

## Annex XX: The IEU's three-year objectives and work plan

1. Overall objectives of the IEU are derived from the Governing Instrument. These include:<sup>1</sup>
  - (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.
  
2. The IEU's principal aims for the period 2017-2020 are summarized below. Objectives and activities associated with these aims are summarized in Table I.
  - (a) **Build the IEU and complete staffing:** A 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. Staff at the IEU 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 that are identified by the IEU and are useful for the Board, the GCF Secretariat and the COP.<sup>2,3,4</sup> They will also serve as building blocks for fund-level evaluations that assess the effectiveness and efficiency of the GCF and will contribute to the replenishment process. The IEU will deliver at least four evaluations each year. Details of these evaluations are presented in Annex III. The IEU will also review the use of/ implementation of GCF's results-based framework and performance framework and provide recommendations to the Board. It will also support a learning-oriented real-time impact assessment (LORTA) window that will support real-time learning within the GCF through real-time assessments.<sup>5</sup>
  - (c) **Build and deliver an evaluation-based learning, advisory and capacity strengthening programme:**<sup>6</sup> The IEU's evaluation-based learning and capacity building

<sup>1</sup> Also, see Decision document GCF/B.06/Annex III

<sup>2</sup> Decision B.06/09/Annex III

<sup>3</sup> Decision B.06/09/Annex III

<sup>4</sup> All evaluations will be comprised of four phases: During Phase I, a pre-scoping exercise will be undertaken which will include a review of key documents and a field visit (if required). This will result in finalizing the terms of reference of the evaluation. In Phase II, an appropriate team will be put together (or assembled), consisting mainly of IEU staff in keeping with international best practices. Consultants will be pulled in (or contracted) especially during the early stages of the IEU's evolution (or expansion) when staffing may be a concern. Consultants will also be pulled in for specific thematic, sector or geographic expertise. Key outputs during Phase II will be a team with an IEU evaluation leader and an approach paper for the evaluation. In Phase III, engagement will occur with primary stakeholders, data collection, data analysis and document review. A draft evaluation report will be drawn up. Phase IV will include engaging with primary stakeholders to share emerging results, verify emerging conclusions and build sensitivity and an understanding of the conclusions. The draft will also be shared with evaluands for fact checking. At the end of Phase IV, the final evaluation document will be shared with the Board. After the evaluation is presented, dissemination and communication will be an important follow-up action.

<sup>5</sup> Decision B.06/09/Annex III

<sup>6</sup> Decision B.06/09/Annex III/23 and Decision B.10/05/Annex V

programme will respond to evaluation-related capacity needs of the GCF Board, Secretariat, accredited entities, NDAs, and other stakeholders in the evaluation and climate change space.<sup>7</sup> The IEU will work towards ensuring that programmes 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 GCF stakeholders and involving them in the IEU's activities.<sup>8</sup> It will adopt high quality methods and standards for evaluative evidence in the climate change space. Accordingly, it will build partnerships 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, accredited entities, 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 the evaluation and learning space, which is synonymous with quality and credibility.

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<sup>7</sup> Decision B.06/09/Annex III/2 (a), 6, 7, 9, 16,19, 21, 22, 23 and B.10/05/Annex V/15

<sup>8</sup> B.06/09/Annex III/10 and 11 and B.10/05/Annex V/ 5, 8, 9, 14, 15, 16

**Table I: Aims, objectives and key outputs of the IEU’s rolling three-year work plan**

No.	Aim	Objectives	Outputs
<b>1.</b>	<b>Build the IEU and complete staffing<sup>1</sup></b>		
		1a. Ensure that the IEU is completely staffed to meet its objectives of accountability and learning. <sup>2</sup>	<ul style="list-style-type: none"> <li>• The IEU is fully staffed with an emphasis on building high quality evaluation and thematic capacity.</li> <li>• Terms of reference for the IEU’s four work streams are widely disseminated and high functioning staff hired competitively at the IEU.<sup>3</sup></li> <li>• The IEU is well-managed and personal performance and professional development plans for all IEU staff are articulated.</li> <li>• An orientation package for new staff including processes and procedures is piloted and finalized.</li> </ul>
		1b. IEU’s policies and standards are well-articulated and understood.	<ul style="list-style-type: none"> <li>• An Independent Evaluation Policy is produced.</li> <li>• Guidelines and standards are developed to reflect the policy.</li> <li>• Awareness is generated among GCF staff and NDAs, AEs and others to ensure this policy and set of guidelines and standards are properly applied.</li> </ul>
		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.	<ul style="list-style-type: none"> <li>• The IEU’s vision and strategy are finalized and shared with all IEU staff.</li> <li>• 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, is submitted to the GCF Board, and are updated as required.<sup>4</sup></li> <li>• A rolling three-year plan, budget and an annual work plan is presented every year to ensure certainty in planning and delivering high quality evaluations.<sup>5</sup></li> <li>• An IEU annual report is produced and disseminated every year, commencing in 2018.<sup>6</sup></li> </ul>

<sup>1</sup> 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.’

