

## **Annexes**

### **Annex 1: Author disclaimer**

Evaluation team member, Nella Canales, Research Officer at ODI, has previously published articles about the Adaptation Fund, which this evaluation cites. The authors declare no conflict of interest.

## Annex 2: Description of main processes

### Key process 1: Resource mobilization

As a Fund under the Kyoto Protocol (KP), the Adaptation Fund's resource mobilization process was originally anchored in a KP financial mechanism, the Clean Development Mechanism (CDM). A share of proceedings (SoP) of 2% of all certified emission reductions (CERs) issued under the CDM is allocated to the Adaptation Fund for monetization by the Trustee. This design was intended to provide international funding outside of Official Development Assistance. Given the decline of the global carbon market, the Adaptation Fund has developed other resource mobilization strategies, namely voluntary contributions.

Funding is used to cover operational costs (i.e., AFB, Secretariat, and Trustee) and to support projects/programs by non-Annex I KP Parties (i.e., projects, Readiness Programme).

### Key process 2: Decision-making

The Conference of the Parties, serving as the Meeting of the Parties of the Kyoto Protocol (CMP) has direct authority over the Adaptation Fund Board. It provides guidance and gives final approval for all rules and guidelines proposed by the Board. Under the authority of the CMP, the Adaptation Fund Board ("AFB" or "the Board") supervises and manages the Fund. Other bodies include the Secretariat, Trustee, the Accreditation Panel, and two Committees, the Ethics and Finance Committee (EFC) and the Project and Programme Review Committee (PPRC) (Figure 1).<sup>1</sup>

The AFB consists of 16 members and 16 alternates, of which the majority of members (69%) are from developing countries.<sup>2</sup> Decisions are mainly made during Board meetings, which occur at least twice annually. The Board evaluates and decisions based on recommendations from the two Committees.

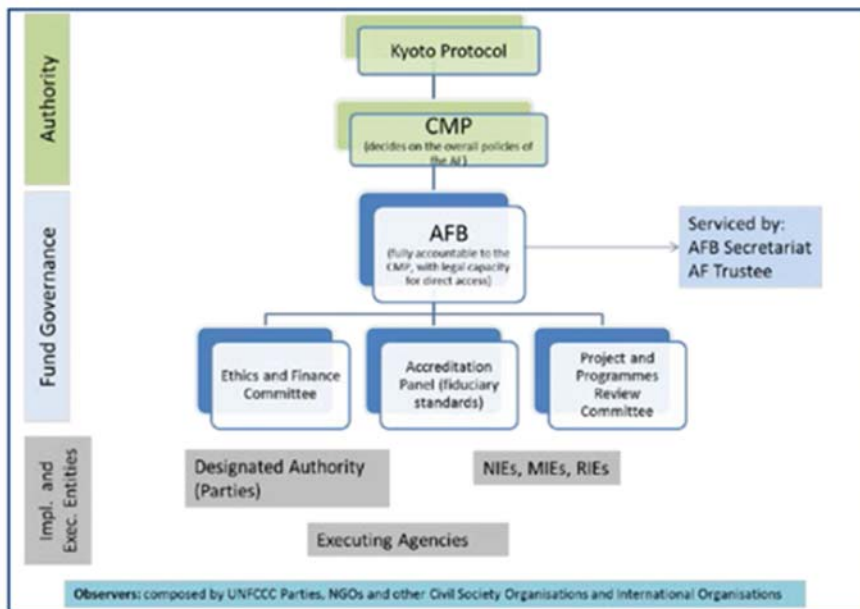
The AFB Secretariat, hosted by the Global Environment Facility (GEF) on an interim basis, supports the Board and the work of the committees. The AFB Secretariat performs a significant technical role, reviewing accreditation applications and project proposals. The World Bank, serving on an interim basis as the Trustee, is in charge of CER monetization and management of Fund finances.

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<sup>1</sup> The Board decided to create an Ethics and Finance Committee and a Project and Programme Review Committee at its sixth Meeting (March 2009)

<sup>2</sup> Special seats have been given to country groups recognized as being particularly vulnerable to the adverse effects of climate change: the Least Developed Countries (LDCs) and the Small Island Developing States (SIDS).

**Figure 1: Adaptation Fund Governing Structure**



Source: TOR, adapted from O'Sullivan et al. 2011.

### Key process 3: Resource allocation

Resource allocation decision-making is guided by criteria established in the Strategic Priorities, Policies, and Guidelines of the Adaptation Fund and adopted by the CMP:

- Level of vulnerability;
- Level of urgency and risks arising from delay;
- Ensuring access to the fund in a balanced and equitable manner;
- Lessons learned in project and program design and implementation to be captured;
- Securing regional co-benefits to the extent possible, where applicable;
- Maximizing multi-sectoral or cross-sectoral benefits;
- Adaptive capacity to the adverse effects of climate change.<sup>3</sup>

In addition, when assessing project and program proposals, the AFB shall also consider:

- Consistency with national sustainable development strategies, including, where appropriate, national development plans, poverty reduction strategies, national communications and national adaptation programs of action and other relevant instruments, where they exist;
- Economic, social, and environmental benefits from the projects;
- Meeting national technical standards, where applicable;
- Cost-effectiveness of projects and programs;
- Arrangements for management, including for financial and risk management;
- Arrangements for monitoring and evaluation and impact assessment;
- Avoiding duplication with other funding sources for adaptation for the same project activity;
- Moving towards a programmatic approach, where appropriate.<sup>4</sup>

<sup>3</sup> FCCC/KP/CMP/2008/11/Add.2 Annex IV as cited in the Evaluation ToR, Annex A: Overview of the Adaptation Fund

<sup>4</sup> FCCC/KP/CMP/2008/11/Add.2 Annex IV as cited in the Evaluation ToR, Annex A: Overview of the Adaptation Fund

*Country eligibility:* As an instrument of the Kyoto Protocol, all developing country Parties to the KP are eligible to receive funding from the Adaptation Fund. For defining those particularly vulnerable, the Fund used the provisions under the UNFCCC text, which includes low-lying and other small island countries, countries with low-lying coastal, arid and semi-arid areas or areas liable to floods, drought, and desertification, and developing countries with fragile mountainous ecosystems. Different proposals on how to address these particularly vulnerable characteristics were evaluated by the Board, but in practice, allocation has been done on a first-come first-served basis, as long as they are developing country Parties of the KP.

*Project/Program eligibility:* The Adaptation Fund supports “concrete adaptation projects and programs” defined as follows:

“A project has been defined as a set of activities aimed at addressing the adverse impacts of and risks posed by climate change. The activities shall aim at producing visible and tangible results on the ground by reducing vulnerability and increasing the adaptive capacity of human and natural systems to respond to the impacts of climate change, including climate variability.

“A program is a process, a plan, or an approach for addressing climate change impacts that is broader than the scope of an individual project.

“The scope of these projects/programs includes community, national, regional and trans-boundary level. Both projects/programs concern activities with a specific objective(s) and concrete outcome(s) and output(s) that are measurable, monitorable and verifiable.”<sup>5</sup>

*Resource availability:* Funding is capped 50/50 between MIEs and NIEs, and funding to individual countries is capped at US\$10 million.<sup>6</sup> The total costs of concrete adaptation projects/programs include management fees (up to 8.5% of total project/program budget for MIEs) or execution costs up to 9.5% of the project budget for NIEs; fees in excess of these amounts require approval by the Board.<sup>7</sup>

#### **Key process 4: Access to funding**

*Modalities of Accessing Funds:* The Adaptation Fund has two modalities for accessing funds. First, through the Direct Access Modality, eligible Parties can submit projects to the AFB through an accredited National Implementing Entity (NIE).<sup>8</sup> Regional and sub-regional entities may be nominated by a group of Parties as implementing entities in lieu of NIE. Second, through the “indirect access” modality, projects may be submitted by eligible Parties through a MIE. IEs bear full responsibility for management of AF-funded project/programs including all financial, monitoring, and reporting responsibilities.

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<sup>5</sup> Decision 10/CP.7. AFB/B.22/5/Add.1

<sup>6</sup> Decision B.13/23

<sup>7</sup> Decision B.13/17

<sup>8</sup> AF IRP. 2014. Evaluation ToR, Annex A: Overview of the Adaptation Fund

*Accreditation for Implementing Entities:* Implementing Entities (IE) are defined as “the national legal entities, and multilateral organizations that have been identified ex-ante by the Board as meeting the criteria adopted by the Board, in accordance with decision 1/CMP.3, paragraph 5 (c), to access funding to implement concrete adaptation projects and programmes supported by the Fund.”<sup>9</sup>

IEs have to prove their compliance to the fiduciary standards, after which they are “accredited” by the Accreditation Panel for a period of five years. The application for accreditation was modified to include the basic requirements of the Environmental and Social Policy, including the identification of environmental and social risks and measures to address and monitor those risks.<sup>10</sup>

The accreditation process steps include:

1. Appointment of the Designated Authority for the country
2. Identification of potential NIE
3. Potential NIE must adjust to Adaptation Fund requirements (fiduciary standards)
4. Preparation of application for accreditation
5. Submission of NIE Application
6. Screening of the application by the Secretariat
7. Review of the application by the Accreditation Panel.
8. Approval of accreditation by the Board

Conditional Accreditation is also possible.<sup>11</sup> AP experts conduct field visit as needed to determine if an entity should be recommended for accreditation. MIE and RIE applicants pay for the cost of such visit.

The recently approved Readiness Programme for Climate Finance<sup>12</sup> “aims to help strengthen the capacity of national and regional entities to receive and manage climate financing, particularly through the Fund's direct access, and to adapt and build resilience to counter changing climate conditions in sectors ranging from agriculture and food security to coastal zones and urban areas.”<sup>13</sup>

### **Key process 5: Project/program cycle**

The project cycle includes the following steps:

1. Eligible Parties submit proposals to the Secretariat through national or multilateral Implementing Entities
2. The Secretariat screens proposals and forwards technical reviews to the Project and Program Review Committee (PPRC)
3. The PPRC reviews proposals and prepares recommendations for the Board
4. The Board decides on the proposals
5. In the case of project approval, the Secretariat processes contracts with the

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9 AF IRP. 2014. Evaluation ToR, Annex A: Overview of the Adaptation Fund

10 AFB/B.22/5/Add.2

11 Decision B.13/9

12 Decision B.23/26

13 AF. 2015. Readiness Programme for Climate Finance - an Adaptation Fund initiative. The Adaptation Fund's Readiness Programme for Climate Finance. <https://adaptation-fund.org/node/3944> Accessed May 2015.

Implementing Entity, and the Trustee transfers resources for implementation. All proposals are put on the Fund website with a public comment period.

*Funding windows:* Small-scale projects/programs (less than one million USD) may apply through the one step project cycle.<sup>14</sup> Regular projects (i.e., over US\$1 million) can choose either a one-step (full proposal) or two-step process (concept approval and project document). Project Formulation Grants up to US\$30,000 may be available to NIE proponents of PPRC-endorsed concepts.

### **Key process 6: Knowledge management**

*Results Based Framework:* The EFC proposed the Strategic Results Framework for the Adaptation Fund and the Adaptation Fund Level Effectiveness and Efficiency Results Framework of the RBM document,<sup>15</sup> which was adopted by the AFB in its tenth meeting. The Framework describes Fund-level goals, expected impacts, outcomes, and outputs, as well as indicators and targets.

*Knowledge management strategy:* The main objective of the Adaptation Fund Knowledge Management (KM) framework<sup>16</sup> is to enhance recipient countries knowledge to reduce vulnerability and increase adaptive capacity.

*Effectiveness and efficiency results framework:* The Adaptation Fund Level Effectiveness and Efficiency Results Framework includes financial indicators to measure, in particular, the performance of the CER monetization process vis-à-vis relevant market benchmarks; and the secretariat to explore adequate performance indicators related to AFB performance in attracting additional donor contributions for inclusion in future reports.

*Project/program Performance:* Implementing Entities are required to complete Project/program performance reports (PPRs). PPRs must include “procurement and financial aspects of the project, risks, outputs, and implementation progress.”<sup>17</sup> IEs also complete Mid-term and Final evaluations and may complete documentation regarding Project/program formulation grants, Transfer of funds, Procurement, Project suspension and cancelation, Reservations, Dispute settlement and Administrative costs. Implementing Entities are also required to submit an audited financial statement six months after the end of its own fiscal year in which a project was completed.

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14 AF IRP. 2014. Evaluation ToR, Annex A: Overview of the Adaptation Fund

15 AFB/B.8/8

16 AFB/EFC.6/L.1.

17 AF IRP. 2014. Evaluation ToR, Annex A: Overview of the Adaptation Fund

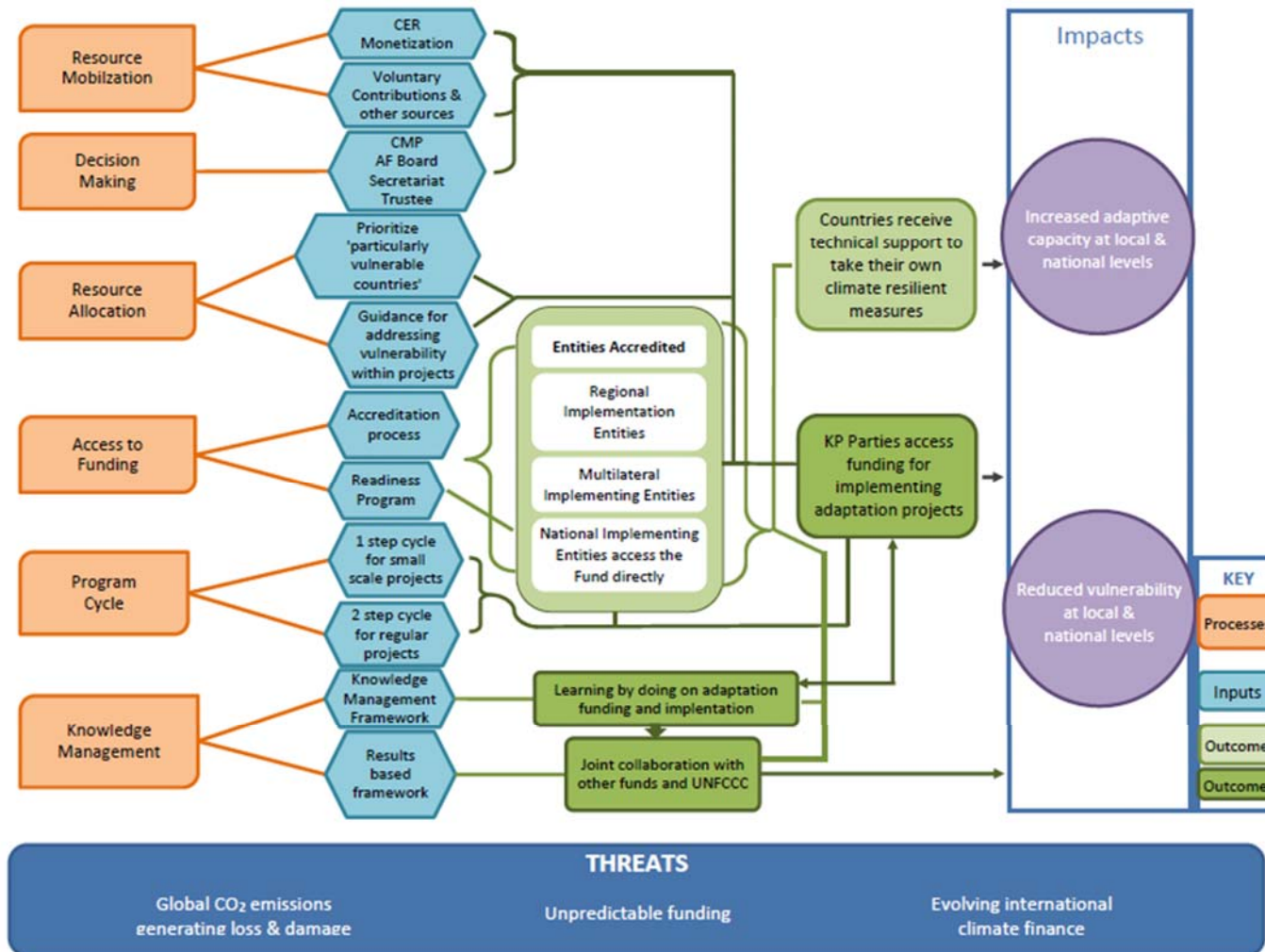
### **Annex 3: Adaptation Fund Theory of Change**

1. The ToC presented in Figure 2 is a graphic representation of the Adaptation Fund's implicit logic and design. It is a further iteration of the version presented by the evaluation team in the Inception Report, which formed the basis for the evaluation matrix.<sup>18</sup> The ToC was an essential tool during data collection and analysis to formulate and test hypotheses regarding the evaluation questions.

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<sup>18</sup> TANGO International in Association with ODI. 2014. First Phase of the Adaptation Fund Evaluation: Inception Report. Bangkok.

