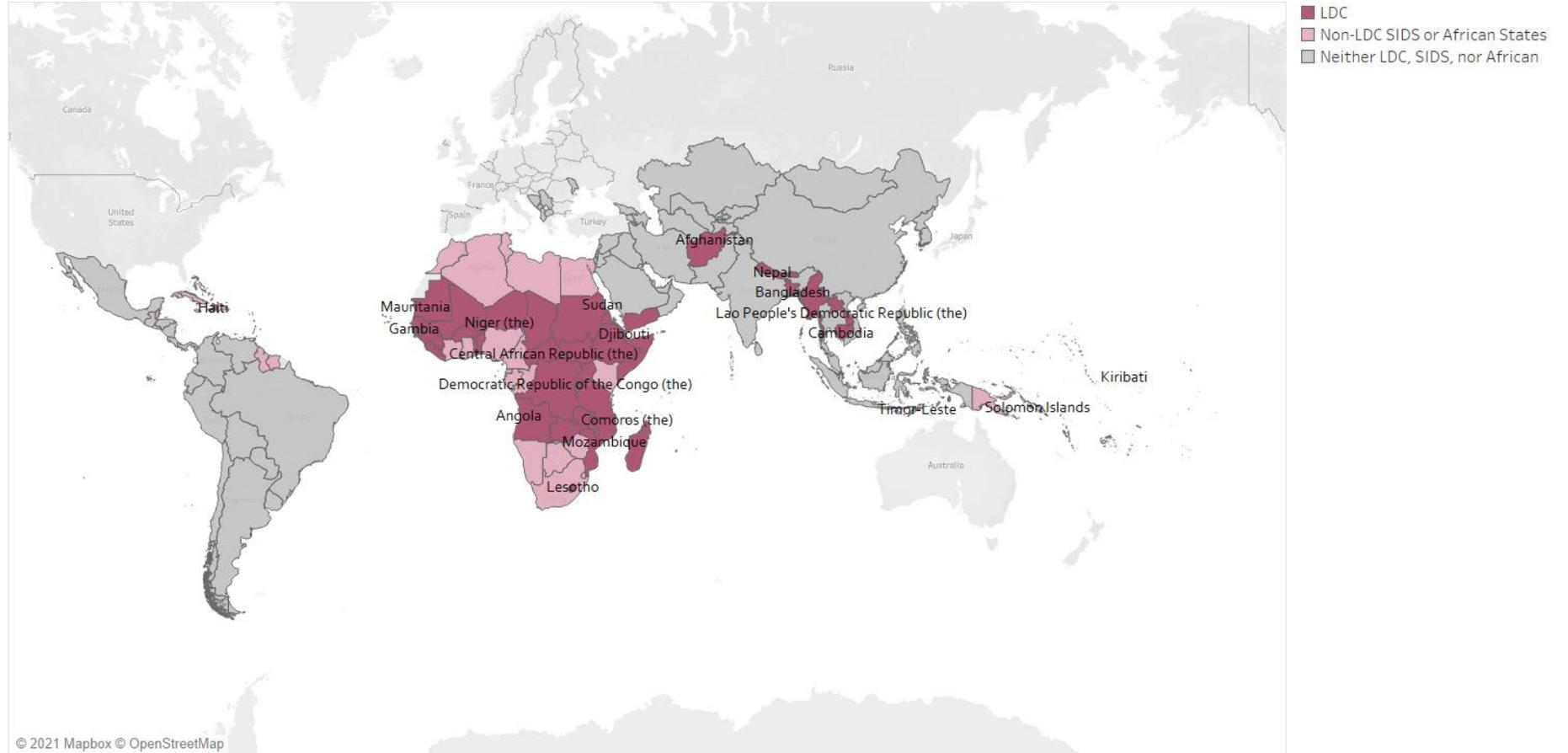


Figure A - 2. GNI per capita in LDCs

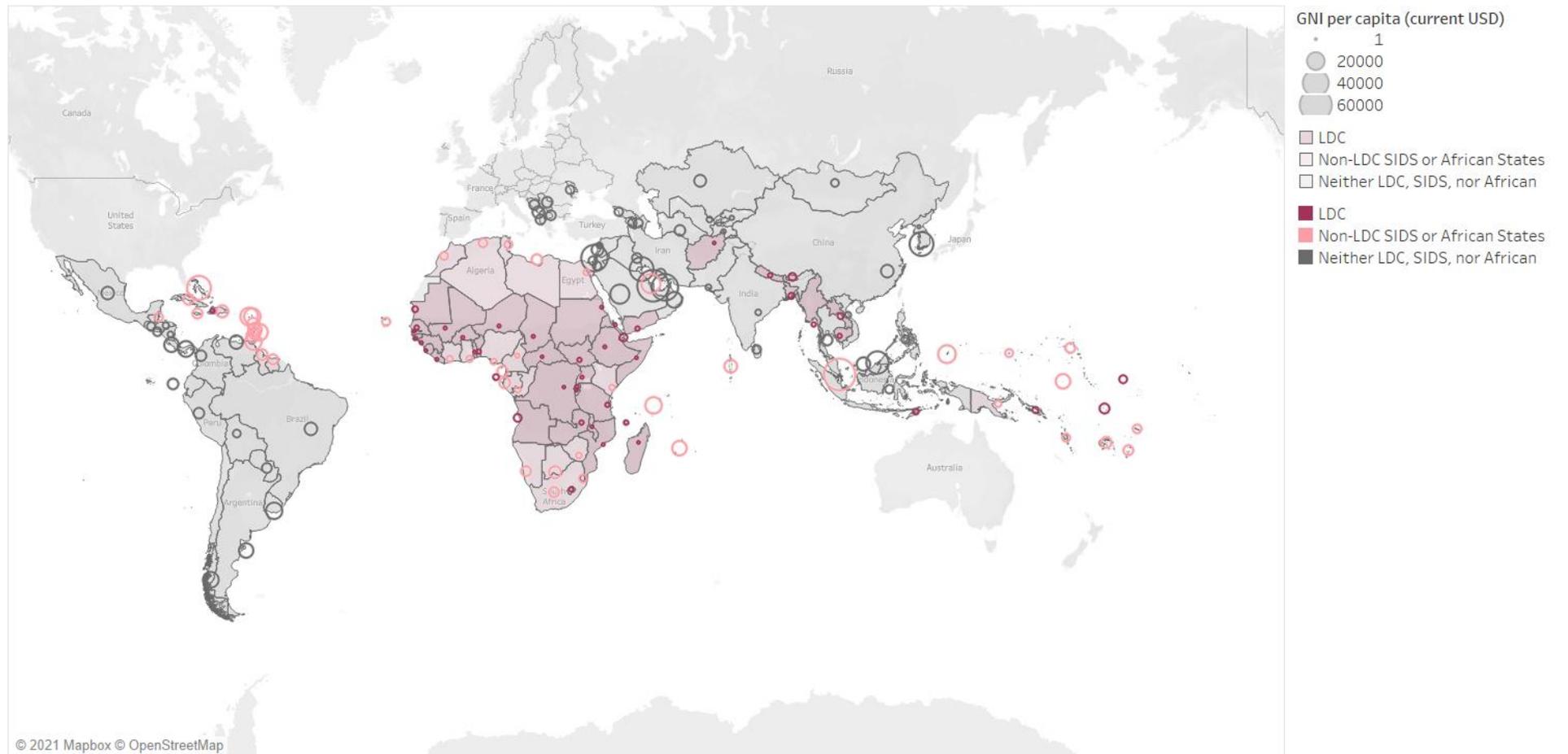
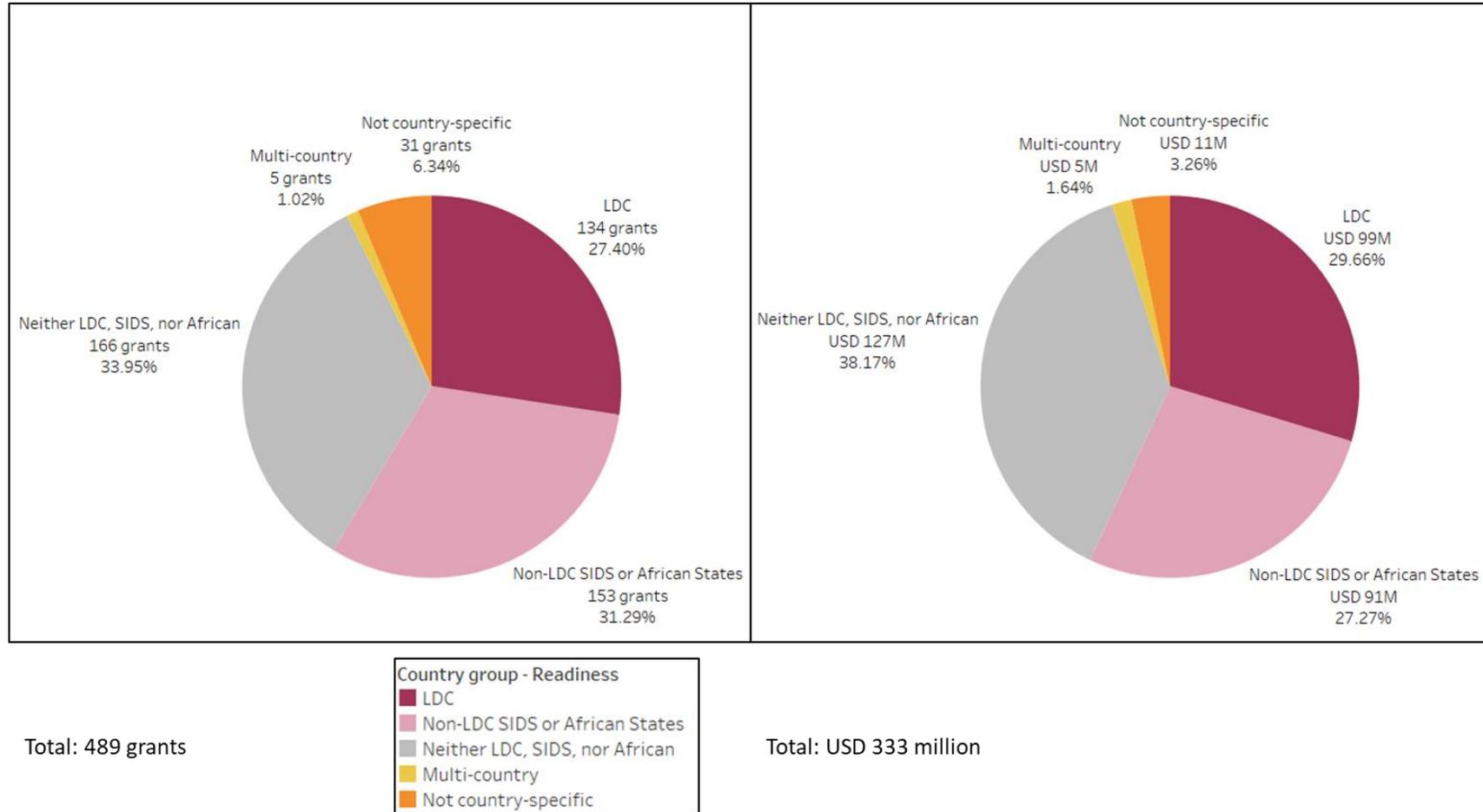


Figure A - 3. Readiness grants and funding by type of vulnerable country



### III. EXISTING RESEARCH AND EVIDENCE

#### 1. EXISTING EVALUATIVE EVIDENCE FROM GCF IEU STUDIES

Recent IEU evaluations including the Forward-Looking Performance Review (FPR) and evaluations on the RPSP, the Country Ownership Approach (COA), ESS, SIDS, the Adaptation portfolio and approach, along with the Evaluability Study, include both substantive analysis and country case studies that are relevant for this evaluation.

##### a. Relevance

The GCF's approach assumes that each LDC country has (the capacity to provide) a functional and stable Nationally Designated Authority (NDA) and that each LDC has a range of functional Accredited Entities (AEs). Of particular relevance here is the limited ability of national Direct Access Entities (DAEs) to deliver concept notes and funding proposals that are in line with country and GCF expectations. Both RPSP grants and Project Preparation Facility (PPF) resources are aimed at addressing this constraint, but the measurement of outcomes and impacts of both programmes is not yet established. Whilst capacity is being built nationally and regionally, IEU evaluations (FPR, ESS, COA) have found that this does not necessarily translate to country owned proposals.

Overall, the recent IEU evaluation of the GCF's adaptation portfolio and approach highlighted how the GCF plays a greater role in meeting developing countries adaptation needs (around 2 per cent, or in absolute terms around USD 0.5 billion per year in nominal terms from total flows of around USD 27 billion per year) compared to mitigation needs (less than 0.5 per cent, or in absolute terms around USD 1 billion per year in nominal terms from flows of around USD 330 billion per year).

Nevertheless, across both adaptation and mitigation, GCF approved funding is not close to addressing the (costed) needs stated in the Nationally Determined Contributions (NDCs).

Overall, the Adaptation evaluation highlighted how (as of 30 November 2020) of the 1.7 billion of adaptation finance directed to vulnerable countries, 31 per cent reached SIDS, 58 per cent LDCs and 61 per cent Africa. Both Africa and the LDCs so far receive more mitigation than adaptation finance, which is not consistent with the parity between mitigation and adaptation stated in the Paris Agreement Article 9.4. In terms of volume, 67 per cent of adaptation finance is currently directed to those most vulnerable to climate risks and least ready to adapt.

When looking at the sectoral focus of GCF investments, the Adaptation evaluation highlighted that the Fund is mainly investing in "water access, management and sanitation," "improving crops and food security" and "climate information and early warning systems." These are sectors which are particularly important in the LDCs. The Adaptation evaluation also highlighted that the ability of the LDCs to provide domestic resources for urgent climate challenges has been diminished by the COVID-19 pandemic due to reduced levels of trade, official development assistance and remittances. This will particularly influence adaptation projects as the LDCs co-finance from recipient country public institutions are more common here.

##### b. Country ownership

The predictability and scope of the GCF resource envelope as well as fast and reliable access to these funds are important foundations for country ownership. Previous IEU evaluations, including the SIDS evaluation, FPR evaluation and Adaptation evaluation, have highlighted how these foundations are currently not being met. Areas of concern for the LDCs include a lack of consultation regarding the submission of concept notes and funding proposals, that the international access entities (IAEs) are perceived by country stakeholders as holding too much power in

negotiations with the NDAs and maintain too much control during implementation. In addition, the IAEs are often seen to have complex requirements and processes, and sometimes not respect countries' preferences to utilize national systems.

The Country Ownership evaluation points to the tension between capacity constraints of some DAEs and the urgency of climate needs, which leaves governments in a bind, where there is a trade-off between building up national capacity and projects versus working with and through any partner (including the IAEs) so long as they are efficient, straightforward and deliver smooth, predictable and efficient funding streams. In this respect, the NDAs and other stakeholders have voiced demands for a wider range of accessible IAEs, due to the lack of viable alternatives. In addition, similar stakeholders frequently voice the need for capacity building to enhance DAE capability. This evaluation will assess how this trade-off plays out in the LDCs.

### **c. Efficiency and effectiveness**

Previous IEU evaluations (specifically the FPR, ESS and Accreditation evaluations) have particularly focused on how the RPSP along with PPF resources are designed to support capacity building and technical concerns in the countries, such as in the delivery of concept notes and funding proposals in line with country and GCF expectations. The RPSP is meant to enable countries to manage their climate change mitigation and adaptation activities in an autonomous, strategic and effective way, but in practice this does not consistently lead to a change in the AEs' own portfolio. Evaluations point to the need for clarity from the GCF on what country ownership means and how it can be supported. Previous IEU evaluations (specifically the RPSP, FPR, SIDS and Adaptation evaluations) have shown how the ability of the RPSP to strengthen NDA capacities, create national operating procedures and coordination mechanisms and improve pipelines and funding proposals is least effective among vulnerable countries. In addition, previous evaluations have highlighted how the LDCs (along with the SIDS) are least likely to solicit RPSP support for funding project pipeline development. Moreover, these evaluations suggest that the LDCs were least optimistic that the RPSP would crowd-in private sector investment or contribute to a conducive policy environment. One reason for this are the requirements of the programme itself, given that it is demanding in terms of time, energy, coordination, and communication and requires office equipment, internet connection and other logistical support.

The RPSP evaluation in 2018 found that the RPSP has been effective in organizing information sharing events and primarily supported countries' engagement with the GCF and not broader engagement with other sources of climate finance. The evaluation also found that RPSP activities had not led to the development of a project pipeline and strengthened direct access. At the time, participation of civil society in the RPSP was still rudimentary and nascent. The RPSP had not adequately contributed to the development of domestic policies and institutions that improve incentives for crowding-in private-sector investment. The RPSP evaluation also found that the lack of standard operating procedures and inconsistent guidelines had contributed to disproportionate efforts, costs and significant inefficiencies.

