



ADAPTATION FUND

AFB/EFC.8/12
28 February 2012

Adaptation Fund Board
Ethics and Finance Committee
Eighth Meeting
Bonn, Germany, 14 March 2012

Agenda Item 9

**PROPOSED AMENDMENTS TO THE EVALUATION
FRAMEWORK (PREPARED BY THE ADAPTATION FUND
EVALUATION FUNCTION)**

I. Background

1. At the 15th Adaptation Fund Board (AFB) Meeting the AFB, per the recommendation of the Ethics and Finance Committee (EFC), decided to entrust the evaluation function of the Adaptation Fund to the GEF Evaluation Office for an interim period of three years (Decision B.15/23). The Board also decided to approve “the Evaluation Framework contained in Annex II to document AFB/EFC.6/4 with the changes to paragraphs 12-14, as contained in Annex I to this report, and request the GEF Evaluation Office and the secretariat to prepare a final version of the Evaluation Framework.”

2. The final version of the Adaptation Evaluation Framework has been prepared by the Adaptation Fund Board secretariat and the Adaptation Fund Evaluation Function (GEF Evaluation Office). During the preparation of the final version, the AF Evaluation Function identified sections in the framework where input was still needed to fully cover the items in decision B.15/23 related to the evaluative function of the Adaptation Fund. For that reason, the following changes to the framework are proposed for consideration by the Board:

II. Editorial changes to include the evaluative function where appropriate in the Adaption Fund Board document AFB/EFC.6/4:

Paragraph 2

From: “Parties invited the Global Environment Facility (GEF) to provide secretariat service (the Secretariat) to the Board, and the World Bank to serve as the trustee (the Trustee) of the Fund, both on an interim basis.”

To: “Parties invited the Global Environment Facility (GEF) to provide secretariat service (the secretariat) to the Board, and the World Bank to serve as the trustee (the Trustee) of the Fund, both on an interim basis. Further, the Board decided to entrust the evaluation function to the GEF Evaluation Office, for an interim three-year period.”

Paragraph 7

From: “The framework includes a discussion on who should implement this framework. International best practices for multilateral funding institutions indicate that the evaluation function should be established and implemented independent from the management of the institution.”

To: “The framework will be implemented by the Evaluation Function of the Adaptation Fund. According to international best practices for multilateral funding institutions the Evaluation Function is established and implemented independent from the management of the institution.”

Paragraph 33

From: “The Evaluation Function in the Adaptation Fund should be implemented under the principles presented in the diagram below, following best practices on evaluation. Some of these principles may require further development of

specific guidelines or procedures. They will be prepared by the Secretariat at the request of the Board.”

To: “The Evaluation Function in the Adaptation Fund should be implemented under the principles presented in the diagram below, following best practices on evaluation. Some of these principles may require further development of specific guidelines or procedures. They will be prepared by the Evaluation Function at the request of the Board.”

III. Structural changes to include the roles and responsibility of the Evaluation Function in the Evaluation Framework.

Paragraphs 20-32, Roles and Responsibilities

3. The Evaluation Function of the Adaptation Fund should be included in the section on “Roles and Responsibilities.” In the version that was presented to the Adaptation Fund Board in September, this was not yet included, because the two options that were considered for the implementation of the framework required different descriptions.

4. Including the implementation of the framework through the Evaluation Function of the Adaptation Fund leads to a revised section on the role and responsibility of the Adaptation Fund Board secretariat as well as a new section on the role and responsibility of the Adaptation Fund Evaluation Function, as proposed below.

5. For paragraph 24 on Roles and Responsibilities of the secretariat, the first two bullet points have been moved to the Roles and Responsibilities of the Evaluation Function. The rest of the paragraph remains the same.

