August 2021

Ex Post Project Sustainability Evaluation

Phase One Report

Technical Evaluation Reference Group
ADAPTATION FUND

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AF-TERG Chair: Debbie Menezes

Focal point: Dennis Bours

Team members: Jindra Cekan, Meg Spearman, Caroline Holo

AF-TERG secretariat coordinator: Dennis Bours

The Adaptation Fund was established through decisions by the Parties to the United Nations Framework Convention for Climate Change and its Kyoto Protocol to finance concrete adaptation projects and programs in developing countries that are particularly vulnerable to the adverse effects of climate change. At the Katowice Climate Conference in December 2018, the Parties to the Paris Agreement decided that the Adaptation Fund shall also serve the Paris Agreement. The Fund supports country-driven projects and programmes, innovation and global learning for effective adaptation. All of the Fund's activities are designed to build national and local adaptive capacities while reaching and engaging the most vulnerable groups, and to integrate gender consideration to provide equal opportunity to access and benefit from the Fund's resources. They are also aimed at enhancing synergies with other sources of climate finance, while creating models that can be replicated or scaled up. www.adaptation-fund.org

The Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG) is an independent evaluation advisory group accountable to the Adaptation Fund Board, established in 2018 to ensure the independent implementation of the Fund's evaluation framework. The AF-TERG, which is headed by a chair, provides an evaluative advisory role through performing evaluative, advisory and oversight functions. The group is comprised of independent experts in evaluation, called the AF-TERG members. A small secretariat provides support for the implementation of evaluative and advisory activities as part of the work programme.

While independent of the operations of the Adaptation Fund, the aim of the AF-TERG is to add value to the Fund's work through independent monitoring, evaluation and learning. www.adaptation-fund.org/about/evaluation/

AF-TERG, 2021. Ex Post Project Sustainability Evaluation - Phase One Report. Adaptation Fund Technical Evaluation Reference Group (AF-TERG), Washington, DC

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Acknowledgements

The team for the ex post evaluation consists of Jindra Cekan, consultant team lead; Meg Spearman, resilience and adaptation consultant; Caroline Holo, data analyst and main point of contact; and Dennis Bours, evaluation focal point and coordinator of the AF-TERG secretariat.

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Abbreviations

Adaptation Fund	the Fund
AFB	Adaptation Fund Board (the Board)
AF-TERG	Technical Evaluation Reference Group
CCA	Climate change adaptation
EFC	Ethics and Finance Committee
IE	Implementing Entity
IEG	Independent Evaluation Group
JICA	Japan International Cooperation Agency
M&E	Monitoring and evaluation
MDB	Multilateral development bank
MEL	Monitoring, evaluation, and learning
MIE	Multilateral implementing entity
NIE	National implementing entity
PPRC	Project and Programme Review Committee
TTL	Task Team Leader
USAID	United States Agency for International Development
WBG	World Bank Group

Foreword

New Delhi 6 August, 2021

Dear Reader,

The report you are about to read is the result of a long process of research and discussions in a field that is rapidly changing. Ex post evaluations have been a focus of the Adaptation Fund, and more specifically of the AF-TERG, since the independent evaluation group was created. As the Fund's portfolio transitions into a more mature one, there has been a growing need to know what happens beyond project closure.

The question of impact and what is left after implementation is often not asked enough, let alone verified. The data has been showing a staggering dearth of post-implementation evaluations, and surprisingly, very little funding has gone to such evaluations to date.

This is especially true for the field of climate change adaptation, for which results are dependent on so many more aspects. How do we determine contribution when weather patterns are so uncertain? How do we find impact when results typically take longer to show? How do we measure adaptation when it touches on so many sectors at the same time? What does resilience mean, or even look like, in the long term?

Many questions are left unanswered at a time that requires learning more than ever, and especially as the climate crisis worsens. In the face of such urgency, we ought to understand what sustains, what works, or not, and why, and what other innovative mechanisms could be applied to get evidence-based answers to these important questions.

