

Annex VI: The IEU’s three-year rolling workplan and objectives (2021-2024)

1. Following the decision by the Board, this annex presents modifications as necessary, of the IEU’s three-year rolling 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 rolling work plan.

2. The three-year rolling work plan is changed to respond to several contextual changes. Firstly, previous IEU workplans had to account for the uncertainties related to Covid-19. Secondly, the increasing maturity of the GCF and the evaluation function therein, require less focus on policy-formulation and more on dissemination and capacity. Thirdly, the IEU is expected to focus on the capacity building dimensions to harness the opportunity and responsibility of promoting strong evaluations of GCF and climate. Finally, and importantly, with the IEU firmly placed within the GCF and evaluation community, there is increased focus to serve the mandates related to capacity building, field building, and learning.

Table 1: IEU approved and proposed staffing schedule (2023-2026)

IEU	2023	2024	2025 (indicative)	2026 (indicative)
Staff (professional and administrative)	26	26	26	26
HQ Consultants	5	5	4	4
Interns	4	4	4	4

Table 2: Aims, objectives and key outputs of the IEU’s three-year rolling work plan (2022-2025)

No.	Aim & objectives	Outputs
1.	Strengthen the IEU and complete staffing ¹	
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. • [revised] The IEU will comprise three <i>four</i> workstreams: Science and data; learning, synthesis and uptake <i>Learning, uptake, knowledge and synthesis;</i> and Capacity building, advisory and policy; and <i>Quality assurance, administration and review.</i> The workstreams allow for the development of expertise, specialisation, and excellence in the respective essential areas. of data/science, learning and uptake, as well as capacity building and advisory. • [new] <i>The IEU will perform its function of acting as the third line of defence in ensuring effective internal control of the Fund, in accordance with the Compliance risk policy (Component VIII) and the administrative guidelines on internal control. Thus, the IEU will further define the mandate of quality assurance through evaluations.</i> • The Updated Terms of Reference for the IEU will be widely disseminated, and high functioning staff will be hired competitively at the IEU.³ • The IEU will be well-managed and personal performance and professional development plans for all IEU staff will be articulated. • 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.
1b.	IEU’s policies and standards are well-	<ul style="list-style-type: none"> • [revised] Following the Board approval of the evaluation policy of the GCF, the IEU will <i>continue</i> operationalize the policy, <i>including through</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
	articulated and understood.	<p><i>dedicated capacity building and learning events on the evaluation policy of the GCF, the evaluation standards and evaluation guidance provided by the IEU. As per</i> Following the Board request, the IEU will developed evaluation standards, in collaboration with the Secretariat. <i>While not being limited to these, the evaluations standards of the GCF also take into account the norms and standards of the UNEG. The IEU will also provide evaluation standards for particular contexts and types of evaluations, e.g. impact evaluations. The IEU will</i> also collaborated in the Secretariat’s development of monitoring protocols, toolkits and guidelines that take into account the Evaluation Policy and the integrated results management framework.</p> <ul style="list-style-type: none"> • [deleted] Guidelines and standards will be developed to reflect the policy. • <i>[new] Awareness will be generated among GCF staff and NDAs, AEs, implementing entities, and others to ensure uptake and implementation of the evaluation policy and evaluation standards.</i>
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"> • 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 and B.36, 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.⁴ The guidelines for the effective functioning of the IEU also consider the Board-approved Terms of Reference of the Head of the IEU, evaluation policy and the updated Terms of References of the Unit.⁵</i> • <i>[revised] A rolling three-year plan, budget and an annual work plan will be presented every year to ensure transparency, certainty and foresight in planning and delivering high quality evaluations and reviews.⁶</i> • <i>[revised] An IEU annual report will be produced and disseminated every year, commencing in</i>