Figure 2: Adaptation Fund Theory of Change





## Annex 4: Evaluation matrix

No.	Sub-questions	Measure/indicator	Main Sources of Information	Data Collection Methods	Data Analysis Methods	Evidence quality
<b>Key Question 1: How relevant is the Fund's design to stakeholder policies and priorities?</b>						
1.1	How relevant is the Fund's design <sup>19</sup> to the CMP guidance, national sustainable development strategies, national development plans, poverty reduction strategies, national communications and national adaptation programs of action and other relevant instruments?	<ul style="list-style-type: none"> <li>• Description of key processes/functions in Fund design (Fund blueprint)</li> <li>• Coherence with key policies/strategies/plans/programs/instruments</li> <li>• Extent to which climate finance problem analysis guided/guides Fund design</li> <li>• Incorporation of learning from similar financing mechanism into process design</li> <li>• Incorporation of review and evaluation recommendations into Fund design</li> </ul>	CMP documents, national-level policy and program documents, Fund documents, external reviews and evaluations, expert informants	Literature review, e-survey, individual interviews, focus group discussion	Comparative analysis, SWOT, Appreciative Inquiry	High
1.2	How relevant is the Fund's design to the challenge of adapting to climate change at global and national levels?	<ul style="list-style-type: none"> <li>• Fund contribution to addressing/closing the climate finance gap</li> <li>• Appropriateness of Fund design to differential vulnerability at global and national levels</li> <li>• Appropriateness of Fund income sources, especially the CER mechanism</li> <li>• Appropriateness of direct access modality to global and national adaptation</li> <li>• Appropriateness of changes in design due to global/national adaptation trends (external environment)</li> </ul>	Adaptation literature, national-level policy and program documents, Fund documents, external reviews and evaluations, expert informants	Literature review, e-survey, individual interviews, focus group discussion	Comparative analysis, SWOT, Appreciative Inquiry	High

<sup>19</sup> The ET's use of the word design is inclusive of CMP decisions. In contrast, the term processes mostly refer to systems set up by the AFB and its subsidiary bodies (including the secretariat and trustee)

No.	Sub-questions	Measure/indicator	Main Sources of Information	Data Collection Methods	Data Analysis Methods	Evidence quality
<b>Key Question 2: How effective are the Fund's main processes?</b>						
2.1	What short-term outputs and results has the Fund actually achieved?	<ul style="list-style-type: none"> <li>Description of resources mobilized; institutional arrangements established; decision-making processes established; guidelines, standards, safeguards and other management tools/ quality-assurance mechanisms established, funding modalities established; projects approved/funds released (by category); technical and organizational capacity built; and knowledge management systems established since inception</li> </ul>	Fund documents, project/programs documents, external reviews and evaluations	Literature review	Appreciative Inquiry, descriptive analysis	High
2.2	How effective are the Fund's actual resource mobilization, financial management, decision-making, resource-allocation, access to funding, project/program cycle, and knowledge management processes?	<ul style="list-style-type: none"> <li>Extent to which actual outputs and short-term results meet or exceed explicit and implicit expectations</li> <li>Extent to which institutions and committees have fulfilled their specific roles in support of Fund processes</li> <li>Extent to which Fund guidelines, standards and safeguards have achieved or are likely to achieve their objectives - especially with regards to good governance, project/ program quality assurance, gender, reaching especially vulnerable social groups, adaptive management (of Fund processes), and knowledge management</li> </ul>	Fund documents, project/program documents, internal reviews, external reviews and evaluations, journal articles, survey, key informants	Literature review, individual interviews	Organizational Assessment Framework, SWOT, Appreciative Inquiry, perceptions & analysis of key informants	High
2.3	What are the major factors enabling or hindering effectiveness of the Fund's actual processes and operations?	<ul style="list-style-type: none"> <li>Extent to which the Fund's external environment (admin. and legal framework, stakeholder engagement, economic conditions and political context) have enabled or hindered its effectiveness</li> </ul>	Fund documents, project/program documents, internal reviews, external reviews and evaluations,	Literature review, individual interviews, focus group discussions	Organizational Assessment Framework, comparative analysis, Appreciative	High

No.	Sub-questions	Measure/indicator	Main Sources of Information	Data Collection Methods	Data Analysis Methods	Evidence quality
		<ul style="list-style-type: none"> <li>Extent to which the Fund's organizational capacity (strategic leadership, policy coherence, organizational structure and processes, human resources, financial management, project/program management, inter-institutional linkages) have enabled or hindered its effectiveness</li> <li>Extent to which organizational motivation (history, mission, culture, incentives/rewards) within the Fund have enabled or hindered its effectiveness</li> </ul>	journal articles, key informants		Inquiry, perceptions & analysis of key informants, focus group discussions	

No.	Sub-questions	Measure/indicator	Main Sources of Information	Data Collection Methods	Data Analysis Methods	Evidence quality
<b>Key Question 3: How efficient are the Fund's main processes?</b>						
3.1	How efficient are the Fund's actual resource mobilization, financial management, decision-making, resource-allocation, access to funding, project/program cycle, and knowledge management processes?	<ul style="list-style-type: none"> <li>Cost of Fund institutions and processes in relation to qualitative and quantitative outputs</li> <li>Cost of Fund institutions and processes relative to other climate finance mechanisms</li> <li>Cost of Fund institutions and processes relative to non-climate multilateral Funds</li> <li>Financial, temporal and other costs borne by NIEs/MIEs to access Fund resources</li> <li>Benchmark efficiency curves demonstrated by other Funds</li> </ul>	Fund documents, project/program documents, internal reviews, external reviews and evaluations, journal articles, survey, expert informants	Literature review, individual interviews	Organizational Assessment Framework, SWOT, Appreciative Inquiry, comparative analysis, perceptions & analysis of key informants	High
3.2	What are the major factors enabling or hindering	<ul style="list-style-type: none"> <li>Extent to which the Fund's external environment (admin. and legal</li> </ul>	Fund documents, project/program	Literature review, individual	Organizational Assessment	High

No.	Sub-questions	Measure/indicator	Main Sources of Information	Data Collection Methods	Data Analysis Methods	Evidence quality
	efficiency of the Fund's actual processes and operations?	<p>framework, stakeholder engagement, economic conditions and political context) have enabled or hindered its efficiency</p> <ul style="list-style-type: none"> <li>Extent to which the Fund's organizational capacity (strategic leadership, policy coherence, organizational structure and processes, human resources, financial management, project/program management, inter-institutional linkages) have enabled or hindered its efficiency</li> <li>Extent to which organizational motivation (history, mission, culture, incentives/rewards) within the Fund have enabled or hindered its efficiency</li> </ul>	documents, internal reviews, external reviews and evaluations, journal articles, key informants	interviews, focus group discussions	Framework, comparative analysis, Appreciative Inquiry, perceptions & analysis of key informants, focus group discussions	
3.3	What has been the level of cooperation among Fund stakeholders and with other financial mechanisms to address adaptation to climate change?	<ul style="list-style-type: none"> <li>Quantity and quality of cooperation b/w KP Parties to establish and support the Fund</li> <li>Quantity and quality of cooperation b/w multilateral entities, bilateral entities, national entities and civil society observes to establish and support the Fund</li> <li>Quantity and quality of cooperation, including the ongoing transfer of best-practices, b/w AF and other multilateral climate finance mechanisms (e.g. GCF)</li> </ul>	Fund documents, internal reviews, external reviews and evaluations, journal articles, survey, expert informants	Literature review, individual interviews	Appreciative Inquiry, perceptions & analysis of key informants	Medium
<b>Key Question 4: How sustainable is the Fund?</b>						
4.1	What progress has been made to date towards the Fund's financial sustainability?	<ul style="list-style-type: none"> <li>Identification and relative ranking of external risks/opportunities to enhance financial sustainability</li> <li>Extent to which external risks to</li> </ul>	Fund documents, external reviews and evaluations, survey, key	Literature review, e-survey, individual interviews	Organizational Assessment Framework, SWOT, perceptions &	High

No.	Sub-questions	Measure/indicator	Main Sources of Information	Data Collection Methods	Data Analysis Methods	Evidence quality
		financial sustainability have been mitigated <ul style="list-style-type: none"> <li>• Identification and relative ranking of internal factors (e.g. organizational capacity and motivation) shaping financial sustainability</li> <li>• Extent to which internal risks to financial sustainability have been mitigated</li> <li>• Extent to which internal opportunities to enhance financial sustainability have been taken</li> </ul>	informants		analysis of key informants	
4.2	What progress has been made to date towards the Fund's institutional sustainability?	<ul style="list-style-type: none"> <li>• Identification and relative ranking of external risks/opportunities to enhance institutional sustainability</li> <li>• Extent to which external risks to institutional sustainability have been mitigated</li> <li>• Identification and relative ranking of internal factors (e.g. organizational capacity and motivation) shaping institutional sustainability</li> <li>• Extent to which internal risks to institutional sustainability have been mitigated</li> <li>• Extent to which internal opportunities to enhance institutional sustainability have been taken</li> </ul>	Fund documents, internal reviews, external reviews and evaluations, survey, key informants	Literature review, e-survey, individual interviews	Organizational Assessment Framework, SWOT, perceptions & analysis of key informants	High
4.3	What progress has been made to date towards the Fund's technical sustainability? <sup>20</sup>	<ul style="list-style-type: none"> <li>• Identification and relative ranking of external risks/opportunities to enhance technical sustainability</li> </ul>	Fund documents, external reviews and evaluations,	Literature review, e-survey, individual interviews	Organizational Assessment Framework, SWOT,	High

<sup>20</sup> This is defined here as the ability of the AF to make an efficient and continued use of the technical resources developed through its processes

No.	Sub-questions	Measure/indicator	Main Sources of Information	Data Collection Methods	Data Analysis Methods	Evidence quality
		<ul style="list-style-type: none"> <li>Extent to which external risks to technical sustainability have been mitigated</li> <li>Identification and relative ranking of internal factors (e.g. organizational capacity and motivation) shaping technical sustainability</li> <li>Extent to which internal risks to technical sustainability have been mitigated</li> <li>Extent to which internal opportunities to enhance technical sustainability have been taken</li> </ul>	survey, key informants		perceptions & analysis of key informants	
4.4	What are the main external and internal factors shaping the Fund's long-term sustainability?	<ul style="list-style-type: none"> <li>Relative ranking (severity of consequences vs. likelihood/probability) of all significant risks to the Fund's sustainability</li> </ul>	Internal reviews, external reviews and evaluations, journal articles, survey, key informants, focus groups	Literature review, e-survey, individual interviews, focus group discussions	Combined scatter/bubble chart, Organizational Assessment Framework, SWOT, perceptions & analysis of key informants, focus group discussions	Medium-high
4.5	What are the most significant opportunities for enhancing the Fund's sustainability?	<ul style="list-style-type: none"> <li>Relative ranking (impact vs. cost/feasibility) of all significant opportunities to enhance the Fund's sustainability</li> </ul>	Internal reviews, external reviews and evaluations, journal articles, survey, expert informants, focus groups	Literature review, e-survey, individual interviews, focus group discussions	Combined scatter/bubble chart, Organizational Assessment Framework, SWOT, perceptions & analysis of key informants, focus group discussions	Medium-high
Key Question 5: Is the Fund on-track to achieve intended outcomes at the process level?						

No.	Sub-questions	Measure/indicator	Main Sources of Information	Data Collection Methods	Data Analysis Methods	Evidence quality
5.1	To what extent has the Fund provided relevant, efficient, effective, and sustainable grants to developing country Parties to the Kyoto Protocol?	<ul style="list-style-type: none"> <li>Quantity of grants allocated to developing country Parties to the KP</li> <li>Cross-comparison of Fund relevance, efficiency, effectiveness and sustainability</li> <li>Comparison of Fund relevance, efficiency, effectiveness and sustainability against other mechanisms for adaptation finance</li> </ul>	Fund documents, project/program documents, internal reviews, external reviews and evaluations, key informants	Literature review, individual interviews	Descriptive documentation, perceptions & analysis of key informants	High
5.2	What intended or unintended, positive or negative short-term outcomes have been achieved by Fund processes and operations?	<ul style="list-style-type: none"> <li>Summary of the most significant short-term outcomes of Fund processes and operations, both in terms of internal objectives and external repercussions</li> <li>Progress towards demonstrating new/direct access modalities and other catalytic impacts on adaptation finance</li> <li>Quantity and quality of changes in boundary partners (i.e., national and global stakeholders)</li> </ul>	Fund documents, project/program documents, external reviews and evaluations, journal articles, expert informants, focus groups	Literature review, individual interviews, focus group discussions	Descriptive documentation, perceptions & analysis of key informants, focus group discussions	High

## Annex 5: Evaluation limitations and mitigation strategies

Limitation	Description	Mitigation Strategy
<i>Secondary data quality</i>	Inconsistencies/gaps in documentation, and limited access to information due to confidentiality	The ET is taking a structured approach to the secondary data review (Annex 2). Problems with data will be identified and communicated to the AFB Sec to resolve them to the extent possible. The ET will also reach out to the leads of other reviews, i.e., UNFCCC, to get advice on how limitations were addressed.
<i>Institutional Knowledge</i>	Turnover will affect the level of institutional knowledge among internal and external stakeholders	The ET is taking a structured approach to stakeholder listing and analysis (Table 2), in close consultation with the AFB Sec, to identify the most appropriate key informants. The ET will communicate and arrange phone/Skype with individuals who have been engaged in the past.
<i>Dynamic and complex unit of analysis</i>	Changes in processes, operations and policies pose structural or content limitations	The ET will conduct the literature review in an organized manner so as to understand the changes in processes, and highlight these in the Theory of Change for specific assessment
<i>Aggregation of evaluation findings</i>	The political changing political environment and capacity constraints at various levels, may affect the way in which the Fund's performance can be aggregated at national, regional and global level.	Through use of the OA framework, there is specific focus in the evaluation matrix on understanding external factors that affect Fund processes. These factors will be organized in the ToC to allow a structured assessment of their combined impact on the Fund
<i>Maturity of Fund processes</i>	Most of the NIEs are still in the process of preparing project concepts and waiting for endorsement and approval from the Fund. Therefore, evidence on how NIEs have successfully operated based on standards, and their coordination with relevant executing entities is relatively scarce.	The ET will ensure a realistic appreciation of what can be achieved in the given timeframe of four years given the dynamic environment, changing contexts from operationalization to the evolution of the Fund
<i>Phase 1 and Phase 2 distinction</i>	The differentiation between Phase 1 and Phase 2 is not clear in the ToR.	To assess the effectiveness of processes, the ET will have to consider the Fund outputs and outcomes for which documentation is readily available. The ET will not undertake new primary research to identify outcomes and impact. The ET will actively engage with the AFB Sec to refine the differentiation between the two and, in this way, help inform the scope of work for Phase 2
<i>Multiple stakeholders in the evaluation process</i>	During the evaluation, the ET has to coordinate with and respond to multiple stakeholders: the Evaluation Coordinator and through the Evaluation Coordinator with the IRP, the AFB Sec, and AFB. Stakeholders may have varied expectations of the evaluation process, which are not manageable by the ET if not coordinated. This increases transaction costs for the ET in the evaluation, with more time spent on process and packaging than on creating a substantive final product.	The ET will request clear structure for the various types of engagement, including specific formats for comments/inputs. This is necessary to manage evaluation inputs from multiple stakeholders. The ET will also work to better manage expectations
<i>Time delays</i>	Upon notification of contract award, the proposed timeline was no longer feasible due to delays in the proposal approval process. Subsequent delays in contract processing have also delayed the startup of evaluation activities	The ET is flexible, within reason, to accommodate timeline pressures incurred prior to the contract formalization. For example, the ET completed the inception phase in the period October-November 2014, including submission of the inception report, and advancing 10K for participation of the ET in the COP 20, before contract formalization on 1 December 2014



## Annex 6: Examples of justification of consistency with national and sub-national policy instruments

**Table 1: review of 7 randomly selected proposals from the 41 AF-approved projects (as of 2014)**

Country	National documentation the Adaptation Fund project aligns to	Sub-national documentation the Adaptation Fund aligns to
South Africa	Second National Communication on Climate Change; National Climate Change Response Policy; White Paper on Climate Change; National Development Plan Vision for 2030; Spatial Planning and Land Use Management Act; Long-Term Adaptation Flagship Research Programme; National Department of Agriculture, Forestry and Fisheries Strategic Plan; National Food Security Production Programme; KwaZulu-Natal Empowerment for Food Security Programme; Comprehensive Housing Plan for the Development of Integrated Sustainable Human Settlements; Draft Disaster Management Plan, Strategic Environmental Assessment and Strategic Environmental Management Plan; UMDM Integrated Development Plan; Spatial Development Frameworks	KwaZulu-Natal Provincial Growth and Development Plan; UMDM Municipal Climate Change Response Strategy; Msunduzi Local Municipality Informal Settlement Upgrade Strategy and Programme
Egypt	Egyptian National Adaptation Strategy; Agricultural Climate Adaptation Strategy; Water Resources Strategy; Initial and Second National Communications to the UNFCCC; Poverty Reduction Strategy for 2004-2022; 2002-2017 National Environmental Action Plan; National Water Resources Management Plan	Not specified
Madagascar	Millennium Development Goal Commitments; National Environmental Action Plan; National Action Plan for Adaptation; Initial and Second National Communications; Rural Development Management Plan	Development Plan and Environmental profile (under National Plan of Action for Environment) for the Alaotra Region
Pakistan	National Environmental Policy; National Communication to the UNFCCC; National Disaster Management Framework; Task Force on Climate change in the Planning Commission	DIPECHO/UNDP project on Regional Climate Risk Reduction
India	National Agricultural Policy; National Disaster Management Policy; National Environmental Policy; National Livestock Policy; National Action Plan on Climate Change; 12 <sup>th</sup> Five year Plan	State Action Plan on Climate Change for West-Bengal
Georgia	National Environment Action Plan, Second National Communication	Regional Development Strategy for 2010-2017
Uruguay	Climate-smart agriculture policy; National Action Plan for Climate Change; Rural Development Programmes	Not specified

Source: Project proposals from South Africa, Egypt, Madagascar, Pakistan, India, Georgia, and Uruguay. Available at: [https://www.adaptation-fund.org/funded\\_projects/interactive](https://www.adaptation-fund.org/funded_projects/interactive)

### Annex 7: AF fundraising targets and progress toward meeting fundraising targets

Item	As of 30 June 2011 <sup>1</sup>	FY 2012 <sup>2</sup>	FY 2013 <sup>2</sup>	FY 2014 <sup>2</sup>	1 July - 31 December 2014 <sup>3</sup>	Total
Cash receipts from CER proceeds (US\$ millions)	163.12	16.98	8.1	2.2	0.4	190.8
Number of donors	9	10	11	14	19	
Actual donor contributions (US\$ millions)	85.8	33.7	15	79.2	63.56	277.26
		Calendar year				
		2012-2013		2014		2015
Fundraising target		100		80		80
Fundraising target progress		Target met, based on pledges		Target not met		in progress

<sup>1</sup>AFB/EFC.6/5;<sup>2</sup> AFB/EFC.15/3 (Table 8);<sup>3</sup> AF. 2015. Adaptation Trust Fund: Financial Report Prepared by the Trustee (as at 31 DECEMBER 2014). AFB/EFC.16/4.