This report presents a framework to approach the Adaptation Fund's ex post evaluations and strives to illustrate the process (Phase 1) taken by the AF-TERG. As we move to piloting and field-testing the framework (Phase 2), we hope that this will present more innovative methods that could be replicated. The work will also seek to identify valuable lessons of relevance to the Fund and that can make a contribution to the wider field of climate change adaptation. We cannot be more excited to share this learning journey with you.

Debbie Menezes

Debbie Menezes

Chair of the Adaptation Fund Technical Evaluation Reference Group (AF-TERG)

Executive summary

This report describes the first phase of the development of ex post evaluations following the request of the Adaptation Fund Board. The Board sought to develop post-implementation learning and impact evaluation for Fund projects and programmes to provide learning on climate change actions and accountability of results financed by the Fund. The Board commissioned the Adaptation Fund Technical Evaluation Reference Group (AF-TERG) to conduct one or two ex post evaluations of strategically selected projects that were completed three to five years before.

Phase one consisted of developing an innovative Fund-specific framework to conduct ex post evaluations, given the relative novelty of CCA portfolios and the limited body of work on ex post evaluation for adaptation. It builds on the work conducted by the AF-TERG regarding the review of ex post evaluations methods and the evaluability of Fund supported projects conducted in fiscal year 2020 (FY20).

The ex post evaluation framework developed by the AF-TERG focuses on aspects of both sustainability of outcomes and climate resilience. It aims to answer the following questions:

(i) How sustainable are the project outcomes over time since project completion?

(ii) How climate resilient are the sustained project outcomes?

The framework presents possible methods that will be piloted in field-tested ex post evaluations. It strives to consider the characteristics, strengths and weaknesses of the Fund portfolio in order to determine which method for evaluation is more relevant / suitable to evaluate the sustainability and resilience of project outcomes.

The framework also intends to assess climate resilience, bearing in mind that this area is pivotal to climate change adaptation yet has rarely been measured, and much like adaptation, is a subjective and context-specific concept. A resilience analysis tool was developed and covers five resilience analysis components:

(i) The climate disturbances

(ii) The human and natural systems (and their nexus) affected by and affecting project outcomes

(iii) The characteristics of resilience in the outcomes

(iv) The means and actions supporting outcomes (exemplifying characteristics of resilience), and

(v) A typology of resistance-resilience-transformation (RRT) into which the overall project can be mapped based on how actions are designed to maintain or change existing structures and functions.

Phase one also identifies a list of potential projects for ex post evaluation pilots from the Fund's 17 completed and evaluated projects. The project selection or screening process for ex post evaluability has a two-layered structure with two types of criteria: mandatory (project evaluability) and optional (purposive portfolio sampling). Five projects were shortlisted, taking into account the impact of the COVID-19 pandemic.

Phase one will be followed by two more phases, which will respectively:

(i) pilot methods on a sub-set of at least two projects in the field (Phase two), with national evaluators and on carefully selected projects; and then

(ii) continued ex post evaluations over time on more projects, and related capacity building of evaluators on methods, feeding into ex post evaluation informed adjustments within the Fund (Phase three).

The AF-TERG has prepared a guide for evaluators to pursue ex post evaluations in Phase two of the project, which will be modified for Phase three based on emerging evidence and experiences in the field.

The work on ex post evaluation aims to evaluate up to six projects ex post, with different evaluation methods tested over the years in order to identify key lessons for the Adaptation Fund on the sustainability and climate resilience of outcomes for projects that have ended in the medium to long term. It is expected that learning will be co-created with national partners during the whole process. While one of the objectives of ex post evaluations is to provide accountability, the learning will be invaluable for the field of climate change adaptation. For the Adaptation Fund and its stakeholders, it could also help opening discussions about funding, project design, and how well the evaluation of expected sustainability at project completion reflects actual sustainability over time.

