

Annex VII: The IEU's Three-Year Rolling workplan and Objectives (2021-2024)

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. With the Board decisions on the evaluation policy of the GCF (decision B.BM-2021/07) and the amendment for the evaluation policy: the updated terms of reference of the IEU (decision B.BM-2021/15), several mandates of the IEU strengthened. There are several modifications to the three-year work plan and budget and thus some minor changes in the three-year work plan are noted as follows:

- (a) Modification: the modifications in this three-year rolling work plan relate to building of systems for stability. Particularly through the Covid-19 pandemic, the IEU has built 'capacity' and 'modularity' in its structures – developing standard operating procedures, back up capacity amongst personnel and processes for quality assurance of every output. Further, the changes reflect a sense of growing intellectual capital, which will allow the IEU to serve its mandate. As a result, modifications reflect the plans to ossify these institutional measures. New elements in the rolling work plan for 2021-24 are as follows:
- [Under 1a] The IEU will comprise three workstreams: Science and data; learning, synthesis and uptake; and capacity building, advisory and policy. The workstreams allow for the development of expertise, specialisation, and excellence in essential areas of data/science, learning and uptake, as well as capacity building and advisory.
 - [Under 1a] The Updated Terms of Reference for the IEU will be widely disseminated and high functioning staff will be hired competitively at the IEU.
 - [Under 1a] The IEU will continue to build 'modularity' and 'capacity' in staffing to account for routine events such as staff turnover, hiring and procurement challenges, but also unexpected events such as a pandemic.
 - [Under 1b] Following the Board approval of the evaluation policy of the GCF, the IEU will operationalize the policy. As per Board request, the IEU will develop evaluation standards, in collaboration with the Secretariat. The IEU will also collaborate in the Secretariat's development of monitoring protocols, toolkits and guidelines that take into account the Evaluation Policy and the integrated results management framework.
 - [Under 1c] After sharing the initial guidelines for the effective functioning at B.29, the IEU will further refine and submit these guidelines and procedures to the GCF Board as required. These guidelines to ensure the independence and effective functioning and operation of the IEU, in keeping with international best practices.
 - [Under 2a] The IEU will carry out evaluations annually, as determined in the IEU work plan approved by the Board. All IEU evaluations will espouse available best practice and will make use of cutting-edge methodologies. A long list of potential evaluation topics was identified: amongst others, GCF's approach to investment, GCF's approach to risk, GCF trustee function, RPSP, GCF's Learning and knowledge management approach, country portfolio evaluation.

- [Under 2c] The IEU will review the implementation of recommendations made in the independent evaluations. The IEU will provide management action reports to the Board, as per the evaluation policy of the GCF.
 - [Under 2c] As per evaluation policy, the IEU will be responsible for guiding, assisting and advising on real-time impact assessments/evaluations, such as learning-oriented real-time impact assessments (LORTA). The IEU will support through additional e-learning training tool designed and executed by the IEU to help project teams to build the necessary evaluation capacity to measure their impacts and changes resulting from GCF investments.
 - [Under 3a] Following the Board approved evaluation policy, the IEU will build its capacity building efforts for evaluations and evaluation standards to help strengthen the understanding, utility and execution of high-quality evaluations at all levels of the GCF, including the implementing entities.
 - [Under 3b] The IEU will provide synthesis notes, to provide a summary of evaluative evidence on a particular topic across all IEU evaluations and other related work. In addition, these synthesis notes will also include further evidence within the climate finance and related development landscape. A long list of potential synthesis note's topics was identified: amongst others, innovation, country programming, GCF's utility on loss and damage, GCF's approach to technology.
 - [Under 3d] Given COVID19 requirements, the IEU will explore options to create and execute training modules and provide such contents in virtual formats next to traditional person-to-person formats through a variety of platforms.
2. Following decision B.BM-2021/14, the 3-year rolling workplan may be revised following the recruitment and employment of the Head of the Unit.
3. To summarize, the overall objectives of the IEU are derived from the Governing Instrument and include:¹
- (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.
4. The IEU's principal aims for the period 2021-2024 are summarized below. Objectives and activities associated with these aims are summarized in Table 7.
- (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 workplan, including its overall learning and accountability objectives. IEU staff will reflect the best standards in evaluative training, practice, theory and ethics. The IEU will also ensure that its vision and practices are adequately shared, internally and externally, and that the evaluation policy and procedures for functioning of the IEU are properly articulated and operationalized. With the Board approval (decision B.BM-2021/07), the IEU will

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

develop evaluation standards for the GCF, in collaboration with the Secretariat. The IEU will also collaborate with the Secretariat's work on the development of evaluation guidelines.