Old Paragraph 24

The Adaptation Fund Secretariat

6. The GEF provides secretariat services to the Adaptation Fund Board on an interim basis. A dedicated team of officials has been contracted to render services to the Fund in a functionally independent and effective manner (Adaptation Fund Secretariat). The Head of the AF Secretariat is responsible for delivery of services to the Board. The secretariat manages daily operations of the fund, assists with developing strategies, policies and guidelines, serve as a liaison between implementing and executing agencies, arrange for Adaptation Fund Board meetings, ensures implementation of operational policies, operationalises the project cycle, administers the budget and business plan, and oversees project implementation as well as communication to the trustee. Regarding evaluation, the Secretariat ensures the following tasks:

- Preparation of an evaluation framework, with the support of the GEF Evaluation Office.
- Provides support to the Ethics and Finance Committee and the AF Board to ensure that the evaluation framework is implemented and that Implementing entities and projects and programmes funded by the Fund adhere to the principles, criteria and requirements as well as the guidelines of the evaluation framework.

- Provides support to the EFC in its preparation of the annual portfolio and progress towards results report to be presented to the Board. This report should include, when available and appropriate, lessons, findings, conclusions and recommendations from relevant evaluation reports.
- Ensures that findings and recommendations emanating from evaluations are followed up on and lessons are incorporated into the development of new projects and programmes, policies, strategies and procedures. In particular these lessons should be provided to project proponents (implementing entities) and the Project & Programme Review Committee.
- Ensures that results and lessons are disseminated through the Adaptation Fund website.
- Ensure that monitoring tools and guidelines, such as tracking tools and project reporting procedures, are developed, presented to the Board and put in place to optimise and facilitate the evaluation function within the Fund.

New Paragraph 24

The Adaptation Fund Board Secretariat

7. The GEF provides secretariat services to the Adaptation Fund on an Interim basis. A dedicated team of officials has been contracted to render services to the Fund in a functionally independent and effective manner (Adaptation Fund Board secretariat). The Head of the AF Board secretariat is responsible for delivery of services to the Board. The secretariat manages daily operations of the Fund; assists with developing strategies, policies, and guidelines; serves as a liaison between implementing and executing agencies; arranges for Adaptation fund Board meetings; ensures implementation of operational policies; operationalizes the project cycle; administers the budget and business plan; and oversees project implementation, as well as communication to the trustee. Regarding Evaluation, the secretariat ensures the following tasks:

- Provides support to the Ethics and Finance Committee (EFC) in its preparation of the Annual Report to be presented to the Board. This report should include, when available and appropriate, lessons, findings, conclusions, and recommendations from relevant evaluation reports.
- Ensures that Board decisions emanating from the findings and recommendations from evaluations are followed up on and lessons are incorporated into the development of new projects and programmes, policies, strategies, and procedures. In particular, these lessons should be provided to project proponents (Implementing Entities) and the Project and Programme Review Committee.
- Ensures that results and lessons are disseminated through the Adaptation Fund website.
- Ensures that monitoring tools and guidelines, such as project reporting procedures and templates, are developed, presented to the Board, and put in place taking into account the facilitation of the Evaluation Function within the Fund.

New paragraph 25

The Evaluation Function of the Adaptation Fund

8. The GEF Evaluation Office implements the Evaluation Function of the Adaptation Fund on an interim basis of three years. The Evaluation Function is responsible for developing an annual evaluation work program and budget for approval by the Board as well as conducting evaluative work outlined in the approved work programme. In particular, this includes supporting all functions surrounding the implementation of the Evaluation Framework through the three following functions and tasks:

- **Evaluative Function:** Independently evaluate the effectiveness of the Adaptation Fund supported projects and programmes as well as implementing agencies and report to the Adaptation Fund Board on lessons, findings, conclusions, and recommendations from relevant evaluation reports.
- **Normative Function:** Set minimum evaluation standards within the Adaptation Fund in order to ensure improved and consistent measurement of results.
- **Oversight Function:** Provide quality control of the minimum evaluation requirements and their practice in the Adaptation Fund and track implementation of Board decisions related to evaluation recommendations. This includes providing support to the EFC and the AF Board in the implementation of the Evaluation Framework as well as supporting the secretariat in its efforts to incorporate findings and recommendations of evaluations into policies, strategies and procedures, as well as in disseminating results and lessons through the Adaptation Fund website.