**Annex 8: Table describing Adaptation Fund and other climate funds**

Fund (Established by)	Fund scale <sup>21</sup>	Objective and Activities	Financial tools	Resource allocation
Adaptation Fund (UNFCCC)	\$0.2 billion	Concrete adaptation projects and programs that reduce vulnerability and increase adaptive capacity to respond to the impacts of climate change, including variability at local and national levels in human and natural systems to respond to climate change	Grants	Developing country Parties to the Kyoto Protocol
LDCF (UNFCCC)	\$0.9 billion	Adaptation in the Least Developed Countries (LDCs) under the UNFCCC through preparation and implementation of NAPAs	Grants	Least developed country signatories to the UNFCCC
SCCF (UNFCCC)	\$0.3 billion	Adaptation and technology transfer in all developing country parties to the UNFCCC. Active SCCF portfolio projects mainstream adaptation into broader national development and political agendas.	Grants	Developing country Parties to the UNFCCC
PPCR (Developed and developing countries, and MDBs)	\$1.3 billion	Piloting and demonstrating ways to integrate climate risk/resilience into core development planning while complementing other ongoing activities; incentivizing scaled-up action/ transformational change of climate resilience considerations in national development through technical assistance, strategies and financing, and support to public and private sector investments identified in national or sectoral development plans or strategies addressing climate resilience.	Grants and concessional loans with financing terms more concessional than standard International Development Association (IDA) terms	Limited number of pilot countries and regions with priority on highly vulnerable least developed countries eligible for MDB concessional funds (e.g., SIDs).
CTF (Developed and developing countries, and MDBs)	\$5.5 billion (2008–14)	To finance transformational actions by providing positive incentives to demonstrate low carbon development and mitigate greenhouse gas (GHG) emissions; using public and private sector investments and promoting scaled-up deployment, diffusion, and transfer of clean technologies; funding low-carbon programs and projects in national plans and strategies to accelerate implementation. Activities include demonstration of large scale concentrated solar power (CSP), photovoltaics (PV), geothermal, wind, and combined renewable energies.	Loans and risk mitigation instruments at concessional rates; limited grant available	Distribution to a limited number of recipient countries, with a focus on middle income countries with relatively high emissions; average country allocation is over \$300 million
GEF	\$1.8 billion (2006–14)	To support developing countries and economies in transition toward a low-carbon development path through renewable energy technologies (e.g., included biomass, geothermal, hydro, solar PV, wind, and combined renewable energies).	Grants and limited non-grant instruments	Distribution among all developing country Parties to the UNFCCC through an allocation system (averaging under \$10 million/4-yr replenishment cycle)
GCF	\$9 billion (by Nov. 2014)	To provide support to developing countries to limit or reduce greenhouse gas emissions and to adapt to impacts of climate change, taking into account the needs of developing countries particularly vulnerable to the adverse effects of climate change	(unknown)	(unknown)

21 Table adapted from ICF International. 2014. Independent Evaluation of the Climate Investment Funds. Washington, DC: World Bank. Amounts shown are funds pledged (2014) unless otherwise noted.

## Annex 9: Interviewees

**Table 2: Interviewees in the Phase 1 evaluation of the Adaptation Fund**

# of individuals interviewed	Organization	Organization type	Name
1	UNDP, Global Environment Facility, Sustainable Development Cluster, Bureau for Policy and Programme Support	IE	Adrianna Dinu
2	Adaptation Fund NGO Network	NGO	Alpha Kaloga
3	Climate Investment Funds	Climate fund	Andrea Kutter
4	AFB EFC	AF	Angela Churie-Kallhauge
5	GEF Evaluations Office	Climate fund	Anna Vigg
6	AFB Secretariat	AF	Aya Mimumara
7	Indigo Development and Change	IE	Bettina Koelle
8	AF Trustee (World Bank)	AF	Bob Hunt
9	International Institute for Environment and Development	Research	Bowen Wang
10	AFB Secretariat	AF	Cathryn Poff
11	Planning Institute of Jamaica	IE	Claire Bernard
12	AFB Secretariat	AF	Daouda Ndiaye
13	Centre de Suivi Ecologique	IE	Déthié Soumaré Ndiaye
14	AFB Secretariat	AF	Dima Shocair Reda
15	UNFCCC Secretariat	UN Secretariat	Donald Singue Tanko
16	International Institute for Environment and Development	Research	Dr. Saleem ul Huq
17	AFB	AF	Ezzat Lewis Hannalla Agaiby
18	AF Trustee (World Bank)	AF	Fei Wang
19	AFB	AF	Hans Olav Ibrenk
20	GCF	Climate fund	Héla Cheikhrouhou
21	AFB, EFC	AF	Jeffrey Spooner
22	AF Trustee (World Bank)	AF	Jonathan Caldicott
23	Adaptation Fund NGO Network	NGO	Lisa Junghans
24	AFB	AF	Mamadou Honadia
25	AFB, PPRC	AF	Marc Antoine Martina
26	AFB Secretariat	AF	Marcia Levaggi
27	UNFCCC Secretariat	UN Secretariat	Masashi Taketani
28	AFB Secretariat	AF	Mikko Ollikainen
29	GEF	Climate fund	Naoko Ishii
30	UNDP Honduras	IE	Noelia Jover
31	WFP	IE	Olga Krylova
32	Ministry of Environment, Climate Change, Water and Wildlife	IE	Pa Ousman Jarju

# of individuals interviewed	Organization	Organization type	Name
33	AFB	AF	Patience Dampthey
34	Accreditation Panel	AF	Peter Maertens
35	AFB, PPRC	AF	Peter Tarfa
36	AFB, EFC, Accreditation Committee, Bahamas Environment, Science and Technology Commission	AF	Philip Weech
37	UNDP	IE	Pradeep Kurukulasuriya
38	Accreditation Panel	AF	Ravinder Singh
39	LDCF/SCCF	Climate fund	Rawleston Moore
40	WFP	IE	Richard Choularton
41	Planning Institute of Jamaica	IE	Sheila Miller
42	GCF	Climate fund	Stephanie Kwan
43	CARE International	NGO	Sven Harmeling
44	GCF	Climate fund	Tao Wang
45	Ministry of Foreign Affair, Trade, Tourism, Environment & Labour, Tuvalu	IE	Taukelina Finikaso
46	UNFCCC Secretariat	UN Secretariat	Tiffany Hodgson
47	AFB, EFC	AF	Zaheer Fakir

**Table 3: Organizations represented in interviews for the Phase 1 evaluation of the Adaptation Fund**

# of organizations	Organization	Org type
1	Adaptation Fund NGO Network	NGO
2	AF Accreditation Panel	AF
	AF EFC	AF
	AF PPRC	AF
	AF trustee (World Bank)	AF
	AFB	AF
	AFB Secretariat	AF
3	CARE International	NGO
4	Centre de Suivi Ecologique	IE
5	Climate Investment Funds	Climate fund
6	GCF	Climate fund
7	GEF	Climate fund
8	Indigo Development and Change	IE
9	International Institute for Environment and Development	Research
10	LDCF/SCCF	Climate fund
11	Ministry of Environment, Climate Change, Water and Wildlife	IE
12	Ministry of Foreign Affair, Trade, Tourism, Environment and Labour, Tuvalu	IE
13	Planning Institute of Jamaica	IE

# of organizations	Organization	Org type
14	UNDP	IE
15	UNFCCC Secretariat	UN Secretariat
16	WFP	IE

**Annex 10: List of stakeholder organizations invited to participate in e-survey regarding the Phase 1 evaluation of the Adaptation Fund**

Organization
Adaptation Fund Accreditation Panel
Adaptation Fund Board
Adaptation Fund Board Secretariat
Adaptation Fund NGO Network
Adaptation Fund Secretariat
African Development Bank (AfDB)
Agencia de Cooperacion Interacional de Chile
Agencia Nacional de Investigacion e Innovacion
Agency for Agricultural Development
Asian Development Bank (ADB)
Association pour la Conservation de la Nature au Rwanda
CARE International
Centre de Suivi Ecologique
Climate Investment Funds
Corporación Andina de Fomento (CAF)
Desert Research Foundation of Namibia (DRFN)
ENDA Third World
European Bank for Reconstruction and Development (EBRD)
Forum CC Tanzania
Fundacion Vida
Fundecooperacion Para el Desarrollo Sostenible
Green Climate Fund
Indigo Development and Change
Inter-American Development Bank (IDB)
International Fund for Agricultural Development (IFAD)
International Institute for Environment and Development
Mexican Institute of Water Technology (IMTA)
Ministry of Environment, Climate Change, Water and Wildlife
Ministry of Foreign Affair, Trade, Tourism, Environment and Labour, Tuvalu
Ministry of Natural Resources (MINIRENA)
Ministry of Planning and International Cooperation
National Bank for Agriculture and Rural Development
National Environment Fund
National Environment Management Authority (NEMA)
NGO Forum on Cambodia
Observatoire du Sahara et du Sahel / Sahara and Sahel Observatory (OSS)
ONG JVE

Organization
Panos Caribbean
Peruvian Trust Fund for National Parks and Protected Areas (PROFONANPE)
Planning Institute of Jamaica
Practical Action
Protected Areas Conservation Trust (PACT)
Red Cross Red Crescent Climate Centre
Royal Marine Conservation Society of Jordan
Secretariat of the Pacific Regional Environment Programme (SPREP)
South African National Biodiversity Institute
Unidad para el Cambio Rural (Unit for Rural Change - UCAR)
United Nations Development Programme (UNDP)
United Nations Educational, Scientific, and Cultural Organization (UNESCO)
United Nations Environment Programme (UNEP)
United Nations World Food Programme (WFP)
West African Development Bank (BOAD)
World Bank (International Bank for Reconstruction and Development)
World Meteorological Organization (WMO)

## Annex 11: e-survey protocol

### First Phase of the Adaptation Fund Evaluation

You have been invited to participate in this survey because of your experience and expertise regarding the Adaptation Fund.

Your responses will contribute to the First Phase of the Adaptation Fund Evaluation, which was commissioned by the Adaptation Fund and is undertaken by TANGO International in consortium with the Overseas Development Institute. This evaluation focuses on the Fund's processes, the function of the Fund in its entirety, and the context in which the Fund is embedded and operates. The evaluation results will help to identify and strengthen good practices, to indicate processes that require improvement, and to recommend how these can be carried out.

The survey consists of 18 questions that take between 15-20 minutes to complete. Questions requiring a response are marked with an asterisk.

There is no direct benefit to you for taking part in this project and participation is completely voluntary. All survey responses are completely confidential. Your responses will only be analyzed and presented as group data. The data will not be associated with your organization or with you as an individual. Your email will not be tied to your responses in any way. We will not ask you for any personal information, such as your name or address.

You may go back to previous pages in the survey and update existing responses until the survey is finished or until you have exited the survey. After submitting the survey, you will not be able to update existing responses.

If you have any questions about the evaluation or this e-survey, please don't hesitate to contact Mr. Bruce Ravesloot at TANGO International: [bruce@tangointernational.com](mailto:bruce@tangointernational.com). We will make sure to answer your questions ASAP.

**1. \*Please indicate your agreement to participate in this survey by checking yes or no below.**

- ☐ Yes, I consent to participate in this survey on the basis of the explanation and conditions set out in the Introduction.
- ☐ No, I decline to participate.

**2. \*Please indicate whether the organization or institution you represent is a National Implementing Entity (NIE), Regional Implementing Entity (RIE) or Multi-lateral Implementing Entity (MIE), and whether you can answer questions from the perspective of an implementing entity.**

- ☐ Yes, I represent an NIE, RIE or MIE and can answer questions from the perspective of an implementing entity.
- ☐ No, I do not represent an NIE, RIE or MIE.

### Section A: How relevant is the Fund's design to stakeholder policies and pr...

"Relevance" is defined as the extent to which the design of the fund is suited to the priorities and policies of the Kyoto Protocol, developing countries, and the UNFCCC.



## First Phase of the Adaptation Fund Evaluation

### 3. Please indicate your level of agreement with the statements below.

	Strongly disagree	Disagree	Neither agree or disagree	Agree	Strongly agree	Don't know
Our project(s) was (were) explicitly designed to implement priorities set out in a National Adaptation Plan of Action or other national adaptation policy.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Our project's (or projects') focus and target population were determined by politically influential individuals or institutions with little consultation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## Section A (cont.): How relevant is the Fund's design to stakeholder policies...

"Relevance" is defined as the extent to which the design of the fund is suited to the priorities and policies of the Kyoto Protocol, developing countries, and the UNFCCC.

### 4. Please indicate your level of agreement with the statements below.

	Strongly disagree	Disagree	Neither agree or disagree	Agree	Strongly agree	Don't know
The Fund's focus on concrete adaptation activities is highly relevant to national circumstances and priority needs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Fund's "Direct Access Modality" is highly relevant to national circumstances and priority adaptation needs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Fund's ability to cover the full cost of adaptation projects is highly relevant to national circumstances and priority needs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Paris Declaration on Aid Effectiveness is organised around five principles: ownership, alignment, harmonisation, managing for results, and mutual accountability. The design of the Adaptation Fund reflects these lessons learnt about aid effectiveness, as well as lessons learnt from similar financing mechanisms.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Projects developed by National Implementing Entities (NIEs) are more closely aligned with national circumstances/priority needs than projects developed by Multilateral Implementing Entities (MIEs).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Adaptation Fund is making a significant contribution to addressing/closing the climate finance gap.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Adaptation Fund is providing important lessons about how climate finance mechanisms can best address/account for national circumstances and priority needs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Projects financed by the Adaptation Fund have strong potential for scaling up within countries and replicating in other countries.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Projects financed by the Adaptation Fund are effectively prioritizing the most vulnerable countries.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Projects financed by the Adaptation Fund are effectively targeting the most vulnerable people within countries.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## First Phase of the Adaptation Fund Evaluation

**5. Please write any other insights you would like to share on Fund relevance in the comment box below:**

### Section B: How effective are the Fund's main processes?

"Effectiveness" is defined as the extent to which entities or activities attain their objectives.

**6. Please indicate your level of agreement with the statements below.**

	Strongly disagree	Disagree	Neither agree or disagree	Agree	Strongly agree	Don't know
The Adaptation Fund's achievements to-date meet or exceed expectations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The World Bank performs two core functions as Interim trustee of the Adaptation Fund: (1) sell Certified Emission Reduction certificates and (2) manage the Adaptation Fund Trust Fund. The trustee has performed these functions in a transparent and efficient manner, taking steps to limit financial risks.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The AF secretariat (housed within the GEF) provides secretariat services to the Adaptation Fund Board through a dedicated, functionally independent team of officials. Growth of the Adaptation Fund would place pressure on the Secretariat and require more independence to maximize effectiveness.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Civil society influence in Fund design and main processes has enhanced its effectiveness.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Civil society actors continue to engage in and meaningfully influence the Fund main processes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Civil Society representatives are currently allowed to observe but not participate in Adaptation Fund Board. Civil Society representatives are not allowed to observe committee meetings This arrangement is sufficient.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
To date, the Adaptation Fund Board has been extraordinarily "hands on," with members reviewing operational guidelines and project proposals, participating in the design and implementation of the accreditation process, mobilizing resources, and managing ethical and financial decisions. On balance, this has enhanced the Fund's effectiveness to date.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Adaptation Fund Board's hands-on way of working will have to change and delegate more responsibility to the secretariat and/or committees (e.g. the Ethics and Finance Committee or Project/Program Review Committee) if the Fund grows significantly.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Fund's Direct Access Modality is time consuming and costly. However, its long-term value outweighs its short-term costs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The history, mission and internal culture of the Adaptation Fund Board and its secretariat have greatly enhanced its effectiveness.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Fund is effectively transforming its experiences into practical knowledge on adaptation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## First Phase of the Adaptation Fund Evaluation

The Fund is effectively communicating its experiences and lessons learnt about adaptation.

☐ ☐ ☐ ☐ ☐ ☐

### Section B (cont.): How effective are the Fund's main processes?

"Effectiveness" is defined as the extent to which entities or activities attain their objectives.

**7. Please indicate your level of agreement with the statements below.**

**Fund guidelines, standards and safeguards have achieved or are likely to achieve their objectives with regards to:**

	Strongly disagree	Disagree	Neither agree or disagree	Agree	Strongly agree	Don't know
Good governance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Project/ program quality assurance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Gender equality and equity.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Reaching especially vulnerable social groups within countries.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The adaptive management/improvement of the Fund's main processes over time. These processes include resource mobilization, decision-making, resource allocation, access to funding, project/programme cycle, and knowledge management.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**8. Please write any other insights you would like to share on Fund effectiveness in the comment box below:**

### Section C: How efficient are the Fund's main processes?

"Efficiency" is a measure of qualitative and quantitative outputs relative to inputs (e.g. money, time and effort). A highly efficient entity accomplishes necessary tasks quickly, at low cost, and with little to no waste of resources.

## First Phase of the Adaptation Fund Evaluation

### 9. Please indicate your level of agreement with the statements below.

	Strongly disagree	Disagree	Neither agree or disagree	Agree	Strongly agree	Don't know
The Adaptation Fund Board (AFB) provides good value for money.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Trustee provides good value for money.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Adaptation Fund Board's Secretariat provides good value for money.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The AFB's Project and Program Review Committee is efficient and should continue functioning "as is."	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The AFB's Ethics and Finance Committee is efficient and should continue functioning "as is."	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The AFB's Accreditation Panel is efficient and should continue functioning "as is."	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
AFB meeting protocols should allow lengthy discussions and participation by Board members and alternates in order to make well-informed and, therefore, more effective decisions.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
More formal rules typical of an "Executive Board," would shorten AFB discussions and make meetings more efficient than current rules that allow more people to participate.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The 50/50 split between projects approved for implementation by national entities vs. multilateral entities is inefficient and unnecessary.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The \$10 million per-country cap on funding is inefficient and unnecessary.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### 10. Please write any other insights you would like to share on Fund efficiency in the comment box below:

## Section D: How sustainable is the Fund?

"Sustainability" - An institution is considered sustainable if it can survive and develop to fulfill its functions on a permanent basis with decreasing levels of external support; if it is likely to secure necessary inputs and support and provide continued activities and outputs, efficiently and effectively, that are valued by stakeholders for as long as the institution is needed (NORAD).



## First Phase of the Adaptation Fund Evaluation

### 11. Please indicate your level of agreement with the statements below.

	Strongly disagree	Disagree	Neither disagree or agree	Agree	Strongly agree	Don't know
Current institutional arrangements (World Bank trustee and GEF-based secretariat) represent a "best bet" approach to ensuring the Fund's institutional sustainability.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Adaptation Fund is able to efficiently and continuously improve its technical resources (e.g. Adaptation Fund Handbook, Results Framework and Baseline Guidance, Evaluation Framework, Open Information Policy, Environment and Social Policy, Methodologies for Reporting Adaptation Fund Core Impact Indicators) in response to new experiences/learning	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other climate finance mechanisms are making use of technical resources developed by the Fund (e.g. Adaptation Fund Handbook, Results Framework and Baseline Guidance, Evaluation Framework, Open Information Policy, Policy for Project/Program Delays, Environment and Social Policy, Methodologies for Reporting Adaptation Fund Core Impact Indicators).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### Section D (cont.): How sustainable is the Fund?

