



ADAPTATION FUND

AFB/EFC.14/5  
25 February 2014

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Ethics and Finance Committee  
Fourteenth meeting  
Bonn, Germany, 18-19 March 2014

Agenda item 6

## **OPTIONS FOR AN EVALUATION OF THE FUND**

## Background

1. At its thirteenth meeting (March 2011) the Adaptation Fund Board (the Board) approved an evaluation framework for the Adaptation Fund (the Fund). As part of the decision, an overall evaluation for the Fund was discussed (Decision B.13/20). At the time there were questions about the best time to launch such an evaluation given the lack of maturity of the portfolio. The Evaluation Office (EO) of the Global Environment Facility (GEF), in its capacity as interim evaluation function for the Fund, submitted a document at the request of the Board for options to conduct an overall evaluation for the Fund. The document, prepared by the GEF EO, and presented at the Ethics and Finance Committee's (EFC) twelfth meeting, proposed that the interim evaluation function either implement a comprehensive evaluation of the Fund or oversee the evaluation conducted by another entity.

2. After considering the comments and recommendations of the Ethics and Finance Committee (EFC), the Board subsequently decided to request the secretariat to prepare a document containing:

- a) *options for terms of reference for possible evaluations of the Fund covering different scopes;*
- b) *a proposal regarding the timing of each option taking into account the status of the Fund's active portfolio;*
- c) *costs associated with each option; and*
- d) *options for commissioning the evaluation.*

**(Decision B.21/17)**

3. The secretariat engaged the services of an evaluation expert to develop the present document which delineates options for a possible evaluation of the Fund.

4. After reviewing document AFB/EFC.14/6, the EFC may wish to consider the options presented in the document and recommend a way forward to the Board for approval.

## Reviews of the Adaptation Fund

5. The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) decided that the interim institutional arrangements for the secretariat and the trustee shall be reviewed after three years (decision 1/CMP.3, paragraph 32). In 2010, the CMP decided to undertake the review of the Fund at its seventh session and every three years thereafter (decision 6/CMP.6, paragraph 1). At the request of the CMP (id., paragraph 3), the Board commissioned a performance review of the interim secretariat and interim trustee (Review of the interim arrangements of the Adaptation Fund, Rouchdy 2011) that was finalized and submitted to the CMP for consideration in 2011. The initial review of the interim arrangements of the Fund was completed by the CMP in 2013 (Decision 4/CMP.8).

6. The CMP decided to undertake the second review of the Fund in accordance with the terms of reference (TORs) contained in the annex to Decision 2/CMP.9 (See Box 1, below). Eventually, an overall evaluation of the Fund would inform this or future reviews of the Fund.

**Box 1: Extract of the TORs for the second review of the Adaptation Fund** (Decision 2/CMP.9)**I. Objective**

1. The objective of the second review is to ensure the effectiveness, sustainability and adequacy of the operation of the Fund, with a view to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) adopting an appropriate decision on this matter at CMP

**II. Scope**

2. The scope of the second review of the Adaptation Fund will cover the progress made to date and lessons learned in the operationalization and implementation of the Fund, and will focus on, *inter alia*:

- (a) The provision of sustainable, predictable and adequate financial resources, including the potential diversification of revenue streams, to fund concrete adaptation projects and programmes that are country driven and based on the needs, views and priorities of eligible Parties;
- (b) Lessons learned from the application of the access modalities of the Adaptation Fund;
- (c) The institutional linkages and relations, as appropriate, between the Adaptation Fund and other institutions, in particular institutions under the Convention;
- (d) The institutional arrangements for the Adaptation Fund, in particular the arrangements with the interim secretariat and the interim trustee.

7. Since the Fund became operational in 2010, many studies and reviews of the Fund have been commissioned by outside institutions. These include studies of the Fund's access modalities, governance structure, and comparative analyses with other adaptation and climate change funds (Canales Trujillo N. and S. Nakhooda. 2013, WRI 2013, Brown *et al.* 2013, CDKN 2012, CIS 2012, Kaloga 2012, Climate Focus 2011, Brown *et al.* 2010, ECBI 2010, Ratajczak-Juszko 2010, IIED 2009, Hedger *et al.* 2008,) as well as published peer-reviewed journal articles (Stadelmann, *et al.* 2013, Barrett 2013, Oberlack and Eisenack 2013, Horstmann and Abeysinghe 2011, Grasso 2010).

8. The scope and focus of these studies varies according to the interest of each institution or researcher. Annex B presents the main recommendations of studies found through an internet search. These recommendations should inform the formulation of specific sub-questions for the Fund's overall evaluation and be used, together with the findings of reviews and studies, during triangulation.

**Presentation and Analysis of Main Possible Options**

9. The purpose of this section is to present the main possible options for conducting an overall evaluation of the Fund as a basis for discussion, analysis and decision making. It does not intend to present the universe of all possible options. Options presented here are the result of analysis and a literature research (reviews against best practices and international standards, studies and reviews of the Fund). For their formulation, Board decisions and reports as well as the evaluation framework of the Fund were also strongly considered. In addition, these main possible options contemplate the scope and results of previous Fund reviews/analysis and scope of the planned Fund second review to avoid duplication of efforts.

10. The results of the analysis and main possible options are presented in the form of a decision tree (Figure 1), which was developed after the implementation of a preliminary evaluability assessment (Table 1). An evaluability assessment seeks to answer the question: is the Fund ready for an overall evaluation? A complete evaluability assessment focuses on the design and maturity of structures and process and development of the theory of change to

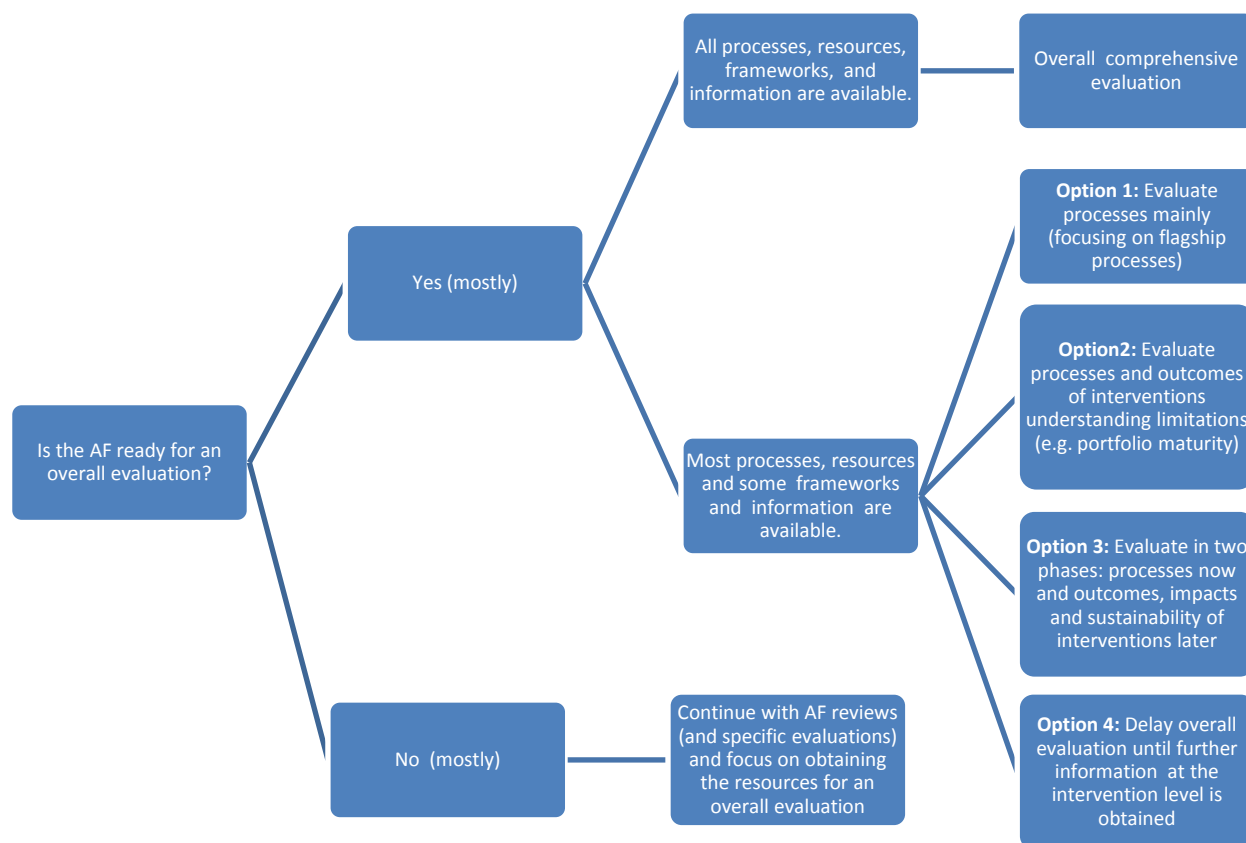
understand the logic behind the Fund's processes and interventions. It is usually implemented before an overall evaluation. Additionally, it considers the time available to design, commission and implement the evaluation, the availability of information and resources (funds, staff) (DFID 2013, UN Women Fund 2009, OJJDP 2003).