Overall, the RPSP evaluation, the FPR evaluation and the SIDS evaluation highlight the need for differentiation in the GCF's approach in order to consider a number of factors including the capacity of AEs. The IEU has made a wide range of suggestions on how the RPSP can be improved for the heterogeneous needs of countries, including providing countries with financial support plus advisory services and long-term national consultants. The specific implications for the LDCs will be explored in this evaluation.

In terms of adaptation planning grants, the Adaptation evaluation from February 2021 and SIDS evaluation from November 2020 found that requirements for proposals, capacity concerns and matchmaking with adequate delivery partners are seen as hurdles in accessing the RPSP for

adaptation planning. Moreover, due to the young nature of adaptation planning support, fully attributing the GCF RPSP to concrete outcomes is challenging, as is assessing quality, since no RPSP outcome or impact measurement framework is operational yet.

The evaluation team will also consider two further GCF modalities aside from the standard project approval process, which are particularly relevant to this evaluation: First, the Simplified Approval Programme, which has been particularly effective at channeling resources to the LDCs with around half of all SAP projects being located within this country grouping (although questions still remain regarding scaling up). Second, the EDA pilot channel based on requests for proposals.

#### **d. Results (both expected and unexpected), impact and sustainability**

Is GCF support effective in delivering results and impacts through the implementation of GCF-funded projects and programmes to reduce the (long-term) vulnerability of local communities and their local livelihoods to the effects of climate change?

In July 2019, the Forward-looking Performance Review of the GCF found that within a portfolio of 102 projects, 67 per cent of the LDCs, SIDS and African States were recipients of at least one project. Moreover, at this time 29 per cent of the LDCs/SIDS/African States had an active project under implementation. However, many LDCs/SIDS/African States were targeted through multi-country projects, which often work through financial intermediaries, and take a long time to materialise and reach beneficiaries.

More recently, the Adaptation evaluation found that, as of 30 November 2020, the GCF aimed to reach around 209 million total (direct and indirect) beneficiaries in the most vulnerable countries (LDCs, SIDS and Africa) through its programmes and projects. This equated to 12 per cent of the population in the most vulnerable countries.

The evaluation team will learn from the findings of the ongoing rapid assessment of the GCF's Requests for Proposals modality, including an assessment of the objective of the EDA in strengthening country ownership of projects alongside greater sub-national involvement.

#### **e. Coherence, replication and scalability**

The extent to which GCF investments are complementary to and coherent with projects funded by other climate funds (e.g. GEF, Climate Investment Funds (CIF), Adaptation Fund (AF)) is a precursor to replication and scaling. Greater GCF interactions with other climate funds increase the scale and depth of impacts. The Adaptation evaluation found that the GCF had limited interaction with other funds at the project level: only 32 projects interacted with specific projects from other climate funds, 23 of which are adaptation or cross-cutting. The main interactions at the project level with the AF were related to scaling up projects, which is seen in positive terms in the AF. A further finding from previous IEU work on coherence, replication and scaling up specifically related to the LDCs focuses on the extent to which the SAP channel will lead scaling.

#### **f. Previous country case studies**

In addition, the evaluation team will synthesize lessons learnt from past evaluations which included a country case study in an LDC. Overall, 14 case studies (conducted by the IEU in 2017–2021) have taken place. These country case studies and the evaluations they are from are listed below. Note that Bangladesh, Rwanda and Uganda have been selected as country case studies twice.

- RPSP, 2018: Bangladesh, Haiti, Senegal, Vanuatu (4)
- RMF, 2018: Rwanda (1)
- FPR, 2019: Bangladesh, Rwanda, Senegal, Solomon Islands (4)
- COA, 2019: Uganda (1)

- ESS, 2020: Zambia (1)
- SIDS, 2020 Kiribati (1)
- Adaptation, 2020: Gambia, Uganda (2)

## 2. FINDINGS OF EVALUATIONS ON LDC SUPPORT BY OTHER FUNDS

Since its establishment in 2001, the Least Developed Countries Fund (LDCF) has undertaken several evaluations assessing support in the LDCs. In 2020, the GEF has also evaluated the support provided to the LDCs and to countries with fragile and conflict-affected situations, which include 25 out of 46 LDCs in 2021. These evaluations provide relevant findings regarding access to funds, project implementation and sustainability in the LDCs.

**Institutional and human capacity is low.** An early evaluation of the operation of the LDCF (COWI & International Institute for Environment and Development (IIED), 2009) identified bottlenecks in project preparation related to limited technical and human resources capacity, while an evaluation of the United Nations Development Programme (UNDP) work with the LDCF and SCCF resources (2009) stressed the long time and great amount of work needed to move from the NAPAs to project identification and preparation. Over a decade later, the latest evaluation of the LDCF (GEF, 2020) still identifies insufficient capacity of the project team, staff turnover and delays in recruitment, weak project design and weak project management as key operational barriers. Good practices identified by the GEF to enhance institutional capacity have included capacity-building for planning and programming as well as effective stakeholder engagement and coordination.

**High transaction costs, financial sustainability and private sector participation are particularly challenging in the LDCs.** In addition to the unpredictability of resources, which has limited the effectiveness of the LDCF and the SCCF over time, common financial challenges identified include high transaction costs, limited post-completion financing to sustain benefits and very limited involvement of the private sector in project implementation (for example, as delivery partner or investor), due to less developed banking and private sectors in the LDCs and difficulties to attract investment in adaptation-focused work. This is in line with the findings of the evaluation of UNDP support for climate change adaptation (2020), which reports very little engagement with the private sector for adaptation in the agricultural sector, translating into limited market access.<sup>3</sup> Climate change interventions that focus on improving livelihoods are more likely to be effective and sustainable in the LDCs, especially if they are market oriented and provide alternative sources of income and food security.<sup>4</sup>

**Fragility and conflict have affected the timeliness, effectiveness and sustainability of support in some LDCs.** The evaluation of GEF support in fragile and conflict-affected situations (2020) found that a country's fragility classification is associated with a negative and statistically significant impact on project outcomes, sustainability, monitoring and evaluation, implementation quality and execution quality. Among the factors that affect projects are physical insecurity, social conflict (especially regarding land tenure), economic drivers, political fragility, weak governance and changes in natural resources driven by coping strategies. To address these issues, strategies, policies and toolkits for conflict-sensitive project design and risk management have been developed at the project and agency level.

**Complementarities between climate funds can leverage the support provided to the LDCs.** Among the existing funds that channel resources to the LDCs for climate change adaptation and mitigation, the GCF is perceived as having the potential to provide large-scale financial solutions

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<sup>3</sup> GEF IEO, 2020a; GEF IEO, 2020b; COWI & IIED, 2009.

<sup>4</sup> GEF IEO, 2020b; UNDP IEO, 2020.

that were previously tested and refined by the LDCF and SCCF. This demands sequencing and synchrony of funds' objectives, targets and duration to maximize coverage and impact.<sup>5</sup>

### 3. RESULTS OF LITERATURE REVIEW

As a starting point for the evaluation, the team has identified key peer-reviewed and grey literature on climate change interventions in the LDCs. This literature provides a research framework for the evaluation to understand the critical barriers and solution to the LDCs that the GCF should consider when making its support for adaptation and mitigation more relevant and effective. A key focus here was a focus on the systematic barriers to effective adaptation and mitigation in the LDCs.

Overall, the LDCs as a group, experience multiple similar systematic barriers to effective implementation of adaptation and mitigation planning.

**The LDCs are particularly vulnerable to economic shocks.** During the past decade, since the 2008-2009 economic crisis, the LDCs have struggled with slow recovery and particularly suffered from a low cost of raw materials in the international market given their high reliance on minerals and agriculture in their economies<sup>6</sup> as well as dependence on external finance. The level of indebtedness in the LDCs has steadily increased.<sup>7</sup> Overall, the pace of debt accumulation for these countries is growing at twice the rate of other low- and middle-income countries.<sup>8</sup>

**The present COVID-19 pandemic illustrates this economic vulnerability.** Though not suffering greatly from COVID-19 cases compared with other developing countries, the LDCs have been more severely hit by the resulting economic downturn stemming from national and international government restrictions, movements across borders and lowered daily productivity in industries that rely on large-scale factory production. The severe economic impact is explained by their structural economic shortcomings and by not having fully recovered from the shock of the 2008-2009 economic crisis.<sup>9</sup> These economic burdens trickle down to the household level, where key resilience factors such as personal bank accounts and savings are minimal in the LDCs, leaving the population highly vulnerable to wider economic and natural crisis. As of 2018, less than 30 percent of adults in the LDCs had bank accounts, which is almost half of the percentage for developing countries currently. Saving rates in the LDCs declined from 17.5 per cent in 2012 to 13.3 per cent in 2016.<sup>10</sup>

**Adding to country and household vulnerability is the distress of consistent natural and climate-induced hazards and variability.** Given the low resilience and high economic reliance on natural resources and ecosystems, the LDCs are some of the most vulnerable to climate change impacts with the most common climate hazards across all 47 LDCs including, in order of frequency, floods, heavy precipitation events and changes in precipitation patterns, followed by droughts, extreme temperatures and altered temperature patterns, and storms,<sup>11</sup> all of which are detrimental to economies. Almost all of the LDCs NDCs prioritise agriculture and food security and most present water resources, coastal zone, forest, land use change and ecosystems, alongside policy, strategy and planning as key sectors for action. In contrast, health, infrastructure or energy interventions as well as education, social protection and industry are frequently left out.<sup>12</sup>

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<sup>5</sup> GEF IEO, 2020a; GEF IEO, 2018; COWI & IIED, 2009.

<sup>6</sup> UNCTAD, 2020; UNCTAD, 2019.

<sup>7</sup> United Nations Office of the High Representative for the LDCs, Landlocked Developing Countries, and SIDS. LDCs in Facts and Figures 2018. <http://unohrlls.org/about-ldcs/facts-and-figures-2/>

<sup>8</sup> World Bank, 2020. Debt Burden of LDCs continues to climb to a record USD 744 billion in 2019. <https://www.worldbank.org/en/news/press-release/2020/10/12/debt-burden-of-least-developed-countries-continues-to-climb-to-a-record-744-billion-in-2019>

<sup>9</sup> UNCTAD, 2020 & UNCTAD, 2019.

<sup>10</sup> UN Office of the High Representative for the LDCs, Landlocked Developing Countries, and SIDS, 2018.

<sup>11</sup> LDC Group, 2019.

<sup>12</sup> IIED, 2019.

**Governance challenges and low human and institutional capacity impedes successful action in adaptation and mitigation.** The literature on the LDCs generally agrees that low institutional and human capacity as well as fragile and fragmented governance structures impede the successful implementation of adaptation and mitigation action; and in particular, if not built properly, can hamper development progress when countries graduate from their LDC status.<sup>13</sup> One article notes that the LDCs are “*disadvantaged due to their relatively weaker administrative and technical capacity.*”<sup>14</sup> Almost two-thirds of the LDCs express a need for capacity building and knowledge transfer in order to be able to implement their NDC objectives, especially in the area of knowledge and skills development at the institutional level.<sup>15</sup> Furthermore, the literature reveals that adaptation to climate change, which is important for accelerating poverty reduction outcomes, has not been adequately translated into national programmes and strategies.<sup>16</sup> A shortfall in many LDC policy and strategy frameworks for climate change is a lack of robust, long-term climate resilient systems that operate across sectors and integrate poverty, climate change, green growth and household vulnerability.<sup>17</sup> Most importantly, the literature points towards a continued exclusion of the private sector in policy frameworks even though private sector participation in adaptation and mitigation is increasingly recognized as vital. For example, United Nations Conference on Trade and Development (UNCTAD) (2020) mentions a clear need to have policy frameworks for private sector engagement in the LDCs. In other words, while there is often mention of engaging the private sector in addressing the needs of the LDCs, there is little progress in doing so.<sup>18</sup>

**Closely related to country capacity is the fact that the LDCs are hampered by low access to high-quality technology and science** and are often reliant on their development partners to provide access. Bernardo et al. (2020) notes that “LDC countries struggle to implement adaptation without enough capacity building, funding and technology transfer.” Indeed, 45 per cent of the LDCs (21 countries) mention that technology transfer is crucial to allow for execution of both mitigation and adaptation when it comes to implementation of their NDCs.<sup>19</sup> UNFCCC Article 4 paragraph 9, clearly states that “the Parties shall take full account of the specific needs and special situation of the LDCs in the actions with regard to funding transfer of technology.” Furthermore, access to clear research and accurate and consistent data has also shown to hamper the LDCs’ abilities to assess the full extent of their vulnerabilities. IIED (2020) reports that there is little LDC-specific scientific climate change impact data available to help guide domestic policymaking and “*LDCs need reliable data series that are consistent over time and equivalent across research fields to improve the visibility of their vulnerabilities.*”<sup>20</sup>

**Noticeable cultural and social conditions also impact the level to which countries can advance towards their adaptation and mitigation goals.** Inclusive and participatory stakeholder engagement, both at the national and local level, has become a key requirement of most climate funding and project preparation. However, involving the most vulnerable stakeholders in planning and implementation can be difficult given, for example, social and institutional norms or competing priorities. One article noted for example that “*deeply entrenched social institutions and norms may influence which group members will be able to have a voice and ultimately exercise rights*”<sup>21</sup> and thus, influence adaptation and mitigation options. Another article noted that “stakeholder

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<sup>13</sup> COWI & IIED, 2009; WRI, 2021.

<sup>14</sup> GEF IEO, 2020.

<sup>15</sup> IMPACT, 2017.

<sup>16</sup> UNDP IEO, 2019.

<sup>17</sup> IIED, 2020.

<sup>18</sup> UNCTAD, 2020.

<sup>19</sup> IMPACT, 2017.

<sup>20</sup> IIED, 2020.

<sup>21</sup> Sovacool et al., 2017.

participation is challenging when trying to involve vulnerable groups who cannot afford missing productive time, are marginalized by local leaders, or are in political opposition to the national government.”<sup>22</sup> For example, in terms of competing priorities, in The Gambia, during implementation of the GCF project “Large-scale Ecosystem-based adaptation in the Gambia,”, the project team had to incentivize local stakeholders with monetary payments in some areas to partake in the implementation of adaptation activities, which ran contrast to the usual practice of community forest management deployed in the project area.<sup>23</sup> Furthermore, willingness to change behaviour plays a key role in the local adoption of implemented activities. The effect of behavioural change has been widely considered in the health and sanitation sectors in the LDCs, but less so in the implementation of adaptation and mitigation activities.

**Climate change vulnerability is often accompanied by adaptation readiness in the LDCs.** The ND GAIN country index (2018) shows that, overall, the LDCs have higher vulnerability and lower readiness than non-LDCs, with higher vulnerability usually accompanied by lower readiness, and vice versa (see Appendix 6). This means that some LDCs have comparatively high readiness and low vulnerability (e.g. Bhutan and Djibouti), while others present particularly low readiness and high vulnerability (e.g. Chad and Somalia). Most of the countries with higher vulnerability and lower readiness are located in Africa and face fragile or conflict-affected situations in their territories, according to the 2021 World Bank classification (see Appendix 6). While these differences among the LDCs should not affect access to funding, they are important considerations to ensure project design and implementation are tailored to country contexts and needs. For example, the Evaluation of GEF Support in Fragile and Conflict-Affected Situations (2020) concludes that, while environmental interventions can be negatively affected by conflict and fragility -and even inadvertently worsen them – those interventions may help address the drivers, dynamics and impacts of conflict and build peace, particularly if designed to be conflict sensitive and to address livelihoods, food security, cooperation and basic services. We now turn to the ToC which will support the assessment of expected results.

#### 4. THEORY OF CHANGE FRAMEWORK

The theory of change (TOC) is a heuristic approach to help clarify the links between project activities and long-term objectives. Evaluators typically develop a tentative TOC that is verified and amended during interviews with key project staff and stakeholders.<sup>24</sup> A critical first step in the development of a TOC is to demarcate the system the intervention seeks to influence. This first step includes identification of the system main components, the conditions that enable the behavioural changes required to achieve the long-term goal of the project. This step should also include the identification of the expected interactions among enabling conditions. Having developed a model of the targeted phenomena, the next step is to define the forms in which an intervention seeks to interact and influence the enabling conditions as to steer the system in the trajectory of the long term objectives.<sup>25</sup> The TOCs are best approached as models consisting of a set of propositions that are to be tested and adjusted through consultations with stakeholders in light of the evidence obtained during the evaluation. The use of a TOC in an evaluation does not mean that the project will be held accountable for having achieved systematic change. System transformations take time and rarely take place during the duration of a project.

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<sup>22</sup> Holler et al., 2020.

