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# Approach Paper of the Second Performance Review of the Green Climate Fund

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## Summary

Through decision B.BM-2021/17, the Board of the Green Climate Fund (GCF) launched the Second Performance Review (SPR) of the GCF, with the final report expected in early 2023. The SPR is expected to inform, among other things, the update of the Strategic Plan for the GCF-2 programming period. This approach paper outlines the work to be undertaken in the SPR. This includes an illustration of the methodological approach, expected schedule, key evaluation questions, and criteria for identification of country case studies. The approach is informed by the findings of the Synthesis Study and Rapid Assessment of the progress of the GCF's Updated Strategic Plan.

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## I. Introduction

1. Through decision B.BM-2021/17, the Board of the Green Climate Fund (GCF) launched the Second Performance Review (SPR) of the GCF, with the final report expected in early 2023. The SPR is intended to inform, among other things, the update of the Strategic Plan for the GCF-2 programming period.
2. This approach paper outlines the work to be undertaken in the SPR. This includes an illustration of the methodological approach, expected schedule, key evaluation questions and criteria for identification of country case studies. The approach is informed by the findings of the Synthesis Study and Rapid Assessment of the progress of the GCF's USP.

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## Annex I: Approach Paper of the Second Performance Review

*The Approach Paper of the Second Performance of the Green Climate Fund is contained below.*



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# APPROACH PAPER OF THE SECOND PERFORMANCE REVIEW

An IEU deliverable contributing to the  
Second Performance Review of the Green  
Climate Fund

April 2022



GREEN CLIMATE FUND  
INDEPENDENT EVALUATION UNIT

## Approach paper of the Second Performance Review

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AN IEU DELIVERABLE CONTRIBUTING TO THE SECOND  
PERFORMANCE REVIEW OF THE GREEN CLIMATE FUND

04/2022

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## ABBREVIATIONS

<b>AE</b>	Accredited entity
<b>APR</b>	Annual progress report
<b>CIF</b>	Climate Investment Funds
<b>CSO</b>	Civil society organization
<b>DAE</b>	Direct access entity
<b>FPR</b>	Forward-looking Performance Review
<b>GCF</b>	Green Climate Fund
<b>GEF</b>	Global Environment Facility
<b>GESI</b>	Gender and social inclusion
<b>IAE</b>	International accredited entity
<b>IDRC</b>	International Development Research Centre
<b>IEU</b>	Independent Evaluation Unit
<b>IRM</b>	Initial resource mobilization
<b>LDC</b>	Least developed country
<b>MDB</b>	Multilateral development bank
<b>MOPAN</b>	Multilateral Organisation Performance Assessment Network
<b>NAP</b>	National Adaptation Plan
<b>NDA</b>	National designated authority
<b>PPF</b>	Project Preparation Facility
<b>PSO</b>	Private sector organization
<b>RPSP</b>	Readiness and Preparatory Support Programme
<b>SIDS</b>	Small island developing States
<b>SPR</b>	Second Performance Review
<b>ToC</b>	Theory of change
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>USP</b>	Updated Strategic Plan

## A. INTRODUCTION

### 1. BACKGROUND

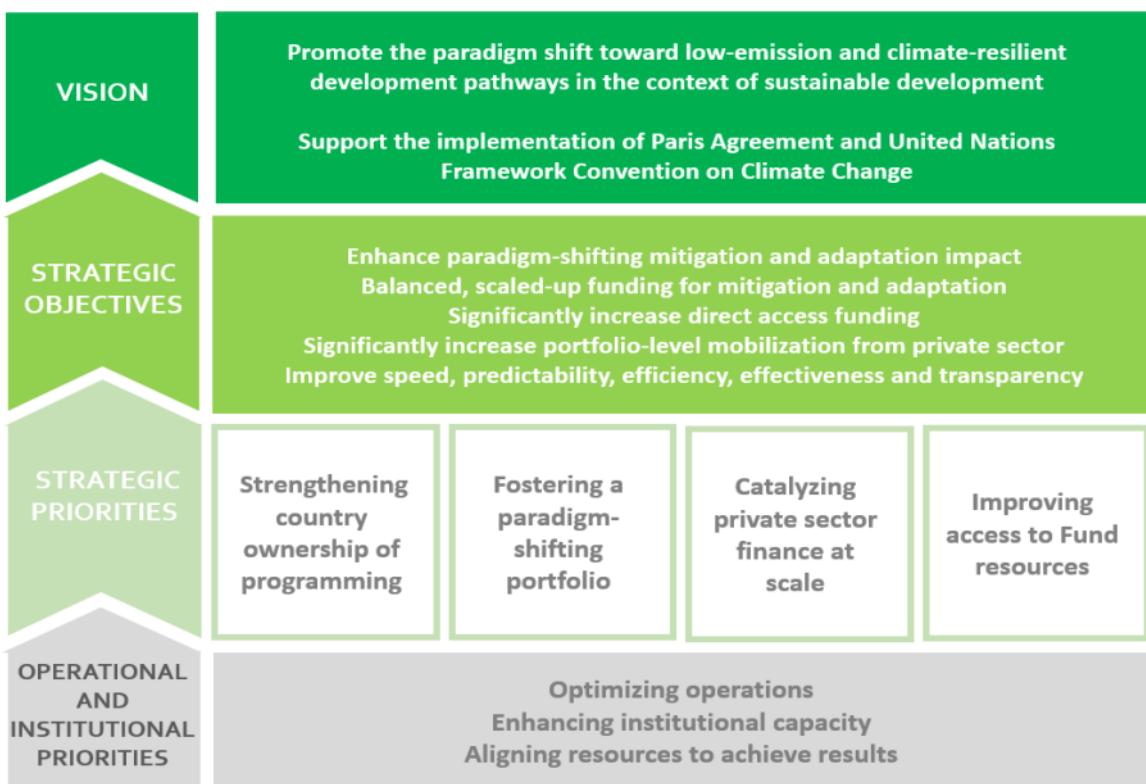
The Green Climate Fund (GCF) is an operating entity of the financial mechanism of the United Nations Framework Convention on Climate Change (UNFCCC). It is charged with promoting a paradigm shift towards low-emission and climate-resilient development pathways in developing countries. As described in its Governing Instrument, the GCF is mandated to:

- Channel new, additional, adequate and predictable climate finance to developing countries
- Catalyse public and private climate finance
- Take a country-driven approach
- Consider the needs of developing countries particularly vulnerable to climate change; to balance funding for adaptation and mitigation
- Be a continuously learning institution guided by monitoring and evaluation, among other principles and provisions.

The GCF's Independent Evaluation Unit (IEU) is mandated by the GCF Board under paragraph 60 of its Governing Instrument to inform GCF decision-making. Specifically, the Governing Instrument states that “the Board will establish an operationally independent evaluation unit as part of the core structure of the Fund.” The IEU has a mandate for both discharging an accountability function and supporting a learning function. These functions are central to the GCF being a learning organization as laid out in its Governing Instrument.

The GCF was established just six years ago, and the IEU evaluated its performance in its initial resource mobilization (IRM) period in the Forward-looking Performance Review (FPR), published in 2019. Findings and recommendations from the FPR informed the strategy and operations for the subsequent programming period (GCF-1), which runs from 2020 to 2023. The GCF-1 period is guided by the Updated Strategic Plan for the Green Climate Fund 2020–2023 (USP). The USP seeks to fulfil the GCF's strategic objectives and overall vision and is underpinned by ongoing efforts to optimize operations, enhance institutional capacity and align resources to achieve results (see Figure A - 1).

**Figure A - 1. Overall structure of the Updated Strategic Plan**



Source: GCF/B.27/22, Annex II.

## 2. MANDATE AND SCOPE OF THE SECOND PERFORMANCE REVIEW

At its twenty-seventh meeting in October 2020, the GCF Board approved the IEU's workplan for 2021, including provision for the Second Performance Review (SPR), subject to further budget approval. Through decision B.BM-2021/11, the GCF Board launched the SPR for the GCF-1 programming period while identifying that the scope of the SPR is to assess the following:

- Progress made by GCF in delivering on its mandate as set out in the Governing Instrument as well as in terms of its strategic and operational priorities and actions as outlined in the Updated Strategic Plan for 2020–2023, in particular the extent to which GCF has responded to the needs of developing countries and the level of country ownership; the ability of GCF to catalyse public and private climate finance, including the use of financial instruments; and supported the building of institutional capacity in developing countries and accredited entities;*
- Performance of GCF in promoting the paradigm shift towards low-emission and climate-resilient development pathways, including the effectiveness of the funded activities and its effectiveness and efficiency.<sup>1</sup>*

The SPR is intended to inform, among other things, the update of the Strategic Plan for the GCF-2 programming period. Therefore, it will focus on the GCF-1 period and improvements and changes made since the IRM.

The SPR will focus on six key areas and questions, covering a range of themes, as shown in Table A - 1. The SPR will be multifaceted, and it would be unwieldy to outline every possible angle to be

<sup>1</sup> See <https://www.greenclimate.fund/decision/bbm-2021-11>.

pursued in this summary approach document. Refer to Appendix 1 for the evaluation matrix and a complete listing of evaluation questions and sub-questions by area.

