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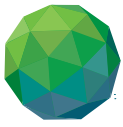
2019 Work Plan and Budget and Update of its Three-year Rolling Work Plan of the Independent Evaluation Unit

Summary

This document summarizes the key elements of the work plan and budget of the Independent Evaluation Unit (IEU) for 2019. It contains two elements that were promised at B.19: (1) Key elements and budget of the IEU's annual (2019) work plan and budget; and (2) An update of the IEU's rolling three-year work plan. The Board is requested to consider and approve a budget of USD 4,832,800 for FY2019. A draft decision for the Board's consideration is presented in annex I.

I.   Introduction

1.   This document is organized as follows:

(a)   Annex I presents a draft decision for the Board's consideration;

(b)   Annex II outlines the IEU's 2019 work plan and budget; and

(c)   Annex III presents an update on the objectives and activities of the IEU's rolling three-year work plan.

Annex I: Draft decision of the Board

The Board, having considered document GCF/B.21/13 titled "2019 Work Plan and Budget and Update of its Three-year Rolling Work Plan of the Independent Evaluation Unit":

(a)   _Approves_ the work plan and budget of the Independent Evaluation Unit for 2019 as contained in document GCF/B.21/13 and annex II (amount of USD 4,832,800), respectively; and

(b)   _Notes_ the update on the IEU's rolling three-year work plan, outlined in annex III as requested by the Board to ensure flexibility, learning and predictability for the IEU.

Annex II: IEU's Annual Work Plan and Budget for 2019

1.   The following annex is organized accordingly:

(a)   Section I summarizes the IEU's key achievements for 2018;

(b)   Section II presents important elements of the IEU's 2019 work plan;

(c)   Section III presents the budget for the IEU for 2019

I.   IEU's achievements in 2018

2.   As laid out in its annual report in document GCF/B.21/Inf.09, the IEU has accomplished or will accomplish by the end of 2018, all tasks it set out to achieve as outlined in its 2018 work plan and agenda (decision B.19/21). Key elements of these achievements include:

(a)   Presentation of the IEU's first annual report to the GCF Board (document GCF/B.21/Inf.09) and regular quarterly reports (document GCF/B.20/Inf.04; document GCF/B.19/16). The IEU also produces a quarterly newsletter which is disseminated widely;

(b)   Hiring four key staff for the IEU while the recruitment process for three additional staff positions is underway: This will bring the IEU's overall staff strength to nine at the end of 2018. IEU Songdo-based staff are supported by five consultants and three interns who provide critical support during these early stages of the IEU's development which include database development, research for approach papers, support for ongoing evaluations as well as ongoing engagements including capacity building work and the development of training and communication products.

(c)   Producing three key evaluation related outputs: These include the independent evaluation of the readiness and preparatory support program and the review of the results management framework, both of which will be presented to the Board at B.21. As also planned, the IEU initiated the Learning-Oriented Real-Time Impact Assessment (LORTA) program in 2018. Formative evaluations will be completed before the end of 2018. Approach papers and summary notes for all three evaluation activities are available on the IEU's new website and all reports will also be made available before the end of the year.

(d)   Draft evaluation policy of the GCF:[1] The IEU has undertaken widespread consultations internally and externally, and reviewed evaluation policies and practices in other organizations. It has also held consultation-webinars and workshops at three different structured dialogues to elicit best practices and spread awareness on standards and implications of the proposed policy as well as to discuss concerns and questions. In discussion with Board members and the co-chairs, the formal presentation of this policy has been postponed to B.22.

(e)   Capacity needs assessment: The IEU undertook an assessment of evaluation capacities of GCF stakeholder agencies including DAE staff as well as an evaluability assessment of approved GCF investments.[2] Key needs that were identified by NDAs, AEs and Secretariat staff included understanding and preparing theories of change, informing

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[1] In discussion with the co-chairs, this agenda item has been postponed to B.22.
[2] A working paper titled 'Making GCF faster, smarter, better: An assessment of quality of GCF proposals' discussing these will be available in November 2018.

investment criteria in a rigorous and credible manner, developing techniques for critical appraisal, measuring the effects of the Fund's investments, building capacity for tracking implementation fidelity and estimating cost-effectiveness. The IEU will publish a working paper on the extent to which GCF projects are able to robustly measure impacts, at the end of 2018 while also suggesting remedial actions.[3]

(f) Consolidating evaluation-related evidence and adopting state-of-the-art methods in evaluations: In 2018, the IEU initiated work on three global evidence reviews to help understand the state of evidence in climate change and to support its work on providing strategic guidance. These are evidence reviews of three topics that are relevant to the GCF and that investigate what works, for whom, why and how much. The three topics are transformational change, adaptation and forestry. Approach papers on these topics will be available at the end of 2018. Final papers will be available in 2019. One learning paper on the review of transformational change is now available on IEU's new website.[4] The IEU has also started work on examining complexity theory and how this may affect its own evaluation practices including practices of theory of change and measurement. In this respect it is collaborating with a highly accomplished academic. This paper will be available in 2019. Last but not least, the IEU is also recruiting a team to aid its thinking on GIS and data development and has produced an approach paper in this regard which is available on request.