"Sustainability" - An institution is considered sustainable if it can survive and develop to fulfill its functions on a permanent basis with decreasing levels of external support; if it is likely to secure necessary inputs and support and provide continued activities and outputs, efficiently and effectively, that are valued by stakeholders for as long as the institution is needed (NORAD).

### 12. How important are the below types of risk to the Fund's sustainability?

	Not Important	Slightly Important	Moderately Important	Important	Very Important
Financial – (e.g. fall in CER prices, uncertainty of the CDM market and lack of commitment by voluntary contributors to the Adaptation Fund).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Institutional – Continuity of institutional arrangements (World Bank trustee and GEF-based secretariat).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Organizational - adequacy of secretariat staff and the ability to sustain quality services over the long term.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Political - Lack of clarity about the Adaptation Fund's role within the emerging climate finance architecture, including operationalization of GCF	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### Section D (cont.): How sustainable is the Fund?

"Sustainability" - An institution is considered sustainable if it can survive and develop to fulfill its functions on a permanent basis with decreasing levels of external support; if it is likely to secure necessary inputs and support and provide continued activities and outputs, efficiently and effectively, that are valued by stakeholders for as long as the institution is needed (NORAD).

## First Phase of the Adaptation Fund Evaluation

### 13. How important are the below opportunities to ensure the Fund's financial sustainability?

	Not Important	Slightly Important	Moderately Important	Important	Very Important
Development and Implementation of a Resource Mobilization Strategy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The CMP decision to allocate 2% of proceeds levied on the first international transfers of assigned amount units (AAUs) and the emission reduction units (ERUs) to the Fund	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Application of voluntary levies on Annex 1 countries	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Measures to raise and stabilize the price of CERs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Requiring project co-financing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Establishing an operational linkage with GCF through an MOU or legal agreement that allows the Fund to receive GCF resources and serve as a delivery partner for specific activities where the Adaptation Fund holds a comparative advantage	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## Section D (cont.): How sustainable is the Fund?

"Sustainability" - An institution is considered sustainable if it can survive and develop to fulfill its functions on a permanent basis with decreasing levels of external support; if it is likely to secure necessary inputs and support and provide continued activities and outputs, efficiently and effectively, that are valued by stakeholders for as long as the institution is needed (NORAD).

### 14. How important are the below factors in representing the Fund's greatest comparative advantage?

	Not Important	Slightly Important	Moderately Important	Important	Very Important
Ability to process small scale grants efficiently.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ability to pioneer innovative pilots such as the direct access modality, accreditation of NIEs and readiness program.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Strong relationship with and prioritization of vulnerable countries such as LDCs and SIDS.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Lean administration and value for money.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Documented and tested operational policies and procedures.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### 15. Please write any other insights you would like to share on Fund sustainability in the comment box below:

## Section E: Is the Fund on-track to achieve intended outcomes at the process...

## First Phase of the Adaptation Fund Evaluation

**16. Please indicate your level of agreement with the statements below.**

**The Fund's most significant short-term outcomes include:**

	Strongly disagree	Disagree	Neither disagree or agree	Agree	Strongly agree	Don't know
Enabling environment: Engaging with the Fund has strengthened legal and policy frameworks for adaptation in vulnerable countries.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Awareness-raising: Engaging with the Fund has increased recognition of adaptation needs and action in vulnerable countries.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Technical: Engaging with the Fund has resulted in innovative methods and technology to address climate change adaptation and/or the transfer of valuable skills and knowledge in vulnerable countries.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Piloting: The Fund has supported effective adaptation activities that could be replicated in other vulnerable countries.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Government coordination: Engaging with the Fund has improved inter-ministerial and inter-agency coordination for adaptation in vulnerable countries.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Multi-sectoral cooperation: Engaging with the Fund has improved cooperation between government and non-government actors to plan and implement adaptation activities in vulnerable countries.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Absorptive capacity: Engaging with the Fund has enhanced the capacity of vulnerable countries to receive and administer climate funds.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Transparency and accountability: The Fund's accreditation process has enhanced the transparency and accountability of National Implementing Entities.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Accredited institutions have the potential to enhance climate change funding in a country.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Global learning: The Fund has generated valuable lessons on adaptation finance globally	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### Section E (cont.): Is the Fund on-track to achieve intended outcomes at the...

## First Phase of the Adaptation Fund Evaluation

**17. Please indicate your level of agreement with the statements below.**

**Catalytic impacts of the Direct Access Modality include:**

	Strongly disagree	Disagree	Neither disagree or agree	Agree	Strongly agree	Don't know
Successful replication by other climate finance mechanisms (e.g. Global Environment Facility and Green Climate Fund).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Increased and broadened range of partners in addressing climate change.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Demonstrated capacity development of vulnerable countries to access climate finance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Fund has been able to accumulate technical expertise, skills and experience on accreditation, which it is currently using to facilitate readiness programs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Enhanced country-ownership over climate change projects and interventions.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Increased south-south cooperation for climate change adaptation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Improved technical know-how on climate change programming in vulnerable countries.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### Section E (cont.): Is the Fund on-track to achieve intended outcomes at the...

**18. Please indicate your level of agreement with the statements below.**

**Engaging with the Adaptation Fund has strengthened the quality of in-country cooperation between relevant:**

	Strongly disagree	Disagree	Neither disagree or agree	Agree	Strongly agree	Don't know
National government ministries/agencies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
National ministries/agencies and local government	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Government and civil society	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Government and private sector	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### Section E (cont.): Is the Fund on-track to achieve intended outcomes at the...

**19. Please indicate your level of agreement with the statements below.**

	Strongly disagree	Disagree	Neither disagree or agree	Agree	Strongly agree	Don't know
The Fund is at least as relevant as other mechanisms for climate finance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Fund is at least as effective as other mechanisms for climate finance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Fund is at least as efficient as other mechanisms for climate finance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



## First Phase of the Adaptation Fund Evaluation

**20. Please write any other insights you would like to share on the intended process-level and institutional outcomes of the Fund in the comment box below:**

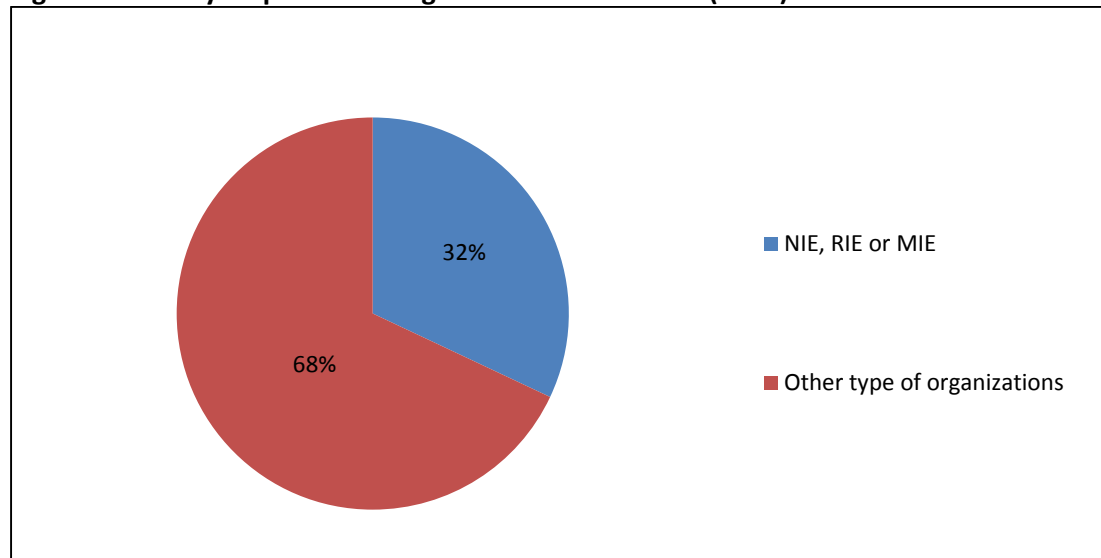
You have completed all questions. Thank you for your time!

## Annex 12: e-survey results

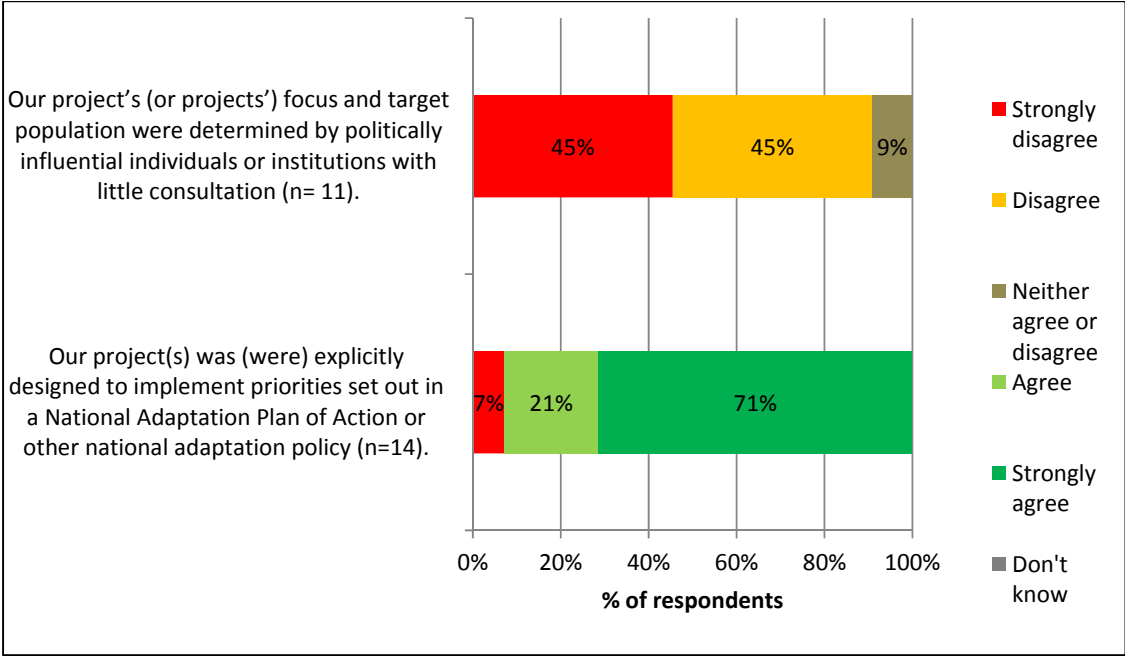
2. Survey responses were received April 6-27, 2015. Email invitations were sent to 103 stakeholders (i.e., AFB members and alternates, Implementing Entities (IEs), other climate funds, World Bank, GEF, civil society) with links to the e-survey. Two reminders were sent to non-respondents on April 14 and 16, 2015, resulting in a total of 51 respondents. Except where indicated, questions were answered by 44 respondents. Given the length of the questionnaire, the above-average response rate (43%) for the survey indicates a high level of interest in the Adaptation Fund and the evaluation thereof. The relatively high response rate also strengthens this evaluation's conclusions and helps provide potentially relevant guidance to the Adaptation Fund for consideration in future planning and programming.

3. Given the potentially diverse types of stakeholders, participants were first asked to identify themselves in terms of whether they were affiliated with a national, multilateral, or regional implementing entity (NIE/MIE/RIE) or other type of organization. Close to one-third of all respondents identified themselves as from an IE (16 respondents from NIE/RIE/MIEs; 34 from other organizations; n=50).

**Figure 3 - Survey respondents' organizational affiliation (n=50)**



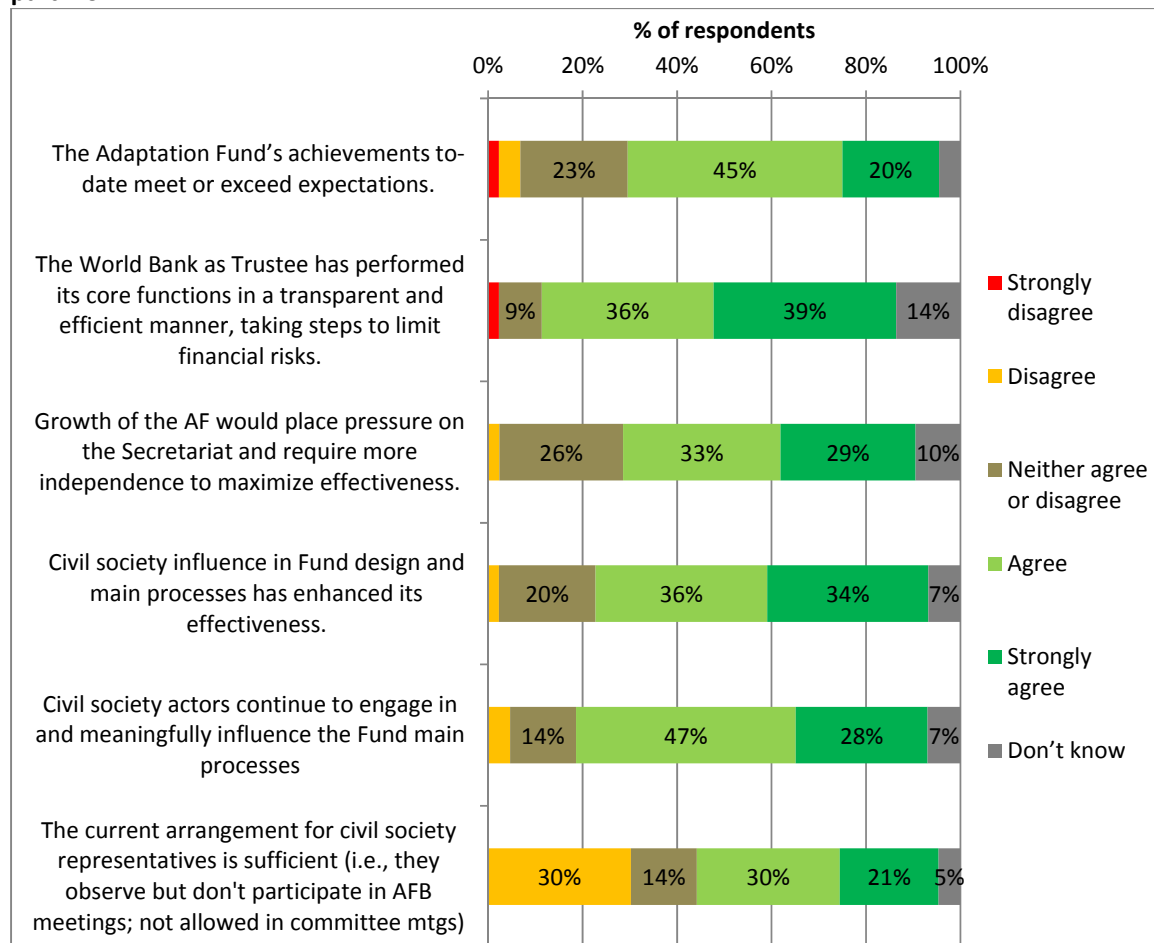
**Figure 4: Survey responses from NIE/RIE/MIEs regarding their level of agreement with statements about factors that influenced their project design**



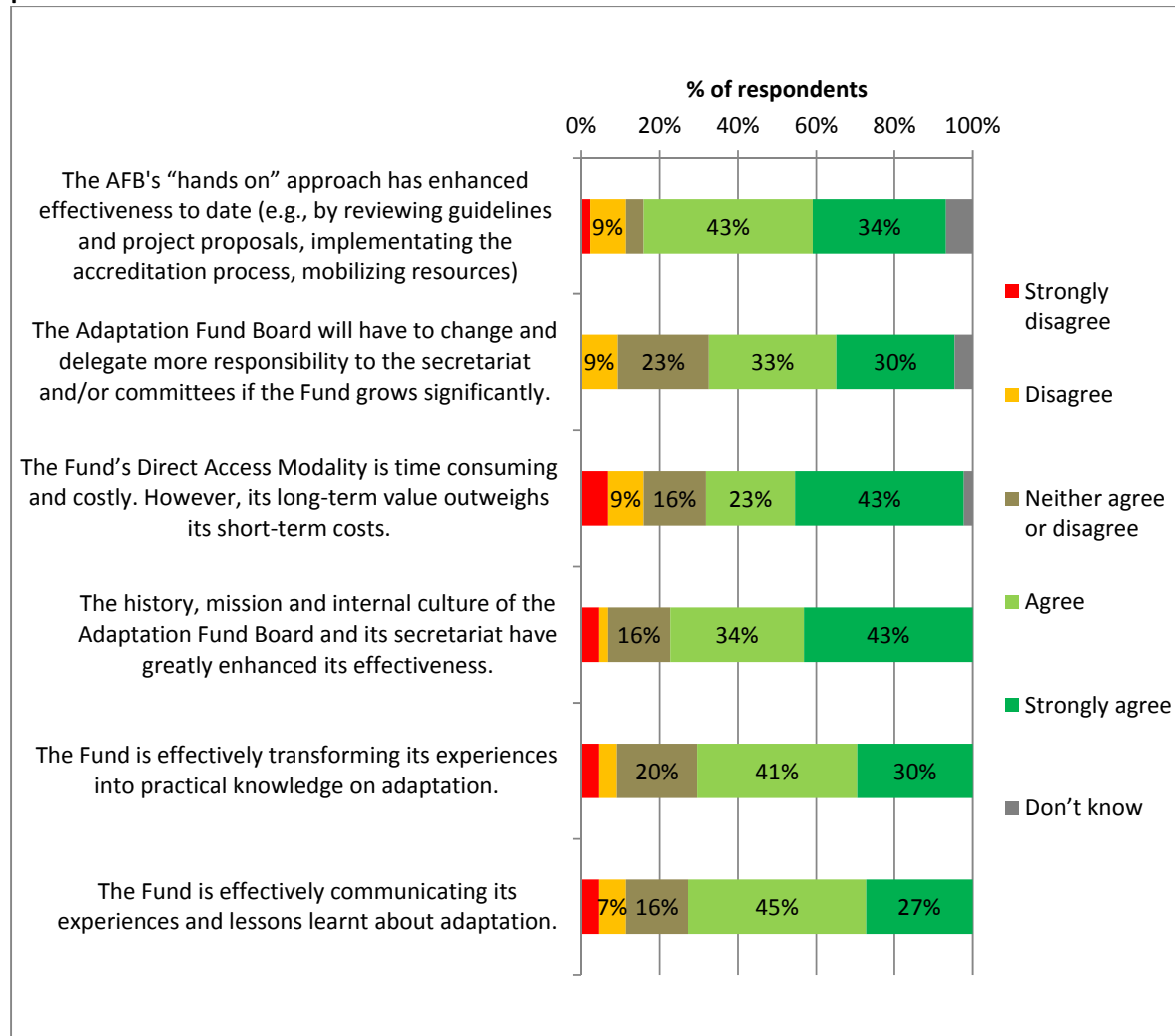
**Figure 5: Survey respondents' level of agreement with statements pertaining to AF relevance**