**Table A - 1. Key evaluation questions**

KEY AREA	KEY QUESTIONS	EXAMPLES OF THEMES COVERED
Translating mandate into policies, priorities and frameworks	Has the GCF clearly translated its mandate into policies, priorities and frameworks to inform and guide its operations?	Strategic relevance in the global architecture Complementarity and coherence at the international/institutional level USP Policy architecture Responsiveness to COP Articulation of strategy for every framework, modality and programme, and strategy integration Alignment of processes, modalities and programmes within the GCF
Country needs and ownership	Are GCF processes, modalities and support programmes well tailored to the varied and evolving needs of developing countries and useful for promoting country ownership?	Country ownership of programming Responding to the needs of developing countries Capacity-building Technology transfer Alignment/tailoring to country needs for processes, modalities and programmes Coherence and complementarity at the national level Supporting implementation of the Paris Agreement and nationally determined contributions
Access	Is the GCF's access approach optimized to meet country needs and promote intended impacts?	Access mechanism/requirements Facilitating direct access Programmatic approach Capacity-building
Programming	Does GCF programming sufficiently promote intended objectives and impacts?	Origination, development and appraisal to promote paradigm-shifting funding proposals Financial instruments Frameworks (e.g. investment, risk, environmental and social safeguards, results measurement) Gender, social inclusion and equity; indigenous peoples; climate justice; human rights Balanced, scaled-up funding Predictable, efficient, transparent processes; streamlining
Results	Is the GCF on track to achieve investment results?	Mitigation and adaptation impact Paradigm shift, scalability/replicability, innovation, technology transfer and capacity-building Co-benefits Catalysing climate finance Private sector Quality of implementation Unintended outcomes
Institutional architecture and performance	Is the GCF's institutional architecture fit for purpose?	Board governance performance, including effectiveness and efficiency, transparency and accountability, representation and voice, roles and responsibilities, approval processes Secretariat and independent units; capacity

KEY AREA	KEY QUESTIONS	EXAMPLES OF THEMES COVERED
		Progress on FPR recommendations Knowledge management Complementarity and coherence at the institutional level Structure and capacity of the broader GCF partnerships, including with the private sector

### 3. KEY STAKEHOLDERS OF THE SPR

The key targeted users of this evaluation are the UNFCCC; the GCF Board; the GCF Secretariat, other independent evaluation offices and units; national designated authorities (NDAs); civil society and private sector observers; international, regional and national accredited entities; and GCF delivery partners.

Other users of this evaluation include country-level stakeholders, such as public and private implementing partners, accreditation stakeholders, local civil society organizations (CSOs) and private sector organizations (PSOs), and potential beneficiaries. It may also be of interest to external regional and international actors, such as research institutes, National Governmental Organizations (NGOs) and academics tracking or analysing GCF performance.

The SPR will take a participatory and utilization-focused approach and will engage with key stakeholders throughout the evaluation through several channels: extensive consultation using interviews and surveys; active engagement at stakeholder events, such as webinars; and presentations at GCF events to update stakeholders on the progress and emerging findings of the SPR. The evaluation team will also actively involve NDAs / focal points, such as when conducting and reviewing the country case studies, to support ownership, real-time learning and validation. A communications plan in brief for the SPR is provided in Appendix 4.

## B. APPROACH AND METHODS

### 1. APPROACH

No single methodological approach will be able to address the broad scope of this comprehensive performance review of the GCF, which covers key areas ranging from institutional architecture and programming to the quality, effectiveness and impact of project implementation. The evaluation design must also recognize the multilevel nature of the SPR, with distinct approaches applied at the global portfolio, country and project levels. Therefore, the evaluation will use different approaches in various combinations to answer questions under an overall umbrella of a utilization-focused approach that tailors its mixed-methods to meet the intended uses of the evaluation by a diverse audience. The key principles are outlined below.

- **A utilization-focused approach** to the SPR with the underlying goal of and emphasis on informing a future update to the GCF's strategic plan for the next programming period. The evaluation team will focus on the utility of both the process and evaluation products to key stakeholders, with the objectives of accountability, learning and dialogue as stated in the Evaluation Policy for the GCF.
- **A theory-based approach** that will serve as a guiding framework for assessing the performance of the GCF in delivering on its mandate and USP (see section 2.b below). Given the multifaceted scope, nested theories of change will be developed that unpack key elements of the GCF logic chain to be tested through the SPR in more detail than is practical for the overarching theory of change for the GCF.

- **Adapting process evaluation techniques** to support the SPR's focus on institutional performance, effectiveness and efficiency. Process evaluation shares similarities with the goals of adaptive management to improve performance, although the former comes from an external rather than an internal perspective. The approach of process evaluation will help build an understanding of the planning and operational processes as designed and implemented in practice. It will also help address the experience "on the ground" and how this has changed from the IRM to GCF-1 within the organizational vision and institutional structure. Process evaluation is primarily a qualitative approach supported by quantitative activity and output data (such as indicators measuring performance against the USP).
- **A mixed-methods approach for collecting and analysing data and analysis.** This facilitates more analytical depth and breadth in a multilevel evaluation and the ability to answer the range of strategic-process- and results-related questions. The specific methods for data collection and analysis are described in the next section. The evaluation will take an integrated approach to mixing methods through the SP. The approach will be consistent with best practices for mixed-method evaluation and include the following:
  - Complementarity - by using methods to build on findings from other methods. These relationships involve, for example, using semi-structured interviews to understand better the explanations for trends that come out of quantitative portfolio data analysis. For example, if portfolio analysis reveals a pattern that certain types of projects are taking longer to move through the project cycle, or certain types of co-finance are not materializing as expected during implementation, or projects with certain characteristics are struggling with the quality of implementation, interviews can help explain why).
  - Development - by using methods to inform the development of other methods. These relationships involve, for example, using semi-structured interviews to develop an understanding of key issues and perceptions and using a survey to validate that understanding.
  - Triangulation - using different methods to compare findings, thereby strengthening the validity and reliability of findings. Triangulation will also identify where sufficient evidence has not been collected (and gap-filling must be conducted) and where there are discrepancies among different sources of evaluative evidence that must be explained.

## 2. KEY METHODS AND DATA-COLLECTION STRATEGIES

The mixed-methods approach will utilize a suite of data-collection and analysis methods, with a summary of each method described below. The evaluation matrix provided in Appendix 1 shows how these methods will be used in combination to answer each of the key evaluation questions. As the evaluation proceeds, the methods may also need to evolve somewhat to ensure key questions are comprehensively addressed.

The evaluation will ensure methodological rigour by using systematic tools to collect and analyse qualitative and quantitative data and triangulation across multiple data sources and methods. Once most data are collected and analysed through each method, the evaluation team will conduct a synthesis of these analyses, rooted in triangulation, to ensure the validity and reliability of evidence-based findings.

### a. Foundational analyses

Two key analyses were already completed prior to finalizing this approach paper: (i) the report of the Synthesis Study and (ii) the rapid assessment of the progress of the Green Climate Fund's

Updated Strategic Plan (hereafter, rapid assessment of the USP). These IEU deliverables contribute to the overall SPR and inform this evaluation design for the SPR.

The Synthesis Study is an early, stand-alone SPR product and analytical tool that seeks to lay the foundation for a common understanding of what is known about the current status of the GCF for all key stakeholders leading into the SPR. Its sources included, among others, (i) IEU evaluation reports and evidence reviews, (ii) key documents from the GCF Secretariat, Board, independent units and auditors, and (iii) reports and reviews of relevant global evidence from other players in climate finance and peer-reviewed literature related to GCF performance during the period under review. The evaluation team reviewed more than 200 documents as part of the synthesis process, updated key data analyses, and conducted a small number of scoping interviews. The Synthesis Study sought, at a minimum, to do the following:

- Collect and critically appraise information available in GCF-1 (2020–2023) after the FPR
- Provide a clear picture of what is already known for the SPR and serve as an update for the GCF Board on the SPR by synthesizing the key findings, conclusions and lessons of the documents and evaluations available in GCF-1
- Assess what is known to identify thematic areas where there is already substantial evidence (e.g. areas that have been substantially addressed recently or that will be addressed in parallel with the SPR timeline) and where there are GCF knowledge gaps (e.g. areas that have not yet been addressed comprehensively, where the previous evaluative evidence is substantially outdated, or areas that are too recently developed for meaningful data to be available yet)

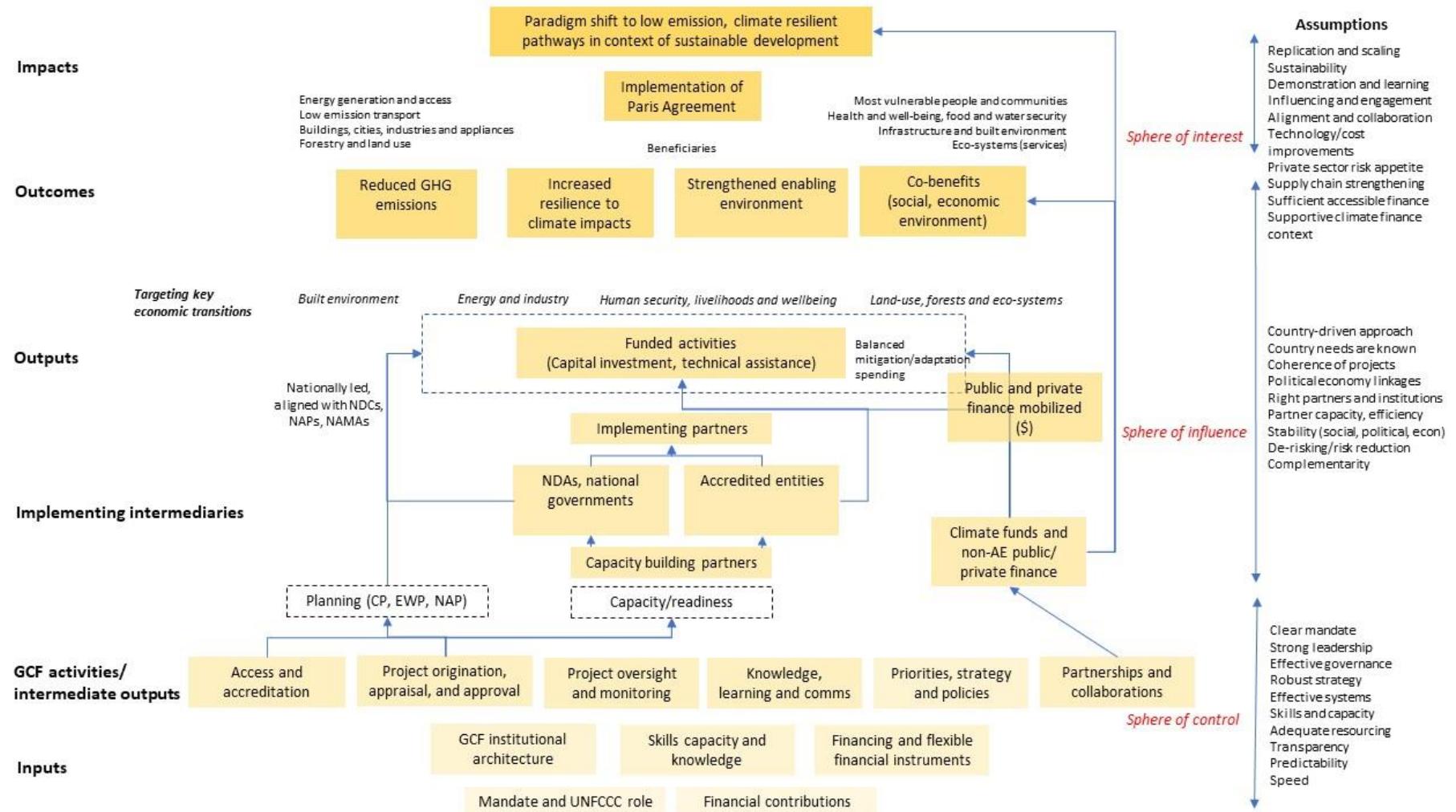
In conjunction with the evaluation questions documented in this approach paper, this mapping process via the Synthesis Study will guide the primary data collection for the SPR to enable focus on the areas of most value at this stage.