(g) Building partnerships and increasing awareness: In addition to overseeing and providing critical inputs to signing AMAs with the GCF's accredited entities, for which the IEU actively engaged in to ensure evaluation considerations were incorporated into AE plans and commitments, the IEU also collaborated with several agencies on joint work and partnerships. These ensure that IEU remains at the forefront of evidence theory and practice:

(i) IEU staff constitute the advisory committee for WFP's assessment of resilience. They also provided peer review inputs to the Caribbean Development Bank's assessment of climate programming in the region;

(ii) The Unit is collaborating with the Learning and Evaluation Initiative of the Climate Investment Fund's on its transformational and learning partnership while also co-creating and co-supporting an evidence review of transformational change;

(iii) The IEU co-hosted a multi-agency learning workshop on evidence in the forestry and REDD+ sector along with NORAD's Independent Evaluation Office, GEF's Independent Evaluation Office and the UNEP's Evaluation Office;

(iv) IEU staff have presented at and organized several evaluation related events on the back of events being hosted by other agencies that the IEU is actively collaborating with. IEU co-organized and supported training workshops on evaluation and techniques at a pan-African evaluation meeting (organized by the International Center for Evaluation and Development), the annual meetings of the United Nation's Evaluation Group (where it has been granted observer status), Asian Evaluation Week (supported by ADB), the IDEAS annual conference on development evaluation (in November 2017), the Annual Evaluation event hosted by the UNDP's Independent Evaluation Office (in

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[3] Op. cit.

[4] 'Transformational change – the challenge of a brave new world' by J. Puri, IEU Learning Paper No. 1, Songdo, South Korea, 2018.

October 2017), IFAD's Evaluation Office (in May 2018) and by UNISDR (in June 2019).

(v)   IEU staff and consultants have also presented papers at the African Futures Conference, Athens University of Economics and Business and at the International Conference for Agricultural Economists.

(vi)   This year the IEU signed partnership agreements with CIF, ICIMOD (International Center for Integrated Mountain Development), the German Evaluation Agency (DEVAL), FAO's Office of Evaluation (OED), CIFOR (International Center for Forestry Research in Bogor), Incheon National University and Seoul National University.

(vii)   The IEU's new website is helping to spread evaluation related information and to become more actively involved in communicating IEU's work[5]. The website is also gearing up to becoming a one-stop-shop for staff at accredited entities looking to know more about good evaluation practices as related to climate change. Invited blog posts that feature leaders in the climate change community have become a regular feature on the site. All IEU's approach papers, reviews, evaluations and learning papers are featured on the IEU's website.

(viii)   The IEU's monthly lunch talks hosted in Songdo have become widely recognized as an opportunity to engage with experts from around the world on topics related to climate change and evaluation. The IEU has successfully hosted fourteen monthly lunch talks and has a full calendar for the coming five months.

II.   IEU's 2019 Work Plan

3.   Key elements of the IEU's work plan for 2019 are as follows. A timeline is presented in Table 1.

4.   **Building the IEU:** In 2019, an important focus for the IEU will be to continue to build and strengthen the Unit. Main activities include:

(a)   Staffing the IEU: In its three-year rolling work plan, the IEU has committed to doing four evaluations annually. To meet this objective, the IEU will hire three new staff in 2019, bringing the total number of staff members for the IEU to twelve. They will include one data expert, one implementation science specialist and one evaluation specialist.

(b)   Evaluation policy of the GCF: As requested by the Board, the IEU will present the GCF's Evaluation Policy at B.22.[6] Additionally during 2019, the IEU will prepare guidelines and standards that will inform the policy and work on creating awareness and building capacity among the GCF's stakeholders. As indicated in Table 1, the IEU will have a set of guidelines and procedures by the end of 2019.

(c)   Regular reporting: As has become regular practice, the IEU will continue to circulate quarterly progress reports and an annual report. IEU's first annual report is being circulated at B.21. IEU's second annual report will be circulated at B.24.

(d)   Building awareness: The IEU will continue to work on engaging key stakeholders and partners to increase awareness on the use and relevance of the evaluation function and

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[5] Please see https://ieu.greenclimate.fund/home
[6] On the advice of the Co-Chairs, this has been postponed to B.22 from B.21.

ensure that it is harnessing its partnerships and creating a compelling coalition with other similar agencies on learning, evaluation and measurement.

5.   **Evaluations**: The IEU will undertake four evaluation-related activities in 2019. The purpose of these evaluations will be to support the Board by providing it with credible evaluation evidence on the performance of the Fund and to ensure that the Fund is learning in real-time. This work stream includes:

(a)   A forward-looking performance review of the GCF: The IEU will lead an independent performance review of the GCF. The overall aim of the review will be to assess the extent to which the GCF has delivered its objectives as laid out in its initial strategic plan and the extent to which it has responded successfully to the needs of developing countries. The performance review will be sensitive to the current (early) stage of evolution of the GCF and will draw on external expertise as appropriate. [7]

(i)   The forward-looking review will assess progress by the Fund in delivering its mandate as set out in the Governing Instrument; examine its performance in the context of its core operational priorities and actions as outlined in the initial Strategic Plan; examine the likely performance of the Fund, its funded activities and their effectiveness and efficiency; assess the existing GCF portfolio and expected impacts of funding decisions and other support activities, including in terms of mitigation and adaptation. It will also examine GCF's various financial instruments for their likely effectiveness and efficiency and constructively lay out any gaps that may be addressed in the GCF's strategy. The review will consider the outcomes of existing GCF reviews, validate them and synthesize outcomes to draw implications for the GCF's next strategic plan. This review will examine past performance to make inferences regarding the future likelihood of impact and will be constructive as it informs the next phase of the Fund. In this sense, the review will be backward-looking as well as forward-looking.