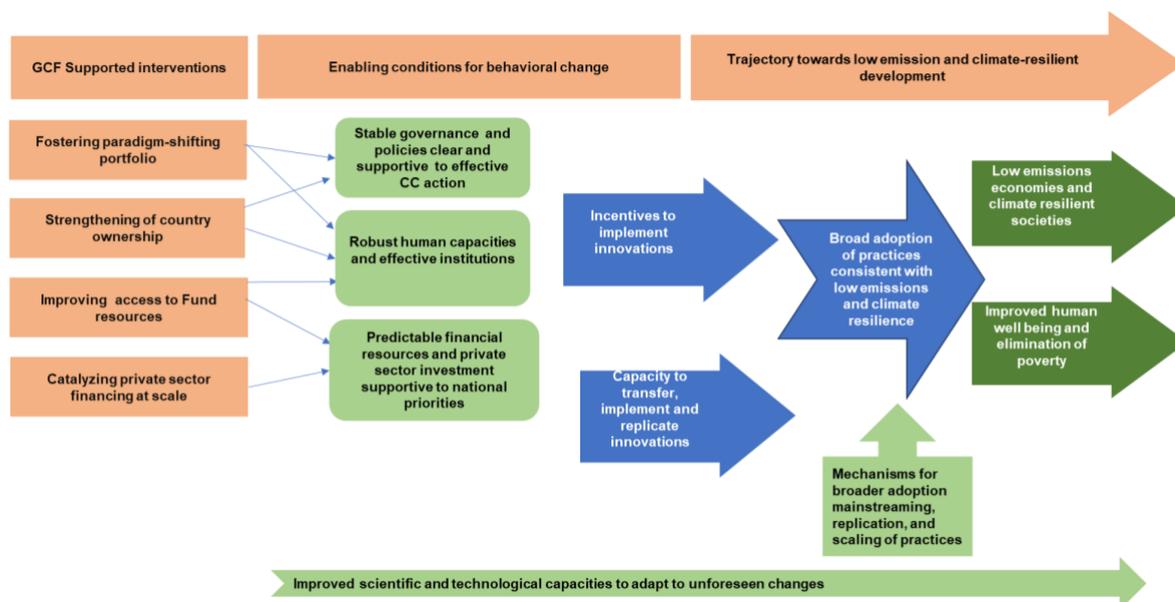
<sup>23</sup> UNDP, forthcoming.

<sup>24</sup> Chen, 1990; Mayne, 2008.

<sup>25</sup> Zazueta, Le and Bahramalian, 2021.

As indicated in Figure A - 4, the long-term goal of the GCF is to build developing countries' capacities to respond to the challenges of climate change by shifting towards low emission and climate-resilient development pathways. Climate change is particularly challenging for the LDCs because they must build the capacities to respond to climate change while they address urgent structural development needs. While reviewing the existing evaluative evidence generated by the IEU and other evaluative and technical evidence, the evaluation team identified six areas or domains of challenges and needs that interact with one another. Addressing challenges in these areas is key to helping the LDCs shift to a development trajectory in the direction of low emissions and climate-resilience.

**Figure A - 4. GCF LDCs TOC Framework**



**Economic and financial factors.** As the economies of the LDCs tend to be dominated by the agricultural sector and extractive industries over the last decade, they have been affected by the low commodity prices in the world markets. The scarcity of investments, low public revenues and capital stock, and low private sector participation are also major roadblocks for structural transformation. Given the fiscal challenges of the LDCs' governments, one option to address financial needs is to find ways to attract suitable private sector investments.<sup>26</sup>

**Vulnerability to natural events.** Given the human and institutional capacities, the governance challenges and fiscal weaknesses, the LDCs are more vulnerable to increasing weather related impacts such as droughts, floods and cyclones; a condition that slows down efforts on poverty reduction.<sup>27</sup>

**Governance.** Policy and institutional arrangements conducive to sustainable development require strengthening systems in the LDCs. Also a number of the LDCs operate under a politically challenging environment and face risks where political unrest or natural events can set back the country's development efforts.<sup>28</sup>

<sup>26</sup> GEF 2020b; UNCTAD 2019

<sup>27</sup> UNDP 2019

<sup>28</sup> GEF 2020a

**Human and institutional capacity.** The need for capacity development cuts across most other conditions affecting the LDCs. Human capacity and institutional capacity in the LDCs are intricately linked as a scarcity of qualified personnel is a major factor hindering the performance of institutions.

**Science and technology.** The vulnerability of the LDCs is accentuated as they have insufficient scientific and technological capacity to adapt and develop solutions suitable to their context and that can be adopted at scale.<sup>29</sup> A related challenge is to develop solutions and technologies that incorporate and are compatible with local knowledge, existing social capital and culture.

**Social-cultural.** High and rising levels of inequality significantly hinder poverty alleviation particularly in the African LDCs. Gender gaps are systemic and widespread.<sup>30</sup> Poverty is often amplified under conditions of conflict and extreme natural events.

The GCF does not have a strategy specific for the LDCs. Its USP 2020-2013, which by definition covers all developing countries, identifies four key strategic priorities to support countries to shift to low emissions and climate-resilience development. The evaluation will assess how these strategic priorities have been applied to the LDCs:

- Strengthening of country ownership
- Fostering a paradigm-shifting portfolio
- Catalysing private sector finance at scale
- Improving access to fund resources

Four essential attributes of the system that these TOC models include are:

- The necessary conditions interact with one another at various degrees of intensity.
- The necessary conditions take place across scales; critical types of scales including international, national, provincial and local.
- The transformational process requires mechanisms to be in place so as to ensure the broader adoption of the changes introduced by the programme (mainstreaming, replication and scaling).
- As multiple domains, conditions, actors and scales are involved, it is assumed that the system is highly unpredictable and that unforeseen changes may arise that will require the adjustment of interventions along the way (adaptive management).

The TOC also makes the following assumptions:

- It is possible to address the challenges of climate change in ways that contribute to equitable development.
- The necessary conditions identified will be sufficient to build the capacities and generate the incentives for the desired behavioural change.
- The governments intend to promote equitable and sustainable development.
- Key stakeholders will perceive benefits from the expected transformation.

The TOC will be used as a model to assess the extent to which the GCF project's support conditions that are likely to contribute to low emissions and climate-resilient development.

The following three propositions will guide the TOC-based analysis:

- The system operates through the action of agents (stakeholders), and the development trajectory of the system is the result of the complex actions and reactions of agents in the system. Thus, the evaluation will seek to assess the extent interventions target the right agents (stakeholders).

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<sup>29</sup> The UNFCCC, Article 4, paragraph 9 makes special emphasis on the needs of the LDCs related to transfer of technology. See also LDC-Group Vision.

<sup>30</sup> See UNDP 2019

The evaluation team will also assess the extent to which GCF supported activities have benefited stakeholders that are consistent with a trajectory to low emission climate-resilient development.

- Conditions and factors are linked through cause-effect relationships to different degrees. Drawing from project documents and reports, the evaluation team will identify the key conditions and interactions necessary to address the challenges faced by the country and will assess the extent to which GCF projects or readiness support contribute to such conditions and interactions.
- Relevant conditions in the relevant domains take place at different levels and scales (in space and time) requiring attention to how the phenomena are linked across micro, meso and macro levels and to consider effects in the short-term and long-term as well as non-linearity in causes and effects. The evaluation team will also assess the extent to which GCF interventions integrate across domains and conditions. The team will also assess the extent to which the GCF supports a mechanism that will catalyse broader adoption across space and time of the changes introduced by interventions.

The evaluation team will also complete a complementary targeted review of the technical literature and on GCF strategic documents to further define the key conditions that are likely enable a shift to low emission climate-resilient development. The GCF LDC portfolio is young, many projects have been under operation for two or three years and it is unlikely that results or impacts are yet apparent.

## IV. EVALUATION QUESTIONS

### 1. KEY EVALUATION QUESTIONS AND MATRIX

The evaluation questions are based on five IEU evaluation criteria that reflect the core concerns of the LDCs:

- **Relevance:** The relevance of the GCF to the needs and urgency of climate action in the LDCs;
- **Country ownership:** The extent to which and how the GCF has ensured that countries own investments and are using country systems;
- **Performance (Effectiveness and efficiency):** The extent to which the GCF's business model, processes, pipeline and portfolio have been meeting the specific needs and urgency of climate action in the LDCs;
- **Results, impact and sustainability:** Whether the GCF support is effective in delivering results and impacts through the implementation of GCF-funded projects and programmes to reduce the (long-term) vulnerability of local communities and their livelihoods;
- **Coherence, replication and scalability:** The extent to which GCF climate finance is complementary and coherent with other climate finance delivery channels, and whether this is supporting replication and scale.

The themes of gender as well as innovation and indigenous knowledge in the LDCs are planned to receive special attention as cross-cutting themes (these are described in some detail later). Table A - 3 below details the key evaluation questions and sub-questions.

The detailed evaluation matrix with key methods and source/type of data is shown in Appendix 1.

**Table A - 3. Evaluation questions**

No.	KEY QUESTIONS	INDICATIVE SUB-QUESTIONS	IEU EVALUATION CRITERIA *
1	Is the GCF relevant to the specific needs and urgency of climate action of the LDCs?	<p>To what extent is the GCF responsive to the guidance of the UNFCCC and Paris Agreement in terms of meeting the urgency of climate action in the LDCs?</p> <p>What are the key climate change needs and challenges for the LDCs, and what are the conditions to address these needs?</p> <p>To what extent and how has GCF finance been relevant to addressing the main climate needs and challenges in the LDCs?</p> <p>To what extent and how has the Fund supported the LDCs in establishing projects and programmes with regard to climate change policies, strategies, plans, NAPAs, NAPs and other related activities?</p> <p>To what extent do the GCF's policies, guidelines, funding parameters and funding modalities respond to the specific needs and circumstances of the LDCs?</p>	Relevance
2	To what extent and how has the GCF operationalised and uses country ownership including investments and using country systems?	<p>To what extent is the GCF readiness support helping countries' capacities to access funding and implement projects?</p> <p>To what extent do the GCF projects integrate stakeholder participation (including local government) at all stages, including design, implementation and monitoring?</p> <p>To what extent have local communities, local knowledge and heritage been taken into account in the GCF's support and investments in the LDCs?</p> <p>To what extent does the portfolio include considerations of gender and indigenous peoples' equality and empowerment in the design and implementation of projects in the LDCs?</p>	Country ownership
3	To what extent do the GCF's business model and processes meet the specific needs and urgency of climate action in the LDCs?	<p>How efficient is the GCF in bringing LDC projects for approval?</p> <p>To what extent does the GCF's accreditation process correspond to the needs and challenges of the LDCs?</p> <p>What have been the most important factors enabling or constraining the effectiveness of the LDCs' project approvals?</p> <p>What is the efficiency of the implementation and execution of GCF investments in the LDCs? How does this vary across different financing modalities (RPSP, SAP)?</p>	Performance (efficiency and effectiveness)
4	Is GCF support effective in delivering results and impacts through the implementation of GCF-funded projects and programmes to reduce the (long-term) vulnerability of local communities and their livelihoods to the	<p>To what extent is GCF support helping the LDCs put in place the conditions that will reduce vulnerability of local communities?</p> <p>Is the funding moving towards a paradigm shift (where it is most needed)?</p> <p>What have been the local impacts of GCF projects so far?</p> <p>How does this vary across gender as well as cultural, social and ethnic groups?</p>	Results (both expected and unexpected), impact and sustainability

No.	KEY QUESTIONS	INDICATIVE SUB-QUESTIONS	IEU EVALUATION CRITERIA*
	effects of climate change?		
5	Is GCF climate finance complementary and coherent with other climate finance delivery channels, and how is this supporting replication and scale?	To what extent is GCF funding in the LDCs complementary to the support provided and received by countries and other delivery channels? What are the comparative advantages of the different climate funds with regard to the LDCs?	Coherence, replication and scalability

\*As defined in the IEU's Terms of Reference

### Overall evaluative approach

The evaluation will distinguish between two interrelated broad dimensions of GCF support. One of these dimensions is the extent to which the GCF is building country capacity while efficiently financing activities to address the urgent needs of the LDCs, and the other dimension pertains to the extent to which GCF support results in benefits to communities and contributes to conditions conducive to a paradigm shift.

#### Building capacities and efficient financing to meet the LDCs' urgent needs

This dimension refers to the GCF strategic priority of strengthening country ownership and capacities while at the same time seeking to respond efficiently to the urgent needs of recipient countries.

Preliminary information obtained through interviews and a rapid review of the portfolio indicate that achieving these two sets of objectives has been challenging as low capacities constrain the ability of countries to access urgently needed funding, while the use of international entities or consultants is perceived to be associated with lower country ownership and less capacity development. The evaluation team will assess the extent to which this tension is presented, and it will seek to identify more precisely its effects on GCF support to the countries. The evaluation team will carry out this analysis by assessing the activities that have been allocated the RPSP readiness grants and the use of the funds provided by the Project Preparation Facility grants. This analysis will pay special attention to the extent that the activities supported by such funds have improved or are likely to improve countries' access to GCF project financing. The evaluation will also briefly assess the extent to which EDA financing has potential as a mechanism for LDCs to reach community organizations and support capacities to access GCF financing.<sup>31</sup> As part of this review, the evaluation team will also assess the extent to which SAP has helped improve access to GCF funds by the LDCs.

Using the TOC as a framework, the evaluation team will also seek to assess the extent to which results of RPSP, SAP and EDA financing contribute to durable capacities as enabling conditions to a paradigm shift.

This dimension of GCF support is mostly related to aspects related to the evaluation criteria of relevance (to the country), country ownership, efficiency in project approval and funds disbursement, and in effectiveness in building country capacities to access funds. As indicated in the evaluation matrix, the evaluation team will use a mix of methods to gather and triangulate the

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<sup>31</sup> The evaluation team will review the evaluation currently in progress on EDA and will integrate the relevant LDC findings in this analysis.

relevant information including key informant interviews, case studies, portfolio analysis and project cycle analysis.

### **Benefits to communities and contributions conducive to a paradigm shift**

The second dimension pertains to the results; the extent to which GCF support has contributed to local benefits that are likely to be sustainable and the extent to which the GCF is contributing to conditions that in the long run, will enable a paradigm shift.

The evaluation team will further develop the TOC framework presented in Figure A - 4 to further identify the enabling conditions to behavioural change based on a further review of the technical literature and considering the existing evaluative evidence. The team will subsequently use the more elaborated TOC to identify the extent to which the GCF supports activities that contribute to each of the enabling conditions. The team will also assess the extent to which GEF supported activities are sufficiently integrated to be mutually supportive and the extent to which projects seek to implement mechanisms for scaling and replication.

While assessing the extent of integration of the support, the evaluation team will also explore the coherence of GCF support with the support provided by other funds.

Case studies will be used as the main source to gather information on the extent to which GCF support is conducive to community benefits and enabling conditions for a paradigm shift. The evaluation team will complement findings from case studies with evidence derived from DataLab at the portfolio level. Coherence will be mostly explored through the case studies seeking evidence from the NDAs, participating entities and other stakeholders.

## **2. 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, thematic analyses on gender as well as innovation and indigenous knowledge, stakeholder consultation (key informant interviews and surveys) and country case studies. Ultimately, the evaluation team will triangulate 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 lacking, to document the strength of evidence and ensure that the final findings and conclusions are soundly evidence-based.

### **a. Document review**

#### ***i. General document review***

As part of the review of policies and case studies, the evaluation team will 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.
- LDCs' submissions to the Board for selected country case studies.
- Readiness documents, including proposals, CPs, NAPs and progress reporting related to selected country case studies.
- Accreditation documents, including nominations, accreditation master agreements and entity work programmes.

- Project cycle documents, including concept notes, PPF proposals, funding proposals, Secretariat and independent Technical Advisor Panel reviews, comments from civil society organizations (CSOs), funded activities agreements and annual performance reports (APRs) for selected country case studies.

Country-level documentation for the case studies (NDCs, NAPs, climate change policies and strategies, relevant documents for climate projects funded by multilateral and bilateral agencies, academic and grey literature on climate solutions and challenges in the country).

## *ii. Policy analysis: Authorizing body and normative frameworks*

The evaluation team will conduct a focused assessment of the relevant UNFCCC decisions and guidance to the GCF that relate to GCF's investments for the LDCs and therein how LDCs-relevant GCF Board decisions and discussions have responded to UNFCCC guidance related to the LDCs.

When the GCF was established at the COP 16 as an operating entity of the financial mechanism under Article 11 of the UNFCCC, it was established that the GCF shall function under the guidance of and be accountable to the COP. At the 17th Session of the COP in 2011, the GCF was launched and the Governing Instrument of the Fund was approved. In order to ensure accountability to the COP, decision 3/CP.17 states that the GCF Board will:

- Receive guidance from the COP on the funds' policies, programmes, eligibility criteria and matters related thereto.
- Take appropriate action in order to respond to the guidance received.
- Submit annual reports to the COP for its consideration and receive further guidance.

In this evaluation, we will assess the extent to which the GCF Board has responded to decisions and guidance to the GCF related to the LDCs that were provided by the different bodies of the UNFCCC. The evaluation will also assess the sufficiency of these responses by the GCF Board and actions taken by the GCF Secretariat in the adoption of new policies, systems, guidelines or procedures. When assessing the portfolio and through country case studies and interviews, the evaluation will assess the extent to which Secretariat actions have been implemented.