The rapid assessment of the USP assessed progress made against the metrics for the Updated Strategic Plan 2020–2023. The assessment was intended to complement the progress report presented by the Secretariat at each year's first Board meeting (in this case, B.31 in March 2022). Among other things, the strategic assessment addressed the performance of the GCF against the USP, taking into account effectiveness and efficiency; the overall outcomes, results and impacts as a result of this performance; and lessons learned, opportunities and challenges.

## b. Theory of change analysis

The SPR is guided by an overarching theory of change (ToC) for the GCF that illustrates key elements of the GCF logic chain, as shown in Figure A - 2. In developing the ToC, the evaluation team considered the retrospective ToC developed for the FPR, the initial ToC proposed by the GCF Secretariat in early drafts of the USP, the structure of the USP that implies its ToC, the results framework within the Integrated Results Management Framework, and the implications derived from the synthesis review – as well as other documentation and interviews.

For this approach paper, the initial ToC has been kept intentionally high level and conceptual to increase accessibility. This ToC will be supplemented with nested theories of change that further detail specific steps and/or linkages and their associated assumptions as needed to frame the analyses undertaken for the SPR. The structure of the ToC will play various additional roles throughout the evaluation, including informing the evaluation matrix in Appendix 1, the cross-case study analysis in section f below, and other analyses and tools. The overall ToC will be updated for the SPR evaluation report to reflect further understanding of the change mechanisms within the GCF logic model as they emerge from the SPR.

**Figure A - 2. High-level theory of change for the GCF**

Source: Developed by the SPR evaluation team

### **c. Document and literature review and content analysis**

The volume of documentation to be reviewed for the SPR is expected to be significant, in line with the broad scope and the importance of this review process. As noted above, the synthesis review already included an extensive document and literature review, which will continue throughout the data-collection stage as new documents become available and/or themes are identified that would benefit from a deeper review of external documents, such as those from other funds or academic papers.

The following key categories of documents will undergo or have already undergone in-depth review using pattern and content analysis:

- The GCF Governing Instrument, strategic plans, policies, frameworks, administrative instructions and guidelines (both shared with the Board and internal)
- GCF Board meeting reports, decisions, informational documents and discussions
- Reviews and reports by the GCF Secretariat, Private Sector Advisory Group, independent Technical Advisory Panel (iTAP) and Accreditation Panel
- Project cycle documents, including funding proposals, concept notes, readiness proposals, country programme documents, national adaptation plans (NAPs), Project Preparation Facility (PPF) documents, portfolio reports and templates
- Evidence of results, including annual progress reports (APRs), AEs' own project/programme monitoring and completion reports, interim and final independent project/programme evaluations, and Readiness and Preparatory Support Programme (RPSP) completion reports
- Evaluation reports by AEs and direct access entities (DAEs) of the GCF on the climate- and/or GCF-related portfolio
- Prior and ongoing IEU evaluations, working papers and country case studies, including emerging data analysis and results from Learning-Oriented Real-Time Impact Assessment Programme impact evaluations
- IPCC and UNFCCC documents, including guidance to and reviews of the GCF
- Academic and non-academic (grey) literature on the performance of the GCF; challenges, solutions and innovations in climate finance; multilateral governance and institutional performance; and lessons from other global climate finance agencies
- Additional country-level documents for the country case studies (see section f below), including nationally determined contributions, NAPs, nationally appropriate mitigation actions, long-term strategies and other national climate strategies

Document review will feed into all aspects of the evaluation, from the evaluability assessment through to literature reviews - in order to ground the SPR in climate finance best practice and inform the development of analytical rubrics (such as the institutional performance assessment framework described below) - and on to reviews of project-level documentation for systematic analysis with the IEU DataLab, and beyond. External documentation will also inform the benchmarking exercise, described further below.

### **d. Portfolio data analysis with IEU DataLab**

Portfolio data analysis will be a critical source of evidence for assessing GCF-wide performance. The evaluation team anticipates numerous quantitative and qualitative analyses of the GCF portfolio, drawing primarily on extensive data sets maintained by the IEU DataLab, including those related to accreditation, APRs, funded activity agreements, financing and disbursement, project portfolios, and Secretariat and iTAP assessments of funding proposals. Based on newly available

completion reports, new or expanded data sets may also be prepared and analysed, such as those related to gender and social inclusion and RPSP outcomes. GCF data sets will be updated to a cut-off date to be determined by the SPR team.

External data sets will also be analysed as part of the SPR (e.g. other sources of climate finance at country and global levels to inform assessment of complementarity and coherence). Quantitative sources of data will likely include the OECD Creditor Reporting Systems with its Rio markers for climate change, the joint multilateral development bank (MDB) annual reporting on climate finance, the UNFCCC Biennial Assessment and Overview of Climate Finance Flows, as well as analysis of these and other data sources from institutes such as the Stockholm Environment Institute and Climate Policy Institute.

Table A - 2 provides examples of indicative data analyses by key evaluation area, with more expected to emerge as data collection progresses and new hypotheses are explored. Analyses will be disaggregated by relevant parameters such as type of AE, public/private, adaptation/mitigation, financial instrument, etc. Analyses will also focus on comparing metrics of GCF performance in GCF-1 against the IRM.

**Table A - 2. Indicative data analyses by area**

KEY EVALUATION AREA	EXAMPLES OF INDICATIVE DATA ANALYSES
Translating mandate into policies, priorities and frameworks	Progress against USP programming targets Global- and country-level climate finance analysis
Country needs and ownership	Information from RPSP documents (e.g. completion reports, budget and procurement plans) Types of capacity strengthened, evidence of technology transfer supported, evidence of stakeholder inclusive and equitable participation
Access	Trends over time in accreditation efficiency (IRM versus GCF-1) Elapsed time for reaccreditation versus accreditation Number of projects in the pipeline or approved by AE during the first accreditation period Direct access coverage by country group Capacity of international AEs to support DAEs
Programming	Proportion of RPSP and PPF technical assistance leading to concept notes, FPs, NAPs Funding approved and in the pipeline Comparison of quality of FPs (based on IEU evaluability study) across subgroups (e.g. RFP, PPF- and RPSP-supported FPs) Comparison of Secretariat and iTAP assessments of FPs over time Proportions of withdrawn/rejected concept notes / FPs over time Processing times from submission to approval Proportion of projects that indicate implementation challenges and per cent of delayed activities, and adaptive management response Proportion of projects with risk flags and/or undergoing risk review Extent of gender considerations/actions in funded activities
Results	Quality at entry Timeline of actual results versus expected results Aggregation of self-reported results in APRs Co-financing trends

KEY EVALUATION AREA	EXAMPLES OF INDICATIVE DATA ANALYSES
Institutional architecture and performance	Effectiveness and efficiency of decision-making (timeline, types of decisions, proportion of agenda/documents opened/not opened) Pattern analysis of Board comments on FPs in Board meeting reports Extent and nature of member and observer participation in Board meetings

### e. Perception data: interviews and surveys

Gathering evidence on stakeholder perceptions, experiences and lessons through interviews and surveys will be a key strategy for all six key areas of the SPR. The evaluation will be conducted using a highly participatory process, with extensive consultation with the broader GCF partnership and community, reflecting the scope and gravity of the SPR.

Table A - 3 presents the types of stakeholders we expect to consult and the indicative sampling approach. The interview sampling strategy is largely purposive, focusing on key actors that may offer in-depth knowledge and insights in the areas of interest, while assuring a diverse range of viewpoints and maintaining flexibility for snowball integration. Surveys will be targeted at specific stakeholder groups and inclusive of those entire group's populations (e.g. all Board members, alternate members and advisers).

**Table A - 3. Stakeholders to be consulted and indicative sampling**

STAKEHOLDER TYPES	INDICATIVE SAMPLING
GCF Secretariat technical and management staff, across divisions and independent units	Key actors, plus snowballing approach, and including former staff; estimated 40 interviewed; all senior staff consulted via survey
GCF Board members, alternate members and advisers	All current Board members; alternate members and advisers, as available; former estimated 25–30 interviewed; all consulted via survey
GCF CSO and PSO observers	All interviewed and surveyed; 4
iTAP, Accreditation Panel and Private Sector Advisory Group	All interviewed and surveyed; estimated 15
AEs, including DAEs and international AEs	Representation across key categories (e.g. national, regional and international; MDBs, United Nations organizations, international NGOs; public and private sector entities); estimated 40 interviewed; all surveyed
CSOs and PSOs	Active observers and representatives; estimated 25 surveyed
RPSP delivery partners	Key actors; estimated 6 interviewed
UNFCCC	Key actors; estimated 4 interviewed
Other GCF partners and climate finance actors (e.g. GEF, CIF, Adaptation Fund, development finance institutions, private sector partners)	Key actors; estimated 10 interviewed
Additional external regional and international actors, such as research institutes, NGOs, and academics who are tracking or analysing GCF performance	Key actors; estimated 15 interviewed
NDAs / focal points	Estimated two per country case study (24 total); all surveyed
Additional country-level stakeholders, including government ministries, public and private	Key actors, plus snowballing approach; minimum of 15 interviewed per country case study (180 total)

STAKEHOLDER TYPES	INDICATIVE SAMPLING
implementing partners, accreditation stakeholders, local CSOs and PSOs, GCF activity beneficiaries	

**Interviews.** Semi-structured<sup>2</sup> interview protocols will guide the interviews. They will be tailored by stakeholder type and iteratively tested and improved. Interviews will be primarily conducted via videoconference (or audio for informants with bandwidth limitations) through platforms such as Microsoft Teams, Zoom, Skype or WhatsApp. Ethical standards will apply during all interviews (see section C below on evaluation ethics).