**Table 1. Preliminary evaluability assessment of the Adaptation Fund**

Conduciveness of the context, resources (funds, staff, etc.)	Time to design, commission and implement the overall evaluation	Availability of information/data	Programme design
<p><u>Overall, conducive:</u> Availability of funds; unknown amount. Other resources present/possible.</p>	<p><u>Plausible:</u> evaluation could be completed over a seven month average considering time frame of other evaluations* (LDCF, SCCF, FCPF, etc.) and scope of evaluation</p>	<p><u>Partial:</u> Mostly on processes (and their relevance, efficiency, effectiveness, results, and sustainability). Data available on:</p> <ul style="list-style-type: none"> <li>• Institutional outputs</li> <li>• Institutional short-term outcomes/processes</li> <li>• Some outputs at projects/programmes</li> </ul>	<p><u>In Place:</u></p> <ul style="list-style-type: none"> <li>• Operational Policy and Guidelines (OPG)</li> <li>• Accreditation Process (Fiduciary Standards)</li> <li>• Project/Programme Review Criteria</li> <li>• Results Framework (including effectiveness &amp; efficiency indicators)</li> <li>• Evaluation Framework</li> </ul> <p><u>Partial</u></p> <ul style="list-style-type: none"> <li>• Environmental and Social Policy (recently approved)</li> <li>• Core results indicators (under development)</li> </ul>

\*The Forest Carbon Partnership Facility (FCPF) was evaluated two years after its operationalization. The evaluations of the LDCF, SCCF and FCPF were limited by the lack of maturity of their portfolios. Analysis based on: DFID 2013, UN Women Fund 2009, OJJDP 2003.

**Figure 1. Decision Tree with main possible options (options 1 through 4)**



11. Main possible options presented below are described in terms of their main objective, scope and time frame, estimated schedule and budget, and an initial analysis of their strengths and weaknesses.

### Option 1: Process Evaluation

12. A process evaluation focuses on operations. It evaluates the internal dynamics of the funding institution paying special attention to the Fund's flagship processes – accreditation process, direct access modality, transparency, governance, etc.

13. *Main objective:* Focus on project, programme, and policy implementation and improvements. Main questions: Whether the operational design and logic of the Fund corresponds with the actual operations, what have been the results (outputs) of operations and what are the key lessons that can be drawn for the future operation of the Fund? Potential or illustrative specific sub-questions for this and the other options are included in Annex D.

14. *Expected depth and general time frame:* The core of the evaluation would cover the first four years of the Fund's operations, from 2010, when it became fully operational, onwards and until the date that data collection for the evaluation starts. The evaluation should cover ongoing and completed processes. Overall, the evaluation's scope includes progress made by the Fund

in its operations and implementation. For this, the OECD-DAC Evaluation Criteria of effectiveness, efficiency, relevance, impacts and sustainability should be used.

15. *Estimated schedule and budget:* The cost of any of the evaluation options is entirely contingent upon the scope and nature of the evaluation activities, evaluation team member skills, methodology, and constraints of the analysis. For this option, a period of five to six months is estimated for the implementation of the evaluation, with an approximate cost ranging from US\$ 190,000 to US\$ 200,000. Tables 5 and 10 in Annex A present this information in further detail.

16. *Strengths and opportunities:*

- a) Shortest time frame: Focus on a process evaluation would allow for a more rapid evaluation. If started within the fourth quarter of FY14 (May/June 2014) it could potentially be completed by the second quarter of FY15 (October/November 2014). Findings and lessons could potentially be available for the CMP10 meeting<sup>1</sup> as well as general decision making by the Board for adaptive management of the Fund. It therefore provides information on processes at a critical time. The sooner the Board learns what is working and what needs to be improved, the better its position to positively impact its operations and implementation.
- b) Fewer funds required to implement the evaluation given the scope of the evaluation: The budget estimate ranges from US\$ 190,000 to US\$ 200,000.
- c) Informed by previous Fund documents and reviews as well as studies completed by other institutions and researchers, which tend to analyse the Fund's structure and processes.

17. *Weaknesses and threats:*

- a) Limited information, processes only, available for decision making: At the end of the evaluation, information is mainly on processes and not on interventions.
- b) Limited time to design and implement the evaluation if results are to also provide information to the Fund's second review and be presented during the CMP10 meeting. Selection of evaluation teams and/or quality assurance panel, socialization of specific TORs for the evaluation and implementation would have to be somewhat expedited to feed other reviews and processes.
- c) Need to access funds for the evaluation immediately (see prior bullet point).
- d) The second Fund review shares many of the same questions as the overall evaluation, depending on timing and coordination there could be significant overlap.
- e) Repetition of certain aspects to be evaluated: Previous studies completed by other institutions have extensively analyzed the Fund's structure and processes.

## **Option 2: Limited Overall Evaluation**

18. A limited overall evaluation of the Fund considers limitations posed by its young portfolio. It includes process and performance evaluation of the internal dynamics of the funding institution as well as outcome evaluation of interventions where possible. It assumes that the next overall evaluation would be comprehensive given the portfolio maturity level. The limited overall evaluation includes process evaluation and aspects of a summative evaluation (including the review or the search for potential short-term results).

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<sup>1</sup> UNFCCC COP 20/CMP 10 - Twentieth session of the Conference of the Parties and the tenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol from 01 - 12 Dec 2014 in Lima, Peru.

19. *Main objective:* To assess the progress towards the Fund's objectives, the major achievements and lessons from the Fund's processes and implementation and formulate recommendations for potential improvement. Therefore, the main evaluation questions would include: What are the achievements (up to short term results) of the Fund since it was established and what are the key lessons that can be drawn for the future?

20. *Expected evaluation depth and general time frame:* The core of the evaluation would cover the first four years of the Fund's operations, from 2010 until the launch of the evaluation. The evaluation would cover ongoing and completed processes and interventions. Overall, the evaluation's scope would include progress made by the Fund in directing resources towards concrete activities and interventions to increase adaptive capacity and resilience, and decrease vulnerability of non-Annex 1 Parties to the Kyoto Protocol. For this, the OECD-DAC Evaluation Criteria of effectiveness, efficiency, relevance, impacts and sustainability should be used. In addition, flexibility of interventions will be analysed – to account for the uncertainty of climate change and the evolving knowledge base (Hedger et al. 2008).