I. Context and objectives

1.1 Aim of the study

Commissioned by the Adaptation Fund's Technical Evaluation Reference Group (AF-TERG), this report describes the first phase of the development of ex post evaluations. It follows the request of the Adaptation Fund Board (hereafter "the Board") to develop post-implementation learning and impact evaluation for Fund projects and programmes. Ultimately, these evaluations seek to provide learning on climate change actions and accountability of results financed by the Fund.

The Adaptation Fund

The Adaptation Fund was established through decisions by the Parties to the United Nations Framework Convention for Climate Change and its Kyoto Protocol. The Fund aims to finance concrete adaptation projects and programmes in developing countries that are particularly vulnerable to the adverse effects of climate change. At the Katowice Climate Conference in December 2018, the Parties to the Paris Agreement decided the Adaptation Fund shall also serve the Paris Agreement.

The Fund supports country-driven projects and programmes, innovation, and global learning for effective adaptation. All the Fund's activities are designed to build national and local adaptive capacities, while reaching and engaging the most vulnerable groups. They also seek to integrate gender considerations to provide equal opportunity to access and benefit from the Fund's resources. Finally, they strive to enhance synergies with other sources of climate finance, while creating models that can be replicated or scaled up.

The AF-TERG

The AF-TERG is an independent evaluation advisory group accountable to the Board. Established in 2018, the AF-TERG aims to ensure the independent implementation of the Fund's evaluation framework (Adaptation Fund, 2018b). The AF-TERG, which is headed by a chair, provides an evaluative advisory role through performing evaluative, advisory and oversight functions. The group is comprised of independent experts in evaluation called AF-TERG members. A small secretariat provides support for implementation of evaluative and advisory activities as part of the work programme.

While independent of the Adaptation Fund, the AF-TERG aims to add value to the Fund's work through independent MEL. [1]

This study is part of a multi-phase process for ex post evaluation, including:

- Phase one, the subject of this report, aimed to develop a framework to conduct ex post evaluations, as well as a shortlist of up to five completed projects as pilots for ex post evaluation.

1. https://www.adaptation-fund.org/about/evaluation/publications/foundational-documents/

- Phase two will test methods in at least two pilot projects.
- Phase three will continue ex post evaluations over time, and related capacity building of evaluators, feeding into ex post evaluation informed adjustments within the Fund.

Phase one marks the continuation of work by the AF-TERG in fiscal year 2020 (FY20), the phase zero on which the above multi-phase process builds.

Phase zero - Study 1: Ex post evaluation study

This study reviewed ex post evaluation of climate change adaptation (CCA) in the context of development cooperation. It also discussed key messages and conclusions that lend themselves to developing guidance on ex post evaluation for projects in the Fund's portfolio.

Conclusions:

- CCA presents challenges to evaluation because of its multi-sector nature. Projects operate under multiple uncertainties and unknowns (including climate projections or precise understandings of risks). Projects also have long timeframes for outcomes and impacts manifest in the context of specific climate risks and hazards.
- There remains an insufficient body of work on ex post evaluation for adaptation. As well as being a relatively new area of practice, it sits in the larger context of the development cooperation "evaluation gap."
- Planning for ex post evaluation in the project design and implementation is the most critical factor to developing a useful ex post evaluation process and report.
- The process of designing and implementing an ex post evaluation is an opportunity for meaningful engagement and ensuring utility and legitimacy of findings for key audiences.
- The review of several qualitative, quantitative, experimental, quasi-experimental and non-experimental methods showed they are typically not detailed enough for ex post application in the field.
- Mixed methods are advisable in most resilience and climate change project ex post evaluations. Corresponding monitoring activities and data analysis should also be carefully considered.
- Several "lenses" and "approaches" have been identified from the studies and guidance as options to address the challenges of ex post evaluation of adaptation. The lenses include resilience building, transformational change, and ecosystems-based adaptation, as well as breaking down the components of these lenses to examine long-term and systems change. The approaches described focus on qualitative analysis for adaptation impact by using theory-based, participatory tools to identify and define risks and resilience, such as with outcome mapping/harvesting, rapid impact evaluation and rating/scoring systems.