Interviewers will take detailed, typed interview notes, and, when feasible and with the consent of interviewees, interviews may be recorded to facilitate validation. Interview notes will be anonymized in line with standard evaluation ethics and coded in Dedoose to facilitate qualitative analysis. Interview notes will be organized according to the broad categories of the key informant interview protocols and evaluation matrix.

Interview data will be primarily analysed using qualitative methods of content and pattern analysis. A parent-level coding structure will be developed that aligns with the evaluation questions and sub-questions (a deductive approach), while remaining open to inductive coding – that is, developing new codes for unexpected topics that emerge. Child-level codes will be further developed for each parent code to identify patterns in the interview transcripts. The evaluation team will collate the coded interview excerpts and summarize the responses to identify interview-based findings that will be triangulated with other sources of evidence to identify key evaluation findings.

**Surveys.** To supplement the interviews described above, the evaluation also anticipates conducting two to four targeted surveys of the following stakeholder groups, which would provide narrower, quantifiable feedback on select themes:

- All **Board members, alternate members and advisers**, along with other key actors with informed views on institutional performance/governance in the GCF, including **observers**, staff of **UNFCCC** and representatives of senior management in the **Secretariat**: This input could serve to provide quantitative inputs and/or rubric classifications (see the section below on the institutional performance framework).
- All **NDAs**: This input will complement the richness of the detailed case studies, such as by focusing on the country ownership and needs key area and/or being a gauge of country-level perspectives on whether and what aspects of GCF performance are improved in GCF-1 versus the IRM. NDA perspectives on certain aspects of institutional performance/governance could also be gathered via survey, for comparison with the perspectives of other stakeholder groups. For case study countries, key questions in this survey tool could be verbally administered during the last 10 minutes of each country case study interview to ensure responses.
- All **AEs**: This input will help to assess GCF performance in GCF-1 versus the IRM, including performance related to access, programming modalities and processes, and certain aspects of institutional performance/governance.
- Select **Secretariat** staff: This input will focus on targeted programming topics.

The SPR team anticipates conducting any online surveys in the latter part of the data-collection and analysis phase. This design decision means survey development can be informed by emerging findings from the interviews and document analysis. Such findings can then be formulated into

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<sup>2</sup> Semi-structured interviewing enables the interviewer to follow an agreed set of questions while retaining the flexibility to adapt the process depending on the interviewee and to probe further when a fruitful line of questioning emerges.

statements to elicit survey responses using a Likert scale. Open-ended responses will also be allowed for respondents to further explain their selections. This approach will enable triangulation across methods.

The online surveys will have integrated skip logic to increase efficiency within stakeholder groups and standardization across stakeholder groups. Close-ended survey data will be analysed in Microsoft Excel using descriptive statistics to assess whether responses show statistical differences by key identifying information (e.g. type of stakeholder, country or region). Open-ended survey data will be analysed using the same coding techniques described for the interview data.

## f. Country case studies

The country case studies are both an output of the SPR (via stand-alone case study reports) and an input to the broader SPR analysis of select questions in the country needs and ownership, access, programming, results, and institutional architecture and performance areas of the evaluation. In particular, the case studies will provide important evidence of (i) the results achieved (including unintended results) by GCF-funded activities and RPSP grants through interviews, documentation and direct observation; (ii) GCF complementarity and coherence at the country-level, including the role of country programmes in supporting this; and (iii) the country-level perspective on GCF performance in GCF-1 versus the IRM.

**Selection.** Twelve countries were purposively identified for case studies: Bangladesh, Georgia, Grenada, India, Maldives, Mauritius, Morocco, Namibia, Peru, Rwanda, Solomon Islands and Vietnam.<sup>3</sup>

In order to identify countries for case studies, the IEU developed preliminary selection criteria, and supplemented the shortlist through consultations with the Secretariat. From the longlist of all GCF eligible countries, a shortlist of 68 countries was first identified by excluding countries that were the subject of an IEU evaluation case study in 2020 and 2021.<sup>4</sup> The evaluation team also sought to balance its selection across other portfolio criteria, such as the following:

- **Number and maturity of GCF projects.** Selected countries should have at least one single-country project that has been in implementation for multiple years (i.e. have 2+ APRs), given the focus on results achieved in countries. The evaluation team also sought to include countries with single-country projects more recently approved for benchmarking GCF-1 to IRM experiences.
- **Portfolio representation across adaptation/mitigation and public/private.** Selected countries should include coverage of projects with adaptation, cross-cutting and mitigation focus, and those that are managed by the GCF Secretariat's Division of Mitigation and Adaptation and Private Sector Facility to support a balanced assessment of progress towards results.
- **Accredited entities.** Selected countries should include those with national DAEs (accredited and/or nominated, with an official account) and those without, as well as cover a range of international AEs (IAEs).
- **Regional and subregional representation.** Selected countries should cover all regions with proportionality to the overall GCF portfolio in terms of number of countries and total funding.

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<sup>3</sup> Given the limitations associated with COVID-19 and other potential challenges associated with working in these countries, seven alternate countries have also been identified (see Appendix 2).

<sup>4</sup> These include countries featured in the Independent Evaluation of the Relevance and Effectiveness of the GCF's Investments in the LDCs; the Independent Evaluation of the GCF's Approach to the Private Sector; the Independent Evaluation of the Adaptation Portfolio and Approach of the Green Climate Fund; and the Independent Evaluation of the Relevance and Effectiveness of the Green Climate Fund's Investments in the SIDS.

- **African States, least developed countries (LDCs) and small island developing States (SIDS) representation.** Selected countries should cover the GCF's priority for highly vulnerable countries, while recognizing that the IEU has very recently funded evaluations in LDCs and SIDS with associated country case studies, and that an Africa evaluation is being launched in 2022.
- **FPR countries.** Selected countries should include countries that were case studies for the FPR, to help benchmark performance improvements or deteriorations between the IRM and GCF-1.

Appendix 2 shows the attributes of the countries selected against these criteria.

**Conduct.** Several approaches will be utilized, based on budget availability for travel and continued travel restrictions and safety considerations because of the ongoing COVID-19 pandemic. The preferred approach will be through in-person engagement (one-week missions led by travelling members of the SPR evaluation team). The second option is using a hybrid approach (led remotely by members of the SPR evaluation team in partnership with national consultants located in-country). SPR team members will abide by all national and local COVID-19 rules and guidelines and international best practices in terms of masking, social distancing, and hygiene.

A protocol for the country case studies will be prepared to ensure that evaluators plan, implement, report and validate country visits in a consistent manner and to enable cross-case analysis. The SPR team will pilot the protocol in one country (Rwanda), review and refine the approach, and then proceed with the remaining countries.

The NDAs / focal points will be actively involved in the conduct of the country case studies to support ownership, learning and validation. NDAs / focal points will be engaged in the planning process and will have the opportunity to review the case study reports to ensure factual accuracy and opportunity for improvement.

**Cross-case analysis.** Cross-case analysis will inform the overall findings of the SPR, aligned with selected sub-questions in the evaluation matrix and involving pattern analysis and many of the same techniques described above for the Synthesis Study. In addition to the 12 country case studies carried out for the SPR, cross-case analysis will also engage, to the extent feasible, relevant sections of prior country case studies from IEU evaluations conducted during GCF-1, including evaluations of the GCF portfolio in the LDCs and SIDS, and approaches to adaptation and the private sector.

### **g. Benchmarking and landscape analysis**

Past IEU evaluations have extensively benchmarked major features of the GCF access modalities, policy frameworks and business model with other climate funds and multilateral organizations, including the FPR, country ownership evaluation, SIDS evaluation and private sector evaluation, among others. The SPR will undertake targeted qualitative benchmarking on key issues as they emerge throughout the evaluation process. Building on initial literature reviews conducted for the Synthesis Study, indicative areas for benchmarking and landscaping analysis could include the following:

- **Governance**, on issues such as representation and voice, observer participation, accountability procedures, structure (e.g. use of constituencies and committees), decision-making procedures (e.g. consensus, voting), and roles and responsibilities between the governing and managing bodies (e.g. delegation authority). Potential comparator organizations could include the Global Environment Facility (GEF); Climate Investment Funds (CIF); Global Partnership for Education; Consultative Group on International Agricultural Research; Gavi, the Vaccine Alliance; and the Global Fund to Fight AIDS, Tuberculosis and Malaria – representing some of the largest global partnership programmes providing financing for developing countries through multi-donor trust funds.

- **Knowledge management**, including strategy and practices relative to stage of organizational maturity.
- **Strategic directions and programming areas of other dedicated climate funds and development partners** (e.g. MDBs, development finance institutions) as a landscape analysis, to help inform an analysis of the positioning and comparative advantage of the GCF. Examples include the CIF's foray into energy storage and grid integration of variable renewable energy; the GEF's movement towards integrated approaches that address climate change objectives alongside land degradation, biodiversity loss and other drivers of environmental degradation; and recent efforts by major international and bilateral climate players, such as the European Commission's sustainable finance efforts to mainstream climate and other sustainability considerations into its financial policies and risk management systems. The increasing mainstreaming of climate change targets and objectives into MDB and development finance institution investment will also be reviewed in the context of GCF complementarity.