The evaluation will focus on assessing decisions from the COPs as well decisions from the two permanent subsidiary bodies under the convention, the Subsidiary Body of Implementation (SBI) and the Subsidiary Body for Scientific and Technological Advice. These two bodies assist in the assessment and review of the convention, and the SBI assists the COP in the implementation of decisions. Matters related to finance under the convention are discussed under the SBI, and therefore for purposes of this evaluation, we will review decisions from the following agenda items:

- Matters related to the LDCs - a standing agenda item under the SBI
- National Adaptation Plans (NAPs) - a standing item under SBI
- Report of the GCF to the COP and guidance to the GCF - a standing agenda item at the COP
- Guidance to the Green Climate Fund - an agenda item at the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement.

Table A - 4 below shows the initial findings of the decisions related to the guidance from parties to the GCF. Most of the decisions relate to strengthening support to the LDCs on the formulation and implementation of NAPs and to consider ways to provide further support to the countries.

**Table A - 4. UNFCCC related decisions as guidance to the GCF on the LDCs**

BODY AND/OR COP DECISION	MATTERS RELATED TO LDC/ NAPs/ REPORT
SB 51 2019	The SBI invited delivery partners of the GCF Readiness and Preparatory Support Programme for the formulation of NAPs to strengthen efforts to support the LDCs with the goal of expediting the submission of readiness proposals to the GCF.
SB 49 2018	The SBI noted the progress made in the process to formulate and implement NAPs and the work of the Least Developed Countries Expert Group (LEG) on considering the challenges faced by the LDCs in the process to formulate and implement NAPs, and noted the need for further progress in accessing funding from the GCF.
SB 47 2017	The SBI recognized that many developing country Parties continue to face challenges in accessing funding from the GCF for the formulation and implementation of NAPs.
SB 46 2017	The SBI noted with appreciation the efforts of the LEG on providing technical guidance and advice to the LDCs on accessing funding from the Green Climate Fund (GCF) for the formulation of NAPs and on the subsequent implementation of the policies, projects and programmes identified by the LDCs, including successful collaboration with the GCF Secretariat.
SB 45 2016	<p>The SBI welcomed the decision of the GCF Board on expediting support for developing countries for the formulation of NAPs, consistent with decisions 1/CP.16, 5/CP.17 and 1/CP.21, paragraph 46, and looks forward to how the GCF will support the subsequent implementation of the policies, projects and programmes of developing country Parties as requested in Decision 1/CP.21, paragraph 46.</p> <p>The SBI noted the progress of the provision of financial support for the formulation of NAPs through the GCF. It requested the LEG, in collaboration with the GCF Secretariat and relevant partner organizations, to continue considering ways to further enhance the provision of support to the LDCs for accessing funding from the GCF for the process to formulate and implement NAPs and to include information thereon in its report for consideration at SBI 46.</p> <p>The SBI requested the LEG to continue providing technical support to the LDC Parties for accessing funding for the formulation of NAPs and for the subsequent implementation of the policies, project and programmes identified in the NAPs under the GCF, and to facilitate the provision of scientific support to the LDC Parties, in collaboration with relevant United Nations agencies and GCF implementing partners.</p>
SB 44 2016	SBI looks forward to the further engagement of the LEG and the Adaptation Committee with the GCF, and it requested them to include information on that engagement in their reports.
SB 42 2015	The SBI also noted with appreciation the collaboration between the LEG and the GCF on the process to formulate and implement NAPs and encouraged the LEG to continue to collaborate with the GCF on addressing issues related to access to the GCF by the LDCs.
1/CP.21 para 46	Requests the Green Climate Fund to expedite support for the least developed countries and other developing country Parties for the formulation of national adaptation plans, consistent with Decisions 1/CP.16 and 5/CP.17, and for the subsequent implementation of policies, projects and programmes identified by them.
1/CP.21 para 64	Urges the institutions serving the Agreement 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 SIDS, as appropriate.

### *iii. Policy analysis: GCF policies and operational frameworks*

The evaluation team will assess the extent to which GCF policies and operational frameworks meet the needs and urgency of climate action in the LDCs. This will be through an assessment of the following documents, policies and operational frameworks:

- 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)
- Proposed Policy on Concessionality (GCF/B.29/Inf.11)

The team will also draw heavily on the USP and the proposed Integrated Results Management Framework. In addition, the evaluation team will utilize IEU assessments of policies conducted by previous evaluations and in parallel to this evaluation, including the Gender Policy, Environmental and Social Policy and Accreditation Process, ensuring this evaluation adds value to previous findings.

#### **b. Stakeholder consultation**

A wide range of stakeholders will be consulted via interviews and two surveys tailored to different actors. Interview responses will be compared with survey data to identify commonalities and divergences as well as to help explain survey trends.

##### *i. Key informant interviews*

Key informant interviews will be organized through a cascading approach whereby a select number of interviews with GCF staff and Board members will be conducted in the early stages of the evaluation. Thereafter, the country case studies will engage a diverse range of country stakeholders, identified jointly by the Baastel team and the country NDA. Table A - 5 provides an indication of the indicative areas of enquiry for the different stakeholder groups.

To guide the interviews, semi-structured interview protocols have been developed, tailored by stakeholder type, and are being iteratively tested and improved (see Appendix 4). Interviews will be held in-person when feasible, or via telephone or online platform when not feasible. Interviewers

will take detailed, typed interview notes, which will be held confidentially and coded in a user-friendly software platform to facilitate qualitative analysis. Respondents will be asked for their informed consent and will be guaranteed anonymity in the evaluation report.

**Table A - 5. Stakeholders to be consulted**

	KEY AREAS OF ENQUIRY		EST NUMBER	KEY INFORMANT INTERVIEWS	COUNTRY VISITS	SURVEY
Selected GCF Staff, across key offices, divisions and units; independent Technical Advisor Panel and Accreditation Panel members	Relevance, effectiveness, efficiency	LDC senior management team identified by the IEU – to be engaged throughout evaluation	8	✓		
GCF Board Member and Alternate Member representing the LDCs	Relevance, effectiveness, efficiency	LDC representatives	2	✓		
GCF Active CSO and Private Sector Organization (PSO) Observers	Relevance, effectiveness, efficiency	CSO/PSO representatives identified by the IEU	2	✓		
NDA/focal points	Relevance, country ownership, results	Two per country	2	✓	✓	✓
DAEs	Efficiency, effectiveness	All LDCs, DAEs, AEs -0-2 per country	1-2	✓	✓	✓
IAEs	Efficiency, effectiveness	Approved funding proposals in the LDCs and with substantive pipeline projects in the LDCs (range of small-large)	3-5	✓	✓	✓
Current and former GCF Regional Advisers	Effectiveness, efficiency	One per region	4	✓		
Additional international actors	Complementarity, coherence	UNFCCC, UNDESA	2	✓		

	KEY AREAS OF ENQUIRY		EST NUMBER	KEY INFORMANT INTERVIEWS	COUNTRY VISITS	SURVEY
Additional country-level stakeholders	Relevance, country ownership, effectiveness, results	Identified by the NDA for case studies	5		✓	
Additional external actors	Complementarity, coherence	GEF, CIF, AF, others as relevant at country level	2	✓	✓	

Interview guides will be tailored based upon the specific interests and expertise of stakeholders consulted. This will be determined once the stakeholders are identified.

## *ii. Surveys*

The evaluation team will administer two surveys. The surveys will systematically collect data at the country-level from the AEs and NDAs that can feed into analyses both for this evaluation as well as other evaluations currently in progress and planned by the IEU.

**Table A - 6. Perception survey approaches**

GROUP	SURVEY ADMIN. METHOD	RESPONDENT SAMPLING
AEs	Online	All AEs of all types active in LDC projects or in concept note development
NDAs	Online	All NDAs in the LDCs

## *c. Portfolio analysis*

Portfolio-wide analysis will be critical for this evaluation. The evaluation team will work closely with the IEU DataLab team to identify what additional 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 above), allowing trends and potential bottlenecks to be identified and discussed during interviews, which could help interpret these findings. An initial list of data analyses organized by evaluation question is included in the evaluation matrix provided in Appendix 1. The GCF data sets to be used will be valid through October 2021. The evaluation team will continue consulting with the IEU on ways to make further use of DataLab as the evaluation progresses.

The evaluation team is developing a typology of the LDCs that will be used for both qualitative and quantitative analyses. This typology recognizes the diversity of the LDCs 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 the LDCs’ characteristics and GCF-related outcomes. A preliminary typology will be refined during the evaluation process.

#### **d. Thematic analyses on innovation and indigenous knowledge**

This evaluation pays special attention to innovation and indigenous knowledge as cross-cutting themes. As laid out in its USP for 2020-2023, innovation is a strategic priority for the GCF. Although the GI requests the GCF to “provide resources for innovative and replicable approaches” (Paragraph 38 of the GI), previous evaluations of other parts of the GCF portfolio (SIDS, Adaptation) have found that the GCF’s approach to innovation is not clearly defined and underestimates the potential of social and institutional innovation. One potential source of innovation is indigenous knowledge, the incorporation of which has been widely found to be a best practice in climate action. The Paris Agreement further stipulates that adaptation action be guided by indigenous knowledge and local knowledge systems (Paris Agreement Article 7.5). Thus, this evaluation will look closely at the extent to which the GCF has successfully integrated traditional knowledge and traditional climate solutions within its projects in the LDCs. This will be done through a desk review of funding proposals and other relevant documents.

#### **e. Comparative analysis**

The evaluation team will carry out a comparative analysis with the AF, the SCCF and the LDCF. The original draft approach paper referenced a benchmarking exercise for which has been pared down to be a more proportionate comparative analysis exercise given the resourcing and timeline for the present evaluation. This comparative analysis will focus on three aspects: capacity development, extent of country ownership and project cycle efficiency. This exercise will draw on existing evaluations carried out by the GEF Independent Evaluation Office (GEF IEO). This comparative analysis will involve a number of key informant interviews including interviews with GEF evaluators.

#### **f. Thematic analyses on gender**

Gender equality and women’s empowerment cover a personal, social and economic sphere, and these dimensions of empowerment can interact to drive changes in social norms and promote an individual’s agency. This evaluation will pay special attention to the degree to which GCF programmes and projects in the LDCs have supported women’s empowerment. Empowerment can occur at multiple levels and across multiple dimensions. The evaluation begins from the premise that by empowering women, individuals become agents of change and can catalyse – among other things – climate action. This evaluation defines empowerment as increased agency and a newfound ability to make strategic life choices. The review also considers empowerment as the culmination of incremental steps, which involve interrelated dimensions of greater resources (assets), opportunities (agency) and achievements (outcomes). The evaluation team will assess the role of gender across the design, implementation and results of GCF support and investments. The assessment will develop a narrative based on the application of the following five rating scales: gender blind; gender aware; gender sensitive; gender mainstreamed; and gender transformative. This rating takes gender mainstreaming as the benchmark for GCF support and investments.

#### **g. Country case studies**

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

### *i. Country case study selection*

Six countries were selected for case studies (Burundi, Cambodia, Ethiopia, Vanuatu, Haiti and Malawi), according to the criteria and considerations described below. Additionally, five countries were selected as alternates: Nepal, Togo, Senegal, Timor-Leste and Tuvalu. The alternates will be pursued only in the case that the key stakeholders in the originally selected countries are unable to participate in the study.

From the total number of 46 LDCs, a short list of 39 countries was first identified, after excluding the LDCs that have been visited or are currently being contacted/covered for the IEU's already completed and on-going evaluations (with the exceptions of Haiti, which is the only LDC from Latin America and the Caribbean, as well as Vanuatu and Senegal). These country case studies constitute an important source of information and experiences that will be incorporated into the evaluation at hand.

For the shortlisting of countries, a series of GCF-oriented selection criteria were applied to ensure a diversity of experiences:

- To ensure a balanced geographical coverage.
- To ensure that at least one country in each world region with an approved GCF project is included in the selected group of countries.
- To the extent possible, ensure that at least one country in each world region selected has GCF's readiness funding approved.
- To the extent possible, ensure diversity of GCF project focus (mitigation, adaptation and cross-cutting).
- To ensure diversity of multi-country and single-country projects.
- To ensure diversity of financial instruments and public and private sector projects.
- To ensure diversity of the AEs – national, regional and international – with approved projects in the selected countries.
- To ensure inclusion of at least one country with a national DAE.
- To the extent possible, ensure that the country selected has at least one APR available.
- To ensure inclusion of at least one LDC that is participating in the IEU's flagship Learning-Oriented Real-Time Impact Assessment (LORTA) Programme to increase synergies and leverage available data.

To ensure the inclusion of at least one LDC whose baseline data has been received by the IEU's LORTA team as part of conducting a real-time impact assessment of GCF-approved project(s) in the country concerned.

Furthermore, the approach paper reviewed the countries' geographical, linguistic and legal characteristics for the following reasons: During the Inception Phase, the evaluation team was advised by a panel of LDCs experts that the evaluation should consider cases of LDCs that are also SIDS and those that are landlocked since these countries tend to undergo and face different types of challenges than the non-SIDS and non-landlocked LDCs. Also, the evaluation team was informed that the Francophone LDCs, for instance, could undergo greater delays and difficulties in the GCF project approval process or in the final stages of legal arrangements. Francophone countries also have a judicial system that is different from that of Anglophone countries, and can therefore

encounter more challenges when overcoming the due diligence hurdles between Board approach and the completion of a Funded Activity Agreement.<sup>32</sup>

In addition, countries' vulnerability as well as readiness were considered in the selection process by reviewing the Notre Dame Global Adaptation Initiative (ND-GAIN) Vulnerability and Readiness Index, which considered governance, institutional and social capacity.

Country case studies are expected to take place virtually. Table A - 7 and Table A - 8 below show the attributes of the countries selected against these key criteria.

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<sup>32</sup> Note that GCF agreements are governed by public international law (which draws its roots from a combination of common law and civil law systems) rather than English law (except in relation to PSF projects or those implemented by bilateral agencies). Additionally, readiness grant agreements are similar to the form of agreement that most other MDBs use.

**Table A - 7. Selected country cases and key attributes – Part 1**

COUNTRY NAME	GCF REGION	SIDS	LANDLOCKED	LANGUAGES	NUMBER OF APPROVED READINESS GRANTS		NUMBER OF DELIVERY PARTNERS WITH APPROVED GRANTS	NUMBER OF DAEs ACCREDITED	LORTA		NUMBER OF PAST IEU EVALUATIONS THAT HAVE COVERED THE COUNTRY
					Adaptation planning	CB, SF, and/or PD <sup>33</sup>			LORTA country	LORTA baseline data acquired	
Burundi	Africa	No	Yes	Kirundi; French; English	0	1	1	0	No	No	0
Ethiopia	Africa	No	Yes	Oromo; Amharic; Somali; Tigrigna (Tigrinya); English (major foreign language taught in schools)	0	1	1	1	No	No	0
Haiti	LAC <sup>34</sup>	Yes	No	French; Creole	1	4	4	0	No	No	1
Cambodia	Asia-Pacific	No	No	Khmer	0	8	6	1	No	No	0
Malawi	Africa	No	Yes	English	1	1	2	0	Yes	Received	0
Vanuatu <sup>35</sup>	Asia-Pacific	Yes	No	Bislama (creole); English; French	0	5	5	0	Yes	No	1
<i>Alternatives</i>											
Nepal	Asia-Pacific	No	Yes	Nepali; English (many in government and business also speak English)	1	1	2	2	No	No	0
Senegal	Africa	No	No	French	0	6	3	2	No	No	2
Togo	Africa	No	No	French (official, the language of commerce)	0	3	3	0	No	No	0

<sup>33</sup> Capacity building, strategic frameworks and/or pipeline development

<sup>34</sup> LAC refers to Latin America and the Caribbean countries.

<sup>35</sup> Vanuatu, though a recent graduate from LDC status, was specially chosen to be considered in the country case studies.