Phase zero - Study 2: Evaluability assessment

The evaluability assessment explored the extent to which the Fund's projects have structures, processes, and resources that can support credible and useful monitoring, evaluation, and learning (MEL). Based on the assessment's findings, it provides conclusions and next steps on how to improve the evaluability of the Fund's projects and portfolio. It assessed the evaluability of projects against a series of criteria that were grouped into seven categories:

- project logic
- MEL plan and resources
- data and methods
- inclusion of interest groups/beneficiaries
- portfolio alignment with Fund strategic results and core indicators
- long-term evaluability
- evaluability in practice.

Conclusions:

- The evaluability strengths and weaknesses identified by the study were intertwined with broader MEL strengths and weaknesses, including in the field of MEL for CCA. The study concluded that the quality of evaluability is largely (often wholly) a function of the quality of MEL. Therefore, any improvements to MEL strategy and processes should inherently deliver improvements in the quality of evaluability.
- The study stressed on the importance of designing programmes and projects in a way that could help minimize these challenges:

  (1) Clearly describing the logic of a project helps clarify its additionality, as well as the contribution and attribution towards results and impacts.

  (2) CCA impacts should reflect both natural and human (including institutional) systems, and as such project evidence base and baselines should consider both systems.

  (3) Long-term impacts of CCA can only be measured if long-term MEL is planned and resources are allocated for long-term monitoring and ex post evaluations.

Initial conversations with the Board, observers, and the Adaptation Fund Board secretariat (hereafter "the AFB secretariat"), a wider consultation process and the above studies fed into the AF-TERG multi-year work programme (AF-TERG, 2020a). As part of the work programme, the AF-TERG committed to develop ex post evaluation guidance in FY21, to be piloted and revised as needed. From FY22 onwards, the AF-TERG will commission two ex post evaluations annually of projects completed three to five years before.

The Fund wants to know whether its desired impact has been (or is expected to be) achieved. It understands that adaptation takes time to resolve and often will only be visible years after projects were completed. To that end, it asks questions such as the following: Has adaptive capacity been enhanced, resilience strengthened, and the vulnerability of

people, livelihoods and ecosystems to climate change reduced after the projects were completed? Are longer-term impacts sustainable? What has remained, and what has perhaps disappeared, and can drivers and barriers of sustainability be identified? (see Annex A for the Phase one Terms of Reference).

The framework in Phase one presents what and how to evaluate ex post, given the relative novelty of CCA portfolios and the limited body of work on ex post evaluation for adaptation. It strives to consider the AF-TERG work principles[2] and the Fund's strategic pillars: action, innovation, and learning and sharing of the Medium-term Strategy. It also explains how the guidance fits the broad range of Fund-supported projects.

The framework was completed after a sensitivity analysis to determine the appropriate unit of account for ex post (following a weighing of different possible units). For the purposes of piloting the framework, the study aims to select completed and evaluable projects for testing. The selection method must be clearly justified and based on conditions necessary for evaluability before and during the evaluation.

Phase one also defines resilience and how it may be evaluated ex post for decreased vulnerability as per the Fund's mission:[3] this area is pivotal to CCA yet has rarely been measured. Much like adaptation, climate resilience is a subjective and context-specific concept. The report aims to provide a step-by-step approach to identifying elements of resilience in sustained project outcomes. As with all other components of the ex post process, and especially since the resilience framework is new, resilience measurement will require adjustment and -in time- to move beyond traditional data sources and methods of contribution.

1.2 Current and projected timeline for ex post evaluations

Phase one marked the continuation of work by the AF-TERG begun in fiscal year 2020 (FY20). Phase two, which will see the piloting and the fieldwork of the selected projects, aims to achieve the following:

- Verify that expected results, particularly long-term sustainability of outcomes and resilience, have been achieved or are moving towards achievement.
- Further understand the concept of the Fund's contribution to these results.
- See what "emerged" ex post, including local adaptations to funding, design, implementation that make activities locally and regionally sustainable, as well as unexpected outcomes and even impacts (where they are documented).
- Look at the contextual factors that can contribute to sustainability and resilience.