Benchmarking and landscape analyses will be based on both secondary (e.g. evaluations of comparator organizations' governance and management performance, peer-reviewed and grey literature analyses) and primary data sources (e.g. interviews and review of the comparator organizations' policies and operational documents).

### **h. Institutional architecture and performance framework**

An institutional performance assessment framework will provide a structure and normative standards for the review of the institutional architecture and performance theme. Development of this framework (and the associated tool) will occur immediately following completion of this approach paper. This tool will contextualize GCF performance in terms of its organizational uniqueness and maturity and will be designed to capture its progress on its institutional performance journey since the IRM period. The application of this tool will closely link with process evaluation techniques and data-collection strategies, including in-depth document reviews, interviews and surveys.

In developing this framework, we will draw on the literature review<sup>5</sup> already conducted for the Synthesis Study, which identified four dimensions of good governance in multilateral institutions, as shown in Table A - 4.

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<sup>5</sup> Documents consulted: Global Environment Facility Evaluation Office, *Fourth Overall Performance Study of the GEF: Full Report* (Washington, D.C., 2010); Global Environment Facility Independent Evaluation Office, *OPS6 Final Report: The GEF in the Changing Environmental Finance Landscape* (Washington, D.C., 2018); Zedillo, E. and others, *Repowering the World Bank for the 21st Century: Report of the High-Level Commission on Modernization of World Bank Group Governance* (2009); Independent Evaluation Office, International Monetary Fund, *Governance of the IMF: An Evaluation* (2008); Food and Agriculture Organization of the United Nations, *FAO: The Challenge of Renewal. Report of the Independent External Evaluation of the Food and Agriculture Organization of the United Nations* (2007); Universalia, *Organizational Assessment: A Framework for Improving Performance* (2002).

**Table A - 4. Governance assessment dimensions**

DIMENSIONS OF GOOD GOVERNANCE	NOTES
Effectiveness	Including the extent to which the Board delivers on its key roles and functions – including good strategy formulation, implementation and oversight – and its operations as a collective, as well as clarity of responsibilities and roles within the Board (including its committees, panels and groups) and in relationship to management and operations.
Efficiency	Including the degree of effort, time and resources required for the Board to deliver on its mandate. This may include how much time and how many documents it takes for issues to be discussed by the Board. Efficiency also considers the extent to which delegation to committees, panels and groups increases the speed with which the Board delivers on its responsibilities.
Representation and voice	Concerning adequate channels for all stakeholders of an organization to not only express their views but also participate meaningfully in decision-making and influence policy outcomes.
Accountability	Dealing with the Board’s instruments to monitor and evaluate the Secretariat, as well as how Board members are held accountable themselves. Transparency is a related issue.

Other resources to support the development of the institutional architecture and performance framework include the Multilateral Organisation Performance Assessment Network (MOPAN), the International Research Development Centre’s (IDRC) organizational assessment performance tool,<sup>6</sup> and the broader international relations literature on multilateral effectiveness. For example, MOPAN considers organizational effectiveness across four pillars – strategic management, operational management, relationship management, and performance management – each with indicators that represent international best practice. The IDRC’s organizational performance framework considers performance (measured by effectiveness and efficiency in fulfilling its mandate, relevance and financial viability) to be a function of capacity, external environment and motivation. Particularly relevant in the context of the GCF’s performance journey is the IDRC’s consideration of whether organizations have an enabling environment that is indeed conducive to performance, in terms of policies, sociocultural environment, governance environment and organizational motivation based on history (major struggles or changes in leadership or size, evolution of the mission, cultural attitudes and organizational norms, and incentive/rewards systems). Consideration of external context, such as global threats to multilateralism recently raised by experts such as Linn (2018),<sup>7</sup> among others, and COVID-19, will also be important.

### i. Gender and social inclusion analysis

In-depth analysis of gender and social inclusion (GESI) issues will be conducted. Separating gender from other axes of inequality can be both difficult and inappropriate; for example, gender often intersects with other disadvantages (e.g. poverty), and addressing gender in the absence of a broader social justice lens can be problematic. This approach paper uses the term GESI to encompass the GCF’s major institutional commitments to gender and indigenous peoples, as well as other

<sup>6</sup> Charles Lusthaus and others, *Organizational Assessment: A Framework for Improving Performance* (Ottawa, International Development Research Centre, and Washington, D.C., Inter-American Development Bank, 2002).

<sup>7</sup> Johannes Linn, “Recent Threats to Multilateralism”, *Global Journal of Emerging Market Economies*, vol. 9, No. 1-3 (2018).

disadvantaged populations who may be a particular focus of certain programmes (e.g. small-scale farmers, youths), and broader commitments to inclusivity, participation<sup>8</sup> and climate justice.<sup>9</sup>

The GCF's updated Gender Policy of 2019 calls for an institution-wide commitment to promoting gender equality, including within the Secretariat, across its investment criteria and as "an integrated measure of the social dividends of the overall portfolio".<sup>10</sup> Similarly, the SPR's analysis will cover gender equality from multiple perspectives, including the extent to which gender is considered at the institutional level (i.e. in governance, operations and procedures), the project/programme level (i.e. in terms of addressing and reducing gender gaps) and the national level (i.e. through processes, standards and policies of the NDAs, AEs and delivery partners). Across all levels, the SPR team will also consider the extent to which the GCF commitment to gender equality is appropriately resourced and monitored.

The SPR will utilize a mixed-methods approach to analysing the GCF's performance on GESI, including capacity to deliver on GESI-related objectives. The team plans to focus on interpretive analysis driven by qualitative methods but powerfully informed by quantitative data as feasible. Qualitative methods are better suited to analysing GESI in many respects, including for an in-depth exploration of human phenomena, capturing the worldviews of those involved and the complexity and contexts of participants' lived experiences. Because they are flexible and iterative, they are also especially well-suited for exploring a given theme across diverse contexts and generating insights drawn from diverse (and often idiosyncratic) results. For example, aims such as participation, empowerment and inclusion are inherently difficult to quantify insofar as there are no unequivocal metrics to serve as a "bottom line".

GESI considerations will be mainstreamed throughout the SPR to the extent feasible, in addition to conducting distinct GESI analysis. Each tool or framework developed for each method will be reviewed by the evaluation team's GESI specialist to ensure it is appropriately responsive to relevant elements. For example, GESI will be a priority topic to explore in each country case study, the reports of which will have a section on GESI. Questions regarding GESI will be included in the interview guides. IEU DataLab analysis is also expected on GESI issues in the GCF's funded activity and RPSP portfolios.

**Gender continuum.** Gender equity exists along a continuum, from gender-inequal or gender-blind to gender-aware, gender-responsive and gender-transformative. While gender-responsive actions acknowledge and consider gendered differences among men and women, gender-transformative actions seek to address causes of gender-based inequality. The SPR team will develop a rubric tool to assess the GCF portfolio along this continuum, with additional scoring for the spheres of influence targeted by GCF projects/programmes (e.g. from individual and community spheres, where women's individual voices, skills or livelihoods are advanced, to systems and institutional spheres to policy and regulatory spheres). Characterizing the GCF portfolio in this way will contribute strong evidence to finding-level messaging about the extent to which the GCF portfolio represents good practice, how different aspects of the business model affect this performance (e.g. DAE or IAE implementation), and the ways in which gender performance can be improved in the next GCF programming period.

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<sup>8</sup> Equitable participation will be understood in terms of civil society and beneficiaries having a voice in investments that affect them and opportunities to influence policy and decisions.

<sup>9</sup> Climate justice will be approached in terms of project targeting and benefits sharing, and whether and how benefits are reaching disadvantaged populations.

<sup>10</sup> See <https://www.greenclimate.fund/document/gender-policy>.

## C. EVALUATION ETHICS

The evaluation will comply with core principles of evaluation ethics, including integrity, accountability, respect and beneficence.<sup>11</sup> The evaluation team will conduct itself with professional integrity in accordance with professional and ethical guidelines and codes of conduct for individual evaluators. The team will make efforts to communicate honestly, truthfully and openly with relevant stakeholders concerning aspects of the evaluation, such as findings, procedures, limitations or changes that may have occurred. The team will make every effort to be sensitive to differences in culture, ethnicity, ability, age, sexual orientation, language, religious beliefs, manners, customs and practices of stakeholders. The evaluation will respect the standards and principals of human rights and gender equality. Consistent with a principle of inclusion, and to support learning and accountability, all country case study reports will be shared with interviewees for factual review and correction. The evaluations will be carried out in a participatory manner. The evaluation report will include an account on how stakeholders were engaged through the evaluation process while appropriately reflecting the various perspectives and voices of multiple stakeholders (including the most vulnerable) involved.

The evaluation will also respect participants' autonomy and obtain free and prior informed consent from them to use confidential information, aligned with the principles of respect and "doing no harm". Evaluators will respect the participants' right to provide information in confidence and ensure that participants fully understand the scope and limits of confidentiality. We will explicitly seek stakeholders' voluntary, informed consent for participation for all data-collection tools, including interviews, with an opportunity to refuse or opt out at any point in the process.<sup>12</sup> Anonymity of participants will be ensured for all relevant data-collection methods (i.e. interviews and survey). Interview notes will be anonymized for analysis and will not be shared outside the evaluation team. If a participant asks for confidentiality, their protection will also be carefully considered when we publish evaluation documents, including the omission of their name in the annexes relating to particular interviews. The evaluation team will ensure that any sensitive data cannot be traced to their source through triangulation (so that findings are not based on a single source of evidence).