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COUNTRY NAME	GCF REGION	SIDS	LANDLOCKED	LANGUAGES	NUMBER OF APPROVED READINESS GRANTS		NUMBER OF DELIVERY PARTNERS WITH APPROVED GRANTS	NUMBER OF DAEs ACCREDITED	LORTA		NUMBER OF PAST IEU EVALUATIONS THAT HAVE COVERED THE COUNTRY
					Adaptation planning	CB, SF, and/or PD <sup>33</sup>			LORTA country	LORTA baseline data acquired	
Timor-Leste	Asia-Pacific	Yes	No	Tetun and Portuguese are official languages; Indonesian and English are working languages; there are over 30 indigenous languages including Tetun Prasa, Mambai, Makasai, Tetun Terik, Baikenu, Kemak and Bunak	0	4	4	0	No	No	0
Tuvalu	Asia-Pacific	Yes	No	Tuvaluan (official), English (official), Samoan, Kiribati (on the island of Nui)	1	1	1	0	No	No	0

**Table A - 8. Selected country cases and key attributes – Part 2**

COUNTRY NAME	NUMBER OF ACTIVE PIPELINE PROJECTS			NUMBER OF APPROVED PROJECTS								
	Total	DMA	PSF	Total	DMA	PSF	Single-country	Multi-country	Through IAE	Through rDAE	Through nDAE	With APR submitted
Burundi	2	1	1	2	1	1	1	1	2	0	0	1
Ethiopia	12	8	4	5	2	3	2	3	4	0	1	2
Haiti	2	1	1	3	0	3	1	2	3	0	0	0
Cambodia	7	4	3	4	2	2	1	3	4	0	0	1
Malawi	9	7	2	2	1	1	1	1	2	0	0	2
Vanuatu	9	8	1	1	1	0	1	0	0	1	0	1
<i>Alternatives</i>												
Nepal	4	3	1	2	2	0	2	0	2	0	0	0
Senegal	18	11	7	11	6	5	4	7	8	2	1	3
Togo	5	4	1	4	0	4	0	4	3	1	0	1
Timor-Leste	2	2	0	2	2	0	2	0	2	0	0	0
Tuvalu	2	1	1	2	2	0	1	1	2	0	0	1

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

Protocols for the country case studies have been prepared to ensure that evaluators plan, implement, report and validate country visits in a consistent manner (see Appendix 4). Protocols will be piloted in one country first, rapidly reviewed and refined, and then applied in the remaining countries.

The NDAs/focal points will be actively involved in the conduct of the country case studies, to support ownership, learning and validation. The NDAs/focal points will be engaged in the planning process as well as having the opportunity to review the case study reports, to ensure factual accuracy and opportunity for improvement.

## V. WORK PLAN

### 1. PROCESS FOLLOWED TO DATE

A series of initial inception calls were held in March 2021 with the Division of Country Programming, the UNFCCC Secretariat as well as with the United Nations Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States. 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.

A series of scoping conversations are being considered with the GCF Secretariat, Board and alternate members representing developing country parties from the LDCs to verify the evaluation matrix and the identification of key issues and tensions.

### 2. GENERAL WORK PLAN

The evaluation process has been divided into three general phases:

- 1) **Inception and planning phase** (March-May 2021) – This phase involves the process followed to date and culminates in the final Approach Paper (see also Table A - 9 below).
- 2) **Data collection and analysis phase** (May–August 2021) – This phase involves the planning and implementation of the data collection and analysis methods described above in Section IV.2, including the country case studies.
- 3) **Reporting phase** (August–December 2021) – During this phase, the full evaluation report will be drafted, edited, 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.

### 3. KEY DELIVERABLES

The evaluation team will produce three key deliverables, as shown in Table A - 9 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 undergo a thorough quality assurance process.

**Table A - 9. Key deliverables and deadlines**

KEY DELIVERABLE	DESCRIPTION	DATE
Finalization of approach paper	Describes the approach, methods and workplan for the evaluation; includes analytical tools and evaluation report outline	1 July 2021
Data analysis	Data analysis, including stakeholder surveys (cut off B.29 and update after B.30)	31 August 2021
Country case study reports	Delivery of country case study reports and all data analysis	15 September 2021
Factual draft	Delivery of the factual draft (including triangulation and validation of data and reporting)	30 September 2021
Draft evaluation report	Delivery of draft evaluation report	10 November 2021
Final evaluation report	Provides the evaluation's data and analysis, key findings, conclusions and recommendations alongside 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 comparative analysis results, and survey results	16 December 2021
Communication products	Delivery of the full suite of GCF communication products alongside a copy-edited final evaluation report	31 December 2021

#### 4. DETAILED WORK PLAN

ACTIVITIES	FEB	MARCH				APRIL					MAY				JUNE				JULY					AUGUST				SEPTEMBER				OCTOBER	NOVEMBER	DECEMBER			
	W4	W1	W2	W3	W4	W1	W2	W3	W4	W5	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W5	W1	W2	W3	W4	W1	W2	W3	W4						
	Phase 1: Inception and planning																																				
1	Initial document review	█	█	█	█																																
2	Initial key informant interviews				█	█	█																														
3	Country case study sampling					█	█	█																													
4	Evaluation matrix, methods and tools	█	█	█	█	█																															
5	Literature review		█	█										█	█	█																					
6	Draft Inception Report and Review			█	█	█	█	█	█	█	█	█																									
7	Revision and Final Inception Report																																				
		Phase 2: Data collection and analysis																																			
8	Continued document review																																				
9	Portfolio analysis																																				
10	Comparative analysis (light benchmarking)																																				



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## APPENDICES

## Appendix 1. EVALUATION MATRIX

IEU EVALUATION CRITERIA	KEY QUESTIONS	SUB-QUESTIONS	METHODS AND TOOLS	DATA ANALYSIS (DATA LAB)
Relevance	1. Is the GCF relevant to the specific needs and urgency of climate action of the LDCs?	a) To what extent is the GCF responsive to the guidance of the UNFCCC and Paris Agreement in terms of meeting the urgency of climate action in the LDCs?	<ul style="list-style-type: none"> <li>• Desk review</li> <li>• Literature review</li> </ul>	<ul style="list-style-type: none"> <li>• Not applicable</li> </ul>
		b) What are the key climate change needs and challenges for the LDCs and what are the conditions to address these needs?	<ul style="list-style-type: none"> <li>• Desk review</li> <li>• Literature review</li> <li>• Synthesis of GCF evaluations</li> <li>• Data analysis</li> </ul>	<ul style="list-style-type: none"> <li>• LDC criteria (GNI per capita, human assets index, and environmental economic vulnerability index)</li> <li>• NDC Explorer</li> <li>• ND-GAIN indices and sub-indices</li> <li>• Germanwatch Climate risk index</li> <li>• WB CO2 emission data</li> </ul>
		c) To what extent and how has GCF finance been relevant to addressing the main climate needs and challenges in the LDCs?	<ul style="list-style-type: none"> <li>• Desk review</li> <li>• Literature review (climate funds reports)</li> <li>• Interviews w/ GCF stakeholders</li> <li>• Portfolio analysis</li> </ul>	<ul style="list-style-type: none"> <li>• GCF IPMS and Tableau Online data on readiness and project funding</li> </ul>
		d) To what extent and how has the Fund supported the LDCs in establishing projects and programs with regards to climate change policies, strategies, plans, NAPAs, NAPs and other related activities?	<ul style="list-style-type: none"> <li>• Portfolio analysis</li> <li>• Synthesis of GCF Evaluations</li> </ul>	<ul style="list-style-type: none"> <li>• GCF IPMS and Tableau Online data on pipeline and approved projects</li> <li>• NDC Explorer</li> </ul>
		e) To what extent do GCF’s policies, guidelines, funding parameters,	<ul style="list-style-type: none"> <li>• Desk review</li> </ul>	<ul style="list-style-type: none"> <li>• Not applicable</li> </ul>

IEU EVALUATION CRITERIA	KEY QUESTIONS	SUB-QUESTIONS	METHODS AND TOOLS	DATA ANALYSIS (DATA LAB)
		funding modalities respond to the specific needs and circumstances of the LDCs?	<ul style="list-style-type: none"> <li>• Literature review</li> <li>• Interviews w/ GCF stakeholders</li> <li>• Country case studies</li> </ul>	
Country ownership	2. To what extent and how has the GCF ensured that countries own investments and are using country systems, including national budget, accounting or procurement systems?	a) To what extent do GCF projects integrate stakeholder participation (including local government) at all stages, including design, implementation and monitoring?	<ul style="list-style-type: none"> <li>• Interviews w/ GCF stakeholders</li> <li>• Desk review</li> <li>• Country case studies</li> <li>• Portfolio analysis</li> </ul>	<ul style="list-style-type: none"> <li>• IEU data on funding proposals – Country ownership</li> </ul>
		b) To what extent have local communities, local knowledge and heritage been taken into account in GCF's support and investments in the LDCs?	<ul style="list-style-type: none"> <li>• Interviews w/ GCF stakeholders</li> <li>• Desk review with emphasis on community-based adaptation</li> <li>• Country case studies</li> <li>• Portfolio analysis</li> </ul>	<ul style="list-style-type: none"> <li>• IEU data on funding proposals – Country ownership</li> </ul>
		c) To what extent does the portfolio include considerations of gender and indigenous peoples' equality and empowerment in design and implementation of projects in the LDCs?	<ul style="list-style-type: none"> <li>• Interviews w/ GCF stakeholders</li> <li>• Desk review</li> <li>• Country case studies</li> <li>• Portfolio analysis</li> </ul>	<ul style="list-style-type: none"> <li>• IEU data on project design-gender and indigenous issues</li> </ul>
Performance (Efficiency and effectiveness)	3. To what extent does the GCF's business model and processes, meet the specific needs and	a) How efficient is the GCF in bringing LDC projects for approval?	<ul style="list-style-type: none"> <li>• Interviews w/ GCF stakeholders</li> <li>• Desk review</li> <li>• Portfolio analysis</li> <li>• Synthesis of GCF evaluations</li> </ul>	<ul style="list-style-type: none"> <li>• GCF policies, frameworks, modalities</li> <li>• GCF IPMS, Fluxx, and Tableau Online data on RPSP, SAP, project pipeline</li> </ul>

IEU EVALUATION CRITERIA	KEY QUESTIONS	SUB-QUESTIONS	METHODS AND TOOLS	DATA ANALYSIS (DATA LAB)
	urgency of climate action in the LDCs?		<ul style="list-style-type: none"> <li>Country case studies</li> <li>Surveys to AEs and NDAs</li> </ul>	
		b) To what extent does GCF’s accreditation correspond to the needs and challenges of the LDCs?	<ul style="list-style-type: none"> <li>Interviews w/ GCF stakeholders</li> <li>Desk review</li> <li>Portfolio analysis</li> <li>Country case studies</li> <li>Surveys to AEs and NDAs</li> </ul>	<ul style="list-style-type: none"> <li>GCF IPMS and Tableau Online data on accreditation</li> <li>IEU data on accreditation</li> </ul>
		c) What have been the most important factors enabling or constraining the effectiveness of the LDCs project approvals?	<ul style="list-style-type: none"> <li>Portfolio analysis</li> <li>Interviews with GCF stakeholders</li> <li>Surveys to AEs and NDAs</li> </ul>	<ul style="list-style-type: none"> <li>GCF IPMS and Tableau Online data on pipeline and approved projects</li> <li>IEU data on pipeline and approved projects</li> <li>GCF criteria for grants (SAP, EDA, PPA)</li> </ul>
Results and Impact (both expected and unexpected), impact and sustainability	4. Is GCF support effective in delivering results, and impacts through the implementation of GCF funded projects and programmes to reduce the (long-term) vulnerability of local communities and their local livelihoods to the	a) To what extent is the GCF support helping the LDCs put in place the conditions that will reduce vulnerability of local communities Is the funding going towards paradigm shift (where it is most needed)?	<ul style="list-style-type: none"> <li>Interview w/ GCF stakeholders</li> <li>TOC analysis</li> <li>Portfolio analysis</li> <li>Country case studies</li> <li>Interviews with GCF stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>IEU data on APRs</li> <li>IEU data on transformational change</li> <li>IEU data on some measures of innovation/ sustainability/ replicability/ scalability of projects</li> <li>IEU data on investments in physical infrastructure and knowledge</li> <li>IEU data on behavioral change</li> </ul>
		b) What have been the local impacts of GCF projects so far? How do these vary across gender, and cultural, social and ethnic groups?	<ul style="list-style-type: none"> <li>Interview w/ GCF stakeholders, especially UNFCCC informants</li> <li>Analysis of LORTA data</li> </ul>	<ul style="list-style-type: none"> <li>LORTA data for specific cases</li> </ul>

IEU EVALUATION CRITERIA	KEY QUESTIONS	SUB-QUESTIONS	METHODS AND TOOLS	DATA ANALYSIS (DATA LAB)
	effects of climate change?			
Coherence, complementarity replication and scalability	5. Is GCF climate finance complementary and coherent with other climate finance delivery channels, and how is this supporting replication and scale?	c) To what extent is GCF funding in the LDCs complementary to the support provided received by countries and how is it perceived in terms of role/position/power within the LDCs?	<ul style="list-style-type: none"> <li>• Interview w/ GCF stakeholders, especially UNFCCC informants</li> <li>• Desk review</li> </ul>	<ul style="list-style-type: none"> <li>• Not applicable</li> </ul>
		d) What are the comparative advantages of the different climate funds with regards to the LDCs?	<ul style="list-style-type: none"> <li>• Interview w/ GCF stakeholders, especially UNFCCC informants</li> <li>• Portfolio analysis</li> <li>• Desk review</li> <li>• Synthesis of GCF evaluations</li> </ul>	<ul style="list-style-type: none"> <li>• GCF, LDCF, SCCF and AF project portfolio data</li> </ul>

## Appendix 2. DRAFT OUTLINE FOR THE EVALUATION REPORT

### Chapter 1. Introduction

- I. Purpose and objectives of the LDC evaluation
- II. Background on GCF work in the LDCs
- III. Evaluation criteria/questions
- IV. TOC
- V. Methodological approach summary – details to annexes
- VI. Limitations
- VII. Guide to the report

### Chapter 2. Background, landscape, and lessons

- I. How can we understand the key constraints and conditions facing the LDCs?
- II. Findings and lessons from previous evaluations

### Chapter 3. Findings, evidence, and analysis

- I. Dimension 1: Building capacities and efficient financing to meet the LDCs' needs
  1. Relevance: Is the GCF relevant to the specific needs and urgency of climate action of the LDCs?
  2. Country Ownership: To what extent and how has the GCF ensured that countries own investments?
  3. Performance (Efficiency/Effectiveness): To what extent does the GCF's business model and processes, meet the specific needs and urgency of climate action in the LDCs?
- II. Dimension 2: Benefits to communities and contributions conducive to a paradigm shift
  1. Results and impact: Is GCF support effective in delivering results and impacts through the implementation of GCF-funded projects and programmes to reduce the vulnerability of the LDCs?
  2. Coherence, complementarity replication and scalability: Is GCF climate finance complementary and coherent with other climate finance delivery channels, and how is this supporting replication and scale?

### Chapter 4. Recommendations

### Chapter 5. Lessons

## Appendix 3. COUNTRY CASE STUDY PROTOCOL

The Country Case Study Protocol will summarize the process and deliverables resulting from (virtual) country visits. It considers the different stages of country visit planning, implementation and follow-up as well as summarizes team composition, timing and deliverables from this process. An outline for the country case study reports is provided at the end.

### I. PURPOSE

Country case studies are an invaluable source of evidence, both structural and anecdotal, to underpin the findings and recommendations. Stakeholders consulted initially for the LDC evaluation expressed that the portfolio does not fully represent the experience of the LDCs, and the limited extent to which the LDCs are able to access accreditation and funding modalities through the GCF. The purpose of the country case studies is to give voice and detail to the experiences of the LDCs to inform the evaluation through in-depth enquiry in six diverse country contexts. This aims to provide a nuanced understanding of the GCF's work in different country contexts, and ultimately answer the evaluation questions. The country case studies 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 five of the main themes of the evaluation questions (please see the evaluation matrix):

- Relevance of the GCF portfolio to the specific needs and urgency of climate action of the LDCs
- Adequacy of processes to support country ownership in the LDCs
- Relevance: Is the GCF relevant to the specific needs and urgency of climate action of the LDCs?
- Effectiveness and efficiency of the GCF in delivering results in the LDCs
- Results and impact of GCF funded projects in the LDCs
- Coherency and complementarity of the GCF finance with other climate finance delivery channels.

**Timing:** The country visits are expected to take place in June and July, and each visit will last for up to five working days, depending upon the complexity of the given country's portfolio, the availability of stakeholders and the requirements for local travel to project sites.

**Travel:** With the timing of this Approach Paper, COVID-19 continues to cause massive disruptions and limitations to international travel, posing challenges and constraints to conduct in-person visits in 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. Therefore, international travel is not possible as part of the country visits, and the implications of the emerging pandemic for fieldwork will continue to be monitored and adaptively managed by the team.

**Methods:** For the country visits, we will employ a hybrid approach in which primary data collection is largely conducted through virtual means (e.g. Skype, Teams or WebEx video conferencing) and supported through in-person visits by local consultants where national travel is permitted and feasible.

**Logistics:** Coordination of the country visit will be done in tandem between the Baastel evaluator(s) and the IEU. To the extent possible, the IEU will support coordination of the country visit, access to materials and jointly coordinate interviews.

## II. TEAM COMPOSITION AND RESPONSIBILITIES

In general, the country case study visits will be conducted by a team comprised of one Baastel and one IEU staff. A local consultant will be engaged in selected cases which will be defined in the initial planning of the country visit.

## III. WORK PLAN

Planning for the country case study visits will begin as soon as possible or at least three weeks prior to the planned dates for the country case study visits to allow for sufficient time in preparation and organization on all sides. The planning steps are as follows:

**Introduction:** As a first critical step, the team will engage with the NDAs to support the country visit process via a formal introduction from the IEU to the evaluation process. 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 Baastel team will lead planning and organization.