(ii)   The review, to be initiated during the latter part of 2018 following a decision being proposed at B.21, will be completed by June 2019. The IEU will present emerging areas of recommendations by 30 March 2019. A final document will be available by 30 June 2019.

(b)   An independent assessment of the Fund's success in ensuring country ownership: Country ownership is a core principle for the GCF.[8] The IEU will examine the extent to which country needs and country ownership have been incorporated in both the design and implementation of the Fund's policies and practices. The review will include country engagement, review of key documents, on-the-ground verifications and an assessment of what is working, how and for whom, while identifying key bottlenecks in ensuring

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[7] Decision B.06/Annex III, evaluations will "provide the Board and COP an independent assessment of the Fund's operations. Some of the evaluations will also be used as building blocks for an overall assessment of the Fund."

[8] The principle of country ownership is reflected in the Governing Instrument and various Board decisions. Paragraph 3 of the Governing Instrument provides that: *"The Fund will pursue a country-driven approach and promote and strengthen engagement at the country level through effective involvement of relevant institutions and stakeholders."* Furthermore, paragraph 31 of the Governing Instrument in its operational modalities notes that: "*The Fund will provide simplified and improved access to funding, including direct access, basing its activities on a country-driven approach and will encourage the involvement of relevant stakeholders, including vulnerable groups and addressing gender aspects.*" The Board recognized the importance of enhancing country ownership, country drivenness and the role that national designated authorities (NDAs)/focal points (FPs) can play in this regard (Decision B.10/10). As explained in the Guidelines for Enhanced Country Ownership and country drivenness (document GCF.B.17/14), Decision B.04/05 reaffirms the centrality of country ownership and of the country driven approach to the Fund, establishing the functions of the NDAs/FPs accordingly. These Guidelines, which were approved at B.17, are the most recent comprehensive guidance by the Board on this matter.

access and commitment to this overall guiding principle of country ownership. The assessment will recognize that country ownership is an evolving and ongoing process and will make recommendations for improvements. The overall and final report will be available in October 2019.

(c) An assessment of the GCF's environmental and social safeguards (ESS) including the Environmental and Social management system (ESMS):[9] The IEU will assess the extent to which past and current social and environmental safeguards, the ESMS and the policy have been useful and have helped mitigate key risks for the Fund with a special focus on LDCs, African countries and SIDS. The review will determine which current safeguards can be strengthened and examine their implementation in implemented projects. It will constructively assess how environmental and social considerations may be used and mainstreamed in the best possible manner to help inform the Secretariat's work in this space.

(d) Continuation of the Learning-Oriented Real-Time Impact Assessment (LORTA) program that aims to build capacity and mechanisms for measuring causal impacts of GCF investments: This technical assistance program will help approved GCF projects build high quality and useful baseline data, support real-time learning on the likelihood of impacts and *measure causal* impact of GCF investments. In 2018, eight projects were selected for strengthening impact measurement and tracking implementation fidelity. The eight projects focus on climate information services, REDD+ and adaptation. The first phase of this pilot on the "formative project evaluations" will be conclude at the end of 2018. An IEU report will present findings from these eight projects that are being informed by field missions and technical assistance for high-quality data collection. In 2019, the IEU will support six additional projects that will be selected for their ownership and representativeness, among other criteria. A key report will be presented as part of the IEU's quarterly report at B.22, and a report laying out baseline findings from all selected projects will be submitted to the Board at B.24.

6. **Evidence-based advisory services, learning and capacity strengthening:** The IEU's terms of reference requires it to develop plans to ensure that evaluations inform learning across the Fund.[10] The IEU's plan for 2019 will include the following components:

(a) Building a Geographic Information Systems (GIS)database: In 2019, the IEU will build a GIS database for all approved projects (until 2018) that will include geo-coded boundaries. It will also link the vector layers (that show boundaries) with other spatially disaggregated data and layers including digital and satellite maps of elevation, soil, slope, land use and population. In keeping with best practices in the field, the GIS dataset will provide the IEU with the ability to assess and measure impact and changes over time and will also add to its insights from LORTA as outlined above.