## D. LIMITATIONS

This evaluation is subject to several limitations and challenges. First, the scope is broad and being undertaken through a rapid timeline. Second, the majority of documents to be reviewed are written with a particular point of view (e.g. prepared by the GCF Secretariat) and stakeholders to be engaged may have a narrow perspective on the GCF and/or a broader agenda they wish to pursue through engagement with the evaluation team. Similarly, data are often self-reported through GCF internal data systems and cannot be systematically verified. Third, this evaluation was launched in November 2021 and the entirety of the data-collection activities are expected to take place under varying degrees of COVID-19 pandemic restrictions and considerations. Fourth, much of the GCF portfolio is still quite early in implementation and requirements have evolved over time, which may limit the depth to which some evaluation questions can be addressed and/or the broader

<sup>11</sup> See United Nations Evaluation Group, *UNEG Ethical Guidelines for Evaluation* (2020). Available at <http://www.uneval.org/document/detail/2866>.

<sup>12</sup> Specific language will be provided in the interview protocols. Interviewers will assure interviewees that all responses will be held confidentially and will obtain verbal consent that the information shared during the interview can be used in the overall analysis and reporting for the SPR and that the interviewee's name can be included in a list of stakeholders consulted. Interviewees will also be informed that they may choose not to participate in the interview, to end the interview prematurely, or not to answer specific questions. Questions will be asked in plain English and tailored to the knowledge and experience of the interviewee.

generalizability of some findings. Fifth, limitations of qualitative research such as external validity and generalizability remain. Finally, while the evaluation has artificially determined cut-off dates, evolution of the GCF transcends strategic periods and calendar years.

The evaluation will mitigate these limitations and challenges through the following measures:

- The universe of literature is comprehensive and exhaustive within the GCF-1 period. The evaluation uses a theory-based and iterative process to arrive at the most relevant, reliable and informative sources for the specific analytical tasks and themes.
- The evaluation will include extensive consultations with experts and other stakeholders to validate emerging findings and discover unseen data and information beyond that already published.
- Stakeholder consultations, especially country missions, will be in-person whenever feasible, otherwise they will be remote. The evaluation team will use a nimble approach to adapt to the particular context and circumstances as they evolve to ensure the safety of all parties.
- The evaluation will apply critical appraisal criteria for all sources and develop narratives to put emerging findings and conclusions into perspective with regard to their validity and generalizability.
- Many members of the core evaluation team are trained in social sciences methods and are familiar with the GCF. They are full-time personnel of the IEU or independent consultants with no conflict of interest; a team approach will be applied to reduce individual evaluator bias.
- The IEU is leading the study and is responsible for its substantive content and presentation.

## E. WORKPLAN

### 1. TEAM ROLES AND RESPONSIBILITIES

The IEU leads this evaluation, and the consultancy firm ICF was selected through a competitive procurement process to carry out the evaluation in partnership with the IEU. The overall evaluation team consists of IEU personnel and ICF colleagues. The ICF evaluation team was responsible for developing this approach paper, which draws on the evaluation matrix and the consultancy terms of reference developed by the IEU. The overall team consisting of IEU and ICF members will be responsible for data collection and analysis and preparing the final evaluation report, under the oversight of and in full collaboration with the IEU. The IEU will bear full responsibility for the evaluation.

### 2. PROCESS FOLLOWED TO DATE

A series of inception calls were held between the IEU and the ICF evaluation team in November 2021. These calls enabled the evaluation team to identify priorities for this evaluation, outline key elements of the approach and methods, and generally establish a working relationship.

After contracting, the evaluation team immediately began the synthesis process to establish a baseline for the current status of the GCF, determine what evidence was available for key thematic areas, and identify gaps. The Report of the Synthesis Study<sup>13</sup> was finalized on 7 March 2022 and informed preparation of this approach paper.

A series of scoping conversations and webinars were also held with the GCF Secretariat and Board members to inform the design of the evaluation matrix and identification of key issues and tensions.

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<sup>13</sup> See <https://ieu.greenclimate.fund/document/report-synthesis-study-spr>.

### 3. GENERAL WORKPLAN

The evaluation process has been divided into three general phases.

- **Inception phase** (November 2021–March 2022): This phase involves the process followed to date and culminates in the Final Approach Paper and Synthesis Report (see also Table A - 5 below)
- **Data-collection and analysis phase** (March–August 2022): This phase involves the planning and implementation of the data-collection and analysis methods, including the country case studies
- **Reporting and communication phase** (September 2022–January 2023): During this phase, the evaluation report will be drafted and socialized; feedback will be received and responded to; the report will be finalized and submitted to the Board; and communication and learning materials will be prepared and events will be held

The key deliverables for the evaluation are described below, followed by a detailed workplan for the evaluation.

### 4. KEY DELIVERABLES

The evaluation team will produce the key deliverables shown in Table A - 5 below. In addition to these key deliverables, other work products will include data sets produced or analysed in collaboration with the IEU DataLab; an evidence tree summarizing key questions, evidence from different analyses and key findings; and presentations, evaluation briefs and other learning products. All outputs produced by the ICF evaluation team will go through a thorough quality assurance process prior to delivery to the IEU.

**Table A - 5. Key deliverables and deadlines**

KEY DELIVERABLE	DESCRIPTION	DATE
Synthesis Report	Stand-alone synthesis report that synthesizes and assimilates existing information related to GCF performance during its first replenishment period (GCF-1), providing a foundation for common understanding of what is known about the current status of the GCF for all key stakeholders leading into the SPR	Mini-Approach Paper for Synthesis Study (15 November 2021) Final Synthesis Report (7 March 2022)
Approach Paper	Describes the approach, methods and workplan for the evaluation; includes analytical tools	Final Approach Paper (April 2022)
Country Case Study Reports	Prepared for each country based on a standard reporting template and finalized after factual review through a process facilitated by the NDAs  Will be prepared shortly following the conclusion of interviews for each country case study (i.e. within 1–2 weeks)  Will also include annexes that ensure transparency of the evidence base, such as list of stakeholders consulted and survey results	Final Country Case Studies (to be included as annexes to the Final Report)
Evaluation Report	Provides the evaluation's data and analysis, key findings, conclusions and recommendations  Will include a ~40 page summary for decision makers, along with a longer technical report, with a second volume of annexes that include the evaluation matrix, list of stakeholders consulted, bibliography, country mission	Final Report (early 2023)

KEY DELIVERABLE	DESCRIPTION	DATE
	reports, IEU DataLab analyses, survey results, and other supporting evidence and analysis	

## 5. DETAILED WORKPLAN

Table A - 6, Table A - 7 and Table A - 8 present the detailed workplan for the evaluation.

**Table A - 6. Detailed workplan for the evaluation – inception phase (November 2021 - March 2022)**

ACTIVITIES	NOV				DEC				JAN				FEB				MAR						
	W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4	W 5	W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4	W 5	
1 Virtual inception meetings		●	●																				
2 Scoping consultations for SPR			●	●	●	●	●	●						●	●	●	●	●	●	●	●	●	
3 Synthesis mini-approach paper (Draft and Final)	●	●																					
4 Conduct synthesis (critical appraisal, thematic coding, memo writing, IEU DataLab updating, literature reviews)			●	●	●	●	●	●		●	●												
5 Synthesis Report (Draft and Final)												●	●	●	●	●	●	●	●	●	●	●	
6 Evaluation questions and matrix development						●	●											●	●	●	●	●	
7 Country case study selection								●				●	●	●									
8 Approach Paper (Draft and Final)																		●	●	●	●	●	
9 Pilot country mission																			●				

Note: Dark grey denotes editorial review time prior to Board submission or publishing; dots indicate deliverables.

**Table A - 7. Detailed workplan for the evaluation – data-collection and analysis phase (March - August 2022)**

ACTIVITIES	APR				MAY				JUN				JUL				AUG					
	W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4	W 5	W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4	W 5
10 Document and literature review	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●
11 Country case studies		●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●
12 Semi-structured interviews		●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●
13 Portfolio analysis with IEU DataLab	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●

ACTIVITIES	APR				MAY				JUN					JUL				AUG				
	W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4	W 5	W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4	W 5
14	Institutional performance analysis																					
15	Theory of change analysis																					
16	Benchmarking and landscaping analysis							•														
17	Gender analysis																					
18	Online survey																					
19	Triangulation; gap-filling																					
20	Preparation of evidence tree and preliminary findings																					

**Table A - 8. Detailed workplan for the evaluation – reporting and communication phase (September 2022 - December 2023)**

ACTIVITIES	SEP				OCT				Nov				DEC				2023				
	W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4	W 1	W 2	W 3	W 4	W 5	W 1	W 2	W 3	W 4				
21	Factual report						•														
22	Review and revision process																				
23	Presentation of emerging findings at B.34 (24–27 October)																				
24	Final report preparation																				
25	Editing, learning products, socializing, webinars, Board meeting presentation																				

## APPENDICES

## Appendix 1. EVALUATION MATRIX

KEY AREA	KEY QUESTIONS	SUB-QUESTIONS	EXAMPLES OF THEMES COVERED	INDICATIVE DATA-COLLECTION AND ANALYSIS METHODS/TOOLS
Translating mandate into policies, priorities and frameworks	Has the GCF clearly translated its mandate into policies, priorities and frameworks to inform and guide its operations?	To what extent has the GCF sufficiently and consistently articulated its comparative advantage and boundaries within the (evolving) global context of climate finance?  What are the strengths and weaknesses of the USP as a strategic document?  To what extent has the policy architecture been developed? To what extent is it internally aligned yet flexible enough for different contexts, and to what extent is it addressing country and corporate needs?  To what extent has the GCF been responsive to guidance from the Convention?  To what extent are GCF policies, priorities and frameworks clearly, consistently and sufficiently informing each operational element (e.g. access, pipeline development, appraisal process, monitoring, knowledge management and learning)?	Strategic relevance in the global architecture Complementarity and coherence at the international/institutional level  USP  Policy architecture  Responsiveness to COP  Articulation of strategy for every element; alignment/integration within the GCF	Document analysis Synthesis of past IEU evaluations and Secretariat reviews ToC analysis Semi-structured interviews Surveys Institutional performance framework assessment tool Process evaluation techniques Rapid assessment of USP Targeted external benchmarking