⁴ GCF/B.06/Annex III

⁵ B.BM-2021/07 and B.BM-2021/15

⁶ GCF/B.06/Annex III

No.	Aim & objectives	Outputs
		<p>2018.⁷ <i>The annual report will be produced in time for every first board meeting of a year, for the previous calendar year. For every other board meeting, the IEU will present on the activities of the Unit through an activity report.</i></p>
<p>2. Undertake and deliver high-quality evaluations to the GCF Board</p>		
<p>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.⁸</p>		<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. • [revised] The IEU will carry out 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, GCF region evaluation, in particular the Latin American and the Caribbean (<i>LAC States</i>), and Eastern Europe and Central Asia portfolio, GCF's approach to and portfolio of MDBs, ITAP, GCF governance structure, project-approach evaluations, GCF's approach to and investments in the energy sector, GCF's approach to and investments in the water sector, <i>GCF's approach to whistleblowers and witnesses</i>, <i>GCF's approach to Indigenous Peoples</i>, evaluation of result areas, country programming with the GCF, just transition, evaluation of forests, land use and REDD+, greening financial systems, the use of traditional knowledge, <i>debt instruments and debt relief</i>, coherence and complementarity. • IEU evaluations will also strive for external validity, identify 'what could work', and assess measures of cost-effectiveness, recalling that climate finance is limited.

⁷ B.06/09/Annex III

⁸ Decision B.06/09/Annex III



No.	Aim & objectives	Outputs
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. ⁹	<ul style="list-style-type: none"> • [revised] The IEU will undertake overall performance evaluations as required by its TORs, <i>and in accordance with the Guidelines for the Effective Functioning of the IEU</i>.¹⁰ • [revised] The performance evaluation undertaken by the IEU to examine the relevance effectiveness, efficiency, impact and the performance of the Fund which will inform the replenishment of the GCF. <i>The performance evaluation will take into account the evaluation policy and standards.</i> • The IEU will also deliver the following: <ul style="list-style-type: none"> (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.¹¹ [new] (2) <i>As a member of the United Nations Evaluation Group (UNEG), the IEU will actively participate in UNEG meetings and evaluation groups.</i> (3) Overall assessment of the Fund’s results and the effectiveness and efficiency of its activities.¹²
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.¹³ • [revised] <i>Since 2018, the IEU undertakes periodic evaluability assessment of GCF’s FPs and their ability to credibly measure impact. The evaluability assessment is based on a set of criteria, including but not limited to, theory of change, causal pathways, potential for measurement of causal</i>

⁹ Decision B.06/09/Annex III

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

¹¹ 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)

¹² 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.”

¹³ GCF/B.06/Annex III

No.	Aim & objectives	Outputs
		<p><i>change, implementation fidelity and performance against investment criteria, data collection and reporting credibility, M&E plan and budget. The evaluability assessment will include a stoplight analysis to disseminate portfolio and sub-portfolio results.</i></p> <ul style="list-style-type: none"> • 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. • [revised] As per evaluation policy, the IEU will be responsible for guiding, assisting, <i>managing</i> and advising on real-time impact assessments/evaluations, such as learning-oriented real-time impact assessments (LORTA). <i>Since COVID</i>, the IEU is support <i>project teams capacity building</i> through additional e-learning training tool. <i>Alongside the direct engagement in the region and country, this tool is designed and executed by the IEU to help project teams to build the necessary evaluation capacity, understanding of M&E tools, and capacity to measure their impacts and changes resulting from GCF investments.</i> • [new] <i>Aligned with the evaluation policy, the long-term aim is that approximately 30 per cent of the Fund's projects and programmes approved annually by the Board will include real-time impact assessments as part of their evaluation plans. These impact assessments will be used to inform the GCF portfolio and its strategic choices. Their standards will be set by the IEU and informed by Board-mandated IEU functions. The IEU's LORTA programme will make efforts to contribute directly to this long-term aim.</i>
<p>3.</p>	<p>Build and deliver an evaluation-based learning, advisory and capacity strengthening program</p>	
<p>3a.</p>	<p>Ensure programmes and activities funded by the GCF maintain sufficient quality in terms of data, design and information to inform evaluations.</p>	<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