21. *Estimated schedule and budget:* For this option, an average of seven to eight months is estimated for the implementation of the evaluation, with an approximate cost ranging from US\$ 245,000 to US\$ 260,000. Tables 6 and 10 in Annex A present this information in further detail.

22. *Strengths and opportunities:*

- a) Mid-range costs (higher than option 1, lower than options 3 and 4): The budget estimate ranges from US\$ 245,000 to US\$ 260,000.
- b) Mid-range time frame (longer than option 1, shorter than options 3 and 4): The time frame is estimated between seven to eight months.
- c) Informed by other previous Fund documents and reviews as well as studies completed by other institutions.
- d) Feasible: Forest Carbon Partnership Facility (FCPF) evaluated at similar level of operationalization.
- e) Less duplication: Several studies completed by other institutions tend to analyse the Fund's structure and processes but less on interventions on the ground.
- f) Information on short-term outcomes and impacts of the Fund.

23. *Weaknesses and threats:*

- a) Limited information at the level of project and programmes available for decision making.
- b) Limited time to design and implement the evaluation.
- c) Longer time frame: It is unlikely that the evaluation findings and recommendations will be ready by COP20/CMP10.
- d) Need to access funds immediately.

### **Option 3: Two-phased Evaluation**

24. Phase 1 focuses on a process/performance evaluation (see option 1 above) and Phase 2, once the portfolio matures, focuses on an evaluation of the portfolio including long term outcomes, impacts and sustainability of the Fund's interventions. This option assumes a linkage between Phase 1 and 2 that should be pursued during Phase 2. Phase 2 could be undertaken when the portfolio has further matured (i.e., mid 2016, early 2017).

25. The main objective of Phase 1 would be to assess whether the operational design and logic corresponds with actual operations, and identifies results of implementation of such

operations. It looks at inputs (resources), activities of the institution (the Fund), which are areas of control internal to the organization, and outputs reaching direct beneficiaries of the Fund. The main question it asks is: whether the operational design and logic of the Fund corresponds with the actual operations, what have been the results (outputs) of the operations and what are the key lessons that can be drawn for the future operation of the Fund?

26. The second phase includes the review or the search for long term results. Have anticipated results been realized? In this case, the main objective of the evaluation is to assess the progress towards Fund objectives, the major achievement of results and lessons from the Fund's active portfolio of projects and to formulate recommendations for potential improvement. Therefore, the main evaluation question includes: what are the achievements of the Fund since it was established and what are the key lessons that can be drawn for the future?

27. *Expected depth and general time frame:* The core of the evaluation would cover the first four years of the Fund's operations, from 2010 until the launch of the evaluation. The evaluation should cover ongoing and completed processes and interventions. The evaluation should also examine briefly developments since the time the Fund was established to understand its evolution.

28. *Estimated schedule and budget:* For this option, a period of five to six months for the first phase and eight months for the second phase is estimated for the implementation of the evaluation, with an approximate cost ranging from US\$ 300,000 to US\$ 335,000. Tables 7, 8 and 10 in Annex A present this information in further detail.

29. *Strengths and opportunities:*

- a) Similar to option 1, the results of the process evaluation can feed into the second review of the Fund and findings and lessons would potentially be available for the CMP10 meeting as well as general decision making by the Board for adaptive management of the Fund (Phase 1).
- b) Initially, fewer funds required to implement the evaluation given the scope of the evaluation (Phase 1)
- c) Shorter time frame to complete Phase 1 versus options 2 and 4.
- d) No overlap with the second review of the Fund (Phase 2).
- e) Information on long-term outcomes and impacts may be possible (Phase 2)
- f) More projects and programmes completed and available from which lessons learned can be drawn (Phase 2).
- g) Longer time frame to plan the evaluation, consult key stakeholders prior to the evaluation (Phase 2)

30. *Weaknesses and threats:*

- a) Limited information, processes only, available for decision making concerning Phase 1. Further information later in time (Phase 2).
- b) Limited time to design and implement Phase 1 of the evaluation if results are to feed second review and be presented during CMP10 meeting.
- c) Need to access funds immediately for Phase 1.
- d) Time lag of results from one phase and another phase may render the first phase inadequate for analysis during second phase.
- e) Higher transaction costs: Two phased evaluation increases costs as separate procurement processes for the commissioning of the phases need to be in place.
- f) Higher challenges integrating results from each phase.



#### Option 4: Delayed Overall Evaluation

31. Delay the overall / comprehensive evaluation until the portfolio reaches maturity. The evaluation is postponed until the portfolio has further matured, for example, 50 per cent of projects and programmes presently in the portfolio have completed a final evaluation (i.e., mid 2016, early 2017).

32. *Main objective:* To assess progress towards the Fund's objectives, the major achievement and lessons from the Fund's implementation and formulate recommendations for potential improvement. Therefore, the main evaluation question would be: what are the achievements of the Adaptation Fund since it was established and what are the key lessons that can be drawn for the future?

33. *Expected depth and general time frame:* The core of the evaluation would cover the first four years of the Fund's operations, from 2010, when it becomes fully operational, onwards and until the date that data collection for the evaluation starts. The evaluation should cover ongoing and completed processes and interventions. The evaluation should also examine briefly developments from since the Fund was established to understand its evolution.

34. *Estimated schedule and budget:* For this option, a period of eight months is estimated for the implementation of the evaluation, with an approximate cost ranging from US\$ 320,000 to US\$ 350,000. Tables 9 and 10 in Annex A present this information in further detail.

35. *Strengths and opportunities:*

- a) Information on long-term outcomes and impacts may be possible.
- b) More projects and programmes completed and available from which lessons learned can be drawn.
- c) First and second review of the Fund as well as several other evaluations and reviews from the fund and other institutions readily available;
- d) Longer time frame to plan the evaluation, consult key stakeholders prior to the evaluation, etc.
- e) Informed by other previous papers and review on the Fund as well as studies completed by other institutions.

36. *Weaknesses and threats:*

- a) Results unavailable for CMP 10 meeting and important decision making. Results of the process evaluation cannot feed into the second review of the Fund and findings and lessons cannot be available for the CMP10 meeting as well as general AFB decision making for adaptive management of the Fund. It does not provide therefore information on processes at a critical time. The sooner the Board learns what is working and what needs to be improved the better its position to positively impact its operations and implementation.
- b) More funds required to implement the evaluation.
- c) Longer time frame needed to complete the evaluation.