<sup>2</sup> Decision B.08/07/Annex IX and Decision B.10/05/(k)/Annex V

<sup>3</sup> Decision B.16/07

<sup>4</sup> GCF/B.06/Annex III

<sup>5</sup> GCF/B.06/Annex III

<sup>6</sup> B.06/09/Annex III

No.	Aim	Objectives	Outputs
2.	<b>Undertake and deliver high-quality evaluations to the GCF Board</b>		
		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. <sup>7</sup>	<ul style="list-style-type: none"> <li>The IEU will carry out at least four evaluations annually. Evaluations will depend on advice from the GCF Board. Other evaluations may also be identified depending on the accountability and learning needs of the GCF Board.</li> </ul>
		2b. Undertake high quality <i>overall</i> performance evaluations of the GCF including (but not restricted to) an overall assessment of results, efficiency and effectiveness to inform the replenishment process. <sup>8</sup>	<ul style="list-style-type: none"> <li>The IEU will also undertake overall performance evaluations as required by its TORs.<sup>9</sup></li> <li>The IEU will also deliver the following at a date determined by the GCF Board:               <ol style="list-style-type: none"> <li>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.<sup>10</sup></li> <li>An overall assessment of the Fund's results and the effectiveness and efficiency of its activities.<sup>11</sup></li> </ol> </li> </ul>

<sup>7</sup> Decision B.06/09/Annex III

<sup>8</sup> Decision B.06/09/Annex III

<sup>9</sup> B.06/09/Annex III and B.10/05/Annex V

<sup>10</sup> 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)

<sup>11</sup> 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.'

No.	Aim	Objectives	Outputs
		2c. Review of the results management and performance measurement framework is successfully completed and a real-time learning-oriented impact evaluation project portfolio is prepared.	<ul style="list-style-type: none"> <li>• Provide recommendations based on international evidence and best practices for improving the GCF's results management framework and performance measurement framework.<sup>12</sup></li> <li>• 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, it will work with 4-6 projects that can effectively demonstrate this learning which will provide insights to the Secretariat in real time.</li> </ul>
<b>3.</b>	<b>Build and deliver an evaluation-based learning, advice and capacity strengthening program</b>		
		3a. Ensure programs and activities funded by the GCF maintain sufficient quality in terms of data, design and information to inform evaluations.	<ul style="list-style-type: none"> <li>• 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.</li> <li>• It will build and deliver customized workshops and dissemination 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.</li> <li>• The IEU will provide evidence-based recommendations on projects/programmes 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.<sup>13</sup></li> <li>• Furthermore, 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 <i>measure attributable change</i> in GCF result areas.</li> <li>• The IEU will deliver a plan for capacity building and learning through evaluations at B.21.</li> </ul>
		3b. Synthesize evaluative evidence from international experience and GCF related	<ul style="list-style-type: none"> <li>• The IEU will build a database of evaluative evidence and synthesize learning through evidence gap maps and systematic reviews.</li> </ul>

<sup>12</sup> GCF/B.06/Annex III

<sup>13</sup> B.06/09/Annex III

No.	Aim	Objectives	Outputs
		<p>evaluations to benchmark and inform evaluations in GCF result areas, inform results and performance frameworks and help prioritize evaluations and evaluation-related research using state-of-the-art methods.<sup>14</sup></p>	<ul style="list-style-type: none"> <li>• The IEU will support systematic reviews and meta-syntheses of evaluative evidence relevant to GCF result areas.</li> </ul>
		<p>3c. Provide inputs to improve the results-based framework and performance framework of the GCF.<sup>15</sup></p>	<ul style="list-style-type: none"> <li>• The IEU will conduct retrospective theories of change exercises to inform the results framework and the performance measurement framework of the GCF as well as the independent evaluation policy.</li> <li>• It 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.</li> <li>• The IEU will also work on developing 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 the performance measurement framework.<sup>16</sup></li> </ul>
		<p>3d. Build capacity for undertaking evaluations, understanding standards and methods, within the Secretariat and GCF stakeholders and use innovative ways to ensure this.<sup>17</sup></p>	<ul style="list-style-type: none"> <li>• 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;</li> <li>• The IEU will build customized workshops, engage with other agencies and trainers to develop training modules and matchmake teams for programme and project evaluations.</li> <li>• The IEU will also build training modules and train GCF stakeholder staff including staff from intermediary agencies to bring them up to speed on state-of-the art methods for evaluating the Fund's activities.</li> </ul>

<sup>14</sup> Decision B.10/05/Annex V/ 14 and 15

<sup>15</sup> Decision B.06/09/Annex III

<sup>16</sup> Annex III to decision B.06/09

<sup>17</sup> Decision B.06/09/Annex III/ 21, 23

No.	Aim	Objectives	Outputs
			<ul style="list-style-type: none"> <li>• It will also collaborate with universities and other agencies to build these customized courses.<sup>18</sup></li> </ul>
		The IEU will be at the forefront of methods and climate science and establish the IEU as a global leader in the field. <sup>19</sup>	<ul style="list-style-type: none"> <li>• 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.<sup>20</sup></li> </ul>
<b>4.</b>	<b>Engage strategically to learn, share and adopt best practices in the climate change evaluation space</b>		
		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 IEU's other objectives.	<ul style="list-style-type: none"> <li>• Will use international engagements to deliver customized awareness building workshops on evaluation vision and techniques that showcase high quality evaluation methods and standards to GCF stakeholders;</li> <li>• Communication products conveying the key messages from evaluations; and,</li> <li>• Formal partnership agreements with networks and organizations to leverage their presence for capacity building amongst GCF stakeholders.</li> </ul>

<sup>18</sup> Incheon National University has already been in contact with the IEU. Yonsei University has also shown early interest. The IEU has also been in contact with the UNDP IEO, GEF IEO and Claremont University. Other institutions include the Evaluators Institute, IPDET, and UNISDR as well as relevant offices of accredited entities in which the IEU will build collaborative partnerships with, to build capacity amongst GCF stakeholders with regard to conducting and participating in evidence-based evaluations.

<sup>19</sup> Decision B.10/05/Annex V/8

<sup>20</sup> GCF/B.05/03/ Annex I