2. This study strives to adopt a co-generative approach, with the inclusion of the Fund's stakeholders as critical inputs for the framing of the approach in the next phases. See AF-TERG (2020b) for more information on the AF-TERG work principles.
3. The Adaptation Fund serves the Paris Agreement by accelerating and enhancing the quality of adaptation action in developing countries. It does so by supporting country-driven projects and programmes, innovation, and multi-level learning for effective adaptation. All the Fund's activities are designed to engage, empower, and benefit the most vulnerable communities and social groups; advance gender equality and the empowerment of women and girls; strengthen long-term institutional and technical capacity for effective adaptation; and build complementarity and coherence between climate finance delivery channels (Adaptation Fund, 2018).

- Going beyond the above, identify "how" and "why" certain change – for both human and natural systems – did or did not take place.
- Identify the key challenges/risks of ex post evaluations, and how to deal with them.
- Determine clear and strategic selection criteria on which projects should be considered for ex post evaluation. e.g. what is it we hope to learn?

It also entails:

- Holding discussions between implementing entities (IEs) and Fund stakeholders to select both the national evaluators and the methods to answer questions from the Fund and the countries through a co-creation process.
- Selecting or adapting method options outlined in Phase one.
- Measuring the sustainability of outcomes and resilience to shocks in two completed projects selected in Phase one through the application of transparently shared criteria of selection that ranks viability and additional internal and partner consultations.

Phase two will bring many lessons that will be used:

- To learn about what was sustained and how climate-resilient projects are, or are not, sustainable
- To inform the Fund's MEL processes, which will also feed into Phase three
- To be integrated into further AF-TERG MEL guidance.

Lessons for Phase three are likely to include the quality of the intervention logic, including relevance; whether monitoring and evaluation (M&E) data reflects sustainability and long-term climate resilience or not (Box 2); feedback on knowledge retention; and lessons from the debriefing/sharing with a range of stakeholders, among others. Such learning is intended to be used widely, including by IEs, the Board, and others.

Phase three will continue to pilot the outlined framework but might incorporate some changes, such as the following:

- Sometimes a set of related projects (e.g. around a priority sector, an ecosystem, landscapes, seascapes, or a region) may be a better approach to assess long-term results (outcomes and where they exist, impacts) across a particular theme or area.
- Partnerships with other funders may be needed.
- All Fund projects may eventually be evaluated ex post or a (purposive/stratified) sample of projects might make more sense.

Building on piloting and engagement from Phase two, Phase three will focus on training the evaluators to apply the lessons learned and revise the framework from Phase one to improve ex post analysis and value added of the ex post process.

Table 1. Timeline for ex post Evaluation at the Adaptation Fund

	2016-2019	2020	2021 Q1	2021 Q2	2021 Q3, FY 22 start	2021 Q4	2022 Q1	2022 Q2	2022 Q3, FY 23 start	2022 Q4 onward
Fund Project and Programme Review Committee and appointment of AF-TERG.										
Phase zero: assess evaluability.										
Phase zero: develop approaches to ex post evaluation of climate change adaptation.										
Phase one: develop selection criteria and framework to conduct ex post evaluations. Shortlist up to five completed projects as pilots for ex post evaluation and suggested methods.										
Phase two: test methods in at least two pilot projects.										
Phase two: test additional methods in new projects, countries, sectors, seasons, etc.										
Phase two: continue ex post evaluations.										
Phase three: learning from ex post to MEL at the Fund, feeding ex post evaluation informed adjustments within the Fund and dissemination of findings.										
Ongoing Phases: learning, building the evidence base for the Fund and its implementing entities by continuing ex post evaluations, and related capacity building of in-country counterparts.										