37. Table 2 below provides a summary of the four options.

**Table 2. Summary table of main possible options analysed against main stated criteria<sup>2</sup>**

	<b>Objectives and main questions</b>	<b>Est time frame (months)</b>	<b>Est budget (USD)</b>	<b>Summary of strengths and opportunities</b>	<b>Summary of weaknesses</b>
<b>Option 1: Process evaluation</b>	Main objective: to assess whether the operational design and logic of the AF corresponds with actual operations, and identify results of implementation of such operations. It looks at inputs (resources), activities of the institution, which are areas of control internal to the institution, and if outputs reach direct beneficiaries of the Fund.	5-6	190,000-200,000	<ul style="list-style-type: none"> <li>Informing other important reviews and decision making processes</li> <li>Fewer funds required to implement the evaluation</li> <li>Shorter time frame to complete</li> </ul>	<ul style="list-style-type: none"> <li>Limited information, processes only, available for decision making</li> <li>Limited time to design and implement the evaluation</li> <li>Need to access funds for the evaluation immediately</li> <li>Need to coordinate this evaluation with the second AF review</li> <li>Repetition of certain aspects to be evaluated with other studies.</li> </ul>
<b>Option 2: Limited overall evaluation</b>	Main objective: to assess the progress towards AF objectives, the major achievement and lessons from the AF implementation and formulate recommendations for potential improvement.	7-8	245,000-260,000	<ul style="list-style-type: none"> <li>Informed by other previous AF papers and review.</li> <li>Feasible: FCPF evaluated at similar level of operationalization and portfolio maturity</li> <li>Several studies completed by other institutions tend to analyse / cover AF structure and processes but less on interventions on the ground.</li> <li>Information on short-term outcomes and impacts of the Fund.</li> </ul>	<ul style="list-style-type: none"> <li>Limited information at the level of project and programmes available for decision making</li> <li>Findings unlikely to be available for CMP10</li> <li>Need to access funds immediately</li> </ul>
<b>Option 3: Two-phased evaluation</b>	<p>First phase main objective: to assess evaluates ways in which the Fund is implemented and whether the operational design and logic corresponds with actual operations.</p> <p>Second phase main objective: to assess the progress towards AF objectives, the major achievement of results and lessons from the AF results and formulate recommendations for potential improvement.</p>	<p>5-6 (phase 1)</p> <p>7-8 (phase 2)</p>	300,000 - 335,000	<ul style="list-style-type: none"> <li>Phase 1: Informing other important reviews and decision making processes</li> <li>Phase 1: Initially, fewer funds required to implement the evaluation</li> <li>Phase 1: Shorter time frame to complete</li> <li>Phase 2: Information on long-term outcomes and impacts may be possible</li> <li>Phase 2: More projects and programmes completed and available from which lessons learned can be drawn</li> <li>Phase 2: Longer time frame to plan the evaluation, consult key stakeholders prior to the evaluation, etc.</li> </ul>	<ul style="list-style-type: none"> <li>Phase 1: Limited information, processes only, available for decision making</li> <li>Phase 1. Further information later in time (phase 2)</li> <li>Phase 1: Limited time to design and implement phase 1 of the evaluation if results are to feed second review and be presented during CMP10 meeting</li> <li>Phase 1: Need to access funds immediately</li> <li>Phases 1 and 2: Time lag of results from one phase and another phase may render the first phase inadequate for analysis during second phase.</li> <li>Phases 1 and 2: Two phased evaluation increases costs as separate procurement processes for the commissioning of the phases need to be in place.</li> <li>Phase 1: Higher challenges integrating results from each phase.</li> </ul>

<sup>2</sup> Budget estimates could be higher or lower depending on the final scope and timeframe of the evaluation.

	<b>Objectives and main questions</b>	<b>Est time frame (months)</b>	<b>Est budget (USD)</b>	<b>Summary of strengths and opportunities</b>	<b>Summary of weaknesses</b>
<b>Option 4: Delayed Overall comprehensive evaluation</b>	Main objective: to assess the progress towards AF objectives, the major achievement and lessons from the AF implementation and formulate recommendations for potential improvement.	8-9	320,000 - 350,000	<ul style="list-style-type: none"> <li>• Information on long-term outcomes and impacts may be possible</li> <li>• More projects and programmes completed and available from which lessons learned can be drawn</li> <li>• First and second review of the AF as well as several other evaluations and reviews from the fund and other institutions readily available</li> <li>• Longer time frame to plan the evaluation, consult key stakeholders prior to the evaluation, etc.</li> </ul>	<ul style="list-style-type: none"> <li>• Results unavailable for CMP 10 meeting and important decision making</li> <li>• More funds required to implement the evaluation</li> <li>• Longer time frame needed to complete the evaluation</li> </ul>

### **Governance and Organization of the Evaluation<sup>3</sup>**

38. According to the OECD-DAC guidelines, evaluation standards highly recommend the use of a quality assurance process for the evaluation. Quality control and assurance is applied throughout the evaluation, from its design to its implementation and completion. A quality assurance process includes comments and reviews of the specific TORs for the evaluation as well as reviews and comments on the preliminary, draft and final reports, specifically on conclusions and recommendations.

39. The quality control function could be performed by peer reviewers, a reference group or an advisory panel to increase ownership of the evaluation and build mutual accountability for evaluation results. This type of approach should be considered early in the process and comprises different stakeholders such as government, civil society, and international partners (DAC quality standards for development evaluations).

40. Convening a multi stakeholder quality assurance panel to implement the selection process (see below), which later could review the evaluation, constitutes a mechanism to increase ownership, which according to IIED (2009), for example, is one of the premises exemplified by the Adaptation Fund.<sup>4</sup> This panel could further develop criteria for selecting the evaluation team from a group of possible institutions. The quality assurance roles and responsibilities should be set in a memorandum of understanding (MOU) between the Board and the external quality assurance mechanism / panel and follow a code of conduct according to international standards and best practices.

41. Overall options on how a quality assurance panel for the overall evaluation of the Fund may be constituted include:

- a. Option A: Evaluation specialist from a donor or institution's independent evaluation office, adaptation specialist from a think tank, development organization or academia, and evaluation and adaptation specialist from civil society supporting the Fund.
- b. Option B: Evaluation specialist from a donor or institution's independent evaluation office, adaptation specialist from a think tank, development organization or academia and a Board member.

### **Code of conduct or guiding principles and values of the evaluation and conflict of interests**

42. According to the section on evaluation ethics of the DAC evaluation quality standards: Evaluations should be conducted in a professional and ethical manner (OECD-DAC 2010). "The evaluation process shows sensitivity to gender, beliefs, manners and customs of all stakeholders and is undertaken with integrity and honesty. The rights and welfare of participants in the evaluation are protected. Anonymity and confidentiality of individual informants should be protected when requested and/or as required by law" (p.5, OECD-DAC 2006).

<sup>3</sup> Section based on Morra Imas and Rist 2009, OECD DAC 2010, 2006 and undated (see references)

<sup>4</sup> "...the AF clearly embodies the principle of ownership by developing countries, giving them a majority on its Board... This ensures that the countries most affected by climate change impacts can participate more fully in decision making, and remain assured that funds will be dispersed effectively and transparently. The fact that developing countries have direct access to Fund resources also enhances this sense of ownership" (p 1, IIED 2009).

43. Specifically concerning an overall evaluation of the Fund, the Fund's Evaluation Framework includes implementation principles for the Evaluation Function of the Fund and the Guidelines for project and programme final evaluations and principles and guidelines based in the GEF EO Ethical Guidelines (see Table 3 below).

**Table 3. Principles and best practices for implementing evaluations and selection of evaluation teams**

Evaluations should be implemented following best practice on evaluation, under the following principles	The following principles and guidelines in selecting independent evaluators/evaluation teams to conduct evaluations should be observed
<ul style="list-style-type: none"> <li>• Independence from policy-making process and management</li> <li>• Impartiality: giving accounts from all stakeholders</li> <li>• Transparency: clear communication concerning the purpose of the evaluation, its intended use, data and analysis</li> <li>• Disclosure: lessons shared with general public</li> <li>• Ethics: regard for the welfare, beliefs, and customs of those involved or affected</li> <li>• Avoidance of conflict of interest</li> <li>• Competencies and capacities: selection of the required expertise for evaluations</li> <li>• Credibility based on reliable data, observations, methods and analysis</li> <li>• Partnerships: between implementing entities, governments, civil society, and beneficiaries</li> <li>• Utility: serve decision-making processes and information needs of the intended users</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluators/evaluation teams will be independent of both the policy-making process and the delivery and management of assistance to the project they are evaluating</li> <li>• Evaluators will be impartial and present a comprehensive and balanced appraisal of the strengths and weaknesses of the project/programme being evaluated</li> <li>• The evaluation team should be comprised of professionals with strong evaluation experience, requisite expertise in the project subject matter, and experience in economic and social development issues as well as accounting, institutional governance</li> <li>• Evaluators should be knowledgeable about AF operations and strategy, and about relevant AF policies such as those on project life cycle, M&amp;E, etc.</li> <li>• Evaluators should take into account the views of all relevant stakeholders in conducting final evaluations</li> <li>• Evaluators will become familiar with the project/programme document and will use the information generated by the project including, but not limited to, baseline data and information generated by the project M&amp;E system</li> <li>• Evaluators should also seek the necessary contextual information to assess the significance and relevance of results; and</li> <li>• Evaluators will abide by the Implementing Entity Ethical Guidelines and other policies relevant to evaluations, if available and applicable.</li> </ul>

### Selection procedure (general options)

44. In general<sup>5</sup>, independent of the options, the selection procedure should follow international standards and best practices and a transparent and open procurement procedure for selecting the evaluation team (OECD-DAC undated). Several elements determine which selection procedure is best. The most relevant include: complexity of needs, value of the procurement, available time frame, availability of potential teams, and interest of potential institutions in competing for the procurement.