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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. ¹⁵	<p>products to ensure learning and uptake for this objective.</p> <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.¹⁴ • 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. • 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. • 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. • [revised] The IEU will prepare 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 notes’ topics was identified: amongst others, innovation, country programming, GCF’s utility on loss and damage, GCF’s approach to technology, GCF’s approach to indigenous peoples, GCF’s gender approach, just transition, complexity in climate interventions and evaluation, M&E systems in climate change interventions, enabling environments for mitigation and adaptation, market-based mechanisms in climate change,

¹⁴ B.06/09/Annex III

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

No.	Aim & objectives	Outputs
3c.	Provide inputs to improve the results-based framework and performance framework of the GCF. ¹⁶	<p><i>forest conversation, climate change adaptation and blockchain and cryptocurrency.</i></p> <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. • 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.¹⁷ • [new] <i>The IEU will undertake quality assurance of Secretariat-led evaluations and AE-led evaluations, in accordance with the GCF Evaluation Policy.</i>
3d.	Build capacity for undertaking evaluations, understanding standards and methods, within the Secretariat and GCF stakeholders, and use innovative ways to ensure this. ¹⁸	<ul style="list-style-type: none"> • [revised] <i>To maximize cost effectiveness, 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. Capacity building efforts of the IEU will be tailored to the needs of the AEs, NDAs, implementing entities and others. These efforts will also be based on period capacity needs assessments. While only limited opportunities exist, some of the IEU capacity building efforts may be executed in coordination with relevant stakeholders of the Secretariat.</i> • [revised] 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

¹⁶ Decision B.06/09/Annex III

¹⁷ Annex III to decision B.06/09

¹⁸ Decision B.06/09/Annex III/ 21, 23

No.	Aim & objectives	Outputs
3e.	The IEU will be at the forefront of methods and climate science and establish the IEU as a global leader in the field. ¹⁹	<p><i>capacity and</i> awareness within AEs, NDAs, implementing entities and others. The IEU will continue to support GCF events and dialogues, e.g. structured and regional dialogues.</p> <ul style="list-style-type: none"> • 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. • [revised] 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.²⁰ The IEU will actively participate in UNEG working groups and other evaluation network working groups. • [new] <i>With the active UNEG membership, the IEU has commenced our evaluation and learning work on the SDGs. The IEU will continue to support the SDG Coalition work, in particular for the SDGs related to climate, environment and biodiversity, with the aim to build a rigorous evidence base.</i> • [new] <i>The IEU will lead the field of climate evaluations. The IEU will convene the evaluation and learning functions of the climate funds, including the GEF, CIFs, Adaptation Fund.</i>
4.	Engage strategically to learn, share and adopt best practices in the climate change evaluation space	
4a.	The IEU will increase its engagement with	<ul style="list-style-type: none"> • The IEU will use international engagements to deliver customized awareness building