- (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 that are useful to and inform the decision-making of the Board.² They will also serve as building blocks for fund-level evaluations that assess the effectiveness and efficiency of the GCF and are shared with the replenishment process. The IEU will deliver evaluations annually, as determined in the IEU workplan approved by the Board. It will also review the use of the GCF's results-based framework and performance framework and provide recommendations to the Board. Following the evaluation policy, the IEU will also lead a Learning-Oriented Real-Time Impact Assessment (LORTA) programme to support real-time learning within the GCF through real-time assessments.³
- (c) **Build and deliver an evaluation-based learning, advisory and capacity strengthening program:**⁴ 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.⁵ 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.⁶ 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.

² Decision B.06/09/Annex III, decision B.BM-2021/15

³ Decision B.06/09/Annex III, decision B.BM-2021/07

⁴ Decision B.06/09/Annex III/23 and Decision B.10/05/Annex V

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

⁶ B.06/09/Annex III/10 and 11 and B.10/05/Annex V/ 5, 8, 9, 14, 15, 16

Table 7: Aims, Objectives and Key Outputs of the IEU's Rolling Three-Year Work Plan (applicable 2021-2024)

NO.	AIM	OBJECTIVES	OUTPUTS
1.	Strengthen the IEU and complete staffing¹		
		1a. Ensure that the IEU is completely staffed to meet its objectives of accountability and learning. ²	<ul style="list-style-type: none"> • The IEU will be fully staffed with an emphasis on building high quality evaluation and thematic capacity. • <i>[revised] The IEU will comprise three workstreams: Science and data; learning, synthesis and uptake; and capacity building, advisory and policy. The workstreams allow for the development of expertise, specialisation, and excellence in essential areas of data/science, learning and uptake, as well as capacity building and advisory.</i> • <i>[revised] The Updated Terms of Reference for the IEU will be widely disseminated and high functioning staff will be hired competitively at the IEU.³</i> • The IEU will be well-managed and personal performance and professional development plans for all IEU staff will be articulated. • <i>[revised] The IEU will continue to build 'modularity' and 'capacity' in staffing to account for routine events such as staff turnover, hiring and procurement challenges, but also unexpected events such as a pandemic.</i>
		1b. IEU's policies and standards are well-articulated and understood.	<ul style="list-style-type: none"> • <i>[revised] Following the Board approval of the evaluation policy of the GCF, the IEU will operationalize the policy. As per Board request, the IEU will develop evaluation standards, in collaboration with the Secretariat. The IEU will also collaborate in the Secretariat's development of monitoring protocols, toolkits and guidelines that take into account the Evaluation Policy and the integrated results management framework.</i> • 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	<ul style="list-style-type: none"> • The IEU's vision and strategy will be finalized and shared with all IEU staff. • <i>[revised] After sharing the initial guidelines for the effective functioning at B.29, the IEU will further refine and submit these guidelines and procedures to the GCF Board as</i>

¹ 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."

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

³ Decision B.16/07

NO.	AIM	OBJECTIVES	OUTPUTS
		budgets and work plans are approved in a timely manner.	<p><i>required. These guidelines to ensure the independence and effective functioning and operation of the IEU, in keeping with international best practices.</i>⁴</p> <ul style="list-style-type: none"> • 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.⁵ • An IEU annual report will be produced and disseminated every year, commencing in 2018.⁶
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. ⁷	<ul style="list-style-type: none"> • All IEU evaluations will comprise three streams: data and science, communications, and advisory work. This will allow all IEU evaluations to be utilization focused, and relevant. They will provide credible evidence to the Board of the GCF. • <i>[revised] The IEU will carry out at least four evaluations annually, as determined in the IEU workplan approved by the Board. All IEU evaluations will espouse available best practice and will make use of cutting-edge methodologies. A long list of potential evaluation topics was identified: amongst others, GCF's approach to investment, GCF's approach to risk, GCF trustee function, RPSP, GCF's Learning and knowledge management approach, country portfolio evaluation.</i> • IEU evaluations will also strive for external validity, identify 'what could work', and assess measures of cost-effectiveness, recalling that climate finance is limited. • The IEU will undertake overall performance evaluations as required by its TORs.⁹ • The IEU will also deliver the following: (1) 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.¹⁰
		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. ⁸	