**Country brief:** The IEU will support preparation of the country case study by preparing a country profile with all relevant GCF documents as well as a list of stakeholders and contact details for the NDAs and other key documents such as NAPs.

**Initial calls:** The team will have an initial call/video conference with the NDA to agree on the purpose of the visit and request relevant information, including an initial list of relevant stakeholders and contact details. An initial communication from the NDA to these stakeholders may facilitate the subsequent direct scheduling of meetings by the evaluation team.

**Document review:** The team will review the GCF portfolio, including all access modalities and financial instruments and should consider not only nationally approved projects but other regional/global projects in which the country is participating, looking at project review documents (e.g. approval, APRs, AE documents referring to the project), national climate change adaptation strategies or plans, etc.

**Identify key stakeholders:** Supported by the NDA, stakeholder consultations will aim to include multiple levels of engagement with the GCF ranging from government representatives from the NDA and line ministries, civil society, the private sector and academia as relevant and appropriate. Any engagement with stakeholders related to projects will have to be coordinated closely with the relevant AEs; however, the overall coordination rests with the NDAs. Where possible, the country team will engage with community representatives and project beneficiaries. The team will seek to establish a gender balance in stakeholders and oversee that focus group discussions are designed to ensure that the voices of women and men are heard equitably. An area of focus for this evaluation is indigenous knowledge and the extent to which local communities are reached through the GCF's interventions. With that in mind, the team will seek to arrange focus group discussions with community members to the full extent feasible. The Baastel evaluator will develop an initial priority list of key informants based on a review of the document review; 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."

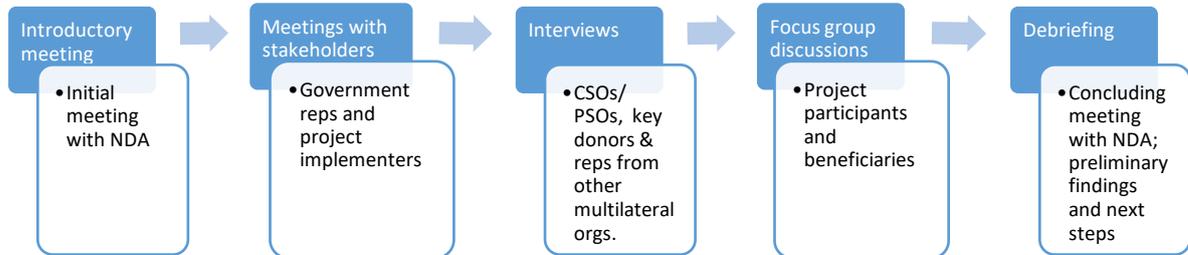
**Country case study agenda/itinerary:** The team will share the planned agenda for the country case study, which will include the key questions, stakeholders and dates for the country visit. A second teleconference may be scheduled to agree on the agenda, including any practical details. The agenda

will commence with an initial briefing and interview with the NDA, to reconfirm the purpose and mission agenda.

## IV. VISIT

The country visit will consist primarily of virtual interviews, small group discussions, and focus group discussions (used principally for site visits to local communities).

The overall sequence of the country visits will be as follows:



Stakeholder consultation interviews will be conducted following standard semi-structured discussion guides (see Appendix 4) that are tailored for key stakeholder groups. Detailed notes will be written and typed up, ideally immediately following the interview and prior to leaving the country. (See also the key informant interview (KII) and Data Management Guidelines above for more details 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, the 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 each case study and used to debrief the NDA.

## V. COUNTRY VISIT OUTPUTS

The main output 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 turnaround time.

Learning from the country visits, relating to findings, methods or logistics, will be included in the agenda of regular Baastel/IEU team calls. The country case study reports will be included as annexes to the final evaluation report.

## VI. COUNTRY CASE STUDY REPORT ANNOTATED OUTLINE

The following sets out the planned outline for the case study reports. Page numbers and style will be discussed. Judging by the recent case studies conducted as part of the GCF SIDS Evaluation, case studies should range from about 10-15 pages plus annexes.

### 1. Background and context (about 2 pages)

#### a. Geographical, political, and socioeconomic context framed in terms of SDG challenges

This section will provide an overall framework of the key constraints and challenges that characterize the LDC. This will include key data on human assets and economic vulnerability as the defining characteristics that determine LDC status. This section will provide a description of the key physical, social and socio-economic dynamics that characterize the LDC, providing details on key aspects defined in the LDC typology. Key aspects will include:

- i. Geography (Government data / World Bank (WB) Data) – data on remoteness as determinant of an LDC
- ii. Demography (CIA data): Population, share of population in coastal/urban/ rural areas; Share of people in vulnerable sectors (e.g. agriculture, fisheries, tourism)
- iii. Economic outlook (International Monetary Fund, WB): Export concentration, share of agriculture and fish in GDP, instability of exports, instability of agricultural population, access to energy
- iv. Poverty and development outlook: Human Assets (school enrolment, undernourishment, maternal mortality, adult literacy, under 5 mortality, water and sanitation)
- v. Gender equity
- vi. Effects of COVID-19

#### b. Climate and other vulnerability context

This section will describe the specific climate-related vulnerability of the LDC and will outline historical hazards, extreme weather, geological phenomena and geopolitical and internal vulnerability. It will also seek to describe anticipated shifts in exposure to such hazards in light of best available climate predictions.

- i. Climate vulnerability
- ii. Challenge to building a green growth/low carbon development pathway

#### c. Climate change policy and institutional context

- i. What are the main country objectives related to carbon and climate resilience in the NAP and the NDC, and to what extent are these objectives related to the country climate vulnerabilities?
- ii. What is the institutional set up for climate change (e.g. same coordinator for all funds, which ministries are involved, what does coordination look like) and capacity to support climate finance projects?

### 2. Key findings (about 10 pages)

#### a. Relevance of GCF policies and financing modalities

- i. To what extent and how are GCF finance and institutional arrangements relevant to addressing the main climate needs and challenges in the country?
  - (1) RPSP

- (2) SAP
- (3) Others

**b. GCF Portfolio**

- i. To what extent do GCF projects integrate stakeholder participation at all stages, including design, implementation and monitoring?
- ii. To what extent have local communities, local knowledge and heritage been taken into account in the GCF's support and investments in the LDCs?
- iii. To what extent is the accreditation process suitable to the LDCs?
- iv. To what extent does the portfolio include considerations of gender in design and implementation?

**c. Processes and projects efficient in the LDCs** (Many evaluations have addressed this issue in the GCF and GEF)

- i. How efficient is the GCF in bringing LDC projects for approval? What are the aspects that are particular to the LDCs?
- ii. What have been the most important factors enabling or constraining the LDCs' project approval?
- iii. What is the efficiency of the GCF in the LDCs' investments?

**d. Effectiveness in delivering results**

- i. What have been the major achievements of the projects so far?
- ii. What are areas in which the project has fallen short than expected?
- iii. What contributed or constrained achievements?
- iv. To what extent is GCF support helping the country implement the conditions that will reduce vulnerability of local communities?
- v. What have been the local benefits to the people or environment of GCF projects so far? Are there any negative consequences of GCF supported activities?

**e. Overview and coherence of other climate finance (non GCF Finance) such as the GEF, UNIDO, UNDP**

- i. How do countries coordinate GCF funding with other climate finance received?
- ii. How is GCF funding and engagement perceived as compared with other climate finance delivery channels in the country?
- iii. To what extent does the GCF deliver transformative change? Is this due to the amount of funding or other factors?

## Appendix 4. QUALITATIVE DATA MANAGEMENT GUIDELINES, AND INTERVIEW PROTOCOLS

### I. QUALITATIVE DATA MANAGEMENT GUIDELINES

#### 1. 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), handwritten notes will be typed up soon after the session.<sup>36</sup>

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 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.

#### 2. 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.

#### 3. SECONDARY DATA MANAGEMENT

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

### II. KII PROTOCOLS

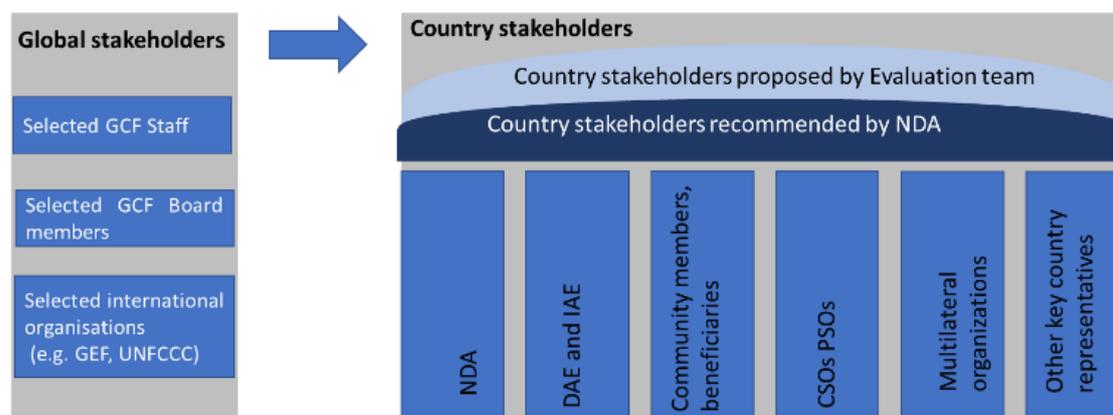
Tailored interview question protocols have been developed for the following key stakeholder groups:

- GCF Staff, Board Members and Observers
- Accredited and nominated entities
- Regional and international organizations and Regional Advisers
- Community members, beneficiaries and CSOs/PSOs

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<sup>36</sup> While audio recording can be helpful, especially in case of data losses, we work on the assumption of preparing detailed, typed up interview notes, with a view to their analysis.

A selected number of interviews will be conducted with GCF staff (senior management team) and GCF Board members (LDC representatives). For country case studies, the NDAs will be the key focal point for identifying stakeholders. The Baastel evaluation team will propose stakeholders to the NDA who will then provide help to identify key GCF stakeholders as depicted below. Depending on the country context and the nature of the GCF portfolio in each country, the type and number of stakeholders will vary.



## 1. INTERVIEW GUIDELINES

To optimize interviews, the evaluation team will be mindful of the following good practices for interviews:

**Introduce the evaluation:** Ensure that the interviewee knows what the conversation is for: As part of the invitation to participate in the interview, the interviewee should receive written information about the scope of the LDC evaluation, the purpose of the interview, the time frame for the interview and how the information generated will be used. Before the interview starts, provide a brief introduction to the evaluation and invite questions from the interviewee.

**Ensure confidentiality:** While names will be shared, be sure to tell all interviewees that their answers and responses will be unattributed, and they are welcome to be candid in their response. If you are recording, be sure to ask for permission first.

**Do your research:** Know who you are talking to. Prior to the interview, to the extent possible, the interviewer should have information about the role and responsibilities of the interviewee. All interviews will begin with broad questions about the person's own role, job, relationship and knowledge of the GCF.

**Be clear and specific:** Ask specific, but open-ended questions. Translate the evaluation questions into accessible, clear questions that relate specifically to the context and/or project that the interviewee is knowledgeable about.

**Don't be limited by the script:** Feel free to ask questions that relate to unplanned areas of enquiry.

**Listen actively:** Ask follow-up questions and ask for details when deemed useful.

**Respect the time:** If the interview is exceeding the time allocated, be sure to confirm the interviewee's availability.

## 2. KII PROCESSING

Write-up of the interviews will happen in real-time to the extent possible. Interview notes are a key evidence source and should be clear and accessible to other users. To that end:

- Summarize key points from the interviews
- Highlight quotes that may be of interest
- If relevant, interviewers can annotate the interview notes with their own observations, ensuring that they are differentiated from the primary data (interviewee)

The specific areas of enquiry will vary depending upon the country context and specific role related to the subject of the evaluation. The indicative questions for the stakeholder groups are presented in the table below. They will be translated into interview-friendly questions once the stakeholder list is further defined.

No.	KEY QUESTIONS	INDICATIVE SUB-QUESTIONS	GCF STAFF	GCF BOARD	CSO/PSO	NDA	DAE	IAE	INTL ACTORS	COUNTRY ACTORS	EXTERNAL ACTORS	
1	Is the GCF relevant to the specific needs and urgency of climate action of the LDCs?	To what extent is the GCF responsive to the guidance of the UNFCCC and Paris Agreement in terms of meeting the urgency of climate action in the LDCs?	✓						✓			
		What are the key climate CC needs and challenges for the LDCs, and what are the conditions to address these needs?	✓	✓	✓	✓	✓	✓		✓		
		To what extent and how has GCF finance been relevant to addressing the main climate needs and challenges in the LDCs?	✓			✓	✓	✓			✓	
		To what extent and how has the Fund supported the LDCs in establishing projects and programmes with regard to climate change policies, strategies, plans, NAPAs, NAPs and other related activities?	✓			✓	✓	✓			✓	
		To what extent do the GCF’s policies, guidelines, funding parameters and funding modalities respond to the specific needs and circumstances of the LDCs?	✓	✓								
2	To what extent and how has the GCF ensured that countries own investments and are using country systems?	To what extent do GCF projects integrate stakeholder participation at all stages, including design, implementation and monitoring?										
		To what extent have local communities, local knowledge and heritage been taken into account in the GCF’s support and investments in the LDCs?				✓	✓	✓			✓	

No.	KEY QUESTIONS	INDICATIVE SUB-QUESTIONS	GCF STAFF	GCF BOARD	CSO/PSO	NDA	DAE	LAE	INTL ACTORS	COUNTRY ACTORS	EXTERNAL ACTORS
		To what extent does the portfolio include considerations of gender and indigenous peoples' equality and empowerment in the design and implementation of projects in the LDCs?				✓	✓	✓		✓	
3	To what extent does the GCF's business model and processes meet the specific needs and urgency of climate action in the LDCs?	How efficient is the GCF in bringing LDC projects for approval?	✓			✓	✓	✓		✓	
		To what extent does the GCF's accreditation process correspond to the needs and challenges of the LDCs?	✓								
		What have been the most important factors enabling or constraining the effectiveness of the LDCs' project approvals?	✓								
		What is the efficiency of the implementation and execution of GCF investments in the LDCs? How does this vary across different financing modalities (RPSF, SAP)?	✓	✓		✓	✓	✓		✓	
4	Is GCF support effective in delivering results and impacts through the implementation of GCF-funded projects and programmes to reduce the (long-term) vulnerability of local communities and their livelihoods to the effects of climate change?	To what extent is GCF support helping the LDCs implement the conditions that will reduce vulnerability of local communities? Is the funding moving towards a paradigm shift (where it is most needed)?				✓	✓	✓		✓	
		What have been the local impacts of GCF projects so far? How does this vary across gender as well as cultural, social and ethnic groups?			✓	✓	✓	✓		✓	
5	Is GCF climate finance complementary and coherent with other climate finance	To what extent is GCF funding in the LDCs complementary to the support provided and received by countries, and how is it perceived in terms of role/position/power within the LDCs?				✓			✓		✓

No.	KEY QUESTIONS	INDICATIVE SUB-QUESTIONS	GCF STAFF	GCF BOARD	CSO/PSO	NDA	DAE	LAE	INTL ACTORS	COUNTRY ACTORS	EXTERNAL ACTORS
	delivery channels, and how is this supporting replication and scale?	What are the comparative advantages of the different climate funds with regard to the LDCs?				✓			✓		✓

### III. SEMI-STRUCTURED INTERVIEW GUIDES/PROTOCOLS

#### 1. GCF SECRETARIAT INTERVIEWS

##### Introductory question

- 1) Please tell us how long you have been with the GCF and what is your role?

##### Relevance

- 2) In your opinion, to what extent is the GCF set up to support the LDCs? (Taking into consideration their specific needs and the urgency of climate action)

Possible follow up prompts:

- a) What are the key challenges that have come up in working with the LDCs?
- b) To what extent and how has the GCF addressed these challenges?
- c) To your knowledge, what other key actions has the GCF taken to improve how it engages with the LDCs? (Ref Q. 3)
- d) What are the key LDC challenges that still require attention?

##### Country ownership

- 3) To what extent is the GCF set up to support country-driven processes and country ownership in the LDCs?

Possible follow up prompts:

- a) Can you give us an example?

##### Business model for GCF support for the LDCs

- 4) The GCF has taken some steps to make the accreditation process more accessible to the LDCs (e.g. offering no fees to micro and small entities in the LDCs); in practice, to what extent have these steps made accreditation more accessible to the LDCs?

Possible follow up prompts:

- a) What have been the key barriers or challenges for accreditation, and how has the GCF addressed these factors facing the LDCs?
- b) Can you provide any examples of challenges faced by the LDCs in the accreditation process?
- c) What barriers to accreditation still remain?

##### Effectiveness of GCF support to the LDCs

- 5) To what extent are the different GCF programmes, modalities and processes working or not working for the LDCs' implementation and execution of GCF investments? How does this vary across different financing modalities (RPSP, SAP, EDA, Request for Proposals (RfPs), PPF)?