(b) Building and strengthening data systems: As has become very clear during the evaluations that IEU has conducted in 2018, there is a critical need to have high-quality databases that support rigorous measurement and understanding of the GCF's likely impact, effectiveness, efficiency and sustainability. In 2018, the IEU built these databases, drawing on primary documents and manually input data. This experience has underscored the need to have a strong data lab in the IEU. In 2019, the IEU will start to build the basic elements of this data lab which will do a few things. First, it will manually input data that is required to do IEU evaluations and assessments. Second, it will cross-

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[9] As stated in GCF/B.19/06 para 16 (k), through the GCF evaluation process and the Independent Evaluation Unit (IEU), evaluations may be undertaken on the effectiveness of implementing the GCF ESS standards.
[10] Decision B.06/9/Annex III and Decision B.10/05/Annex V

verify and validate their quality by looking at administrative records, documents as well as digital data that the Secretariat has compiled on different platforms (such as iPMS, Fluxx and country portals). It should be noted that these Secretariat data portals currently contain different data from what the IEU requires for its evaluations (in terms of quality, consistency, variables and (currently absent) meta-data). Furthermore, these data portals aren't necessarily linked to each other currently. The IEU's data lab will complement current efforts in the Secretariat to display data but will not substitute it mainly because IEU's measurement requirements are very different in terms of type, disaggregation levels, timeliness, frequency and quality. Eventually all IEU databases will be linked to the GIS data mentioned above. Maintaining, cleaning, constantly updating, analysing and producing mini reports will be the main work of the IEU data lab. IEU databases will be available on request, to staff within the Fund.[11]

(c) In 2018, the IEU undertook a needs assessment and a capacity assessment of GCF staff, systems and the Secretariat as well as GCF entities to understand essential training and learning needs. In 2019, the IEU will prepare videos, lead webinars, and disseminate learning modules to communicate evaluation standards and methods across the Fund's stakeholders. These will especially focus on four topics: building good theories of change; setting up systems for measuring causal change especially for GCF's investment criteria but also other co-benefits, and, developing systems for measuring cost effectiveness.

(d) The IEU will lead two methods studies in 2019. The first will examine the potential for machine learning and understand how evaluations may use them. This will especially enhance IEU's work on thinking about algorithmic data analyses that is timely as well undertaking expeditious exhaustive global evidence reviews. The second will synthesize global evidence related to private sector initiatives and relate them to the GCF's work in this area. This evidence will be illustrated in evaluation maps and help the IEU and GCF learn from evaluation evidence from other programs/agencies.

7. **Communications, syntheses and building partnerships with evaluation offices and other agencies:** The IEU will continue to leverage the expertise, geographic presence and support of partners in the field by building and strengthening existing partnerships,[12] build capacity, communicate and harness the presence of evaluation offices that are related to the GCF's investments while leveraging expert thematic agencies[13] to ensure that it is using state-of-the-art expertise.

8. In 2019 the IEU will:

(a) Complete several evidence gap-maps that were started in 2018. These will mostly be completed by the middle of 2019 including those on forestry, adaptation and transformational change, which commenced in 2018 as promised. The IEU also began

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[11] Summarily, there are five things that the IEU is doing that characterize its knowledge production and management work, and that will support the overall mandate of the GCF to be a learning organization. These include: Producing high quality evaluations including providing high quality technical assistance on how to build for better measurement of impacts; Evidence gap-maps that map high quality evidence from around the world, on areas that are specific to GCF. This will help GCF understand best practices; Synthesizing high- quality evidence into learning papers, undertaking evidence reviews and producing briefs and learning; Building high-quality databases that are validated and that do not suffer from internal contradictions, available for IEU to undertake its evaluations and learning. These include building quantitative (including GIS) databases and qualitative databases; Producing methods studies that illustrate state of the art methods that are being employed globally to showcase best practices for measurement and impact tracing. These will all serve to complement the work that the GCF Secretariat is doing around communities of practice and indeed enhance their ability to understand methods, global evidence and help benchmark the Secretariat's strategies, programming and practices.

[12] Decision B.06/9/Annex III and Decision B.10/05/Annex V

[13] These agencies include the HQAI, GGGI, CIFF, Behavioral Insights Unit, Global Data Pulse Lab, Campbell Collaboration and Collaboration for Environmental Evidence.

work on examining complexity methods and their uses in climate change evaluations. In 2019, the IEU will work on ensuring that the key learnings from these are disseminated widely.

(b) Support learning workshops where staff of AE, NDAs, evaluation offices and other GCF partner agencies participate and gain a better understanding on good evaluation practices and methods: These workshops will focus on building capacity for key standards and procedures informed by the GCF's evaluation policy as well as sharing key insights from the IEU's evaluations and evidence gap maps.

(c) The IEU will continue to disseminate among its stakeholders, learnings from its ongoing reviews on complexity, adaptation, transformational change and forestry. The IEU will also communicate key lessons learned from the study on the quality of GCF funded projects, disseminate other working papers and produce learning products in 2019, as indicated in the earlier part of this section and in Table 1.

(d) Engage leading climate change and evaluation experts globally and build an active network which supports high quality evidence-related capacity and joint evaluations: This will help ensure that the IEU is using best practices in its evaluations and is also developing the capacity of IEU staff by enabling them to interact with staff from other key agencies on topics related to climate change evaluations. These engagements are also consistent with the GCF's overall emphasis on maintaining complementarity and coherence in its work. The IEU will further cement its strong relationships especially with the evaluation staff at CIF, GEF and with the independent evaluation units of accredited entities and implementing entities of the GCF.

