

# Evaluation Operational Procedures and Guidelines – Drafting Stage Consultation

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# Structure of the session

1. Welcome/opening remarks
2. Presentation
  - a) Evaluation Policy: A recap
  - b) Evaluation Guidelines drafting process and timelines
3. Evaluation Guidelines
  - a) Outline + Q&A
4. Next steps

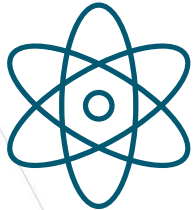
# **A recap of the GCF Evaluation Policy**

# Objective of the Evaluation Policy



To set up a **framework** to help the Fund and its stakeholders produce and use **high-quality evaluations**

- The aim is to credibly and objectively assess the results, performance, efficiency and effectiveness of the GCF in delivering in its mandate



To develop **accountability** and create a culture of **learning**

- By producing and using impartial, credible, independent and trusted evidence and evidence-informed strategies and implementation



Identify the main types of evaluations managed by the GCF and establish roles and responsibilities of stakeholders in relation to evaluations

# Examples of requirements of the Evaluation Policy: Funding Proposals

## EVALUATION BUDGET (para. 41)



AEs to ensure that IE and FE are budgeted for adequately and available in a timely manner



**2 – 5%** of the total project budget

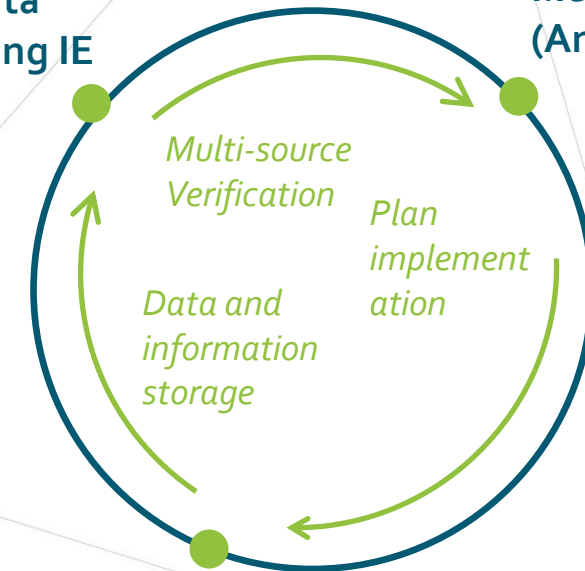


Covered by AE Fees (Annex 12)  
Reflected in the M&E Plan  
(Annex 11)

## DATA AND INFORMATION (para. 61)

**EVALUATION**  
(Additional data collection during IE and FE)

**M&E PLAN**  
(Annex 11)



**PERIODIC DATA  
COLLECTION** (Monitoring  
during implementation)

# Examples of requirements of the Evaluation Policy: Project/Program Implementation

## Interim Evaluation Final Evaluation

- Consistent with the Evaluation Policy
- Follow GCF evaluation principles, criteria, standards, etc.
- To be undertaken by Independent Evaluation Offices of AEs
- If no independent evaluation office – ensure independence of evaluation functions
- Review and quality assurance by the Secretariat

## Management Response

- AEs to submit Management response and action plan on IEs and FEs to the Secretariat

## Disclosure

- IEs and FEs – to be made publicly available similar to APRs
- The Secretariat and IEU work programs, approach papers and all evaluations will be made public
- Management response to IEU evaluations will be made public
- Responsibility: IEU products – Head of the IEU; Secretariat Products – Executive Director of GCF

# Two policy documents: GCF Evaluation Standards

Independent  
Evaluation  
Unit



## Evaluation Standards

- i. Independence
- ii. Impartiality and objectivity
- iii. Utility and value added
- iv. Ownership and participation
- v. Credibility and rigour
- vi. Transparency
- vii. Learning
- viii. Human rights, gender equality and environmental considerations
- ix. Confidentiality
- x. Cost effectiveness
- xi. Ethics
- xii. Integrity
- xiii. Accountability
- xiv. Competence
- xv. Respect and beneficence