Possible follow up prompts:

- a) What are the challenges that the LDCs face in accessing the GCF? (e.g. accessing the AEs that meet their needs and urgency of climate action)
  - b) The RPSP evaluation raised concerns on the timeliness and effectiveness of the RPSP for the LDCs. To what extent is this still a concern in your region? Why or why not?
  - c) What have been the most important factors enabling or constraining the effectiveness of the LDCs' project approvals?
- 6) To what extent have you seen gender issues and the use of indigenous knowledge being prioritized in project design?
- 7) What would you point to as some of the most significant outcomes or progress toward outcomes of GCF engagement in the LDCs in your region?
- 8) Can you provide any examples where GCF funding in the LDCs is moving towards a paradigm shift or where such shift is becoming evident?
- a) To what extent do projects address, or have accomplishments, in the different domains for a paradigm shift, and the extent to which mechanisms which support a paradigm shift are addressed by projects?

#### **Coherence and complementarity**

- 9) What are the comparative advantages of the different climate funds with regard to the LDCs? How does the GCF fit into this?

Possible follow up prompts:

- a) Is GCF funding transformative because it is large or because it is trying something new/risky? How so or how not?
- b) Is there complementarity within your region in how climate funds are supporting the LDCs? Are there any coordinating measures being implemented between similar Funds to enhance complementarity?
- c) To what extent do you feel that the IAEs and DAEs collaborate with each other within the LDCs to ensure coherence and complementarity on the ground?
- d) What is the role played by the NDAs to ensure coherence and complementarity at the country level, if any?

#### **Final question**

- 10) We truly appreciate your time and contribution to this process. Before we close, we would like to ask you to comment on why, in your opinion, the GCF has had challenges engaging with the LDCs, as raised in a number of evaluations, or do you have any other comments on the GCF's engagement with the LDCs that we should consider while conducting this evaluation?

## **2. GCF NATIONAL DESIGNATED AUTHORITY**

#### **Introductory question**

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

#### **Relevance**

- 2) To what extent is the GCF set up to support your country's objectives to improve climate resilience and mitigation?

Possible follow up prompts:

- a) What are the challenges/ barriers that the LDCs face in accessing the GCF? (e.g. accessing the AEs that meet their needs and urgency of climate action)
  - b) In what way has the GCF supported (is supporting) your country to remove barriers or address challenges?
- 3) To what extent are the GCF's policies, guidelines, and funding modalities, suited (appropriate) to the conditions and challenges in your country?

Possible follow up prompts:

- a) What are the main challenges/ barriers that your country faces in accessing the GCF? (e.g. accessing the AEs that meet their needs and urgency of climate action)
- b) Are there examples that you would point to of changes to policies or guidelines that have been made to better address the needs or challenges faced by the LDCs?
- c) What else should the GCF do to respond to the needs and conditions of the LDCs?

#### **Business model for GCF support for the LDCs**

- 4) The GCF has taken some steps to make the accreditation process more accessible to the LDCs (e.g. offering no fees to micro and small entities in the LDCs); in practice, to what extent have these steps made accreditation more accessible to the LDCs?

Possible follow up prompts:

- a) To what extent has the GCF removed major barriers to accreditation affecting the LDCs?
  - b) What barriers to accreditation still remain?
  - c) How has the GCF addressed the key factors of delay facing the LDCs?
- 5) The RPS evaluation raised concerns on the timeliness and effectiveness of the RPS for the LDCs. To what extent is this still a concern in your region? Why or why not?
- 6) What have been the most important factors enabling or constraining the effectiveness of LDCs' project approvals?

#### **Effectiveness of GCF support to the LDCs**

- 7) What would you point to as some of the most significant GCF contributions to your country so far? And what are the areas in which expectations have not been met?

Possible follow up prompts:

- a) What have been the major achievements of the projects so far?
  - b) What are some areas in which the project has fallen short than expected?
  - c) What contributed or constrained achievements?
- 8) To what extent is GCF support helping the country implement the conditions that will reduce vulnerability of local communities?
- a) a. What have been the local benefits to the people or environment of GCF projects so far? Are there any negative consequences of GCF supported activities?
- 9) To what extent is GCF funding likely to contribute to a paradigm shift (where funding is most needed)?

#### **Coherence and complementarity**

- 10) What are the comparative advantages of the different climate funds with regard to the LDCs? How does the GCF fit into this?

Possible follow up prompts

- a) Is GCF funding transformative because it is large or because it is trying something new/risky?
- b) Is there complementarity within your region in how climate funds are supporting the LDCs?

#### **Final question**

- 11) We truly appreciate your time and your contribution to this process. Before we close, do you have any other comments on the GCF's engagement with the LDCs that we should consider while conducting this evaluation?

### **3. GCF ACCREDITED ENTITIES**

#### **Introductory questions**

- 1) Please tell me what your role involves and if you have been involved with climate projects (or other development) in this country.
- 2) Can you please tell us a bit about what your organization does? What is its mandate?
  - a) Does your organization have a specific strategy or mandate to work with the GCF?

#### **Relevance**

- 3) What would you say are the key national climate and development priorities in your country and to what extent/how is the GCF set up to support these priorities? Why or why not?

Possible follow up prompts:

- a) From your perspective, in what ways do you see that GCF support is designed with the LDCs in mind?
- b) What is the GCF missing in terms of the specific needs/contextual considerations of (your country), and what should be changed?

#### **Country ownership**

- 4) How (and to what extent) did you involve local stakeholders in the design, implementation and monitoring of your GCF project(s)?

Possible follow up prompts:

- a) How did the project(s) include gender in the design and implementation?
- b) How did the project(s) consider indigenous peoples' equality and empowerment in the design and implementation?
- c) To what extent have local communities, local knowledge and heritage been taken into account in the GCF's support and investments in the LDCs? How did this affect the way that the project was designed or implemented?

#### **Business model for GCF support for the LDCs**

- 5) What has been your experience with the GCF's accreditation process? And to what extent do you feel that the GCF's accreditation process responds to the needs and challenges of the LDCs?
- 6) What has been your experience with the different GCF programmes, modalities and processes? We are interested in hearing your perspective on how they are working (or not working) for your organization.

Possible follow up prompts:

- a) What has been your experience using these modalities, and are they suitable to your organization's set up and more broadly, your country context?
- b) What aspects worked well, and what were the challenges?
- c) How did the GCF help when you encountered bottlenecks?

Refer to these modalities:

- *PPF (Project Preparation Facility)*
- *SAP (Simplified Approval Process)*
- *EDA (Enhanced Direct Access)*
- *RfPs (Request for Proposals)*
- *RPSP (Readiness and Preparatory Support Programme)*

### **Effectiveness (toward impact) of GCF support to the LDCs**

- 7) What are the most significant outcomes (or progress toward outcomes) of the GCF project(s) in your country?

Possible follow up prompts:

- a) How is it addressing the vulnerability of local communities?
  - b) Do your projects include mechanisms for replication, scaling up or market change?
  - c) Do you think that it will support a paradigm shift?
  - d) What have been the factors that have supported or constrained progress?
  - e) How did local knowledge or the participation of communities influence the project design or implementation?
- 8) To what extent do the impacts (or likely impacts) vary across gender, cultural, social or ethnic groups?

### **Coherence and complementarity**

- 9) Comparative advantage: As compared with other climate funds, what are the advantages and disadvantages to accessing funding from (and working with) the GCF?
- 10) Coherence: Are your GCF projects linked to any previous or ongoing projects? For example, is the GCF funding being used to scale up a pilot project financed by another fund?

Possible follow up prompt:

- a) Are you aware of how the GCF and/or NDAs may have coordinated support from the different climate-related funders?

### **Final question**

- 11) We truly appreciate your time and contribution to this process. Before we close, do you have any comments or insight on the GCF's engagement with the LDCs that we should consider while conducting this evaluation?

## Appendix 5. LEAST DEVELOPED COUNTRIES (LDCs) AND VANUATU

LONG COUNTRY NAME	GCF REGION	INTERNATIONAL REGION	LDC	SIDS	UNFCCC MEMBER	NUMBER OF APPROVED PROJECTS	AMOUNT OF PROJECT FUNDING APPROVED
Islamic Republic of Afghanistan	Asia-Pacific	Asia	Yes	No	Yes	1	USD 17 million
Republic of Angola	Africa	Africa	Yes	No	Yes	0	USD 0 million
Republic of Burundi	Africa	Africa	Yes	No	Yes	2	USD 16 million
Republic of Benin	Africa	Africa	Yes	No	Yes	5	USD 57 million
Burkina Faso	Africa	Africa	Yes	No	Yes	8	USD 104 million
People's Republic of Bangladesh	Asia-Pacific	Asia	Yes	No	Yes	5	USD 351 million
Kingdom of Bhutan	Asia-Pacific	Asia	Yes	No	Yes	2	USD 52 million
Central African Republic	Africa	Africa	Yes	No	Yes	1	USD 40 million
Democratic Republic of the Congo	Africa	Africa	Yes	No	Yes	5	USD 68 million
Union of the Comoros	Africa	Africa	Yes	Yes	Yes	3	USD 65 million
Republic of Djibouti	Africa	Africa	Yes	No	Yes	1	USD 6 million
State of Eritrea	Africa	Africa	Yes	No	Yes	0	USD 0 million
Federal Democratic Republic of Ethiopia	Africa	Africa	Yes	No	Yes	5	USD 231 million
Republic of Guinea	Africa	Africa	Yes	No	Yes	3	USD 12 million
Republic of The Gambia	Africa	Africa	Yes	No	Yes	2	USD 32 million
Republic of Guinea-Bissau	Africa	Africa	Yes	Yes	Yes	1	USD 12 million
Republic of Haiti	Latin America and the Caribbean	The Caribbean	Yes	Yes	Yes	3	USD 14 million
Kingdom of Cambodia	Asia-Pacific	Asia	Yes	No	Yes	4	USD 104 million
Republic of Kiribati	Asia-Pacific	Oceania	Yes	Yes	Yes	1	USD 29 million

LONG COUNTRY NAME	GCF REGION	INTERNATIONAL REGION	LDC	SIDS	UNFCCC MEMBER	NUMBER OF APPROVED PROJECTS	AMOUNT OF PROJECT FUNDING APPROVED
Lao People's Democratic Republic	Asia-Pacific	Asia	Yes	No	Yes	3	USD 88 million
Republic of Liberia	Africa	Africa	Yes	No	Yes	2	USD 27 million
Kingdom of Lesotho	Africa	Africa	Yes	No	Yes	1	USD 14 million
Republic of Madagascar	Africa	Africa	Yes	No	Yes	6	USD 73 million
Republic of Mali	Africa	Africa	Yes	No	Yes	8	USD 129 million
Republic of the Union of Myanmar	Asia-Pacific	Asia	Yes	No	Yes	2	USD 4 million
Republic of Mozambique	Africa	Africa	Yes	No	Yes	5	USD 26 million
Islamic Republic of Mauritania	Africa	Africa	Yes	No	Yes	3	USD 16 million
Republic of Malawi	Africa	Africa	Yes	No	Yes	2	USD 18 million
Republic of Niger	Africa	Africa	Yes	No	No	4	USD 42 million
Federal Democratic Republic of Nepal	Asia-Pacific	Asia	Yes	No	Yes	2	USD 67 million
Republic of Rwanda	Africa	Africa	Yes	No	Yes	5	USD 53 million
Republic of the Sudan	Africa	Africa	Yes	No	Yes	2	USD 36 million
Republic of Senegal	Africa	Africa	Yes	No	Yes	11	USD 177 million
Solomon Islands	Asia-Pacific	Oceania	Yes	Yes	Yes	1	USD 86 million
Republic of Sierra Leone	Africa	Africa	Yes	No	Yes	2	USD 7 million
Somali Republic	Africa	Africa	Yes	No	Yes	0	USD 0 million
Republic of South Sudan	Africa	Africa	Yes	No	Yes	0	USD 0 million
Democratic Republic of São Tomé and Príncipe	Africa	Africa	Yes	Yes	Yes	0	USD 0 million
Republic of Chad	Africa	Africa	Yes	No	Yes	2	USD 19 million
Togolese Republic	Africa	Africa	Yes	No	Yes	4	USD 33 million

LONG COUNTRY NAME	GCF REGION	INTERNATIONAL REGION	LDC	SIDS	UNFCCC MEMBER	NUMBER OF APPROVED PROJECTS	AMOUNT OF PROJECT FUNDING APPROVED
Democratic Republic of Timor-Leste	Asia-Pacific	Oceania	Yes	Yes	Yes	2	USD 32 million
Tuvalu	Asia-Pacific	Oceania	Yes	Yes	Yes	2	USD 45 million
United Republic of Tanzania	Africa	Africa	Yes	No	Yes	4	USD 160 million
Republic of Uganda	Africa	Africa	Yes	No	Yes	9	USD 75 million
Republic of Yemen	Asia-Pacific	Middle East	Yes	No	Yes	0	USD 0 million
Republic of Zambia	Africa	Africa	Yes	No	Yes	4	USD 93 million
Republic of Vanuatu	Asia-Pacific	Oceania	No*	Yes	Yes	1	USD 18 million

Note: All countries listed here are non-Annex 1 countries. As of March 2021, only six LDCs are not covered by any single- or multi-country project.

\*Vanuatu has graduated from the list of LDCs in December 2020.

## Appendix 6. OVERVIEW OF THE LDCs AND VANUATU

LDCs	YEAR OF INCLUSION	REGION	SIDS	LANDLOCKED	ND GAIN COUNTRY INDEX	ND GAIN VULNERABILITY	ND GAIN READINESS
Chad	1971	Africa		X	27.2	0.621	0.165
Central African Republic	1975	Africa		X	27.7	0.564	0.118
Somalia	1971	Africa			27.7	0.675	0.230
Eritrea	1994	Africa			29.5	0.587	0.177
Congo DR	1991	Africa			30.8	0.595	0.211
Afghanistan	1971	Asia-Pacific		X	31.4	0.593	0.221
Guinea-Bissau	1981	Africa	X		31.6	0.620	0.253
Sudan	1971	Africa			32.3	0.611	0.257
Niger	1971	Africa		X	32.5	0.664	0.315
Liberia	1990	Africa			33.5	0.611	0.281
Burundi	1971	Africa		X	34.4	0.562	0.251
Mali	1971	Africa		X	34.4	0.600	0.288
Yemen	1971	Asia-Pacific			34.8	0.549	0.245
Haiti	1971	LAC	X		34.9	0.536	0.233
Uganda	1971	Africa		X	35.0	0.585	0.284
Malawi	1971	Africa		X	35.2	0.554	0.259
Madagascar	1991	Africa			35.3	0.560	0.266
Bangladesh	1975	Asia-Pacific			36.0	0.546	0.267
Myanmar	1987	Asia-Pacific			36.1	0.554	0.276
Burkina Faso	1971	Africa		X	36.2	0.558	0.282