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Table 1: Annual Work Plan Timeline for the Independent Evaluation Unit (2019)

	Activities	Main outputs	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec
I.	**IEU OFFICE**													
1.	IEU staffing	IEU recruitment completed												
2.	Updated IEU reports	Progress/Annual Reports												
3.	GCF Evaluation Policy	Policy for approval												
4.	IEU communications	Strategy prepared												
II.	**UNDERTAKE AND DELIVER HIGH-QUALITY EVALUATIONS TO THE GCF BOARD**													
5.	GCF Performance Review	Initial and final drafts			Draft			Final						
6.	ESS review	Engagement & final report							Draft			Final		
7.	Country ownership review	Engagement & final report							Draft			Final		
8.	LORTA	Report from baseline data						Draft				Report		
III.	**EVALUATION-BASED ADVISORY SERVICES, LEARNING & CAPACITY STRENGTHENING**													
9.	LORTA-related advice	Tracking systems built				Workshop								
10.	Database development	GIS data and data lab												
11.	Methods papers	Two papers												
12.	Learning papers	Papers disseminated												
IV.	**COMMUNICATIONS, BUILDING STRATEGIC PARTNERSHIPS AND ENGAGEMENT**													
13.	Evaluation findings uptake	Products for uptake												
14.	IEU partnerships	Engagement & joint work												
15.	GCF Evaluation policy	Guidance prepared												
16.	Evaluation capacity	Strategy prepared												

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III. IEU Budget for 2019

8.   As laid out in the rolling three-year work plan, IEU staff are responsible for delivering four work streams of the Unit that include delivering, participating in and managing IEU-led evaluations, strengthening evaluation capacity, providing advisory support and ensuring learning, and synthesizing and communicating evidence from evaluations.[14] The 2019 budget for the IEU is shown in Table 2 and this is also compared with the approved IEU budget in 2018. The 2019 IEU budget will cover the following items:[15]

9.   Staff and consultants: The budget covers the salaries of nine staff and three new staff that will be added in 2019. In 2019, the IEU will hire a data and GIS manager, an implementation science specialist who will also provide support on capacity building, and an evaluation specialist. As outlined in the rolling three-year work plan, the IEU will undertake four evaluations every year. Staff will support these evaluations by leading, managing and participating as key members in evaluations and evaluation activities. Additionally, they will also be responsible for delivering the four workstreams of the IEU as promised in IEU's three-year and annual workplans.

10.   It is expected that as the IEU firms up itself up during its initial years it will require key support from consultants who will support key one-off tasks for the office. These include tasks such as producing guidelines and firming up procedures for the evaluation policy. Consultants will also help build basic elements of a data system and IEU's data lab, help strengthen the basic structure of IEU's website and media presence, support the development of IEU's communication guidelines and articulate an office-wide capacity building plan. These consultants will be long-term consultants with the explicit idea and vision that their tasks are one-off and that subsequently they will be phased out. In 2019, the IEU will have six consultants who will provide this support. It is expected that reliance on these consultants will decline starting in 2020.

11.   Additionally, the IEU will hire consultants that have specific sector and country expertise for evaluations that it is undertaking. These consultants are ad hoc and will be hired for short term contracts to specifically support IEU's evaluations. They will be hired mostly as remote consultants with some requirement to spend time in Songdo. To ensure timeliness of evaluations, as also emphasized by the Board of the GCF, the IEU is also working on creating a roster of consultants and pre-approved teams that can provide the IEU with sectoral, thematic and country level support in a high-quality and expeditious manner. In 2019, the IEU will be undertaking four evaluations for the first time. It will hire six to ten individual short-term consultants for these and the number will depend on the length of their contracts: several will be hired for country level validation and field work. The IEU will also hire several interns in 2019.

12.   Professional services: The IEU will be supported by teams that will provide thematic and country support for undertaking three evaluations in 2019, Resources in this budget line are also included to build the GIS data system in 2019 as well as to continue the work on the Learning-Oriented Real-Time Impact Assessment which requires painstaking, high quality detailed work on the ground. Compared to 2018, this is the largest increase in percentage terms: this is because this budget line requests support for three evaluations and its GIS

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[14] Decision B.16/07

[15] Explanations in this section are also informed by 2018 discussions on the IEU's budget and workplan. Specifically, we provide separate explanations for budget lines especially related to consultancies and travel. IEU's budgets are lower compared to most other independent evaluation offices. The IEU has also discussed this budget with the Budget Committee of the GCF Board.

capacity. Apart from this, the budget for the GCF's forward-looking performance review is also included in Table 2. The budget will be used over two calendar years and therefore, is presented separately from the professional services budget line.

13.   Multi-year budget for the forward-looking performance review of the Fund: Starting in late 2018 and continuing into 2019, the IEU will work on the forward-looking performance review of the Fund. This budget will cover resources for data generation, data analysis and management, an operational assistant, country validation consultants, interns, a professional firm to provide sectoral and country level expertise, a synthesis expert and support for workshops, meetings and other related costs. The IEU will provide an early synthesis document with emerging areas for recommendations in March 2019 and a final report in June 2019.