<sup>5</sup> Option 3 would require two selection procedures as phases are temporarily apart from each other.

45. Two main team selection procedures<sup>6</sup> may be used for the overall evaluation:
- a) A Request for Tenders (RFT) or priced based bidding process: used when the solution(s), specification(s), performance standard(s), and timeframe(s) are known. Potential bidders are provided with all evaluation information - except price – and the assessment of the bids is based only on price. Usually a single-step process.
  - b) A Request for Proposals (RFP) involves solutions, qualifications, and price as main criteria that define a winning proponent. It is used mainly to obtain services when purchaser wants to review and implement different and new solutions to an evaluation. Single to multi-step process.
46. Both processes can follow a request for qualifications or expression of interests. Overall, selection procedures should follow World Bank procurement guidelines and systems.
47. In conclusion, a quality assurance panel could be formed to select (through World Bank procurement systems) the overall evaluation team for the Adaptation Fund.

## **ANNEXES**

- A. Potential schedule and estimated budget
- B. Recommendations result of studies of the Adaptation Fund completed by other institutions
- C. List of projects and programmes with expected mid-term or terminal evaluation dates
- D. References
- E. Generic and illustrative evaluation framework for an overall comprehensive evaluation highlighting the four potential options

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<sup>6</sup> Based on Procurements processes and tools. Northwest Territories, public works and services. Undated.

**Annex A. Projected level of effort (estimated schedule) and estimated budget.** These estimated schedules per option were developed using tentative timelines used in other similar evaluations as bases.

#### Projected level of effort

**Table 5. Estimated schedule for option 1**

<b>Option 1</b>	<b>Months</b>								
<b>Main deliverables and processes</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
Selection /contracting teams	x	x							
Inception report reviewing background documents, finalizing TORs, evaluation framework, and development methodology			x						
Stakeholder consultations/ interviews			x	x					
Documentation review			x						
Data analysis				x					
Preliminary results report				x					
Draft report					x				
Editing and communication					x				
Final report submitted						x			

**Table 6. Estimated schedule for option 2**

<b>Option 2</b>	<b>Months</b>								
<b>Main deliverables and processes</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
Selection /contracting teams	x	x							
Inception report reviewing background documents, finalizing TORs, evaluation framework, and development methodology			x						
Stakeholder consultations/ interviews			x	x	x				
Documentation review			x	x					
Country studies			x	x					
Data analysis				x	x				
Preliminary results report					x				
Draft report						x			
Editing and communication						x			
Final report submitted							x		

**Tables 7. Estimated schedule for option 3 Phase 1**

<b>Option 3 (Phase 1)</b>	<b>Months</b>								
<b>Main deliverables and processes</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
Selection /contracting teams	x	x							
Inception report reviewing background documents, finalizing TORs, evaluation framework, and development methodology			x						
Stakeholder consultations/ interviews			x	x					
Documentation review			x						
Data analysis				x					
Preliminary results report				x					
Draft report					x				
Editing and communication					x				
Final report submitted						x			

**Table 8. Estimated schedule for option 3 Phase 2**

<b>Option 3 (Phase 2)</b>	<b>Months</b>								
<b>Main Deliverables and processes</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
Selection /contracting teams	x	x							
Inception report reviewing background documents, finalizing TORs, evaluation framework, development of methodology			x						
Stakeholder consultations/ interviews			x	x	x				
Documentation review			x						
Country and field visits				x					
Data analysis				x	x	x			
Preliminary results report						x			
Draft report							x		
Editing and communication							x		
Final report submitted								x	

**Table 9. Estimated Schedule for option 4**

<b>Option 4</b>	<b>Months</b>								
<b>Main deliverables and processes</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
Selection /contracting teams	x	x							
Inception report reviewing background documents, finalizing TORs, evaluation framework, and development methodology			x						
Stakeholder consultations/ interviews			x	x	x	x			
Documentation review			x	x	x				



Option 4	Months								
	1	2	3	4	5	6	7	8	9
<b>Main deliverables and processes</b>									
Country and field visits				X	x				
Data analysis					x	x			
Preliminary results report						x			
Draft report							x		
Editing and communication							x		
Final report submitted								x	

### Estimated budget per option

**Table 10: Scenarios related to the costs. Costs calculated per option based on estimated costs as of present.**

Budget Item	Estimated budget – option 1 in USD	Estimated budget – option 2 in USD	Estimated budget – option 3 in USD	Estimated budget – option 4 in USD
<b>Evaluation team (management and implementation) fees</b>	130,000 - 140,000 (one senior, one middle level officer and one junior for managing the evaluation, one senior, one middle level and two junior evaluation professionals implementing the evaluation).	145,000 –160,000 (one senior, one middle level officer and one junior for managing the evaluation, one senior, one middle level and two junior evaluation professionals implementing the evaluation).	170,000 – 195,000 (one senior, one middle level officer and one junior for managing the evaluation, one senior, one middle level and two junior evaluation professionals implementing the evaluation).	170,000 – 195,000 (one senior, one middle level officer and one junior for managing the evaluation, one senior, one middle level and two junior evaluation professionals implementing the evaluation).
Other fees: in country consultants (case studies, in person interviews)	6,000-8,000	12,000-14,000	24,000-28,000	30,000-35,000
Travel	None	20,000	30,000	40,000
Communications (telephone calls, etc.) (assumes use of conference services and web base survey platform)	1,000-1,200	1,400-1,600	2,400-2,600	1,400-1,600
Workshops	None expected	None expected	None expected	None expected
Translation of document	20,000	25,000	30,000	30,000
Supplies and equipment	15,000	20,000	20,000	20,000
<b>Sub total</b>	<b>175,000-182,000</b>	<b>225,000-238,000</b>	<b>275,000-305,000</b>	<b>300,000-325,000</b>
Other / Contingency (5%)	17,000 – 18,000	22,500 – 24,000	27,500 – 29,000	29,500 – 30,000
<b>Total</b>	<b>190,000 - 200,000</b>	<b>245,000 – 260,000</b>	<b>300,000 – 335,000</b>	<b>320,000 – 350,000</b>

Note: All numbers have been rounded. Evaluation team costs are calculated on the basis of approximate WB salary ranges considering the level of effort (days/months) and qualifications: senior, middle level and junior. This table assumes no cost for the three quality assurance experts. Level of effort for senior team members: approximately 10-15 days in total; for middle level professionals: ½ day for the total amount of months and junior professionals 1 day for the total amount of months.