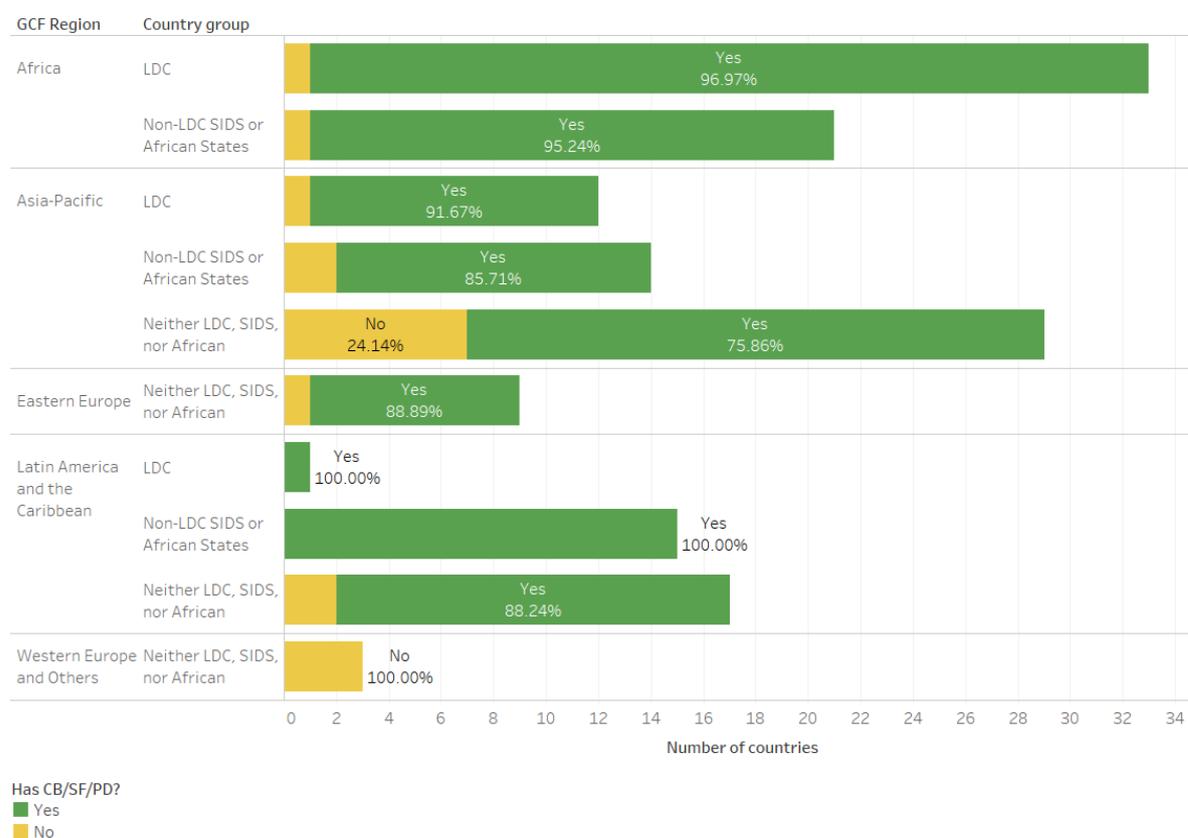
LDCs	YEAR OF INCLUSION	REGION	SIDS	LANDLOCKED	ND GAIN COUNTRY INDEX	ND GAIN VULNERABILITY	ND GAIN READINESS
Ethiopia	1971	Africa		X	36.8	0.559	0.296
Comoros	1977	Africa	X		37.1	0.540	0.282
Angola	1994	Africa			37.4	0.504	0.251
Mozambique	1988	Africa			37.4	0.517	0.265
Sierra Leone	1982	Africa			37.6	0.558	0.311
Benin	1971	Africa			37.8	0.576	0.331
Tanzania	1971	Africa			38.0	0.535	0.295
Zambia	1991	Africa		X	38.6	0.528	0.320
Guinea	1971	Africa			38.7	0.528	0.301
Laos	1971	Asia-Pacific		X	38.9	0.533	0.311
Gambia	1975	Africa			39.0	0.535	0.316
Cambodia	1991	Asia-Pacific			39.3	0.501	0.287
São Tomé and Príncipe	1982	Africa			39.4	0.571	0.360
Togo	1982	Africa			39.9	0.512	0.310
Mauritania	1986	Africa			40.2	0.540	0.344
Vanuatu	Graduated in 2020	Asia-Pacific	X		40.5	0.553	0.363
Nepal	1971	Asia-Pacific		X	40.9	0.521	0.340
Senegal	2000	Africa			40.9	0.533	0.352
Lesotho	1971	Africa		X	41.4	0.475	0.303
Solomon Islands	1991	Asia-Pacific	X		41.6	0.585	0.417
Djibouti	1982	Africa			43.0	0.475	0.334

LDCs	YEAR OF INCLUSION	REGION	SIDS	LANDLOCKED	ND GAIN COUNTRY INDEX	ND GAIN VULNERABILITY	ND GAIN READINESS
Rwanda	1971	Africa		X	43.1	0.540	0.402
Timor-Leste	2003	Asia-Pacific	X		43.8	0.510	0.387
Bhutan	1971	Asia-Pacific		X	47.7	0.508	0.462
Kiribati	1986	Asia-Pacific	X		NA	NA	0.449
Tuvalu	1986	Asia-Pacific	X		NA	NA	0.567
South Sudan	2012	Africa		X	NA	NA	NA

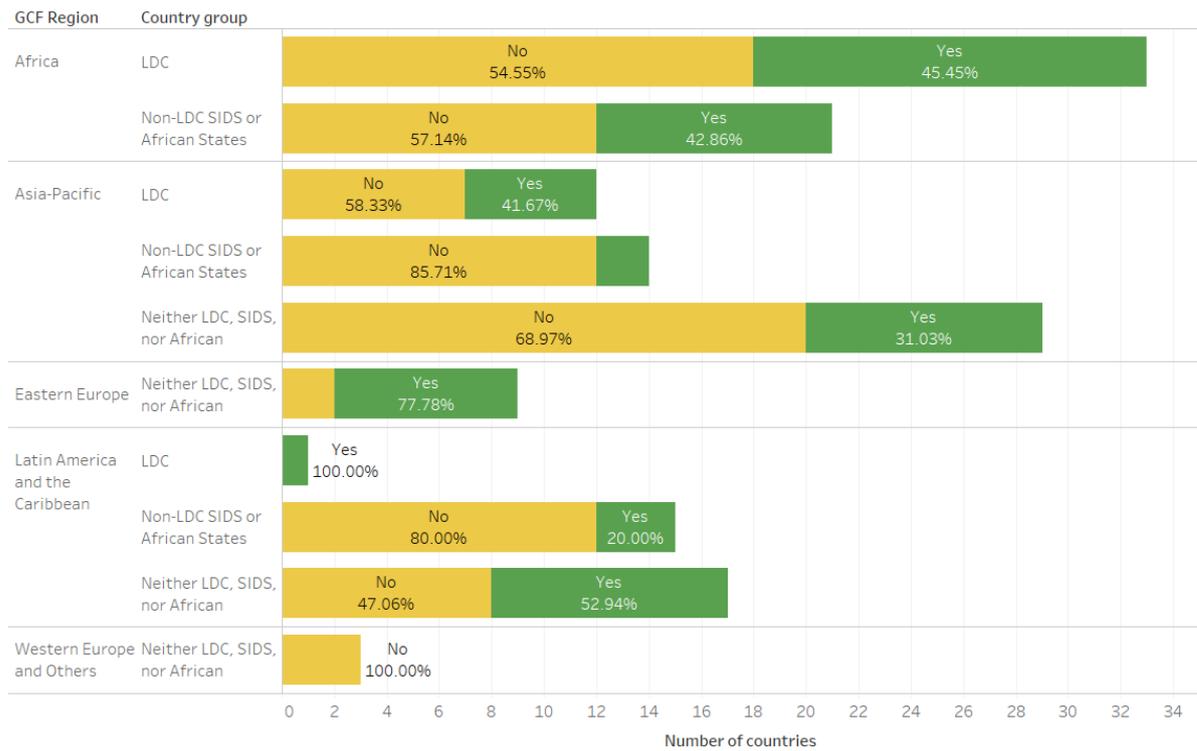
Source: UN CDP, List of LDCs as of 11 February 2021: [https://www.un.org/development/desa/dpad/wp-content/uploads/sites/45/publication/ldc\\_list.pdf](https://www.un.org/development/desa/dpad/wp-content/uploads/sites/45/publication/ldc_list.pdf); World Bank, FY21 List of Fragile and Conflict-affected Situations: <https://www.worldbank.org/en/topic/fragilityconflictviolence/brief/harmonized-list-of-fragile-situations>; UN List of SIDS: <https://www.un.org/ohrlls/content/list-sids>; UN List of Landlocked Developing Countries (LLDCs): <https://www.un.org/ohrlls/content/list-lldc>; ND GAIN Country Index, 2018: <https://gain.nd.edu/our-work/country-index/>

## Appendix 7. PORTFOLIO DATA AS OF MARCH 2021

**Figure A - 5. Readiness country coverage**

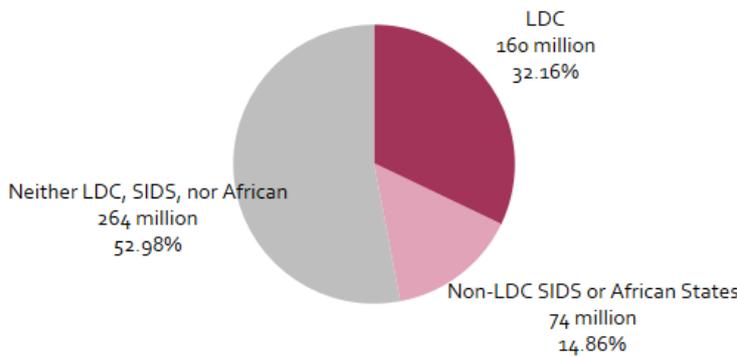


**Figure A - 6. Readiness – country coverage for adaptation planning**

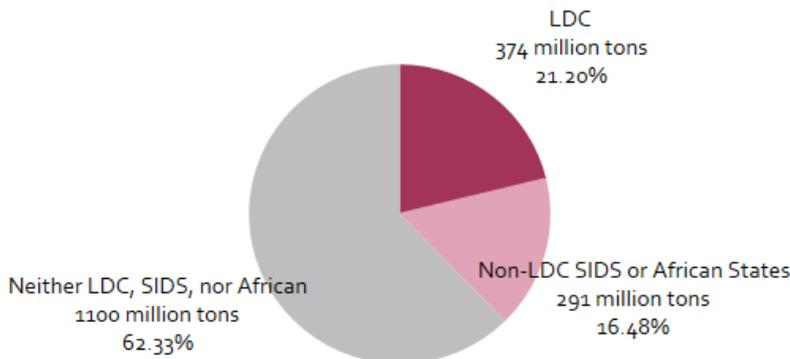


Has AP?  
■ Yes  
■ No

**Figure A - 7. Number of beneficiaries by country type**



**Figure A - 8. CO<sub>2</sub> tonnes targeted by country type**



**Figure A - 9. Number of total beneficiaries by approved adaptation funding (incl. result areas for cross-cutting projects) per country type**

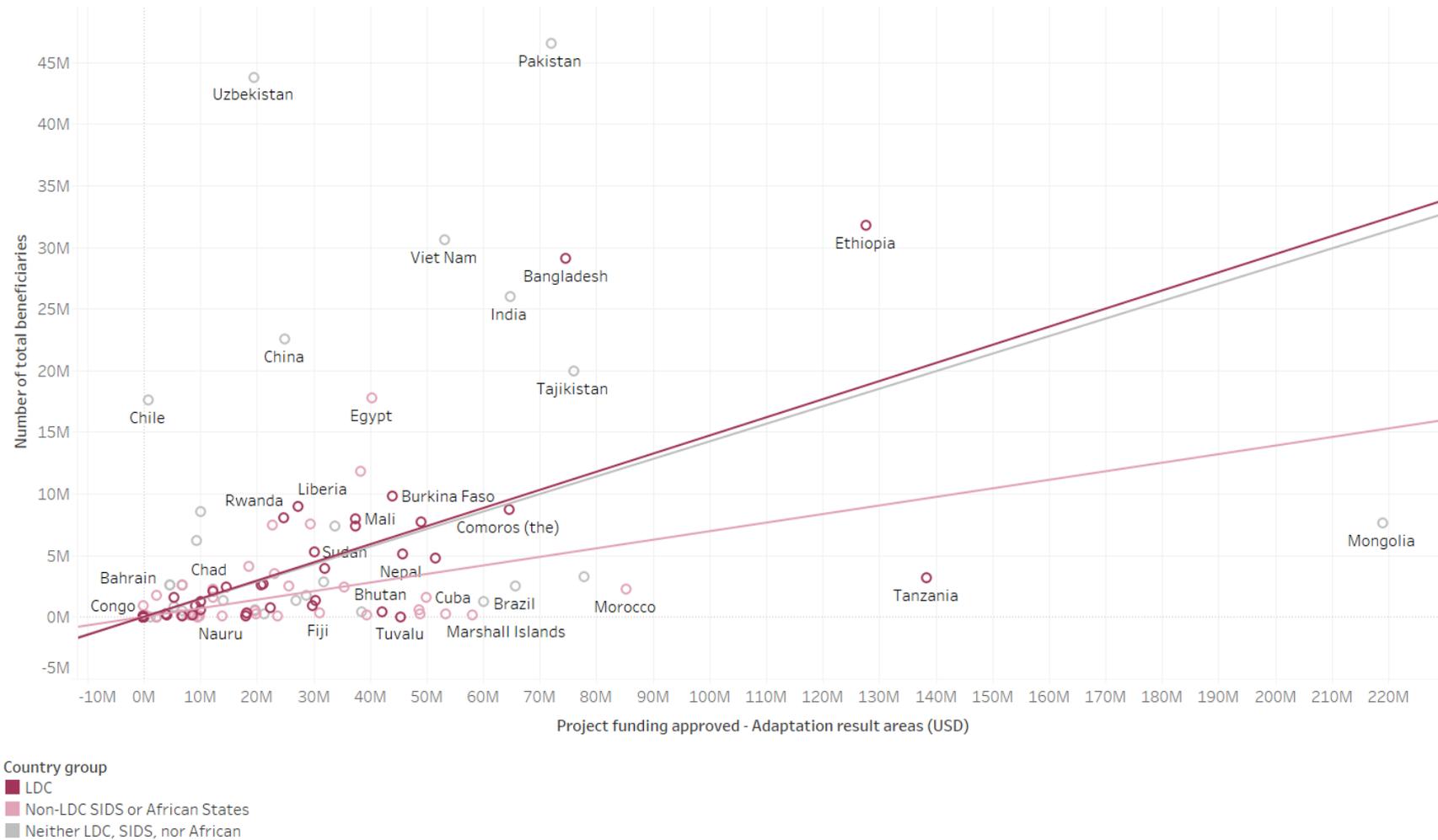
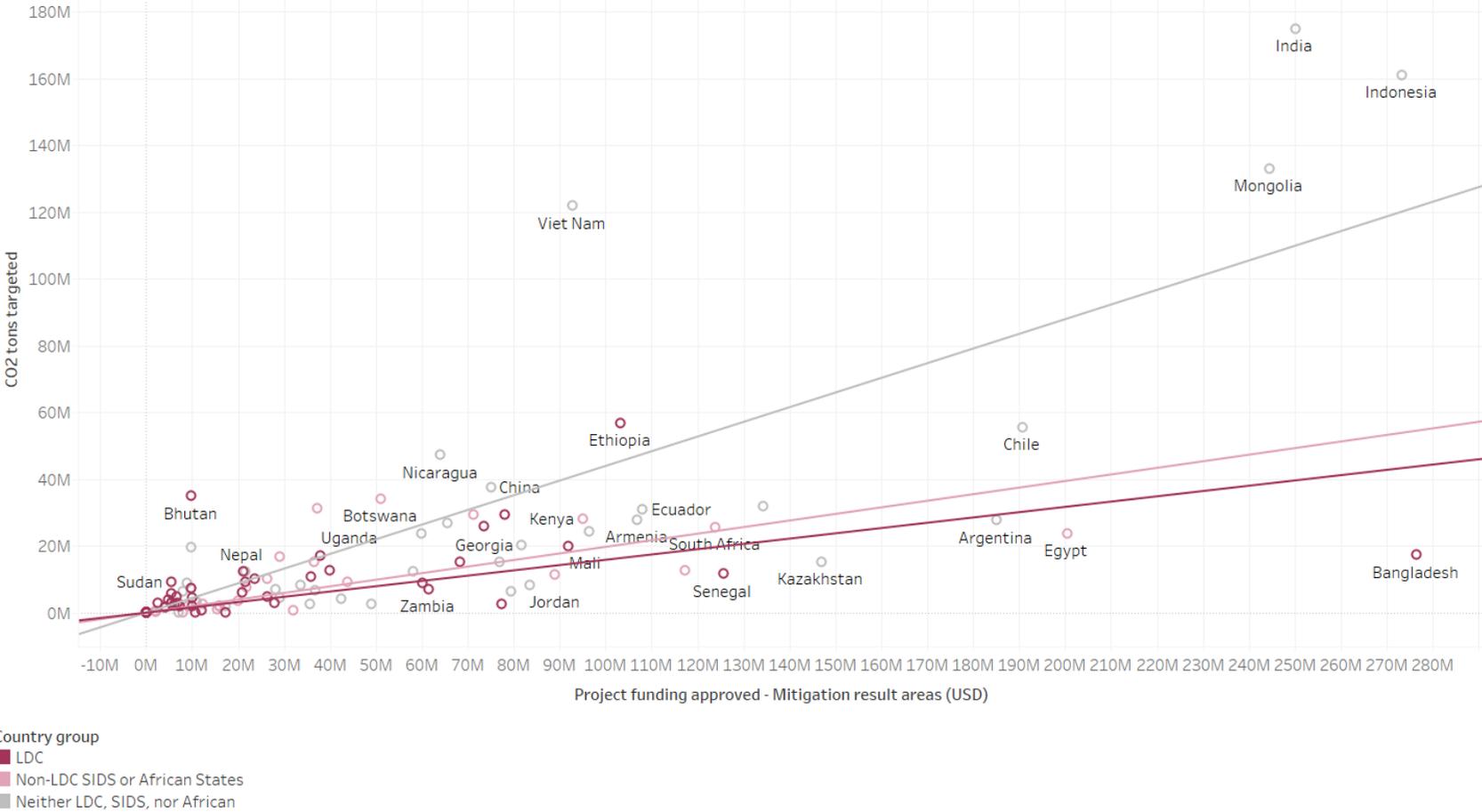


Figure A - 10. Amount of CO2 tonnes targeted by approved mitigation funding (incl. result areas for cross-cutting projects) per country type





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