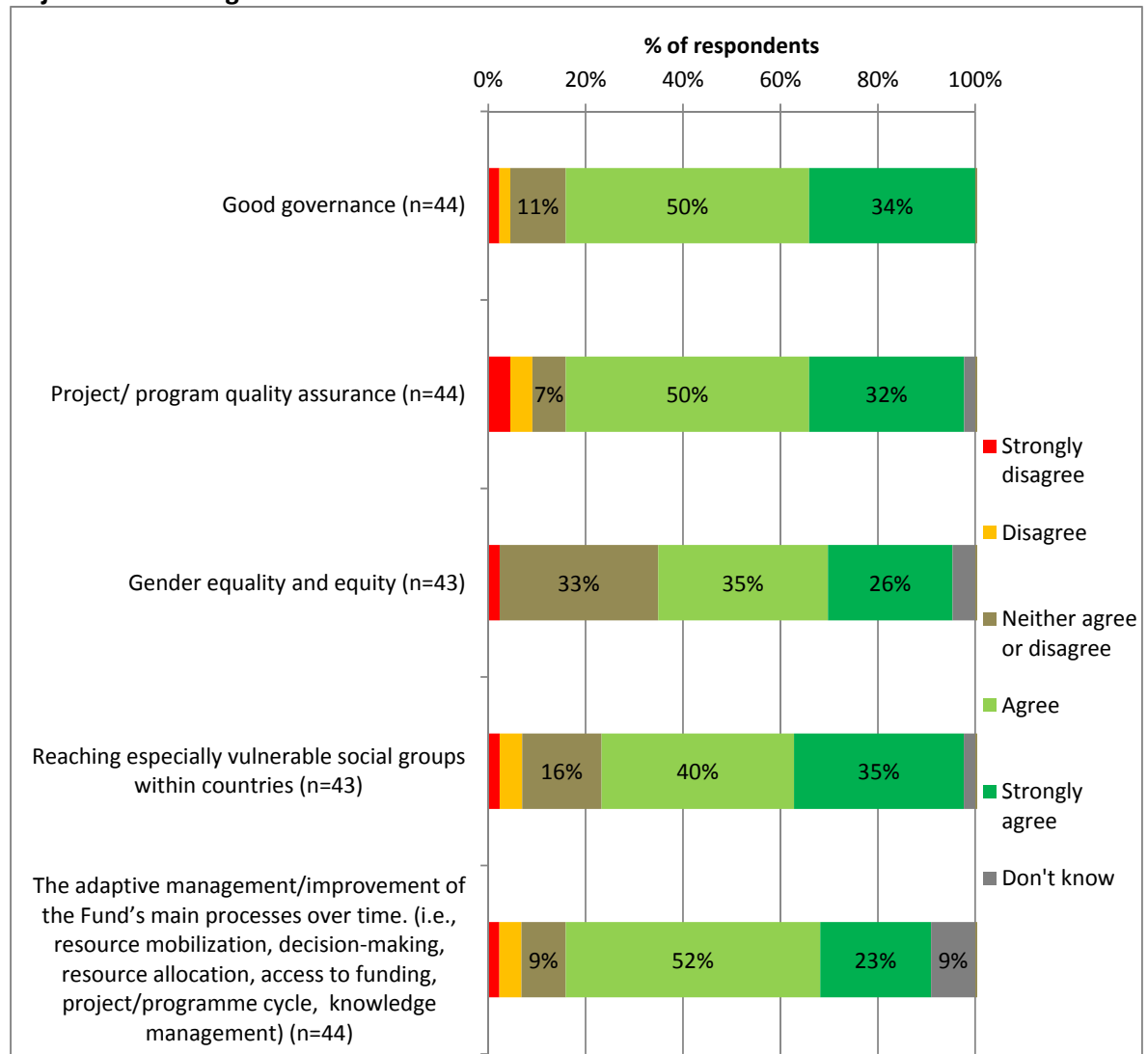
**Figure 6: Survey respondents' level of agreement with statements pertaining to AF effectiveness, part 1 of 2**



**Figure 7: Survey respondents' level of agreement with statements pertaining to AF effectiveness, part 2 of 2**



**Figure 8: Survey respondents' level of agreement with statements pertaining to whether Fund guidelines, standards, and safeguards have achieved or are likely to achieve their objectives with regards to five factors AF relevance**

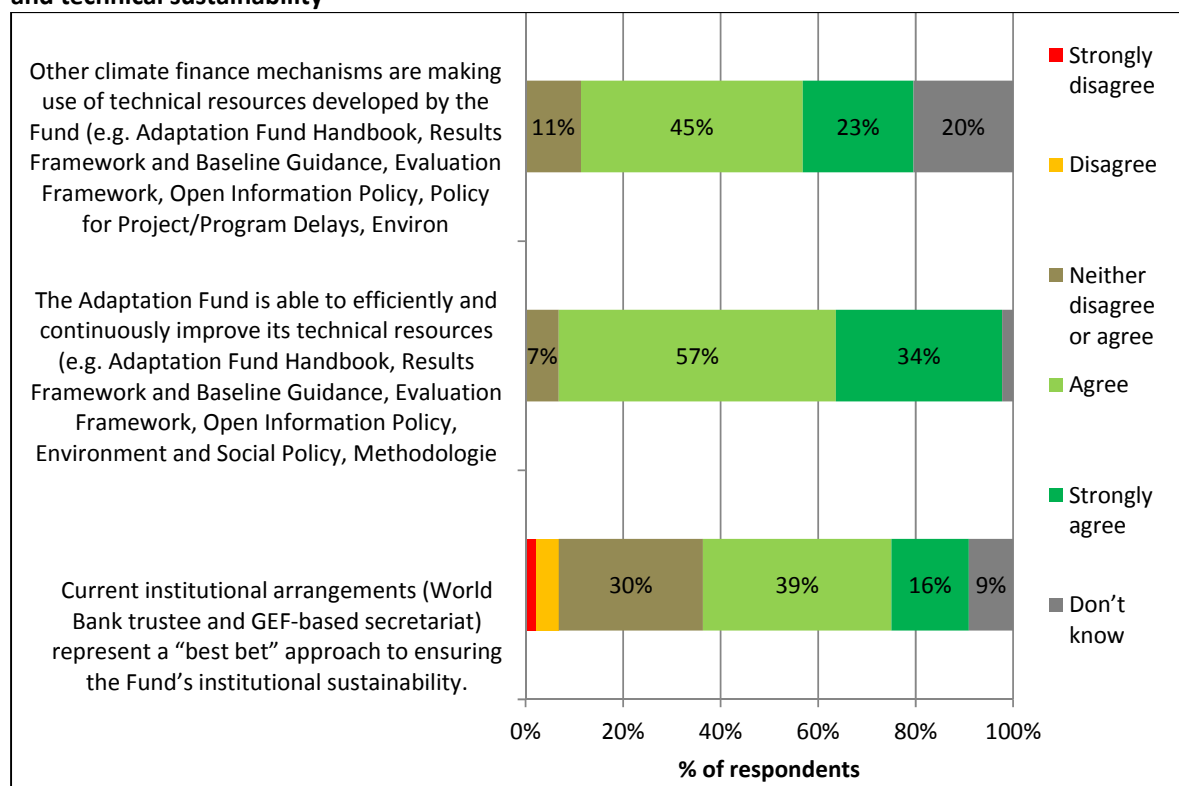


**Figure 9: Survey respondents' level of agreement with statements pertaining AF efficiency**

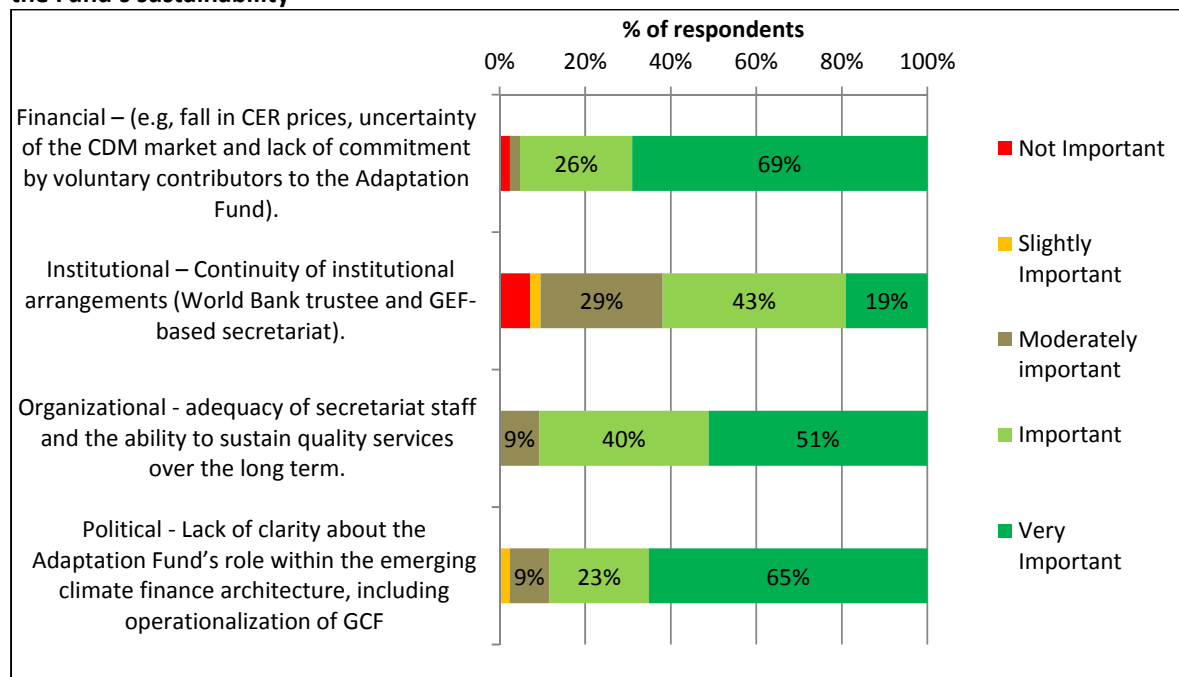




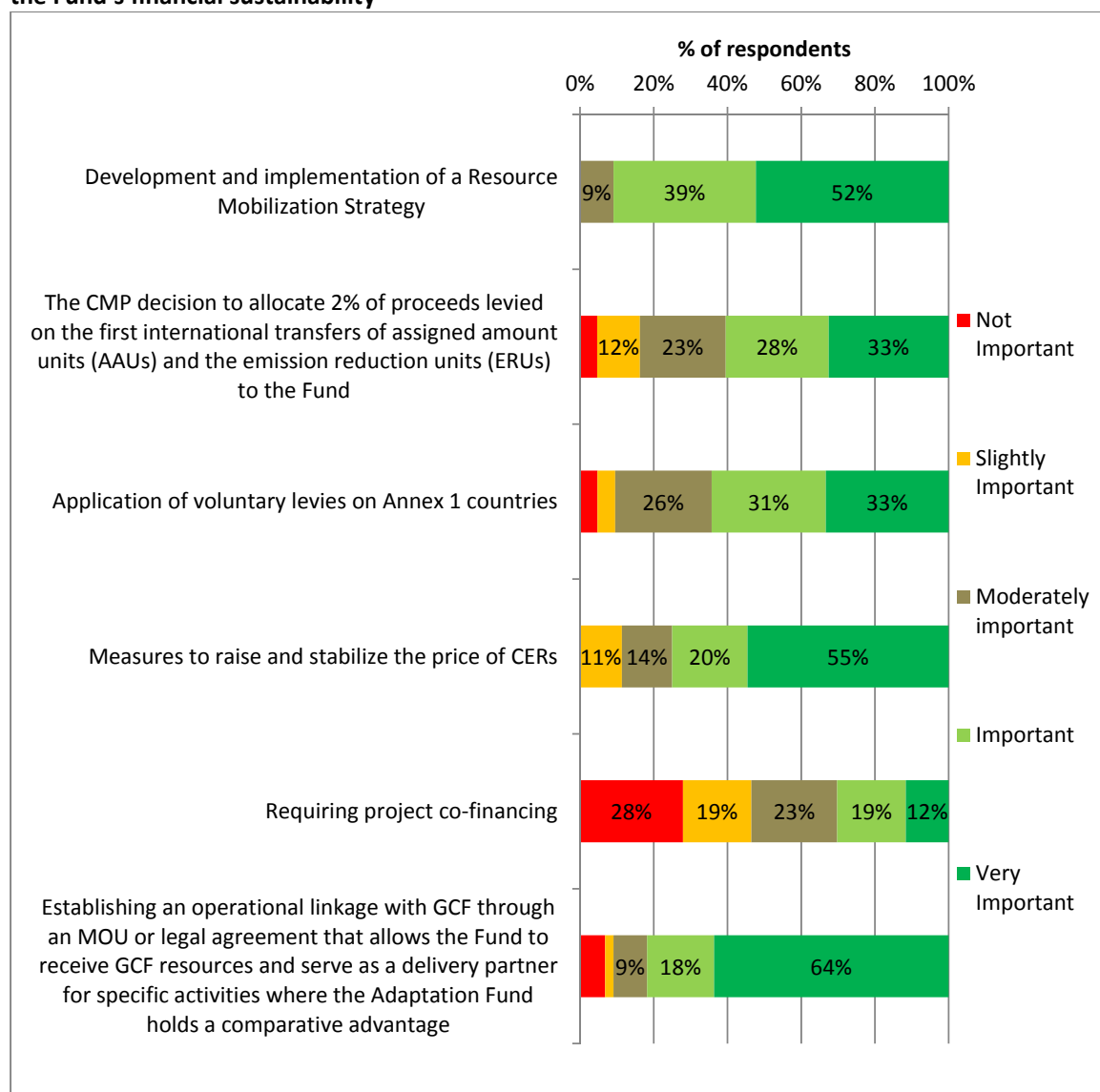
**Figure 10: Survey respondents' level of agreement with statements pertaining to AF institutional and technical sustainability**



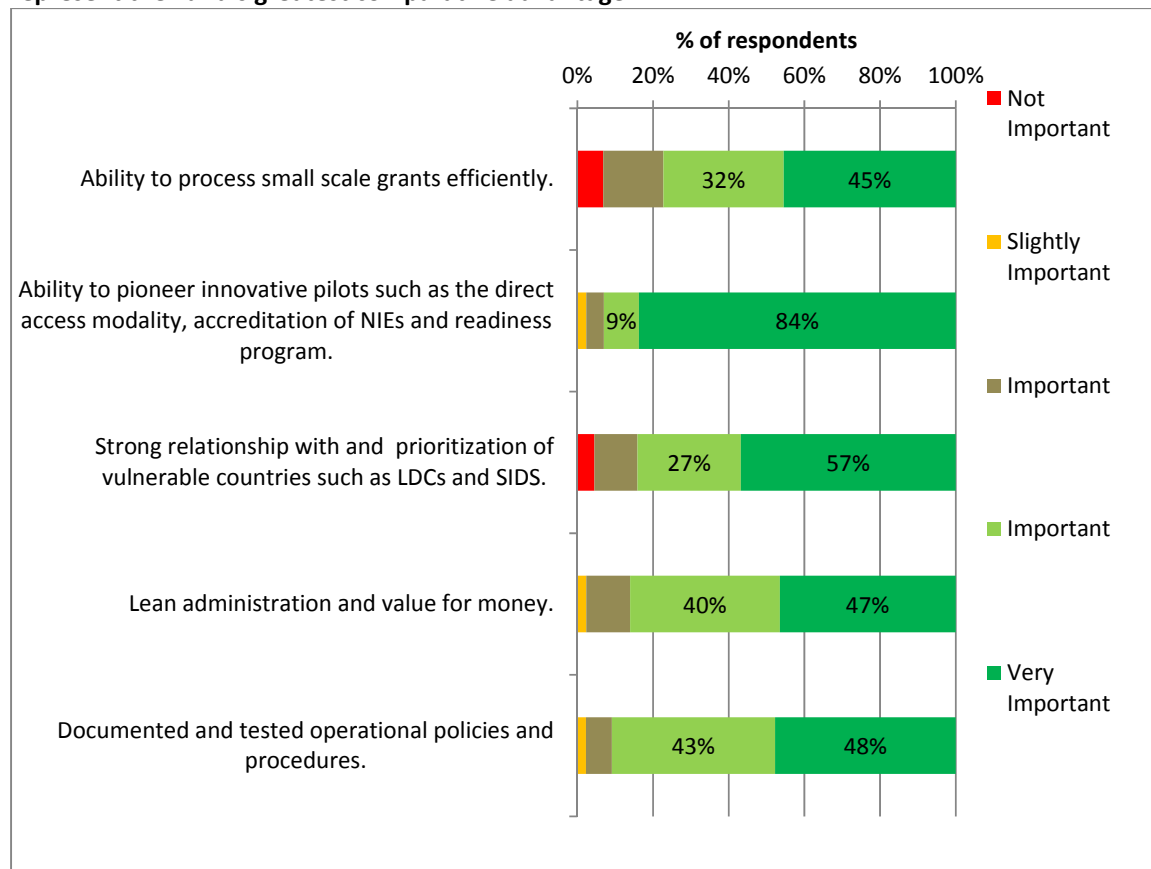
**Figure 11: Survey respondents' opinions regarding the level of importance of four types of risk to the Fund's sustainability**