## Objective and Salient Features

### Objective:

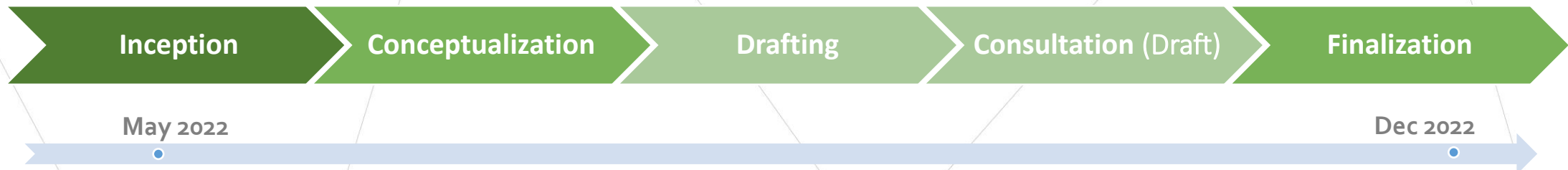
To support production of state-of-the-art evaluations with high-quality evidence and recommendations and ensure consistency across the different types of evaluations conducted by GCF stakeholders.

- Development led by IEU
- Came into effect in May 2022 along with the GCF Evaluation Policy
- There are 15 standards to be followed
- Contains Checklist and Good Practices
- To be updated based on lessons learnt

# Two policy documents: Evaluation Operational Procedures and Guidelines

## Objective:

To operationalize and mainstream the policy and associated standards into  
**Accredited Entities-led evaluations.**



- Development is led by the Secretariat
- Translate the policy into practice – from commissioning, design, implementation to reporting, review and management response
- Users' needs-driven, informed by best practice, other development organizations and climate funds
- **Consultations with internal and external stakeholders at various stages of the process**



# Evaluation Operational Procedures and Guidelines: Consultation process



Announced as part of  
the Evaluation Policy  
webinar

Interviews  
Survey

Progress update  
Roundtable discussions

Three-week publication  
and commenting period  
on the first draft

Inception

Conceptualization

Drafting

Consultation (Draft)

Finalization

May 2022

HERE

Dec 2022

# Structure of the Evaluation Guidelines

- ✓ Brings together the Evaluation Policy, Evaluation Standards and Evaluation Guidelines
- ✓ Clarifies definitions and applications - principles, criteria, standards
- ✓ Sets out the quality and content expectations and stakeholder roles and responsibilities
- ✓ Differentiates what is required and what is recommended
- ✓ Provides tools, examples and additional technical guidance as annexes

# Structure of the Evaluation Guidelines

## Main text

- I. Introduction
- II. Evaluation in the GCF
- III. Planning, scoping and commissioning AE-led Evaluations
- IV. Managing the design and implementation of AE-led Evaluations
- V. Reviewing and submitting an evaluation report to the GCF

## Annexes

- I. Evaluation matrix
- II. Quality assurance and review framework
- III. Technical guidance: adaptation beneficiaries, GHG, paradigm shift and enabling environment scorecards
- IV. Management response and action plan template
- V. Terms of Reference example including sample Evaluation Questions, Inception Report outline and Evaluation Report Outline

# Structure of the Evaluation Guidelines

Tables to set out and differentiate relevant policy requirements and recommended steps

Relevant policy and standard	Policy requirement	Recommended steps
<p><b>Evaluation Policy Paragraph 41</b></p> <p><b>IRMF Paragraph 14 and 30</b></p> <p><b>Evaluation Standard 10</b></p>		

Boxes to expound on some elements of the guidance

**Costs may include professional fee, transportation cost, communication cost, translation cost, catering, venue hires and others that are essential to deliver evaluation activities such as:<sup>1</sup>**

## Inception Phase

- Inception workshop to prioritize and revise the evaluation questions
- Desk-based review of project/programme documents
- Drafting and finalization of the inception report
- Quality assurance of draft and final reports

## Implementation Phase

- In-depth desk-based review of project/programme documents
- Data collection – interviews, group discussions
- Data storage – if there is real time, independent data collection
- Field visits and validation
- Analysis – data cleaning and editing, encoding, coding, triangulation, quality assurance, etc.
- Drafting, revisions and finalization of the evaluation report
- Quality assurance of the drafts
- Recommendations workshop with the commissioner
- Submission and presentation to the GCF Secretariat
- Drafting and submission of the Management Response and Action Plan
- Submission of the revised evaluation report to the GCF Secretariat