14.   Travel: In 2019, IEU staff will travel to country sites for four evaluations. These country evaluation missions are critical for IEU's wok because they are a key source of data and help in methods triangulation and country validation. IEU staff will also train and strengthen the evaluation capacity of GCF Secretariat staff and staff of AEs, implementing agencies and other stakeholders to ensure that GCF approved investments are generating quality data and implementation tracking systems from the very beginning. To be more cost-effective, the IEU will take advantage of opportunities and conference spaces provided by events planned by other agencies to train AE staff. IEU staff will also attend international methods and evaluation conferences where they will present their work to ensure that they are using up-to-date methods and techniques in their evaluations. Following the success of the IEU's LORTA design workshop for measurement and real-time learning in 2018, the IEU will once again invite a shortlist of carefully chosen agencies in 2019 to a similar workshop. IEU's annual report showcases the LORTA design workshop and its role in enhancing the skills of attendees.

15.   Other costs: Other costs include costs incurred for producing videos, communication material for increased uptake from ongoing and completed evaluations and evidence maps, and costs for a growing office which include software, database building, furniture and other facilities.

16.   The Budget Committee of the Board considered and approved the budget for the IEU for 2019 and shown in Table 2.

Table 2: Budget for the Independent Evaluation Unit (2019)

Category	2018 Approved Budget	2019 Draft budget
Staff costs	1,583,667	1,859,000
Consultants/Intern costs	492,200	529,800
Travel	183,000	274,000
Professional Services (three evaluations and GIS)	630,000	1,230,000
Forward-looking Performance Review (2018 & 2019)**	-	830,000
Other operating costs	65,000	110,000
Total	**2,953,867**	**4,832,800**

** will commence in 2018 and continue into 2019

Annex III: The IEU's Three-Year Objectives and Work Plan

1.   Following the decision by the Board, this Annex presents modifications as necessary, of the IEU's rolling three-year work plan and budget. Since the presentation of the evaluation policy of the Fund has been postponed to B.22, there are no major modifications to the three-year work plan and budget.[16] Some minor changes in the three-year work plan are noted as follows:

(a)   Modification: In Table 3, 1(b) the IEU will produce an "evaluation policy for the Fund" and not the "independent evaluation policy."

(b)   New: In Table 3, 2 (c), the IEU will support six additional projects in 2019 under LORTA to help approved projects measure their impacts and changes resulting from GCF investments and help them measure the changes rigorously.

(c)   Modification: In Table 3, 3(a), the IEU will deliver a plan for capacity building and learning through evaluations at B.23 (and not at B.21).

2.   To summarize, the overall objectives of the IEU are derived from the Governing Instrument and include:[17]

(i)   Informing the decision-making of the Board, identifying and disseminating lessons learned, contributing to guiding the Fund and stakeholders as a learning institution, and providing strategic guidance;

(ii)   Conducting periodic independent evaluations of the Fund's performance to provide an objective assessment of the Fund's results and the effectiveness and efficiency of its activities; and

(iii)   Providing evaluation reports to the Conference of Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC) for purposes of periodic reviews of the financial mechanism of the Convention.

3.   The IEU's principal aims for the period 2017-2020 are summarized below. Objectives and activities associated with these aims are summarized in Table 1.

(a)   **Build the IEU and complete staffing:** An important objective for the IEU is to ensure that the IEU is adequately staffed so that it can deliver its work plan, including its overall learning and accountability objectives. IEU staff will reflect the best standards in evaluative training, practice, theory and ethics. The IEU will be a well-managed unit. The IEU will also ensure that its vision and practices are adequately shared, internally and externally, and that the IEU's strategy, independent evaluation policy and procedures for functioning and governance are properly articulated (see Annex III).

(b)   **Undertake and deliver high quality evaluations:** The IEU will undertake strategic high-quality performance, portfolio, thematic, country, programmatic and project evaluations identified by the IEU and useful for the Board, GCF Secretariat and the COP. [18,19] They will also serve as building blocks for fund-level evaluations that assess the effectiveness and efficiency of the GCF and contribute to the replenishment process. The IEU will deliver at least four evaluations per year. It will also review the use of the GCF's results-based framework and performance framework and provide recommendations to

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[16] Once the Evaluation policy is approved, the IEU will present a revised and updated three-year work plan.
[17] Also, see Decision document GCF/B.06/Annex III
[18] Decision B.06/09/Annex III
[19] Decision B.06/09/Annex III

the Board. It will also support a Learning-Oriented Real-Time Impact Assessment (LORTA) window to support real-time learning within the GCF through real-time assessments. [20]

(c) **Build and deliver an evaluation-based learning, advisory and capacity strengthening program:**[21] The IEU's evaluation-based learning and capacity building program will respond to evaluation-related capacity needs of the GCF Board, Secretariat, Accredited Entities (AEs), Nationally Designated Agencies (NDAs), and other stakeholders in the evaluation and climate change space.[22] The IEU will work towards ensuring that programs and activities funded by the GCF maintain sufficient quality in terms of data, design and information to inform evaluations.