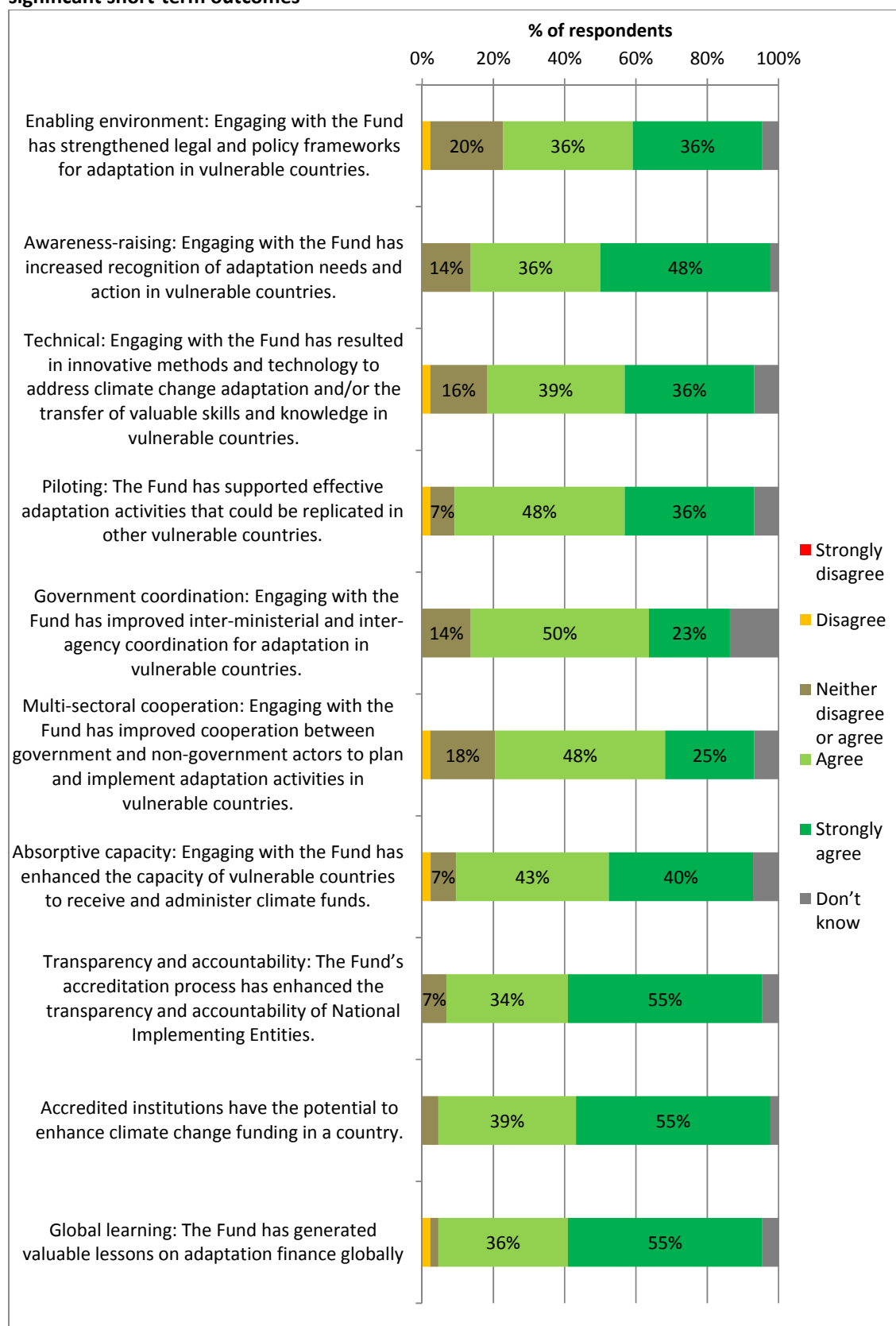
**Figure 12: Survey respondents' opinions regarding the level of importance of six options to ensure the Fund's financial sustainability**



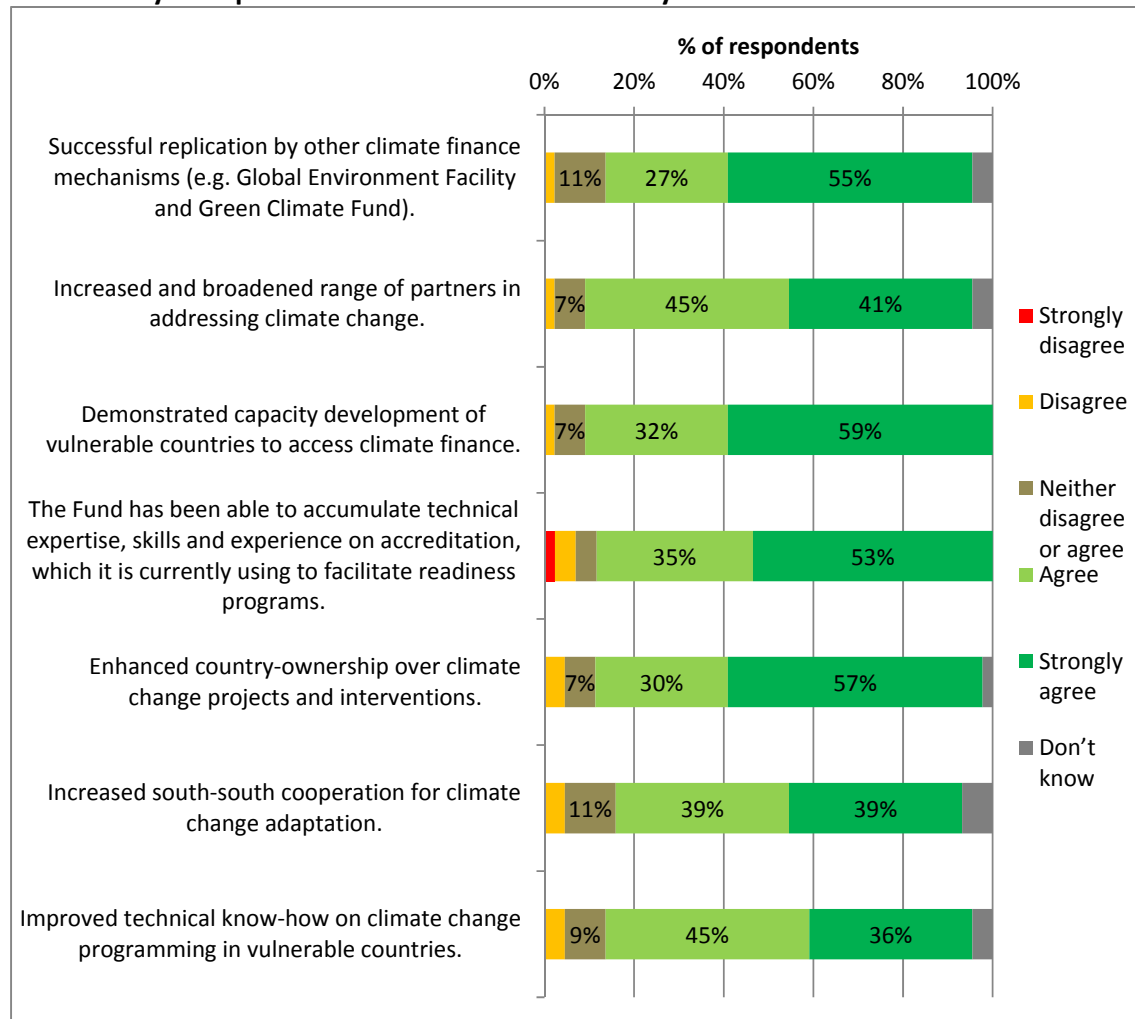
**Figure 13: Survey respondents' opinions regarding the level of importance of six factors to represent the Fund's greatest comparative advantage**



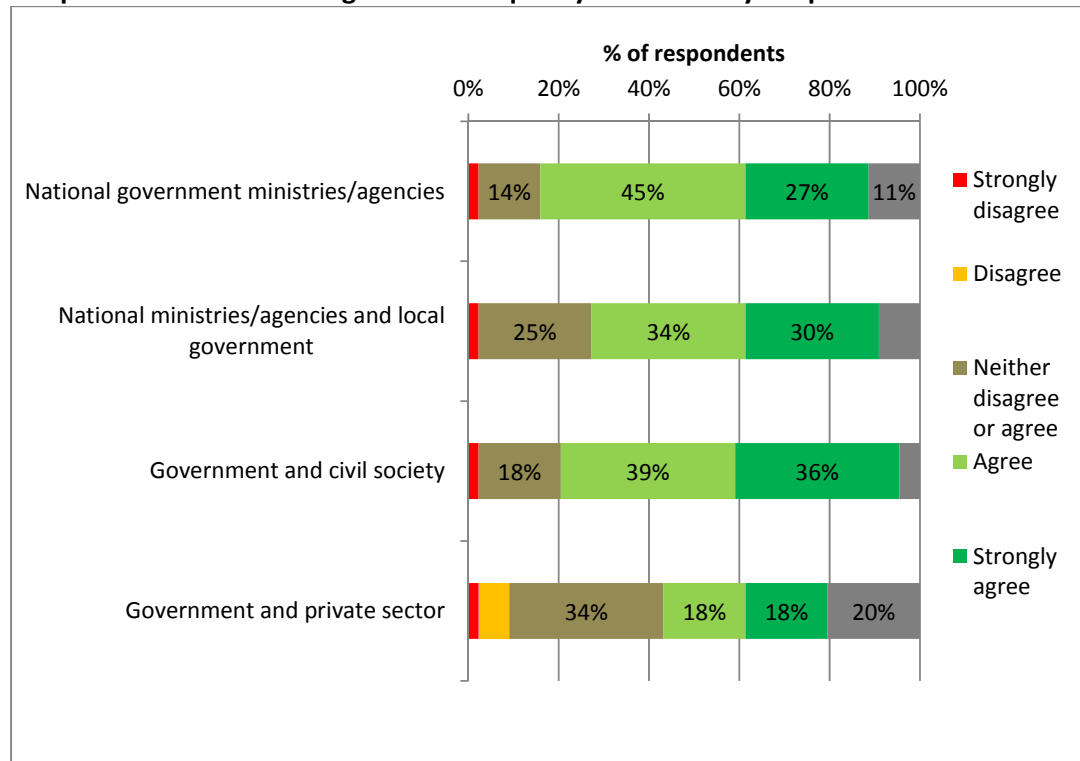
**Figure 14: Survey respondents' opinions regarding the level of importance of the Fund's most significant short-term outcomes**



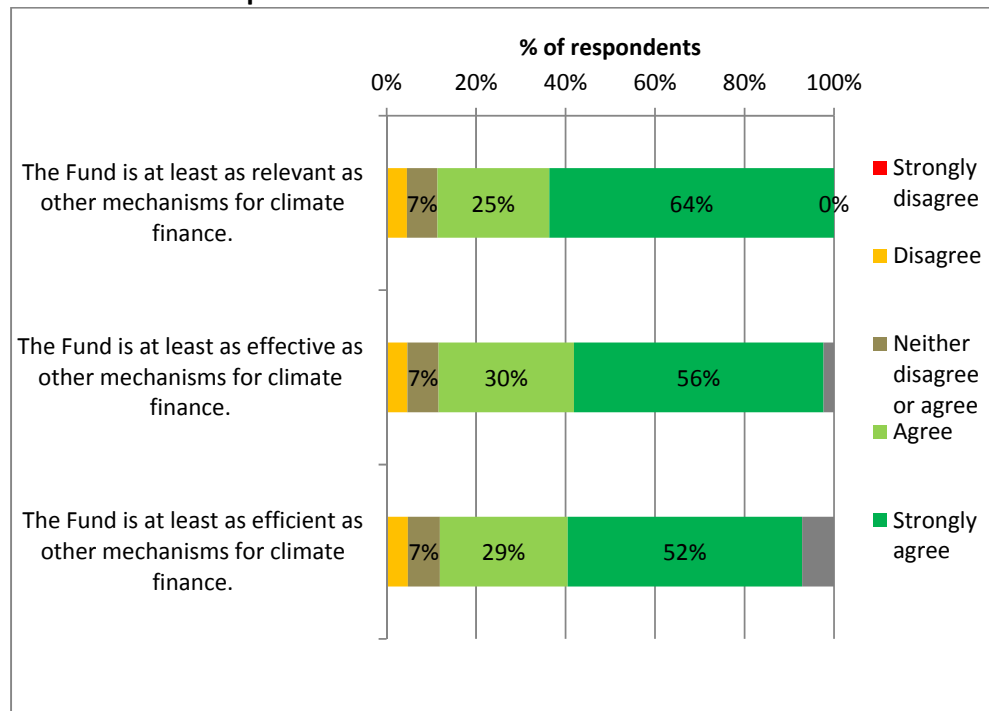
**Figure 15: Survey respondents' opinions regarding the level of agreement with statements about catalytic impacts of the Direct Access Modality**



**Figure 16: Survey respondents' level of agreement about whether engaging with the Adaptation Fund has strengthened the quality of in-country cooperation between actors**



**Figure 17: Survey respondents' level of agreement about the AF's efficiency, effectiveness, and relevance compared to other climate finance mechanisms**



### Annex 13: List of entities accredited by Adaptation Fund

Entity type	Entity name	Country
NIE	Planning Institute of Jamaica	Jamaica
NIE	Centre de Suivi Ecologique	Senegal
NIE	Agencia Nacional de Investigacion e Innovacion	Uruguay
NIE	National Environment Fund	Benin
NIE	South African National Biodiversity Institute	South Africa
NIE	Protected Areas Conservation Trust (PACT)	Belize
NIE	Ministry of Planning and International Cooperation	Jordan
NIE	Ministry of Natural Resources (MINIRENA)	Rwanda
NIE	National Environment Management Authority (NEMA)	Kenya
NIE	Mexican Institute of Water Technology (IMTA)	Mexico
NIE	Unidad para el Cambio Rural (Unit for Rural Change - UCAR)	Argentina
NIE	National Bank for Agriculture and Rural Development	India
NIE	Fundecooperacion Para el Desarrollo Sostenible	Costa Rica
NIE	Agency for Agricultural Development	Morocco
NIE	Agencia de Cooperación Internacional de Chile	Chile
NIE	Peruvian Trust Fund for National Parks and Protected Areas (PROFONANPE)	Peru
NIE	Desert Research Foundation of Namibia (DRFN)	Namibia
NIE	Micronesia Conservation Trust	Micronesia
NIE	Fundación Natura	Panama
MIE	Asian Development Bank (ADB)	Philippines
MIE	Inter-American Development Bank (IDB)	USA
MIE	International Fund for Agricultural Development (IFAD)	Italy
MIE	United Nations Development Programme (UNDP)	USA
MIE	United Nations Environment Programme (UNEP)	Kenya
MIE	United Nations World Food Programme (WFP)	Italy
MIE	World Bank (International Bank for Reconstruction and Development)	USA
MIE	World Meteorological Organization (WMO)	Switzerland
MIE	African Development Bank (AfDB)	Tunisia
MIE	United Nations Educational, Scientific, and Cultural Organization (UNESCO)	France
MIE	European Bank for Reconstruction and Development (EBRD)	United Kingdom
RIE	West African Development Bank (BOAD)	West Africa- TOGO – BP 1172
RIE	Observatoire du Sahara et du Sahel / Sahara and Sahel Observatory (OSS)	North, West and East Africa- BP 31 Tunis Carthage, 1080 Tunisie
RIE	Secretariat of the Pacific Regional Environment Programme (SPREP)	Pacific- Apia
RIE	Corporación Andina de Fomento (CAF)	South America- Caracas

Source: AF. 2014. Implementing entities. <https://adaptation-fund.org/page/implementing-entities> Accessed June 2015.

## Annex 14: List of Adaptation Fund approved projects

Country	Title	Implementing Entity	Approved Amount in USD	Amount Transferred, USD	Approval Date
Nepal	Adapting to climate induced threats to food production and food security in the Karnali Region of Nepal - Project document.pdf	WFP	\$9,527,160		4/1/2015
Mali	Programme Support for Climate Change Adaptation in the vulnerable regions of Mopti and Timbuktu -Project document.pdf	UNDP	\$8,533,348		3/25/2015
Ghana	Increased resilience to climate change in Northern Ghana through the management of water resources and diversification of livelihoods - Project document.pdf	UNDP	\$8,293,972		3/5/2015
India	Conservation and Management of Coastal Resources as a Potential Adaptation Strategy for Sea Level Rise - Project document	NABARD	\$689,264	\$161,367	10/10/2014
India	Enhancing Adaptive Capacity and Increasing Resilience of Small and Marginal Farmers in Purulia and Bankura Districts of West Bengal -Project document	NABARD	\$2,510,854	\$376,628	10/10/2014
Costa Rica	Reducing the vulnerability by focusing on critical sectors (agriculture, water resources, and coastlines) in order to reduce the negative impacts of climate change and improve the resilience of these sectors - Project document	Fundecooperación para el Desarrollo Sostenible	\$9,970,000	\$1,621,559	10/10/2014
Kenya	Integrated Programme To Build Resilience To Climate Change & Adaptive Capacity Of Vulnerable Communities In Kenya - Project document	NEMA	\$9,998,302	\$4,956,906	10/10/2014
South Africa	Building Resilience in the Greater uMngeni Catchment - Project document	SANBI	\$7,495,055		10/10/2014
South Africa	Taking Adaptation to the Ground: A Small Grants Facility for Enabling Local Level Responses to Climate Change - Project document	SANBI	\$2,442,682		10/10/2014
Belize	Belize Marine Conservation and Climate Adaptation Project - MCCAP Workshop report.pdf, Project document	World Bank	\$6,000,000	\$1,115,805	8/18/2014
Myanmar	Addressing Climate Change Risks on Water and Food Security in the Dry Zone of Myanmar - Project document	UNDP	\$7,909,026	\$2,456,700	2/27/2014
Seychelles	Ecosystem Based Adaptation to Climate Change in Seychelles - Project Document	UNDP	\$6,455,750	\$1,272,217	2/20/2014
Cuba	Reduction of vulnerability to coastal flooding through ecosystem-based adaptation in the south of Artemisa and Mayabeque provinces - Project Proposal	UNDP	\$6,067,320	\$910,168	2/20/2014