⁴ GCF/B.06/Annex III

⁵ GCF/B.06/Annex III

⁶ B.06/09/Annex III

⁷ Decision B.06/09/Annex III

⁸ Decision B.06/09/Annex III

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

¹⁰ 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/CP.19, annex, paragraph 20)

NO.	AIM	OBJECTIVES	OUTPUTS
			<p>(2) Overall assessment of the Fund's results and the effectiveness and efficiency of its activities.¹¹</p> <p>The performance evaluation undertaken by the IEU will inform the replenishment of the GCF.</p>
		2c. Review the results management and performance measurement framework and prepare a real-time learning-oriented impact evaluation project portfolio.	<ul style="list-style-type: none"> • The IEU will provide recommendations based on international evidence and best practices for improving the GCF's results management framework and performance measurement framework.¹² • <i>[revised] The IEU will review the implementation of recommendations made in the independent evaluations. The IEU will provide management action reports to the Board, as per the evaluation policy of the GCF.</i> • 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 will provide insights to the Secretariat in real time. • <i>[revised] As per evaluation policy, the IEU will be responsible for guiding, assisting and advising on real-time impact assessments/evaluations, such as learning-oriented real-time impact assessments (LORTA). The IEU will support through additional e-learning training tool designed and executed by the IEU to help project teams to build the necessary evaluation capacity to measure their impacts and changes resulting from GCF investments.</i>
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.	<ul style="list-style-type: none"> • 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 upon request and disseminate products to ensure learning and uptake for this objective.

¹¹ 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."

¹² GCF/B.06/Annex III

NO.	AIM	OBJECTIVES	OUTPUTS
			<ul style="list-style-type: none"> • 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.¹³ • 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. • <i>[revised] Following the Board approved evaluation policy, the IEU will build its capacity building efforts for evaluations and evaluation standards to help strengthen the understanding, utility and execution of high-quality evaluations at all levels of the GCF, including the implementing entities.</i>
		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 research using state-of-the-art methods. ¹⁴	<ul style="list-style-type: none"> • The IEU will build a database of evaluative evidence and synthesize learning through evidence gap maps, intervention heat maps and systematic reviews. • The IEU will support systematic reviews and meta-syntheses of evaluative evidence relevant to GCF result areas. • <i>[revised] The IEU will provide synthesis notes, to provide a summary of evaluative evidence on a particular topic across all IEU evaluations and other related work. In addition, these synthesis notes will also include further evidence within the climate finance and related development landscape. A long list of potential synthesis note's topics was identified: amongst others, innovation, country programming, GCF's utility on loss and damage, GCF's approach to technology.</i>
		3c. Provide inputs to improve the results-based framework and performance framework of the GCF. ¹⁵	<ul style="list-style-type: none"> • 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.

¹³ B.06/09/Annex III

¹⁴ Decision B.10/05/Annex V/ 14 and 15

¹⁵ Decision B.06/09/Annex III

NO.	AIM	OBJECTIVES	OUTPUTS
		3d. Build capacity for undertaking evaluations, understanding standards and methods, within the Secretariat and GCF stakeholders, and use innovative ways to ensure this. ¹⁷	<ul style="list-style-type: none"> • 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.¹⁶ • <i>[revised] Given COVID19 requirements, the IEU will explore options to create and execute training modules and provide such contents in virtual formats next to traditional person-to-person formats through a variety of platforms.</i> • 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 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. ¹⁸	<ul style="list-style-type: none"> • 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.¹⁹
4.	Engage strategically to learn, share and adopt best practices in the climate change evaluation space		

¹⁶ Annex III to decision B.06/09

¹⁷ Decision B.06/09/Annex III/ 21, 23

¹⁸ Decision B.10/05/Annex V/8

¹⁹ GCF/B.05/03/ Annex I

NO.	AIM	OBJECTIVES	OUTPUTS
		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.	<ul style="list-style-type: none"> • 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.