# Structure of the Evaluation Guidelines

## Tables to set out stakeholder roles and responsibilities

STAKEHOLDER	PRIMARY EVALUATION POLICY RESPONSIBILITIES
<b>Accredited Entities (AEs)</b>	<ul style="list-style-type: none"> <li>• Adequately plan for and scope an evaluation</li> <li>• Allocate adequate time and budget for interim and final evaluations</li> <li>• Consult relevant stakeholders to ascertain accountability and learning needs which the evaluation must address</li> <li>• Draft a TOR that applies the GCF Evaluation Principle and Evaluation Standards</li> <li>• Procure the required services to deliver the evaluation</li> </ul>
<b>Executing Entities</b>	<ul style="list-style-type: none"> <li>• Participate in consultations to shape the TOR</li> </ul>
<b>GCF Secretariat</b>	<ul style="list-style-type: none"> <li>• Review of draft TORs as shared by the Accredited Entities and provide feedback in a timely manner</li> </ul>
<b>Beneficiaries / Project stakeholders</b>	<ul style="list-style-type: none"> <li>• Participate in consultations to shape the TOR</li> </ul>
<b>National governments and agencies</b>	<ul style="list-style-type: none"> <li>• Participate in consultations to shape the TOR</li> </ul>

## Call out boxes to provide useful tips and/or clarifications



### What are evaluation principles, criteria and standards?

- Evaluation principles are essential requirements of the evaluation process and must be observed when designing and implementing an evaluation as per the Evaluation Policy
- Evaluation criteria are the basis for assessing a project/programme performance
- Evaluation standards identify how the quality of an evaluation is going to be judged

### To protect an evaluation's independence during implementation:

- Regular meetings should be structured as check-ins on the evaluators' progress and not to influence the evaluation results.
- Accredited Entity staff, GCF staff and other co-financiers **should not** participate in the data collection process to ensure that there is no undue influence on the evaluation.

# Planning, scoping and commissioning

## Planning an AE-led Evaluation

- Planning during the FP development stage
  - Identification of evaluative activities
  - Budgeting
- Planning before launching an evaluation during implementation
  - Setting the evaluation and procurement timelines
  - Revisiting the budget
  - Identifying the management structure of the evaluation
  - Creating an evaluation work plan

# Planning, scoping and commissioning

## Scoping an AE-led evaluation

- Checking the quality of the theory of change and logical framework in the approved FP
- Identifying relevant stakeholders' accountability and learning needs
- Listing the evaluation questions
- Identifying additional data collection, analytical and storage needs
- Considering ethical requirements
- Drafting the ToR and sharing with the GCF

# Planning, scoping and commissioning

## Commissioning an evaluation

- Procurement process and timing
- RFP structure
- Deciding on whether a team of evaluators or an individual evaluator is needed
- Local expertise



# Planning, scoping and commissioning

- In addition to the sections/content already proposed in the Guidelines, what else might you find useful?
  - Are there other hurdles at these early stages of the evaluation process that you want the Guidelines to address?

# Managing the design and implementation of evaluations

## Overseeing the design of an evaluation

- Kick-off meeting with evaluators
- Compilation of documents
- Generating stakeholder list
- Reviewing the inception report
- Holding an inception meeting

# Managing the design and implementation of evaluations

## Supervision of evaluation activities prior to drafting of the evaluation report

- The role of AEs
- Regular touchpoints with evaluators
- Compiling documents
- Generating stakeholder list
- Reviewing the inception report
- Holding an inception meeting
- Evaluation de-brief prior to drafting

# Managing the design and implementation of evaluations

## Supervision of evaluation activities during the drafting stage

- Responding to clarifications and requests for additional evidence
- Ensuring stakeholder inputs to recommendation formulation

# Managing the design and implementation of evaluations

- In addition to the sections/content already proposed in the Guidelines, what else might you find useful?
  - Based on your experience, what are the difficulties in ensuring a robust evaluation is designed and rolled out (for the GCF or otherwise)? How have you overcome these?

# Reviewing and submitting an evaluation report to the GCF Secretariat

## AE review of evaluation reports

- Reviewing against the scope of the evaluation and ToR requirements
- Examining the findings, lessons and recommendation
- Compiling feedback to send to the evaluators
- Submitting the evaluation report to the Secretariat

## Preparation and submission of management response and action plan

# Reviewing and submitting an evaluation report to the GCF Secretariat

In addition to the sections/content already proposed in the Guidelines, what else might you find useful?

- What would make your review of the report easier?
- How can the GCF Secretariat best support a high-quality evaluation when providing feedback on the submitted reports?



# Thank you