Country	Title	Implementing Entity	Approved Amount in USD	Amount Transferred, USD	Approval Date
Uzbekistan	Developing climate resilience of farming communities in the drought prone parts of Uzbekistan - Project Document	UNDP	\$5,415,103	\$342,962	2/20/2014
Rwanda	Reducing Vulnerability to Climate Change in North West Rwanda through Community Based Adaptation - Fully-developed proposal	Ministry of Natural Resources (MINIRENA)	\$9,969,619	\$3,249,920	11/1/2013
Guatemala	Climate change resilient productive landscapes and socio-economic networks advanced in Guatemala - Project document	UNDP	\$5,425,000	\$1,238,046	9/14/2013
Argentina	Enhancing the Adaptive Capacity and Increasing Resilience of Small-scale Agriculture Producers of the Northeast of Argentina - Project document	Unidad para el Cambio Rural (UCAR)	\$5,640,000	\$2,322,273	4/4/2013
Argentina	Increasing Climate Resilience and Enhancing Sustainable Land Management in the Southwest of Buenos Aires Province - Project Document	World Bank	\$4,296,817	\$584,154	12/14/2012
Sri Lanka	Addressing Climate Change Impacts on Marginalized Agricultural Communities Living in the Mahaweli River Basin of Sri Lanka - Project Document	WFP	\$7,989,727	\$2,801,000	12/14/2012
Cambodia	Enhancing Climate Resilience of Rural Communities Living in Protected Areas of Cambodia - Project Document	UNEP	\$4,954,273	\$1,107,231	6/28/2012
Colombia	Reducing Risk and Vulnerability to Climate Change in the Region of La Depresion Momposina in Colombia - Project Document	UNDP	\$8,518,307	\$1,842,089	6/28/2012
Djibouti	Developing Agro-Pastoral Shade Gardens as an Adaptation Strategy for Poor Rural Communities in Djibouti - Project Document, 1st Project Performance Report (PPR)	UNDP	\$4,658,556	\$2,422,890	6/28/2012
Egypt	Building Resilient Food Security Systems to Benefit the Southern Egypt Region - Project Document, 1st Project Performance Report	WFP	\$6,904,318	\$1,617,003	6/28/2012
Jamaica	Enhancing the Resilience of the Agricultural Sector and Coastal Areas to Protect Livelihoods and Improve Food Security - Project Document, 1st Programme Performance Report (PP)	Planning Institute of Jamaica (PIOJ)	\$9,965,000	\$5,980,360	6/28/2012
Lebanon	Climate Smart Agriculture: Enhancing Adaptive Capacity of the Rural Communities in Lebanon (AgriCAL) - Project Document	IFAD	\$7,860,825	\$1,589,200	6/28/2012
Mauritania	Enhancing Resilience of Communities to the Adverse Effects of Climate Change on Food Security in Mauritania - Project Document	WFP	\$7,803,605	\$2,015,156	6/28/2012

Country	Title	Implementing Entity	Approved Amount in USD	Amount Transferred, USD	Approval Date
Papua New Guinea	Enhancing adaptive capacity of communities to climate change-related floods in the North Coast and Islands Region of Papua New Guinea - Project Document, First Project Performance Report	UNDP	\$6,530,373	\$3,885,332	3/16/2012
Georgia	Developing Climate Resilient Flood and Flash Flood Management Practices to Protect Vulnerable Communities of Georgia - 2nd annual project performance report, Project Document, 1st annual project performance report	UNDP	\$5,316,500	\$3,851,875	12/14/2011
Tanzania	Implementation Of Concrete Adaptation Measures To Reduce Vulnerability Of Livelihood and Economy Of Coastal Communities In Tanzania -Project Document	UNEP	\$5,008,564	\$2,786,943	12/14/2011
Cook Islands	Strengthening the Resilience of our Islands and our Communities to Climate Change - Project Document, 1st Project Performance Report (PPR),Adaptation Story CookIslands_Nov2014.pdf	UNDP	\$5,381,600	\$1,955,040	12/14/2011
Uruguay	Uruguay: Helping Small Farmers Adapt to Climate Change - 1st Project Performance Report (PPR),Project Document, Project Cost Summary, Disbursement Schedule, Presentation by Agric. Eng. Tabaré Aguerre, Minister of Livestock, Agriculture and Fishery, Sep 2014	Agencia Nacional de Investigacion e Innovacion (ANII)	\$9,967,678	\$3,084,342	12/14/2011
Samoa	Enhancing Resilience of Samoa's Coastal Communities to Climate Change - 1st Project Performance Report (PPR), Project Document	UNDP	\$8,732,351	\$4,527,475	12/14/2011
Madagascar	Madagascar: Promoting Climate Resilience in the Rice Sector - Project Document	UNEP	\$5,104,925	\$3,197,224	12/14/2011
Mauritius	Climate Change Adaptation Programme in the Coastal Zone of Mauritius - Project Document, Inception Report, Project Revision (AFB Decision B.23-24.5 with annexes), 1st Project Performance Report	UNDP	\$9,119,240	\$1,829,167	9/16/2011
Mongolia	Ecosystem Based Adaptation Approach to Maintaining Water Security in Critical Water Catchments in Mongolia - Project Document,Inception Report, First Project Performance Report,Second Project Performance Report	UNDP	\$5,500,000	\$2,529,744	6/22/2011
Maldives	Increasing climate resilience through an Integrated Water Resource Management Programme in HA. Ihavandhoo, ADh. Mahibadhoo and GDh. Gadhdhoo Island - Project Document	UNDP	\$8,989,225	\$8,510,939	6/22/2011

Country	Title	Implementing Entity	Approved Amount in USD	Amount Transferred, USD	Approval Date
Turkmenistan	Addressing climate change risks to farming systems in Turkmenistan at national and community level -Second Project Performance Report, First Project Performance Report, Project Document	UNDP	\$2,929,500	\$2,041,405	6/22/2011
Ecuador	Enhancing resilience of communities to the adverse effects of climate change on food security, in Pichincha Province and the Jubones River basin -Project Document, Inception report, WFP 2011 Annual Report for Ecuador, WFP Presentation on information needs of decision-makers (Feb 2013),1st Project Performance Report, Case study on the project presented at conference "Hunger • Nutrition • Climate Justice • 2013", 2nd Project Performance Report	WFP	\$7,449,468	\$4,654,133	3/18/2011
Eritrea	Climate Change Adaptation Programme In Water and Agriculture In Anseba Region, Eritrea - Project Document, Inception Report	UNDP	\$6,520,850	\$3,019,601	3/18/2011
Solomon Islands	Enhancing resilience of communities in Solomon Islands to the adverse effects of climate change in agriculture and food security - Project Document,Inception Report, 1st Project Performance Report,2nd Project Performance Report, 3rd Project Performance Report	UNDP	\$5,533,500	\$5,112,683	3/18/2011
Nicaragua	Reduction of Risks and Vulnerability Based on Flooding and Droughts in the Estero Real River Watershed - Project Document, Inception Report,1st Project Performance Report, 2nd Project Performance Report	UNDP	\$5,500,950	\$5,138,355	12/15/2010
Pakistan	Reducing Risks and Vulnerabilities from Glacier Lake Outburst Floods in Northern Pakistan - Project Document, Inception Report, Progress of the GLOF project, 1st Project Performance Report, 2nd Project Performance Report	UNDP	\$3,906,000	\$3,589,124	12/15/2010
Senegal	Adaptation to Coastal Erosion in Vulnerable Areas -Project Document, Half yearly report September 2011, 2nd half-year Project Performance Report,3rd half-year Project Performance Report, 4th half-year Project Performance Report, 5th half-year Project Performance Report, 6th half-year Project Performance Report, AdaptationStory-Senegal-English.pdf, AdaptationStory-Senegal-French.pdf,AdaptationStory-Senegal-Spanish.pdf	Centre de Suivi Ecologique of Senegal (CSE)	\$8,619,000	\$8,619,000	9/17/2010

Country	Title	Implementing Entity	Approved Amount in USD	Amount Transferred, USD	Approval Date
Honduras	Addressing Climate Change Risks on Water Resources in Honduras: Increased Systemic Resilience and Reduced Vulnerability of the Urban Poor – Adaptation Story-Honduras 09.2014.pdf, Participatory adaptation planning workbook CdT 4H (in Spanish), 1st Project Performance Report, 2nd Project Performance Report, Project Document, Honduras Inception Workshop Report final, Regional workshop findings on disaster risk reduction	UNDP	\$5,620,300	\$4,187,787	9/17/2010

Source: AF. 2014. Interactive Map of Projects and Programmes. [https://adaptation-fund.org/funded\\_projects/interactive](https://adaptation-fund.org/funded_projects/interactive)  
 Accessed May 2015.

## **Annex 15: TOR**

### **TERMS OF REFERENCE FOR THE FIRST PHASE OF THE ADAPTATION FUND EVALUATION**

Final Version July 7, 2014

#### **BRIEF INTRODUCTION**

The Adaptation Fund was established “to finance concrete adaptation projects and programmes in developing country Parties that are Parties to the Kyoto Protocol” (Decision 10/CP.7) and those that “are particularly vulnerable to the adverse effects of climate change” (Paragraph 15 of Decision 17/CP.7). Since 2010 the Fund has dedicated US\$ 226 million to climate adaptation initiatives in 34 countries. Grant finance is accessed by developing countries Parties to the Kyoto Protocol through Implementing Entities that have been accredited by the Adaptation Fund Board (the Board or AFB). At present, 11 multilateral implementing entities (MIEs), four regional implementing entities (RIEs) and 16 national implementing entities (NIEs) have been accredited and are eligible to access finance from the Adaptation Fund. The Adaptation Fund (the Fund) is supervised and managed by the Board. The World Bank serves as the Fund’s trustee on an interim basis, and the Global Environment Facility (GEF) as the interim AFB Secretariat.<sup>22</sup>

#### **BACKGROUND INFORMATION AND RATIONALE**

At its thirteenth meeting (March 2011), the Board approved the Fund’s evaluation framework and discussed to implement an “overall<sup>23</sup> evaluation” (Decision B.13/20). At the time there were questions about the best time to launch such an evaluation given the portfolio’s lack of maturity.<sup>24</sup> The Independent Evaluation Office (IEO) of the Global Environment Facility (GEF), in its capacity as interim evaluation function for the Fund, submitted a document at the Board’s request for options to conduct an overall evaluation for the Fund. The GEF IEO proposed the interim evaluation function either implement “an overall comprehensive evaluation” or oversee the evaluation conducted by another entity (p. 2AFB/EFC.12/4).

Given general agreement in the EFC (AFB/B.21/8/Rev.1) concerning costs and length of a comprehensive evaluation of the Fund, 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). Document AFB/EFC.14/5, delineates options for a possible evaluation of the Fund.

The Board decided to a) Approve a two - phase evaluation as outlined in the document, with the aim of completing Phase I in time for discussion at the twenty-fourth Board meeting (October 2014); b) Request the Chairs and Vice - chairs of the Board and EFC to propose for

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<sup>22</sup>Annex A and document AFB.B.11.Inf.3 contain further information

<sup>23</sup> “Overall evaluation” was the term used to denote an evaluation that would assess “the overall performance, efficiency and effectiveness of an entire institution, organization, fund or programme” (p.2 AFB/EFC.12/4). It was used as a synonym of “comprehensive evaluation.”

<sup>24</sup>“...an overall evaluation of the Fund should be conducted, but given that only one project is currently under implementation, the date of such an evaluation would be discussed during the seventh meeting of the EFC” (Decision B.13/20 in p.1,AFB/EFC.12/4 2013)

consideration by the Board during the intersessional period an independent review panel consisting of three members (i) an evaluation specialist (ii) an adaptation specialist, and (iii) a representative from civil society for a decision by the end of April 2014, and c) Request the secretariat to issue a request for proposals following the World Bank procurement rules and procedures (AFB B.23/7; AFB/EFC.14/10).

The two-phase evaluation approved by the Board in its 23<sup>rd</sup> meeting (18-21 March, 2014), includes a Phase 1 and a Phase 2 as presented in the document “Options for an Evaluation of the Fund” (AFB/EFC.14/5). It responds to 1) the opportunity to present preliminary results of an evaluation to UNFCCC meetings in December 2014 as presented by GEF EIO in document AFB/EFC.12/4 and 2) the concern the AFB had on the lack of portfolio maturity. Therefore, Phase 1 of the evaluation could focus on institutional/fund level processes, leaving Phase 2 to focus on the Fund’s on-the-ground interventions and its overall outcomes. Arbitrarily delimiting the evaluation in two Phases brings challenges and risks, already identified in document “Options for an Evaluation of the Fund.” Both phases should consider such risks.

These draft or generic terms of reference (TOR) provide guidance to Phase 1 of the evaluation. The Board will decide when development and implementation of Phase 2 should occur.

#### **The Evaluation in the Context of Other Reviews and Studies of the Adaptation Fund**

The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) is also currently undertaking a review of the AF. The CMP, in decision 1/CMP.3, paragraph 32 and 33, decided “that the interim institutional arrangements...shall be reviewed after three years at the sixth session” of the CMP. In 2010, the CMP decided to undertake such review at its seventh session (2011) and every three years thereafter (Decision 6/CMP.6, paragraph 1). The review was implemented in 2011 (see AFB/B.16/Inf.6). Decision 4/CMP.8 presents CMP guidance concerning the initial review of the Fund’s interim arrangements.

The CMP decided to undertake a second review of the Fund in accordance with the TOR contained in the annex to Decision 2/CMP.9 (See Box 2, below).

#### **Box 2: 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 10.

##### **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.

Although the evaluation and second review are independent, their overall scopes and timelines overlap. Results of the Fund's Phase 1 evaluation may inform the second review by the CMP and future reviews and evaluations of the Fund. The Board, in decision B.23/18, decided that the final TOR for the evaluation should include elements of the scope of decision 2/CMP.9 for the second review of the Fund.

The Fund has also been centre of studies completed by other institutions. These include studies of the Fund's access modalities, governance structure, and comparative analyses with other adaptation and climate change funds (for example, Canales Trujillo and 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; and Hedger et al. 2008) and published peer-reviewed journal articles (Stadelmann et al. 2013; Barrett 2013; Oberlack and Eisenack 2013; Horstmann and Abeysinghe 2011; and Grasso 2010).

Studies focus and scope vary according to the interest of each institution or researcher. Annex C presents main recommendations of studies found through an Internet search. These recommendations helped to develop specific sub-questions for the evaluation of the Fund and should be used, together with the findings of reviews and studies, during a more specific definition of these TOR and during analysis and triangulation of the Phase 1 evaluation.

The evaluation team should also use and consider findings and results from evaluations of other adaptation and climate change funds (i.e., LDCF, SCCF, CIF) during the design, compilation of information and analysis.

#### **AUDIENCE OF THE EVALUATION**

The main audience of the Phase 1 of the evaluation includes all the Parties to the Kyoto Protocol (CMP), development partners, AFB (Ethics and Finance Committee -EFC, Project and Programme Review Committee -PPRC and Accreditation Panel-AP), AFB Secretariat, Trustee, Implementing Agencies (MIEs, NIEs, RIEs), executing agencies, communities implementing and participating in interventions of the Fund, Designated Authorities for project / programme submission, and Fund's observers (UNFCCC Parties, NGOs and other Civil Society Organisations and International Organisations).

Evaluation results will be relevant to inform the Fund's second review, processes and future development of the Fund and other climate change financing mechanisms (LDCF, SCCF, CIF), specially the Green Climate Fund. Evaluation results can be useful by Parties to the Kyoto Protocol, the UNFCCC at large, developing countries, donors, and agencies and institutions working on adaptation to climate change and climate finance.

## PURPOSE AND OBJECTIVES OF THE EVALUATION

### Introduction and scope of the evaluation

The evaluation constitutes the first phase in a two-phase approach to a comprehensive evaluation of the Fund. Phase 1 is a process evaluation intended to inform discussions and decisions on the Fund's operational aspects. It will communicate how well the Fund's implicit or assumed logic and the design are working in relation to key processes (see below), identify early challenges in reaching beneficiaries and allow early adjustments to its working modalities as required.

The evaluation will focus on the following main processes of the Adaptation Fund:<sup>25</sup>

- Resource mobilisation related processes: Adaptation Fund CER proceeds, approaches taken by Fund management for acquisition of financial support from multi- and bi-lateral agencies, etc.
- Decision-making processes: the governing structure of the Fund and the functions of its component parts, including institutional linkages and relations (cooperation, transparency, etc.) with regard to the interim host organization and trustee.
- Resource allocation: Design and application of strategic priorities and objectives (Results Based Management)
- Access to funding
  - Access modalities
  - Accreditation process
- Project/programme cycle
  - Funding windows: One step and two step processes
  - Projects and programmes approval (project cycle performance)
  - Knowledge management processes at project/ programme level: Monitoring and evaluation
- Knowledge management processes at the Fund level: Fund's reviews, comprehensive evaluations, etc.

The Fund is more than just the sum of these processes. Therefore, the evaluation should also focus on the function of the Fund in its entirety with linkages among processes and the context in which the Fund is embedded and operates.

### *Expected depth and general time frame*

The evaluation will cover the first four years of the Fund's operations, from 2010 until the launch of the evaluation. It should cover ongoing and completed processes and, to understand its evolution, briefly examine aspects and events towards its establishment and operationalization.

### Objective of the evaluation

The **objective** of the evaluation is to examine and assess the Fund's design and implicit logic against its implementation to identify and strengthen good practices, to indicate processes that require improvement, and to recommend how these can be carried out.