(d) **Engage strategically to learn, share and adopt best practices in the climate change evaluation space:** The IEU will engage with key actors in the evaluation space and be at the forefront of evaluation practice and theory while collaborating with stakeholders of the GCF and involving them in the IEU's activities.[23] It will adopt high quality methods and standards for evaluative evidence in the climate change space. Accordingly, it will continue to build and strengthen partnerships, as it has in 2018, to leverage geographic presence, thematic expertise, and capacities to help with the IEU's other objectives in the context of capacity building, particularly with GCF partners, AEs, NDAs and focal points as well as other evaluation-related staff in partner organizations. This will also contribute to building the IEU's niche and its reputation as a leader in evaluation and learning, which is synonymous with quality and credibility.

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[20] Decision B.06/09/Annex III
[21] Decision B.06/09/Annex III/23 and Decision B.10/05/Annex V
[22] Decision B.06/09/Annex III/2 (a), 6, 7, 9, 16,19, 21, 22, 23 and B.10/05/Annex V/15
[23] B.06/09/Annex III/10 and 11 and B.10/05/Annex V/ 5, 8, 9, 14, 15, 16

Table 3: Aims, Objectives and Key Outputs of the IEU's Rolling Three-Year Work Plan [UPDATED]

NO.	AIM	OBJECTIVES	OUTPUTS
1.		**Strengthen the IEU and complete staffing** [24]	
		1a. Ensure that the IEU is completely staffed to meet its objectives of accountability and learning[25]	• The IEU will be fully staffed with an emphasis on building high quality evaluation and thematic capacity. • Terms of reference for the IEU's four work streams will be widely disseminated and high functioning staff will be hired competitively at the IEU.[26] • The IEU will be well-managed and personal performance and professional development plans for all IEU staff will be articulated. • An orientation package for new staff including processes and procedures will be piloted and finalized.
		1b. IEU's policies and standards are well-articulated and understood	• An ~~Independent~~ Evaluation Policy will be produced. • Guidelines and standards will be developed to reflect the policy. • Awareness will be generated among GCF staff and NDAs, AEs and others to ensure this policy and set of guidelines and standards are properly applied.
		1c. Procedures and guidelines for the effective operation of the IEU are specified and IEU budgets and work plans are approved in a timely manner	• The IEU's vision and strategy will be finalized and shared with all IEU staff. • The IEU's governance guidelines and procedures to ensure the independence and effective functioning and operation of the IEU, in keeping with international best practices, will be submitted to the GCF Board and updated as required.[27] • A rolling three-year plan, budget and an annual work plan will be presented every year to ensure certainty in planning and delivering high quality evaluations.[28] • An IEU annual report will be produced and disseminated every year, commencing in 2018.[29]

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[24] Decision document GCF/B.06/Annex III "…the evaluation function should be located independently from other management functions" and Annex V to Decision B.10/05/(k) "The Head of the IEU …(is) responsible for leadership and management of the unit, including the authority to make appointments and manage staff of the unit."

[25] Decision B.08/07/Annex IX and Decision B.10/05/(k)/Annex V

[26] Decision B.16/07

[27] GCF/B.06/Annex III

[28] GCF/B.06/Annex III

[29] B.06/09/Annex III

NO.	AIM	OBJECTIVES	OUTPUTS
2.		**Undertake and deliver high-quality evaluations to the GCF Board**	
		2a. Carry out strategic high-quality performance, portfolio, thematic, country, programmatic and project evaluations annually that are useful to the Board, the GCF Secretariat and the Conference of Parties and are able to provide an independent assessment of the Fund's operations[30]	• The IEU will carry out at least four evaluations annually, depending on direction from the GCF Board. Other evaluations may also be identified depending on the accountability and learning needs of the GCF Board.
		2b. Undertake high quality *overall* performance evaluations of the GCF including (but not restricted to) an overall assessment of results, efficiency and effectiveness to inform the replenishment process [31]	• The IEU will undertake overall performance evaluations as required by its TORs.[32] • The IEU will also deliver the following at a date determined by the GCF Board: (1) Provide evaluation reports to the Conference of Parties to the United Nations Framework Convention on Climate Change and the Paris Agreement for the purposes of periodic review of the Financial Mechanism of the Convention.[33] (2) Overall assessment of the Fund's results and the effectiveness and efficiency of its activities.[34]
		2c. Review the results management and performance measurement framework and prepare a real-time learning-oriented impact evaluation project portfolio	• The IEU will provide recommendations based on international evidence and best practices for improving the GCF's results management framework and performance measurement framework.[35] • The IEU will support a real-time impact assessment (LORTA) window that will promote measurement of results and learning in real-time. In the pilot window, the IEU will work with 4-6 projects that can effectively demonstrate this learning which

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[30] Decision B.06/09/Annex III

[31] Decision B.06/09/Annex III

[32] B.06/09/Annex III and B.10/05/Annex V

[33] The Conference of Parties to the UNFCCC provides the following guidance on the function of the IEU: "The reports of the GCF should include any reports of the independent evaluation unit, including for the purposes of the periodic reviews of the financial mechanism of the Convention." (UNFCCC decision 5/CP19, annex, paragraph 20)

[34] B.06/09/Annex III: "Should the COP commission an independent assessment of the overall performance of the Fund, the IEU would support the work involved in such assessment. An overall performance study would become a responsibility of the IEU, as has been the case with the Global Environment Facility (GEF) Evaluation Office since 2007."