## Annex B. Recommendations result of studies of the Adaptation Fund completed by other institutions and researchers

### At the institutional level

#### **On capacity building and synergies**

- *Establishing NIEs*: Encourage 'learning by peers' (advice from accredited NIEs to countries interested in establishing an NIE). (Brown et al. 2010)
- *Funding for capacity building*: Assistance from other funders to support NIE capacity building (e.g. regional and multilateral implementing entities). Vulnerable countries need help to build their institutional capacity. (Brown et al. 2010)
- *Accreditation of NIEs*: A strong communication strategy that uses regional and international meetings is required to explain how to access AF resources rapidly. (Harmeling, and Kaloga 2010)
- *Synergies with other adaptation funds*: Need to ensure that the GCF builds on the operational achievements of the AF, and ensure synergies with its adaptation window. (Canales Trujillo and Nakhoda 2013)

#### **On allocation and access /decision making**

- *Technical review criteria*: The AFB may have to elaborate more detailed criteria for the technical review, provide additional guidance to IEs on how to show compliance with these criteria, and make public the technical review and the reason for the final decision. (Stadelman et al. 2012, 2013)
- *Decisions on allocation of funds*: Decision making and rationales need to be transparent and disclosed to allow verification that the decisions are consistent and based on sound reasoning. Sufficient technical experts needed to advise the AFB on technical merits of projects, leaving the AFB responsible for higher level strategic planning and decision making (Climate Focus 2011)
- *Synergies between equity and cost-effectiveness*: "The AFB may look for ways to find synergies between equity and cost-effectiveness, even when cost-effectiveness is defined in purely economic terms. Following the suggestions of Blank (2002), the AFB may consider the following areas as fruitful for potential synergies: interventions with long-term benefits (e.g. flexible infrastructure and information on climate change), creating adaptive capacity within communities and countries with low capacity and incentive-based systems. Interestingly, most of these suggestions (flexibility, capacity and long-term orientation) are quite similar to the ones of Hallegatte (2009) and Fankhauser and Burton (2011)" (in Stadelman et al. 2013)

#### **On resource mobilization**

- *Alternative funding sources*: "If the AF should continue to play a significant role in the multilateral climate finance architecture, which it definitely should, other funding sources need to be secured." (p. 14, Kaloga and Harmeling 2011)

Continued

**AF Programme/ country level interventions**

- **Country level interventions:** Further studies of country level interventions are necessary to offer more definitive insights about the AF. (Canales Trujillo and Nakhooda 2013). There are a number of challenges remaining, “... the practical implementation of fund operations, particularly at the national level” (p. 1, Horstmann and Abeysinghe 2011)
- **Innovation:** Important to understand how the AF has been supporting innovation in practice, and what the outcomes of its support are likely to be. (Canales Trujillo and Nakhooda 2013)
- **Visibility:** In some countries there is a need to raise the profile of the AF activities. (Canales Trujillo and Nakhooda 2013)
- **Scalability and Replicability of AF interventions:** Need to monitor whether the approaches supported by the AF are scalable and replicable. (Canales Trujillo and Nakhooda 2013)
- **Reaching the most vulnerable:** To reach out to most vulnerable communities, it’s crucial to engage those organisations that already are embedded in the most difficult conditions, which are often linked to poverty, social exclusion, and geographical marginality. (Canales Trujillo and Nakhooda 2013)
- **Governance:** “Adaptation to the adverse effects of climate change requires good governance that recognizes the needs of the most vulnerable communities. It is increasingly recognised that communities need to be planning for the climate impacts that are unavoidable even with a concentrated mitigation effort (McEvoy et al. 2010). In order to utilize the full capacity of local communities, there is a significant need for financial resources to enable implementation of adaptation measures that will ‘safeguard development’ of the most vulnerable. As an ongoing process, adaptation planning and project implementation require long term, strategic monitoring and evaluation of strategic actions and therefore access to sustainable adaptation financial resources additional to ODA is crucial.” (p. 8, in Ratajczak-Juszko 2010)
- **Role of civil society in climate finance governance:** “...the potential benefits from joint action on institutional capacity development in vulnerable countries (to meet fiduciary standards of the climate funding regime) could help equalize certain dissonances.” (p. 8, in Ratajczak-Juszko 2010)
- **Community level implementation:** Funds “...are evaluated for multi-scalar support, strengthening procedures, innovative design and national ownership. This leaves community level implementation largely absent. Local level assessments of adaptation finance provide insight into localities where vulnerability is experienced and offer the effectiveness literature a means to empirically evaluate the outcome of vulnerability reduction.” (p.1820) “... gender, household functionality, and affiliation with Traditional Leaders, determines access to adaptation funds.” (p. 1827, Barret 2013)

### Annex C: List of projects and programmes with expected mid-term or terminal evaluation dates<sup>7</sup>

Country	Implementation Entity	Approval (Date)	Expected Project start (date)	Inception (Date)	Expected Mid-term evaluation (Date)	Expected Project End (Date)	Expected Final Evaluation (Date)
SENEGAL	CSE	9/17/2010	Oct-2010	1/21/2011	Oct-2012	Dec-2013	Mar-2014
HONDURAS	UNDP	9/17/2010	Mar-2011	6/27/2011	Jan-2014	Mar-2016	Apr-2016
NICARAGUA	UNDP	12/15/2010	Feb-2011	6/21/2011	Jul-2013	Feb-2015	Mar-2015
PAKISTAN	UNDP	12/15/2010	Jul-2011	11/15/2011	Jul-2014	Jun-2015	Mar-2015
ECUADOR	WFP	3/18/2011	Jul-2011	11/29/2011	Nov-2014	Jul-2016	Aug-2016
ERITREA	UNDP	3/18/2011	Mar-2011	11/6/2012	Oct-2015	Mar-2016	Mar-2016
SOLOMON ISLANDS	UNDP	3/18/2011	Jan-2011	6/28/2011	Dec-2013	Jan-2015	Jul-2016
MONGOLIA	UNDP	6/22/2011	Nov-2011	6/14/2012	Jun-2014	Jun-2017	Oct-2017
MALDIVES	UNDP	6/22/2011	Nov-2011	6/20/2012	Oct-2013	Oct-2015	Jul-2015
TURKMENISTAN	UNDP	6/22/2011	Jun-2011	5/22/2012	Oct-2014	Jun-2016	Jul-2016
MAURITIUS	UNDP	9/16/2011	Jan-2012	8/30/2012	Jan-2015	Jan-2017	Aug-2017
TANZANIA	UNEP	12/14/2011	Mar-2012	10/29/2012	Mar-2015	Mar-2017	Mar-2017
URUGUAY	ANII	12/14/2011	Jul-2012	10/22/2012	Nov-2014	Jun-2017	Sep-2017
SAMOA	UNDP	12/14/2011	Oct-2011	1/24/2013	Oct-2013	Oct-2015	Oct-2015
MADAGASCAR	UNEP	12/14/2011	Feb-2012	10/24/2012	Jul-2015	Feb-2017	May-2017
GEORGIA	UNDP	12/15/2011	Jan-2012	7/4/2012	Jun-2014	Jan-2016	Apr-2016
COOK ISLANDS	UNDP	12/15/2011	Oct-2011	7/4/2012	Dec-2014	Oct-2016	Dec-2016
COLOMBIA	UNDP	3/16/2012	Mar-2012	3/20/2013	Sep-2014	Dec-2016	Jul-2017
PAPA NEW GUINEA	UNDP	3/16/2012	Oct-2012	7/26/2012	Oct-2014	Oct-2016	Sep-2016
DJIBOUTI	UNDP	6/28/2012	Sep-2012	3/13/2013	Sep-2014	Sep-2017	Aug-2017
JAMAICA	PIOJ	6/28/2012	Sep-2012	11/2/2012	Mar-2014	Dec-2015	Mar-2016
ARGENTINA	UCAR	4/4/2013	Jul-2013	10/24/2013	Dec-2014	Jul-2016	Dec-2016
SRI LANKA	WFP	12/14/2012	Mar-2013	11/4/2013	Jul-2014	Feb-2016	Aug-2016

<sup>7</sup> Expected project start, mid-term or terminal evaluation dates provided in the table were provided in approved project/programme proposals. The actual dates may be different.