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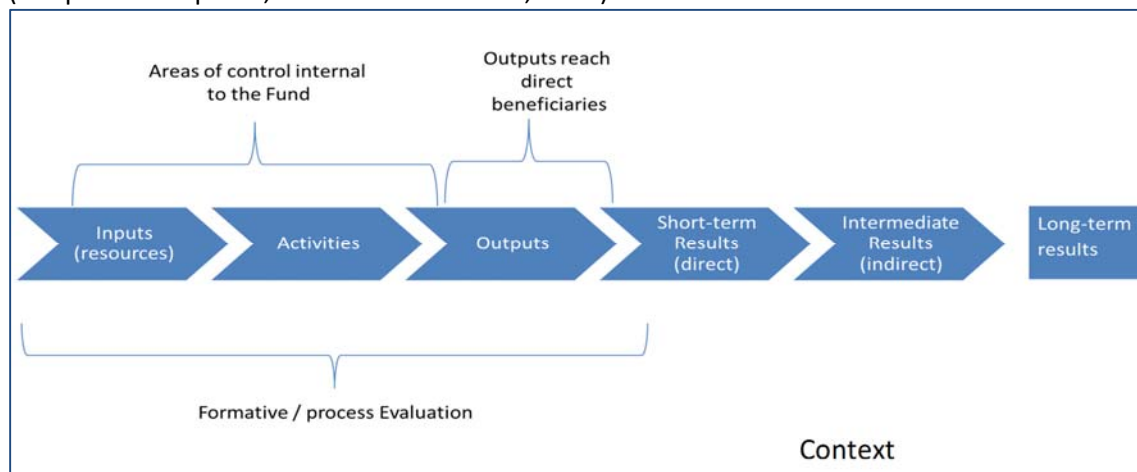
<sup>25</sup> Annex A of these TOR presents an overview of the Fund's main processes



Specifically, it will assess for the Fund as a whole and for each process identified above, and as possible and needed, the relevance, efficiency, effectiveness and sustainability of the elements of a process evaluation (see Figure 1):

- Inputs (resources: proceeds from CER and funds from donors, data and information, human resources, CMP guidelines, policy and other instruments in general, etc.);
- Activities –management practices and service delivery mechanism (the Fund’s management and governance: disbursement and risk management, investment allocation practices – including accreditation, direct access modality, transparency, resource mobilization, M&E and knowledge management activities), which is also an area of control internal to the organization;
- Outputs (for example, provision of financial resources to beneficiaries, NIEs, adaptation interventions);
- Linkages and dynamics among inputs, activities, and outputs of processes and entire Fund;
- Main short-term results/outcomes, as possible; and
- Evolving context of adaptation support and how that context has changed.

Figure 1. Fund level simplified logic model to frame evaluation objective and questions (Adapted from p.223, Morra Imas and Rist, 2009)



## EVALUATION QUESTIONS

***The main question to be asked by the evaluation include:*** What have been the overall relevance, efficiency, effectiveness and sustainability(technical, institutional, and financial) of the Fund’s intended and actual operations and what are the main lessons and recommendations that can be drawn for its future operation?

***Main sub-questions of the evaluation:*** Main sub-questions were developed and structured using the OECD DAC criteria (relevance, efficiency, effectiveness, results and sustainability), document AFB/EFC.12/4, adapting sub-questions of previous evaluations of other programmes, funds, etc., for example, FCPF evaluation, SCCF and LDCF evaluations, CIF evaluation, among others, and reviewing frameworks and results of studies presented in Annex C.

### Relevance of Fund's processes

- How relevant<sup>26</sup> are the Fund's intended and actual operations to the CMP guidance, national sustainable development strategies, national development plans, poverty reduction strategies, national communications and national adaptation programmes of action and other relevant instruments? What are the identified gaps between the relevance of intended and actual operations?
- What is the relevance of the Fund's intended and actual operations within the context of adaptation to climate change at the global and national levels?

These questions build the context in which the Fund operates. Relevance is the extent to which intended and actual operations are suited to the priorities and policies of beneficiary countries, the CMP guidance, and other Fund key stakeholders, and the degree in which the Fund's operations (inputs, activities and outputs) remain valid to achieve its intended objectives.

### Efficiency of the Fund's processes<sup>27</sup>

- To what extent have the Fund's operations been efficient in achieving desired and actual outputs and short-term results and objectives?
- What has been the level of cooperation among Fund's stakeholders and with other financial mechanisms to address adaptation to climate change?

These questions assess the efficiency in the management and resource use, planning and implementation of activities (including their cost-efficiency), and Fund's technical and operational service delivery (on time delivery of outputs), including the level of the cooperation among Fund's stakeholders (for example, among implementing entities, etc.). Given the existence of synergies and overlaps with other Funds and mechanisms that address adaptation to climate change, the evaluation will also assess the level of cooperation of the Fund with these mechanisms. When answering these questions, the evaluation team should consider and account for the different perspectives of Fund's stakeholders.

### Effectiveness of the Fund's processes<sup>28</sup>

- What is the effectiveness of the Fund's intended and actual operations? Is the Fund operating as designed and on track to meet and deliver its intended institutional objectives and short-term results?
- What are the major factors enabling or hindering the effectiveness of operations?

These questions assess how effective are the design and actual processes (operations, including service delivery), and transparency and accountability.

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<sup>26</sup>Relevance (as defined by OECD DAC): "The extent to which the aid activity is suited to the priorities and policies of the target group, recipient and donor."

<sup>27</sup> Efficiency, as defined by the OECD DAC, "measures the outputs - qualitative and quantitative - in relation to the inputs. It is an economic term which signifies that the aid uses the least costly resources possible in order to achieve the desired results. This generally requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been adopted"

<sup>28</sup> Effectiveness (as defined by the OECD DAC): "A measure of the extent to which an aid activity attains its objectives."

**Sustainability/** including among others, technical, institutional and financial viability

- What has been the progress made to date towards the sustainability of the Fund's operations?
- To what extent has the institution provided relevant, efficient, effective, and sustainable grants to developing country Parties to the Kyoto Protocol?
- What does the technical, financial, and institutional sustainability of the Fund depend upon? What are the options for a sustainable Fund?

These questions assess the Fund's sustainability in the global policy, financial and environmental context and specifically considering other financial arrangements and mechanisms for adaptation to climate change. The evaluation will consider major factors influencing the achievement or not of sustainability of the Fund's operations.

#### **Short-term Results/Outcomes**

- To what extent have the Fund's processes and operations (see full list on page 3) been showing and/or supporting the achievement of short-term results?

This process evaluation, which focuses on Fund's inputs, activities and outputs, will also look briefly at short-term results or early identified outcomes. The question assesses if any of the processes have achieved intended or unintended, positive or negative, short-term results/outcomes.

### **PROPOSED EVALUATION APPROACH AND METHODOLOGY**

**Inception:** The review by the evaluation team of these generic TORs and the evaluation framework contained therein will guide the evaluation. The information included here is indicative concerning overall approach, methodologies, timeline, etc. The Evaluation Team is expected, through the inception report, to revise and expand these TOR and specifically the evaluation framework and include additional overall and specific questions. The evaluation team selected shall also develop the implicit theory of change that is guiding the Fund. The evaluation framework will describe the main sub-questions to be addressed by the evaluation team under the OECD-DAC criteria. The evaluation will consist of a mix of quantitative and qualitative methods, tools, and approaches.

**Data collection:** Primary and secondary data and information will be collected through personal and/or telephone interviews with Fund's key stakeholders (for example, the CMP, country beneficiaries, Implementing and executing entities, etc.) and literature review, including contextual and background information on adaptation, Fund, CMP and UNFCCC related policy documents, project and program desk reviews of documents and reports as needed. Existing evaluations, assessments and reviews, in particular, the Performance of the Secretariat and Trustee (AFB/B.16/Inf.6) and the Fiduciary Review of the Adaptation Fund (2010), and results of the LDCF, SCCF, CIF and other previous and present evaluations of climate change adaptation finance mechanisms will inform the evaluation. The evaluation team will develop and use data compilation instruments (for example, protocols for questionnaires) that consider available resources and evaluation questions. Following international standards, data collection biases and criteria for the selection of samples (including limitations on representativeness of the sample) will be identified and discussed as needed.

**Analysis:** Quantitative and qualitative data analysis will be used as appropriate, and to strengthen the evaluation. Data and qualitative information triangulation will be employed for cross verification and validation of data and information collected, and analysis.

**Reporting:** see “Deliverables” section below.

The methodology shall be further refined during the evaluation’s inception phase by the selected evaluation team. It should also include transversal issues such as gender.

### **Limitations**

The main limitations identified at this stage are included below. This list is not intended to be exhaustive. The evaluation team should review and report other limitations as encounter or identified during the evaluation’s design and implementation.

Limited time to design and implement phase 1 of the evaluation if results are to be presented for discussion at the twenty-fourth Board meeting (October 2014).

Access to certain stakeholders for interviews may be limited given the length of their assignment in the Fund’s processes and operations, for example the first appointees to the AFB.

Changes in processes, operations, and policies pose structural or content limitations. Some strategic policies and other procedures have been recently revised, modified or amended, or recently developed and approved; for example, the amended operational policy to access the Fund’s resources and the approval of Environmental and Social Policy (approved in Nov. 2013). These updates need to be accounted for during the evaluation and may pose a limitation, specifically on conclusions drawn from analysis containing “mixed populations” (those aspects that were addressed before or after a policy, for example, was approved).

Limited information (processes only) will be available for decision making. Further information will be available later in time (phase 2 of the evaluation).

Within processes, limited information will be available (for example, limited information in terms of the functionality of NIEs - number of accredited NIEs and funded projects under implementation). In addition, most of the NIEs are still in the process of preparing project concepts and waiting for endorsement and approval from the Fund. Therefore, evidence on how NIEs have successfully operated based on standards, and their coordination with relevant executing entities are relatively scarce.

The need to protect confidential information will limit the type of information accessed, included and disseminated in evaluation reports. Sensitive and confidential information (for example, information related to accreditation and financial integrity) essential to and used during the evaluation is subject to the World Bank’s Code of Professional Ethics. Beneficiary countries’ own set of rules and procedures concerning confidential information management will also present limitations.

## ESTIMATED SCHEDULE AND DELIVERABLES

A period of five to six months has been estimated for the implementation of the Phase 1 of the evaluation. Table 1 below presents the projected level of effort (estimated schedule) for the evaluation.

Table 1. Estimated schedule of the evaluation

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

## DELIVERABLES

The Evaluation Team is expected to deliver the following main products:

- Inception report with final/refined TOR for Phase 1, the Fund's draft implicit theory of change, evaluation framework, work plan, methodology, including tool selection, etc.
- Preliminary report with preliminary conclusions and recommendations. It is planned this report will be presented to the AFB for discussion at the twenty-fourth Board meeting (October 2014) (Recommendation EFC.14/2 AFB/EFC.14/10).
- Draft evaluation report, which will be drafted based on feedback received from the review of the preliminary results report.
- Final evaluation report. This report will consider and integrate, as relevant, comments received, and it will be translated in the Fund's languages.
- Originals of any other sub product used during the analysis for the evaluation (survey results reports, graphs, maps, tables).

Specific deliverables and tasks will be developed and mutually agreed with the Coordinator of the evaluation before the contract is signed.

## Submission guidelines

The evaluation team will submit an inception report, preliminary conclusions and recommendations report, a draft and final evaluation reports in English. A provisional evaluation report template is provided in Annex D. The evaluation team should revise and modify the template as needed. The format to utilize and the average length of the document will be defined between the coordinator and evaluation team of the evaluation.

## BUDGET

Budget shall be proposed by the evaluation team through World Bank standard procurement rules and guidelines during the RFP process.

## CODE OF CONDUCT OR GUIDING PRINCIPLES AND VALUES OF THE EVALUATION AND CONFLICT OF INTERESTS

This evaluation will be conducted in a professional and ethical manner. The evaluation process will show sensitivity to gender, beliefs, and customs of all stakeholders and shall be undertaken with integrity and honesty. The rights and welfare of participants in the evaluation shall be protected. Anonymity and confidentiality of individual informants shall be protected when requested and/or as required (p.5, OECD-DAC 2006) and sensitive and confidential data should be managed following the World Bank's Code of Professional Ethics.

Code of conduct and guiding principles and values will be used to coordinate, implement, and independently review the Fund's evaluation. The IRP, Coordinator, and Evaluation Team will sign a code of conduct agreement following World Bank rules and guidelines and observe principles and best practices included in Table 2, below.

Table 2. Principles and best practices for implementing evaluations and selection of evaluation teams.

<b>Evaluations should be implemented following best practise on evaluation, under the following principles</b>	<b>The following principles and guidelines in selecting independent evaluators/evaluation teams to conduct evaluations should be observed</b>
<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</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 Fund's operations and strategy, and about relevant Fund's 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</li></ul>

Evaluations should be implemented following best practise on evaluation, under the following principles	The following principles and guidelines in selecting independent evaluators/evaluation teams to conduct evaluations should be observed
and information needs of the intended users	<p>conducting final evaluations</p> <ul style="list-style-type: none"> <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>

Based on the GEF IEO Ethical Guidelines

## ORGANIZATIONAL ASPECTS

To ensure the evaluation process is as independent as possible, *an Independent Review Panel (IRP)* has been convened by the Board. Following the recommendation of the Chairs and Vice-Chairs of the Board and EFC, the Board decided to appoint Ms. Eva Lithman, Mr. Simon Anderson, and Dr. Doreen Stabinsky to an IRP for the evaluation of the fund (Decision B.23-24/4). (Annex E presents IRP member's biographies). Specifically, the IRP will review and comment on the draft TOR for the evaluation, the inception report, the criteria for selecting the evaluation team and recommend the evaluation team to the AFB Secretariat from a group of possible institutions, and provide comments on the preliminary, draft and final reports of the evaluation.

The role and responsibilities of the IRP (with assistance from the Coordinator) includes:

- Follow the ethical guidelines during the entire evaluation
- Review and provide comments to Coordinator on draft TOR for the evaluation
- Review criteria for the selection of the Evaluation Team and recommend an evaluation team to the AFB Secretariat
- Review and provide comments on the inception report (including TOC, evaluation framework, sub questions, evaluation matrix with proposed tools for analysis, work plan, etc.)
- Review and comment on the preliminary report of the evaluation
- Review and comment on the draft report of the evaluation
- Provide comment to the final report of the evaluation

To further ensure independence, *The AFB Secretariat* only performs administrative aspects (including budget management, funds disbursements, issuing the call for proposals), acts as the first liaison with the Fund's stakeholders, and provides access to in house information and data for the evaluation.

### Role and responsibilities of the AFB Secretariat

- Follow the ethical guidelines during the entire evaluation
- Initiate announcement of RFP together with Coordinator following World Bank Procurement processes
- Following recommendations received from the IRP, hire the evaluation team
- Assist the Coordinator in initial liaison with stakeholders of the evaluation as needed
- With Coordinator, ensures AFB Secretariat background materials are made accessible to evaluators in a timely manner
- Ensure availability of funds to implement the Fund's evaluation
- Promote the implementation of recommendations as agreed and under the guidance of the AFB

**The Coordinator**(a consultant) of the evaluation will task manage and coordinate the work of the Evaluation Team for the evaluation. The Coordinator will also act as the IRP Secretariat to coordinate activities and provide logistical services and support. The IRP and Coordinator shall define further and agree specific organizational aspects through an MOU that will guide their work.

### Role and responsibilities of the Coordinator

The coordinator will be responsible for task managing and coordinating the evaluation process. These tasks and activities include:

- Follow the ethical guidelines during the entire evaluation
- Prepare the draft TOR of the evaluation and together with the IRP finalize the draft to be included in the RFP
- Identify with the IRP the mix of skills and experiences required to conduct this evaluation
- Together with the AFB Secretariat initiate announcement of RFP for the assignment using World Bank Procurement Processes and potential interested institutions
- Support the IRP in the review of potential Evaluation Teams based on received proposals, and communicate the IRP recommendation to the AFB Secretariat
- Provide comments and feed-back to the Evaluation Team and as needed
- Serve as the liaison with key stakeholders and once the AFB Secretariat makes initial introductions (as needed)
- Oversee the overall plan of the Evaluation
- Facilitate collaboration and coordination between the Fund's Second Review and this evaluation
- Ensure together with the AFB Secretariat background materials are presented to evaluators in a timely manner
- Facilitate together with the AFB Secretariat access to Fund's databases, files, and documents by the Evaluation Team
- Oversee progress of the evaluation implementation
- Assess quality of reports produced by the Evaluation Team before submitting to the IRP
- Arrange for meetings with Fund's stakeholders to discuss the evaluation preliminary and draft reports (for example, during the AFB meeting)



- Provide reports to the IRP for comments and compile their comments on preliminary, draft and final reports of the evaluation
- Provide comments from the IRP to the Evaluation Team and ensure comments and recommendations from the IRP are addressed in the reports by the Evaluation team
- Ensure with the assistance of the AFB Secretariat presentation of Fund's final evaluation results
- Assist the AFB Secretariat to disseminate evaluation results to key stakeholders if needed
- Assess performance of evaluators and communicate results to the AFB Secretariat

**The Evaluation Team** (a team of consultants) will implement the evaluation. In doing so, the Evaluation Team will provide inputs to the evaluation design (including the development of the implicit TOC of the Fund), review information made available to them and also other information needed to implement the evaluation, design and refine tools to collect data, conduct interviews, among other tasks described below. The organization of the Evaluation Team work is the responsibility of the Team itself. The Evaluation Team will participate in meetings with the Coordinator as required. Annex F describes desired and minimum skills of the Evaluation Team.

#### Role and responsibilities of the Evaluation Team

The Evaluation Team implementing the Fund's evaluation is responsible to:

- Follow the ethical guidelines during the entire evaluation
- Maintain regular communication with the Coordinator about the evaluation
- Provide inputs to the evaluation design and develop the evaluation inception report including development of the Theory of change, refines with the guidance of the IRP and Coordinator, TORs, specifically the questions, scope of the evaluation and the evaluation matrix
- Develop and follow the evaluation plan and implement the evaluation following the refined TOR
- Solicit information from the Coordinator when needed for the evaluation, review information made available by AFB Secretariat through the Coordinator and compile and review other information needed to implement the evaluation
- Design and refine tools to collect data as needed
- Arrange and conduct interviews, with the initial support of the Coordinator if needed
- Keep abreast of the implementation of the Fund's Second Review and remain available for meetings to discuss overlaps and collaboration with the team implementing the Review, as needed
- Provide progress reports to Coordinator
- Analyze and synthesize information, interpret findings, develop and discuss conclusions and recommendations of the evaluation
- Develop a preliminary results report and distribute it to the Coordinator
- Draft the evaluation report taking into consideration comments and correct factual errors or misinterpretations, and distribute it to Coordinator
- Brainstorm with the Coordinator and AFB Secretariat best ways to present findings
- Finalize and present the final report to stakeholders, specifically the AFB

## Annex 16: References

The following references were reviewed and consulted:

- Adaptation Committee. 2013. Information paper: Possible cooperation in order to reduce duplication of actions, address gaps and strengthen synergies (AC/2013/2). Second Meeting of the Adaptation Committee. Bonn: Adaptation Committee. Updated Version. February 19, 2013. Available at: [http://unfccc.int/files/adaptation/cancun\\_adaptation\\_framework/adaptation\\_committee/application/pdf/summary\\_of\\_mandates\\_19\\_feb.pdf](http://unfccc.int/files/adaptation/cancun_adaptation_framework/adaptation_committee/application/pdf/summary_of_mandates_19_feb.pdf)
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### **Webpages**

Note:

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