KEY AREA	KEY QUESTIONS	SUB-QUESTIONS	EXAMPLES OF THEMES COVERED	INDICATIVE DATA-COLLECTION AND ANALYSIS METHODS/TOOLS
		To what extent are GCF processes, modalities and support programmes aligned to promote and support the intended outcomes?	Alignment/integration within the GCF	
Country needs and ownership	Are GCF processes, modalities and support programmes well tailored to the varied and evolving needs of developing countries and useful for promoting country ownership?	How well is the GCF facilitating a country-driven approach, strategically and operationally?	Country ownership of programming; responding to needs of developing countries	Document analysis Synthesis of past IEU evaluations and Secretariat reviews ToC analysis Semi-structured interviews Surveys
		What are the strengths and weaknesses of the country capacity-building efforts to date?	Capacity-building; technology transfer	
		To what extent are each of the GCF processes, modalities and support programmes sufficiently flexible to allow tailoring to differing country circumstances and needs?	Alignment/tailoring to country needs for every element	Needs assessment Process evaluation techniques Country case studies and comparative case analysis Gender equity and social inclusion analysis
		To what extent has the GCF delivered on promoting coherence at the national programming level, including through country programmes?	Coherence and complementarity at the national level; supporting implementation of the Paris Agreement and nationally determined contributions	
		To what extent are the different GCF processes, modalities and support programmes facilitating country-driven approaches in synergistic ways?	Alignment/integration within the GCF	
Access	Is the GCF's access approach optimized to meet country needs and	How fit for purpose are the accreditation mechanisms and categories for the needs going	Access mechanism/requirements	Document analysis

KEY AREA	KEY QUESTIONS	SUB-QUESTIONS	EXAMPLES OF THEMES COVERED	INDICATIVE DATA-COLLECTION AND ANALYSIS METHODS/TOOLS
	promote intended impacts?	forward, including reaccreditation?		Synthesis of past IEU evaluations and Secretariat reviews
		How effective and efficient have GCF accreditation approaches and processes been in supporting improved and direct access to Fund resources in GCF-1?	Facilitating direct access; programmatic approach	ToC analysis Semi-structured interviews Surveys Process evaluation techniques
		To what extent are DAEs' needs for capacity-building being met?	Capacity-building	Country case studies and comparative case analysis
Programming	Does GCF programming sufficiently promote intended objectives and impacts?	To what extent are pre-approval systems (e.g. Division of Mitigation and Adaptation and Private Sector Facility processes, application of investment criteria, independent Technical Advisory Panel review, risk framework) consistent with promoting intended objectives and impact?	Origination, development and appraisal to promote paradigm-shifting funding proposals; quality at entry of FPs; financial instruments	Document analysis Portfolio data analysis Synthesis of past IEU evaluations and Secretariat reviews
		To what extent are post-approval systems (e.g. Integrated Results Management Framework, risk framework, independent units) facilitating managing for results and risk?	Frameworks (e.g. investment, risk, environmental and social safeguards, results measurement)	ToC analysis Semi-structured interviews Surveys Institutional performance framework assessment tool Process evaluation techniques Country case studies and comparative case analysis Gender equity and social inclusion analysis
		How effective has the GCF been in addressing the gender and social inclusion related dimensions of climate interventions?	Gender, social inclusion and equity; indigenous peoples; climate justice; human rights	
		To what extent are GCF-1 programming targets set by the	Balanced, scaled-up funding; Predictable, efficient, transparent processes	

KEY AREA	KEY QUESTIONS	SUB-QUESTIONS	EXAMPLES OF THEMES COVERED	INDICATIVE DATA-COLLECTION AND ANALYSIS METHODS/TOOLS
		Board and Secretariat being met, including balance between regions, results areas, country circumstances, and improved speed, predictability, efficiency, effectiveness and transparency?  To what extent are the specific programming process and systems (still) valid and necessary?		
Results	Is the GCF on track to achieve investment results?	What evidence is there so far that the intended outputs, outcomes and impacts have been achieved/are likely to be achieved?	Mitigation and adaptation impact; paradigm shift, scalability/replicability, innovation, technology transfer and capacity-building, co-benefits (including gender and social inclusion related outcomes)	Document analysis Portfolio data analysis Synthesis of past IEU evaluations and Secretariat reviews
		What evidence is there so far that GCF investments are catalysing public and private finance?	Catalysing climate finance; private sector	Theory of change analysis Semi-structured interviews Surveys
		What were the key drivers influencing the achievement or non-achievement of the intended project-level outputs and outcomes?	Quality of implementation	Process evaluation techniques Country case studies and comparative case analysis Gender equity and social inclusion analysis
		What have been the unintended consequences (positive or negative)?	Unintended outcomes	
Institutional architecture and performance	Is the GCF's institutional architecture fit for purpose?	How well does the GCF institutional architecture, including Board governance, enable fulfilment of the GCF mandate?	Board governance performance, including effectiveness and efficiency, transparency and accountability, representation and voice, roles and responsibilities, approval processes	Document analysis Synthesis of past IEU evaluations and Secretariat reviews

Approach paper of the Second Performance Review  
Appendices

KEY AREA	KEY QUESTIONS	SUB-QUESTIONS	EXAMPLES OF THEMES COVERED	INDICATIVE DATA-COLLECTION AND ANALYSIS METHODS/TOOLS
		What progress has been made towards aligning and strengthening the Secretariat's operational structures, systems and capacities to meet strategic direction and evolving needs?	Secretariat and independent units; capacity	Theory of change analysis Semi-structured interviews Surveys Institutional performance framework assessment tool Process evaluation techniques Targeted external benchmarking
		What progress has been made on recommendations in the FPR relating to institutional structure, processes, policies and approach?	Progress on FPR recommendations	
		How well are knowledge management and learning processes meeting the needs of different stakeholder groups, including to promote innovation?	Knowledge management	
		How well has the GCF engaged in partnerships to enhance complementarity and coherence and maximize its results?	Complementarity and coherence at the institutional level; structure and capacity of the broader GCF partnerships; private sector	

## Appendix 2. ATTRIBUTES OF IDENTIFIED CASE STUDY COUNTRIES

COUNTRY	LDC/SIDS	APPROVED PROJECTS & CHARACTERISTICS
AFRICA		
Mauritius	Y	<b>FP033</b> , Public, Mitigation, Single-Country, IY: 4 <b>FP099</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP095</b> , Private, Cross-cutting, Multi-Country, IY: No APRs <b>FP135</b> , Public, Adaptation, Multi-Country, IY: No APRs <b>FP161</b> , Public, Adaptation, Multi-Country, IY: No APRs
Morocco*		<b>FP042</b> , Public, Adaptation, Single-Country, IY: 3 <b>FP025</b> , Private, Cross-cutting, Multi-Country, IY: 3 <b>FP022</b> , Public, Cross-cutting, Single-Country, IY: 3 <b>FP043</b> , Public, Adaptation, Single-Country, IY: 3 <b>FP099</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP095</b> , Private, Cross-cutting, Multi-Country, IY: No APRs <b>FP151</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP152</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP140</b> , Private, Mitigation, Multi-Country, IY: No APRs
Namibia*		<b>FP027</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP023</b> , Public, Adaptation, Single-Country, IY: 4 <b>FP024</b> , Public, Adaptation, Single-Country, IY: 4 <b>SAP001</b> , Public, Adaptation, Single-Country, IY: 2 <b>FP095</b> , Private, Cross-cutting, Multi-Country, IY: No APRs <b>FP098</b> , Private, Cross-cutting, Multi-Country, IY: 2 <b>SAP006</b> , Public, Adaptation, Single-Country, IY: 2 <b>FP163</b> , Public, Mitigation, Multi-Country, IY: No APRs
Rwanda*	Y	<b>FP005</b> , Private, Cross-cutting, Multi-Country, IY: 5 <b>FP073</b> , Public, Cross-cutting, Single-Country, IY: 2 <b>FP151</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP152</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP148</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP167</b> , Public, Cross-cutting, Single-Country, IY: No APRs <b>FP181</b> , Private, Adaptation, Multi-Country, IY: No APRs
Egypt (Alternate)		<b>FP025</b> , Private, Cross-cutting, Multi-Country, IY: 3 <b>FP039</b> , Private, Mitigation, Single-Country, IY: 4 <b>FP053</b> , Public, Adaptation, Single-Country, IY: 3 <b>FP095</b> , Private, Cross-cutting, Multi-Country, IY: No APRs
Zambia+ (Alternate)	Y	<b>FP072</b> , Public, Adaptation, Single-Country, IY: 3 <b>FP099</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP080</b> , Private, Mitigation, Single-Country, IY: 1 <b>FP148</b> , Private, Mitigation, Multi-Country, IY: No APRs
ASIA-PACIFIC		
Bangladesh*	Y	<b>FP004</b> , Public, Adaptation, Single-Country, IY: 3