**Annex D: Generic and illustrative evaluation framework for an overall comprehensive evaluation highlighting the four potential options** (Based on sub-questions of previous evaluations of other programmes, funds, etc. for example, FCPF evaluation, SCCF and LDCF evaluations, among others and frameworks and results of studies presented in Annex B)

Illustrative specific sub-questions	Main data needs	Main sources of information	Main method/ methodology
<b>Relevance</b>			
<p>In what way has the AF added value to adaptation processes/interventions undertaken by countries?</p> <p>Options 2, 3 and 4 should cover this question. The Second Review of the AF is also asking this question.</p>	Extent to which the AF governing system is perceived as accountable and transparent	<p>Project staffs and beneficiaries, national and local government representatives</p> <p>Key stakeholders and other knowledgeable individuals</p> <p>Institutional and Project and programme related documentation, other studies, and previous and ongoing evaluations/reviews of or conducted by the AF</p>	<p>Survey</p> <p>Interviews</p> <p>Documentation review</p>
	Comparison with other adaptation funding		
	Level of responsiveness of the AFB to CMP guidance and the needs of developing countries Parties to the Kyoto Protocol		
	Perception of AF added value from stakeholders		
<p>In what way is the AF relevant in the global context of adaptation?</p> <p>Options 2, 3, and 4. The Second Review of the AF is also asking this question.</p>	Level of coherence of priorities, funding allocation criteria, strategies of AF in relation to international adaptation priorities	<p>Key stakeholders, country participants, observers, documents, previous and ongoing evaluations/reviews of AF;</p>	<p>Documentation Review</p> <p>Interviews</p> <p>Survey</p>
	Comparison with other adaptation programs and funds		
	Perception of key stakeholders of relevance of AF in the global context of adaptation		
<p>To what extent AF fund projects and programmes are rooted in National Adaptation Plans or Adaptation priorities of countries and regions?</p> <p>Options 2, 3, and 4. The Second Review of the AF is also asking this question.</p>	Level of coherence of AF priorities, processes and activities in the national context of the countries	<p>Key stakeholders, country participants, observers, country documents (NAPs and priorities of countries participating), projects and programme documents, Institutional and Project and programme related documentation, other studies, and previous and ongoing evaluations/reviews of or conducted by the AF</p>	<p>Interviews,</p> <p>Document review</p>
	Level of coherence of AF interventions aligning with national policies, plans (climate change, adaptation, development etc.) and priorities		
<p>How are AF proposals/concepts for projects and programmes conceived and developed?</p> <p>All options; The Second Review of the AF is also asking this question.</p>	Project and programme development process	<p>Key stakeholders, country participants, observers; Institutional and Project and programme related documentation, other studies, and previous and ongoing evaluations/reviews of or conducted by the AF</p>	<p>Interviews,</p> <p>Document reviews</p>
	Role of implementing agencies (MIEs and NIEs) and stakeholders, and comparison.		
<p>To what extent has the AF is supporting country ownership, country decision making as well as alignment, harmonisations, mutual accountability (Paris Declaration in its interventions and processes (including Accreditation Process and direct access modality)?</p> <p>Options 2, 3, and 4. The Second Review of the AF is also asking this question.</p>	Percentage of NIEs since operationalization	<p>Key stakeholders, country participants, observers, project and programme documents; Institutional and Project and programme related documentation, other studies, and previous and ongoing evaluations/reviews of or conducted by the AF</p>	<p>Interviews,</p> <p>Document reviews</p>
	Implementing entities support to country priorities and decision making		
<p>To what extent is the AF supporting innovation at the global level and through projects and programmes at the country and local levels? And what is the relevance of AF projects and programmes in driving adaptation specific technology and information at international, regional and national levels?</p>	Willingness of AF to support projects and programmes with higher risk of failure	<p>Key stakeholders, country participants, observers, project and programme documents; Institutional and Project and programme related documentation, other studies, and previous and ongoing evaluations/reviews of or conducted by the AF</p>	<p>Interviews,</p> <p>Document reviews</p>
	Priorities and guidelines supporting innovation		
	Implementing entities support to innovation		
	Extent of international, regional and national events where specific technology for adaptation is presented		

Illustrative specific sub-questions	Main data needs	Main sources of information	Main method/ methodology
How relevant is the knowledge produced by the AF institution and interventions?			
<b>Efficiency</b>			
Has the AF used its resources (funds, time and expertise) efficiently to maximize its outputs and provide early lessons for adaptation and AF processes? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.	Project and programme development and implementation cost by modality, size, etc., processing timing considering project and programme cycles), etc. Accreditation process efficiency (timing, expertise, costs, etc.) Average length of time to review projects/programmes	Key stakeholders, country participants, observers, project and programme documents; Institutional and Project and programme related documentation, and previous and ongoing evaluations/reviews of or conducted by the AF	Interviews, Document reviews
How have time -delays, if any, affected projects and programmes interventions and deliverables and AF processes? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.	Frequency, origin and consequences of delays (project/programme approval, accreditation process, disbursement (see below), etc.) Projects/programme dropouts, cancellations, etc., Institutions dropping out from accreditation process, etc.	Key stakeholders, country participants, observers, project and programme documents; Institutional and Project and programme related documentation, and previous and ongoing evaluations/reviews of or conducted by the AF	Interviews, Document reviews
How efficiently and timely has the AF disbursed the proceeds of the CDMs and other financial resources to Country Participants, taking into account Trustee's Operational Policies and Procedures? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.	Relevant Bank Operational Policies and Procedures Rate of disbursements of AF since operationalization Timeliness of disbursements of AF	Key stakeholders, country participants, observers, project and programme documents;	Interviews, Document reviews
To what extent has the AF direct access modality has been more efficient or not compared to other access modalities? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.	Comparison of efficiency between direct vs. MIEs access modality.	Key stakeholders, country participants, observers; Institutional and Project and programme related documentation, other studies, and previous and ongoing evaluations/reviews of or conducted by the AF	Interviews, Document reviews
Are the resources sufficient to meet the countries' adaptation needs? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.	Estimated and observed funds from CDM Donor financial commitments and actual donations for the period under evaluation Funds available for the AF and needs expressed by AF countries (Gaps between resources available and needs expressed by countries)	Key stakeholders, country participants, observers; Institutional and Project and programme related documentation, other studies, and previous and ongoing evaluations/reviews of or conducted by the AF	
Is the administrative budget (with cap) of projects sufficient to ensure quality in project/programme implementation? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.	Sufficiency of budget to meet project administration costs trade-offs being made by executing entities to work within the provided support for administrative costs	Key stakeholders, country participants, observers; Institutional and Project and programme related documentation, other studies, and previous and ongoing evaluations/reviews of or conducted by the AF	Interviews, Document reviews

Illustrative specific sub-questions	Main data needs	Main sources of information	Main method/ methodology
<p>Were the implementing agencies / executing agencies able to use the resources provided in a timely manner? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Timeliness of access and disbursement to funds, use of funds in participant countries.</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>
<p>Has the review / approval process of the projects/programmes been transparent, free from conflict of interest, and has the independence of reviewers been ensured? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Established processes, guidelines and criteria for project/programme review (at AFB Secretariat and PPRC) Levels to which these processes have been adhere by the PPRC Perceptions of stakeholders (specifically countries) on review/ approval of projects and programmes proposals/concepts</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>
<p>How do stakeholders and participating countries perceive the costs and benefits of the AF processes, including timeliness and magnitude of resources? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Perception of stakeholders in general</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>
<p>To what extent has AF take into account possible synergies and overlaps with other interventions/entities/funds? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Evidence of synergies between the AF and other adaptation funds, interventions, entities Evidence of overlaps Effective communication, technical support, and coordination among implementing entities; among (other) national institutions; funds (multilateral, etc.) etc.</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews Network analysis</p>
<p>In what way and to what extent have stakeholders been engaged in the AF? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Type, number and level of participation of stakeholders Roles and responsibilities of implementing agencies, Das in different stages in project life cycle Coordination among GEF projects Perception of quality and level of engagement in the AF from stakeholders Existence of a national coordination mechanism for AF or adaptation support</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews Network analysis</p>
<p>To what degree has the AF taken into account progress made in the UNFCCC process on adaptation, as well as informed the UNFCCC process? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Coherence of AF policies and guidelines with CMP / COP decisions; timeline and nature of reviews of AF policies and guidelines; Reports of the AF to CMP specifically and UNFCCC process Perception of key stakeholders on AF role in UNFCCC processes/ COP (CMP)</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>