[35] GCF/B.06/Annex III

NO.	AIM	OBJECTIVES	OUTPUTS
			will provide insights to the Secretariat in real time.
			• [NEW] In 2019, the IEU will support six additional projects in 2019 under LORTA to help approved projects measure their impacts and changes resulting from GCF investments and help them to measure the changes rigorously.
3.		**Build and deliver an evaluation-based learning, advisory and capacity strengthening program**	
		3a. Ensure programs and activities funded by the GCF maintain sufficient quality in terms of data, design and information to inform evaluations	• The IEU will build awareness on the uses of evaluations and strengthen appropriate systems/institutional and human capacity for evaluative evidence and evidence-based policies. • The IEU will build and deliver customized workshops and disseminate products to ensure learning and uptake for this objective. The IEU will work closely with appropriate GCF staff, accredited entities, and other stakeholders in this regard. • The IEU will provide evidence-based recommendations on projects/programs of activities to improve the ability of the IEU to provide quality evaluations of the Fund's activities. It will also work to ensure that they are reflected in funded activities, agreements and proposals.[36] • Through LORTA, the IEU will support high quality data and assessments which will enable the GCF and its stakeholders to learn about and generate high-quality, credible evaluations that *measure attributable change* in GCF result areas. • The IEU will deliver a plan for capacity building and learning through evaluations at B.23 (B.21).
		3b. Synthesize evaluative evidence from international experience and GCF-related evaluations to benchmark and inform evaluations in GCF result areas, inform results and performance frameworks and help prioritize evaluations and evaluation-related	• The IEU will build a database of evaluative evidence and synthesize learning through evidence gap maps and systematic reviews. • The IEU will support systematic reviews and meta-syntheses of evaluative evidence relevant to GCF result areas.

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[36] B.06/09/Annex III

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NO.	AIM	OBJECTIVES	OUTPUTS
		research using state-of-the-art methods[37]	
		3c. Provide inputs to improve the results-based framework and performance framework of the GCF[38]	• The IEU will conduct retrospective theories of change exercises to inform the results framework and performance measurement framework of the GCF as well as the evaluation policy. • The IEU will provide evidence-based recommendations by analysing reporting templates and engage with accredited entities and other stakeholders to provide evidence-based recommendations on designs to ensure high quality, credible reporting and evaluations. • The IEU will develop state-of-the-art methods to inform and build evaluations led by the IEU. To this end, it will review international best practices in policy evaluation, methods and indicators and use them to attest and benchmark the quality of GCF self-evaluations conducted by the Secretariat and provide recommendations for the results management framework and performance measurement framework.[39]
		3d. Build capacity for undertaking evaluations, understanding standards and methods, within the Secretariat and GCF stakeholders, and use innovative ways to ensure this[40]	• The IEU will build innovative products to ensure learning and the uptake of evaluative evidence. Accordingly, the IEU will train, share and build capacity for undertaking evaluations within the Secretariat and collaborate to build capacity and awareness within AEs and NDAs. • The IEU will build customized workshops, engage with other agencies and trainers to develop training modules and matchmake teams for programmatic and project evaluations. • The IEU will create training modules and train GCF stakeholder staff including staff from intermediary agencies to bring them up to speed on state-of-the art methods to evaluate the Fund's activities. • The IEU will also collaborate with universities and other agencies to develop these

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[37] Decision B.10/05/Annex V/ 14 and 15
[38] Decision B.06/09/Annex III
[39] Annex III to decision B.06/09
[40] Decision B.06/09/Annex III/ 21, 23

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NO.	AIM	OBJECTIVES	OUTPUTS
			customized courses.
		3e. The IEU will be at the forefront of methods and climate science and establish the IEU as a global leader in the field[41]	• The IEU will support methods-related work relevant to the GCF's result areas and evaluations that harness complexity science and new measurement methods. This includes commissioning methods papers, briefs and reviews, supporting knowledge hubs and supporting relevant conferences, workshops, methods labs and learning clinics.[42]
4.		**Engage strategically to learn, share and adopt best practices in the climate change evaluation space**	
		4a. The IEU will increase its engagement with key actors in the international evaluation space and collaborate with GCF partners, accredited entities, NDAs and focal points and staff in partner organizations to leverage their presence and capacities to help with the IEU's other objectives	• The IEU will use international engagements to deliver customized awareness building workshops on evaluation vision and techniques, showcasing high quality evaluation methods and standards to GCF stakeholders. • The IEU will develop communication products conveying the key messages from evaluations. • The IEU will establish formal partnership agreements with networks and organizations to leverage their presence for capacity building among GCF stakeholders.

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[41] Decision B.10/05/Annex V/8
[42] GCF/B.05/03/ Annex I