COUNTRY	LDC/SIDS	APPROVED PROJECTS & CHARACTERISTICS
		<b>FP069</b> , Public, Adaptation, Single-Country, IY: 3 <b>FP070</b> , Public, Cross-cutting, Single-Country, IY: 2 <b>SAP008</b> , Public, Adaptation, Single-Country, IY: 1 <b>FP150</b> , Private, Mitigation, Single-Country, IY: No APRs <b>FP177</b> , Public, Cross-cutting, Multi-Country, IY: No APRs
India*		<b>FP045</b> , Public, Adaptation, Single-Country, IY: No APRs <b>FP084</b> , Public, Cross-cutting, Single-Country, IY: 2 <b>FP081</b> , Private, Mitigation, Single-Country, IY: 2 <b>FP164</b> , Private, Mitigation, Single-Country, IY: No APRs
Maldives	Y	<b>FP007</b> , Public, Adaptation, Single-Country, IY: 4 <b>FP165</b> , Public, Adaptation, Single-Country, IY: No APRs
Solomon Islands	Y	<b>FP044</b> , Public, Cross-cutting, Single-Country, IY: 2
Vietnam		<b>FP013</b> , Public, Cross-cutting, Single-Country, IY: 4 <b>FP071</b> , Public, Mitigation, Single-Country, IY: 1 <b>FP125</b> , Public, Adaptation, Single-Country, IY: 1
Fiji (Alternate)	Y	<b>FP008</b> , Public, Adaptation, Single-Country, IY: 3 <b>FP151</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP152</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>SAP016</b> , Private, Mitigation, Single-Country, IY: No APRs <b>FP180</b> , Private, Adaptation, Multi-Country, IY: No APRs
Sri Lanka (Alternate)		<b>FP016</b> , Public, Adaptation, Single-Country, IY: 3 <b>FP124</b> , Public, Adaptation, Single-Country, IY: No APRs <b>FP177</b> , Public, Cross-cutting, Multi-Country, IY: No APRs <b>FP180</b> , Private, Adaptation, Multi-Country, IY: No APRs
<b>EASTERN EUROPE</b>		
Georgia		<b>FP025</b> , Private, Cross-cutting, Multi-Country, IY: 3 <b>FP068</b> , Public, Adaptation, Single-Country, IY: 3 <b>FP086</b> , Public, Cross-cutting, Multi-Country, IY: 2 <b>FP132</b> , Public, Mitigation, Single-Country, IY: No APRs
<b>LATIN AMERICA AND THE CARIBBEAN</b>		
Grenada	Y	<b>FP020</b> , Public, Mitigation, Multi-Country, IY: 4 <b>FP059</b> , Public, Adaptation, Single-Country, IY: 1 <b>FP061</b> , Public, Adaptation, Multi-Country, IY: 2
Peru*		<b>FP001</b> , Public, Cross-cutting, Single-Country, IY: 4 <b>FP149</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP128</b> , Private, Mitigation, Multi-Country, IY: 3 <b>FP173</b> , Public, Cross-cutting, Multi-Country, IY: No APRs
Brazil (Alternate)		<b>FP100</b> , Public, Mitigation, Single-Country, IY: 1 <b>FP151</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP152</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP143</b> , Public, Cross-cutting, Single-Country, IY: No APRs <b>FP181</b> , Private, Adaptation, Multi-Country, IY: No APRs <b>FP173</b> , Public, Cross-cutting, Multi-Country, IY: No APRs

COUNTRY	LDC/SIDS	APPROVED PROJECTS & CHARACTERISTICS
		<b>FP180</b> , Private, Adaptation, Multi-Country, IY: No APRs
Colombia (Alternate)		<b>FP056</b> , Public, Adaptation, Single-Country, IY: 3 <b>FP134</b> , Public, Mitigation, Single-Country, IY: No APRs <b>FP173</b> , Public, Cross-cutting, Multi-Country, IY: No APRs <b>FP180</b> , Private, Adaptation, Multi-Country, IY: No APRs
El Salvador Alternate)		<b>FP009</b> , Public, Mitigation, Single-Country, IY: 2 <b>FP089</b> , Public, Cross-cutting, Single-Country, IY: 2 <b>FP097</b> , Private, Adaptation, Multi-Country, IY: 2 <b>FP174</b> , Public, Adaptation, Multi-Country, IY: No APRs <b>FP151</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP152</b> , Private, Mitigation, Multi-Country, IY: No APRs <b>FP177</b> , Public, Cross-cutting, Multi-Country, IY: No APRs

Source: Tableau server iPMS and Portfolio Performance Management System data, as of B.30.

Notes: \*Country has DAE projects under implementation.

IY: Implementation Year

## Appendix 3. DRAFT OUTLINE FOR THE SPR REPORT

Below is a draft outline for Volume I of the SPR evaluation report. An additional volume is also expected that will include supporting evidence and analysis, including the country case study reports, survey results and other data analysis. This outline is subject to change.

### 1. Introduction and context for the SPR

#### 2. GCF strategic relevance

- a) Complementarity, coherence and collaboration
- b) The GCF and the broader partnership
- c) Responsiveness to COP

#### 3. GCF institutional architecture and performance

- a) Governance
- b) Management
- c) Policy architecture
- d) Updated Strategic Plan: Performance and lessons for future strategic planning

#### 4. Improving access to the GCF

- a) Accreditation strategy and approach
- b) Accreditation processes and modalities
- c) Direct access

#### 5. Programming for results in response to country needs

- a) Progress towards programming targets
- b) GCF's strategic relevance at the country-level
- c) Effectiveness of country readiness and preparatory support
- d) Effectiveness of development, appraisal and approval systems
- e) Programming cycle efficiency
- f) Managing for risk and results
- g) Gender equity and social inclusion

#### 6. Results and impact of GCF investments

- a) Results achieved
- b) Catalysing finance
- c) Factors affecting results
- d) Progress towards impact

#### 7. Conclusions and recommendations

- a) Conclusions
- b) Recommendations

#### References

#### Appendices

## Appendix 4. KNOWLEDGE MANAGEMENT AND DISSEMINATION PLAN IN BRIEF

### 1. BACKGROUND

Paragraph 64 (a) of the Evaluation Policy for the GCF, which is contained in Annex I of decision B.BM-2021/07, states that “The IEU and the Secretariat will include a dissemination/knowledge management plan for evaluations in their respective work programmes. The Secretariat’s knowledge management function will also play a critical role in this space.” Further, paragraph 64 (d) of the Evaluation Policy goes on to say that “the GCF will promote the sharing of evaluative evidence across GCF partners through different modes of dissemination and communication.”

In this context, this draft communications strategy has been developed, by the IEU, to serve as the Unit’s “dissemination/knowledge management plan” for its SPR of the GCF. This strategy outlines how the IEU plans to disseminate the findings and learnings from this evaluation, including information about suggested modes of dissemination and communication, and provides an indicative timeline for key activities and engagement plans.

### 2. ABOUT THE EVALUATION

The Governing Instrument of the GCF provides for periodic independent evaluations of the performance of the Fund to provide an objective assessment of the results of the Fund. In decision B.BM-2021/11, the Board of the GCF launched the SPR. The scope of the SPR is to assess the following:

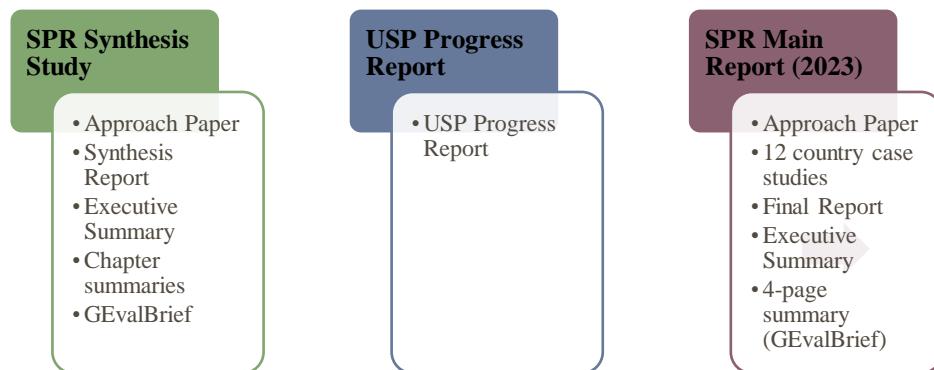
- The progress made by the GCF in delivering on its mandate as set out in the Governing Instrument as well as in terms of its strategic and operational priorities and actions as outlined in the Updated Strategic Plan (USP) for 2020–2023
- The performance of the GCF in promoting the paradigm shift towards low-emission and climate-resilient development pathways

The final evaluation report will be presented to the Board at its first meeting in 2023. In addition to the final report, a number of other evaluation products are scheduled to be delivered during 2022:

- Forward-looking Performance Review Management Action Report (FPR MAR) – B.31
- SPR Synthesis Study – March 2022
- Rapid assessment of progress of the GCF’s USP 2020–2023 – March 2022
- SPR report summary – last Board meeting of 2022
- SPR final evaluation report – first Board meeting of 2023

### 3. SPR DELIVERABLES AND COMMUNICATIONS-RELATED OUTPUTS

#### a. Key deliverables/reports contributing to the SPR



#### b. Communications outputs

OUTPUT	KEY AUDIENCE	CONTENT/COMMENTS	EXPECTED DELIVERY
IEU website	All	Serves as a hub for all public resources generated by the evaluation; updated immediately once new content becomes available	A designated web page created in mid-2021 and updated throughout 2022 and early 2023
Synthesis Study Approach Paper	All	Approach, questions, methods of the Synthesis Study	November 2021
IEU Board webinar	Board	Update on overall progress and planned approach for the evaluation, with opportunity for discussion and feedback	16 February 2022
IEU Brief	All	Provides a summary of the evaluation's background and objectives, key focus areas, and methods, including country case studies	March 2022
Synthesis Report	All	Synthesis of previous IEU evaluations, other GCF documentation and relevant academic/grey literature	7 March 2022
2-page chapter summaries of Synthesis Report	Board, Secretariat	2-page summaries of each chapter in Synthesis Study	March 2022
USP Progress Report	All	Assessment of progress made in achieving the objectives set out in the GCF's USP 2020–2023	March 2022
Approach Paper	Board, Secretariat	Approach, questions, messages of the evaluation	April 2022
Webinars and/or Board Side Events to present key findings	Board, Secretariat	In these webinars or Board (virtual) Side Events, the evaluation team will present the evaluation's key findings and answer any questions the attendees may have	Based on opportunity and invitation

OUTPUT	KEY AUDIENCE	CONTENT/COMMENTS	EXPECTED DELIVERY
Final Evaluation Report	All	Contains the evaluation questions, in-depth data analyses, conclusions, findings and recommendations	Early 2023
Executive Summary	All	A 10–15-page executive summary of the evaluation report	Early 2023
4-page summary (GEvalBrief)	All	A 4-page summary brief that focuses primarily on the evaluation’s background, key questions, findings and recommendations; the summary brief is designed for busy readers and is a useful tool to disseminate to a wider audience	2023
Final country case study reports	All	Twelve country case study reports: TBA	2023
Video (subject to personnel capacity available during the suggested time period)	All	A 5- to 7-minute video summary of the evaluation’s key findings and recommendations, which will be uploaded to YouTube and the IEU’s website	2023
Social media	All	Key updates for products/events related to the evaluation	Through the evaluation process

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