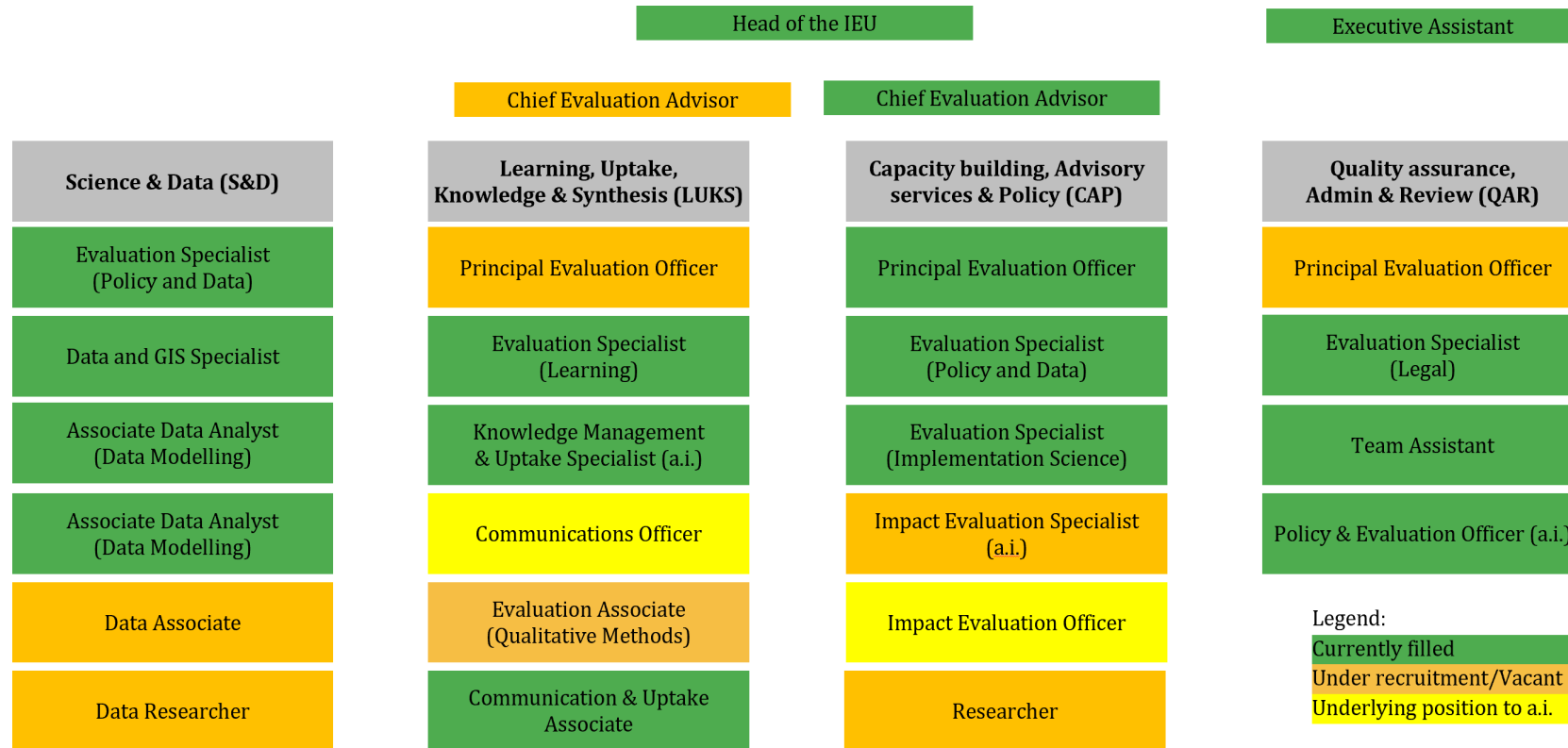
¹⁹ Decision B.10/05/Annex V/8

²⁰ GCF/B.05/03/ Annex I



No.	Aim & objectives	Outputs
	<p>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.</p>	<p>workshops on evaluation vision and techniques, showcasing high quality evaluation methods and standards to GCF stakeholders.</p> <ul style="list-style-type: none"><li data-bbox="754 465 1358 533">• The IEU will develop communication products conveying the key messages from evaluations.<li data-bbox="754 555 1401 790">• [revised] The IEU will establish formal partnership agreements with <i>evaluation, climate and finance</i> networks and organizations to leverage their presence for capacity building, <i>learning and knowledge management efforts</i> among GCF stakeholders of the <i>GCF ecosystem and beyond</i>.<li data-bbox="754 813 1401 1189">• [revised] <i>For knowledge management, the IEU will ensure that evaluation results inform the development, update and design of strategies, policies, and operations of the GCF and its ecosystem. To facilitate this process, the IEU continues to periodically prepare brief notes synthesizing lessons learned from evaluations, in accordance with the Updated TOR of the IEU. The IEU will also build new tools to improve knowledge management and sharing of the evidence base produced by the IEU to the GCF ecosystem.</i>

Figure 1. The IEU’s structure and organigram (as of 01 October 2023)²¹



²¹ This organigram does not include consultants and internship positions.