Illustrative specific sub-questions	Main data needs	Main sources of information	Main method/ methodology
<p>What role does Monitoring and Evaluation (M&amp;E) play in increasing project adaptive management and overall efficiency? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Quality of M&amp;E inputs including quality of baseline information in projects and programmes and at the institutional level</p> <p>Quality and level of adaptive management applied to projects and programmes</p> <p>Level of independence, quality and timeliness of mid-term and final evaluations</p> <p>Projects and programmes compliance with AF and implement entities M&amp;E guidelines</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>
<p>To what extent is the accreditation process efficient? All of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Tbd by evaluation team</p>	<p>Tbd by evaluation team</p>	<p>Tbd by evaluation team</p>
<b>Effectiveness (and flexibility), results, and sustainability</b>			
<b>At the institutional “fund” level</b>			
<p>In what way have the AF objectives, design, and activities evolved since the AF was announced and what considerations have driven this evolution? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Changes and types of changes, if any, in AF objectives, design, and activities, and underlying rationales for these changes</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>
<p>Are the current objectives realistic in relation to the capacity of AF Country Participants, time frame, resources for adaptation? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Adequacy of time frame for participant countries to achieve AF objectives</p> <p>Level of capacity of country participants to achieve the current AF objectives</p> <p>Adequacy of resources for participant countries to achieve AF objectives</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>
<p>Have there been any unintended positive or negative outcomes from the AF institutional processes? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Evidence of unintended positive or negative outcomes of AF institutional processes</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>
<p>What are the key elements of the AF governance structure and function, and how has the governance structure affected implementation of the AF? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Elements of the AF governance structure</p> <p>Level of clarity to which the roles and functions are defined in the AF governance structure</p> <p>Role and number of participants in the AF governance structure</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>
<p>What is the level of quality of the monitoring conducted by the AF and IEs, including operational monitoring? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Level of quality of RBM (objectives, outcomes, and outputs)</p> <p>Level of quality of performance measurement framework (inputs, targets, frequency of data collection)</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>



Illustrative specific sub-questions	Main data needs	Main sources of information	Main method/ methodology
<p>To what extent has the AF been effective promoting gender balance and equity in its processes, objectives, design? All options. The Second Review of the AF is also asking this question.</p>	<p>Evidence of gender equity at the institutional level (processes, internal dynamics)</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>
<p>Have there been any impacts as a result of knowledge generated and disseminated by the AF and implementing entities? Options 2, 3 and 4. The Second Review of the AF is also asking this question.</p>	<p>Types of materials produced by the AF and IEs. Level to which these materials were used Level to which the information provided by the AF was applied</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>
<p>Have the AF operational policies, guiding principles and values being effective to support AF objectives? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Coherence of operational policies, principles to AF objectives</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>
<p>Is the governance system of the AF adequate for delivering its objectives and up to international standards? For options: all of the options can and should cover this question. The Second Review of the AF is also asking this question.</p>	<p>Level of effectiveness of the AF governance structure Extent to which the AS governing system is perceived as accountable and transparent Perception of usefulness of the AF governing entities Comparison with other adaptation programs and funds Number of meetings and main points of discussion Materials produced from the different governing entities of the AF</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>
<b>AF Program/intervention “country” level</b>			
<p>What have been the catalytic effects of the AF outcomes? Options 2, 3 and 4.</p>	<p>Type ,if any, of catalytic effects as a result of AF outcomes, and underlying causes</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>
<p>Have there been any unintended positive or negative outcomes from AF interventions? Options 2, 3 and 4.</p>	<p>Evidence of unintended positive outcomes in participant countries Evidence of unintended negative outcomes in participant countries Effects of these unintended positive outcomes for countries and the AF. Lessons learned from AF interventions</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>
<p>To what extent has the AF been effective promoting gender balance and equity at project and programme level? Options 2, 3 and 4.</p>	<p>Evidence of gender equity in AF interventions</p>	<p>Key stakeholders, country participants, observers, project and programme documents;</p>	<p>Interviews, Document reviews</p>

Illustrative specific sub-questions	Main data needs	Main sources of information	Main method/ methodology
What has been the effect and contribution of AF activities on the legal framework, policies, and regulatory environment of the Parties?	Evidence of contribution of AF activities on countries legal frameworks, policies, and regulatory environment	Key stakeholders, country participants, observers, project and programme documents;	Interviews, Document reviews
<b>Flexibility:</b> To what extent has the AF been effective addressing uncertainty in project and programmes? Options 2, 3 and 4.	Evidence of interventions addressing effectively uncertainty.	Key stakeholders, country participants, observers, project and programme documents;	Interviews, Document reviews
What are the factors that are aiding and/or hindering achievement of results? What are the mechanisms through which long term impacts are being achieved? Options 2, 3 and 4.	Factors that have aided and/or hindered progress towards impact and achievement of impact.	Key stakeholders, country participants, observers, project and programme documents;	Interviews, Document reviews
To what extent has the AF reached the most vulnerable communities and countries? Options 2, 3 and 4.	Extent of interventions reaching the most vulnerable communities and countries	Key stakeholders, country participants, observers, project and programme documents;	Interviews, Document reviews
What are the key lessons for adaptation in AF and countries? What steps has the AF taken to ensure that these lessons are appropriately conveyed to the broader adaptation community? Options 2, 3 and 4.	Key lessons for adaptation in Country participants and AF	Key stakeholders, country participants, observers, project and programme documents;	Interviews, Document reviews
	Perceptions of adaptation community to AF lessons		
	Level of effectiveness of the means used by AF and IEs to convey lessons to broader adaptation community		
	Steps taken by the AF to convey lessons to broader adaptation community		
How effective has been the knowledge management and country level learning process in the AF? Options 2, 3 and 4.	Tbd by evaluation team	Key stakeholders, country participants, observers, project and programme documents;	Interviews, Document reviews
Are AF objectives realistic given in country capacity and time available? Options 2, 3 and 4.	Tbd by evaluation team	Key stakeholders, country participants, observers, project and programme documents;	Interviews, Document reviews
What is the level of quality of the monitoring conducted by projects and programmes? To what extent shifting baselines are considered and managed? Options 2, 3 and 4.	Evidence of quality of monitoring conducted by projects and programmes	Key stakeholders, country participants, observers, project and programme documents;	Interviews, Document reviews
Is AF support effective in producing results which last in time and continue after project completion? To what extent are follow up actions that would build on AF supported activities being supported by other actors? Options 2, 3 and 4.	Tbd by evaluation team	Key stakeholders, country participants, observers, project and programme documents;	Interviews, Document reviews
To what extent have the AF interventions leveraged other interventions? Options 2, 3 and 4.	Tbd by evaluation team	Key stakeholders, country participants, observers, project and programme documents;	Interviews, Document reviews

<b>Illustrative specific sub-questions</b>	<b>Main data needs</b>	<b>Main sources of information</b>	<b>Main method/ methodology</b>
What has been the progress of the AF in building capacity for adaptation in Parties to the Kyoto Protocol? Options 2, 3 and 4.	Tbd by evaluation team	Key stakeholders, country participants, observers, project and programme documents;	Interviews, Document reviews

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