II. Understanding ex post evaluations

2.1 Background on ex post evaluations

The field of ex post evaluation is still widely underdeveloped. The Development Action Committee of the Organisation for Economic Co-operation and Development (OECD DAC) (2002) defines ex post as an "evaluation of a development intervention after it has been completed." It adds that "the intention is to identify the factors of success or failure, to assess the sustainability of results and impacts, and to draw conclusions that may inform other interventions."

Among bilateral and multilateral development organizations, only the Japan International Cooperation Agency (JICA) completes a review of each project after completion called ex post "monitoring," respectively three years and seven years ex post.

The World Bank Group (WBG) requires every project to be validated by a final evaluation. This is followed by a self-evaluation Implementation Completion and Results Report. However, it does not require ex post or impact evaluations. Approximately 60 per cent of WBG projects are, however, evaluated via other means and studied each year through the Independent Evaluation Group (IEG). The IEG, whose studies can include ex post evaluation, allocates 20 per cent of its budget (IEG, 2019) to project-level validation (internal document review after completion) and evaluations. About half goes to more in-depth and major evaluations (including impact and ex post evaluations).

Based on 20 years of ex post work, Cekan (2016) estimates that despite over US$ 3.5 trillion spent on foreign aid since 1950, fewer than one per cent of all publicly funded development projects have been evaluated post-completion. Ex post assessments of project and programme sustainability are so infrequent that evaluators lack information on post-project trajectories (Sridharan and Nakaima, 2019).

Even when ex post assessments are conducted, they may not involve fieldwork. An extensive research analysis of IEG's database by Valuing Voices, for example, found fieldwork in only 10 per cent of the project performance assessment reports in the sample for post project. Without such fieldwork, sustainability estimates of assumed trajectories are unproven. As a result, positive results may not be sustained as little as two years after completion.

The dearth of ex post evaluation has been a missed opportunity for the evaluation field and the study of sustainability. Post-project evaluations can shed light on what contributes to institutional commitment, capacity, and continuity in this regard (ADB IED, 2010). As USAID stated in its 2019 guidance, "an end-of-project evaluation could address questions about how effective a sustainability plan seems to be, and early evidence concerning the likely continuation of project services and benefits after project funding ends. Only a 'post-project' evaluation, however, can provide empirical data about whether a project's services and benefits were sustained."

The three examples below illustrate the importance of conducting ex post evaluations:

- A set of eight "post-project" global development evaluations analyzed for the Faster Forward Fund in 2017 showed a range of results: one project partially exceeded final evaluation results, two retained the sustainability assumed at inception, and the other five showed a decrease in results of 20 to 100 per cent as early as two years post-exit (Zivetz, Cekan and Robbins, 2017).
- In 2015, Tufts University conducted a rare, four-country, 12-project "post-project" study of food security projects supported by the United States Agency for International Development (USAID). It found wide variability in expected trajectories. Most projects failed to sustain expected results beyond as little as one year (Rogers and Coates, 2015). The study noted that "evidence of project success at the time of exit (as assessed by impact indicators) did not necessarily imply sustained benefit over time" (Rogers and Coates, 2015).
- Early evidence in a 2010 Asian Development Bank study of "post-project" sustainability found that as many as 40 per cent of all new activities are not sustained beyond the first few years after disbursement of external funding (ADB IED, 2010). That review examined fewer than 14 of 491 projects in the field. The same study described how assumed positive trajectories post-funding fail to sustain. It noted project holders tend to overestimate the ability or commitment of implementing partners – and particularly government partners – to sustain project activities after funding ends.

Learning from "post-project" findings can also be essential to improve project design and secure new funding. USAID recently conducted six "post-project" evaluations of water/sanitation projects and learned about needed design changes from the findings (USAID, 2019). Meanwhile, JICA analyzed the uptake of recommendations seven years after completion (JICA, 2020).

The AF-TERG study on 'Approaches to ex post Evaluation of Climate Change Adaptation' (Phase zero) also considered good practice to incorporate ex post evaluation planning into project design and budget. Alternatively, ex post evaluation could be done in clusters to reduce the overall investment of time and resources per study.

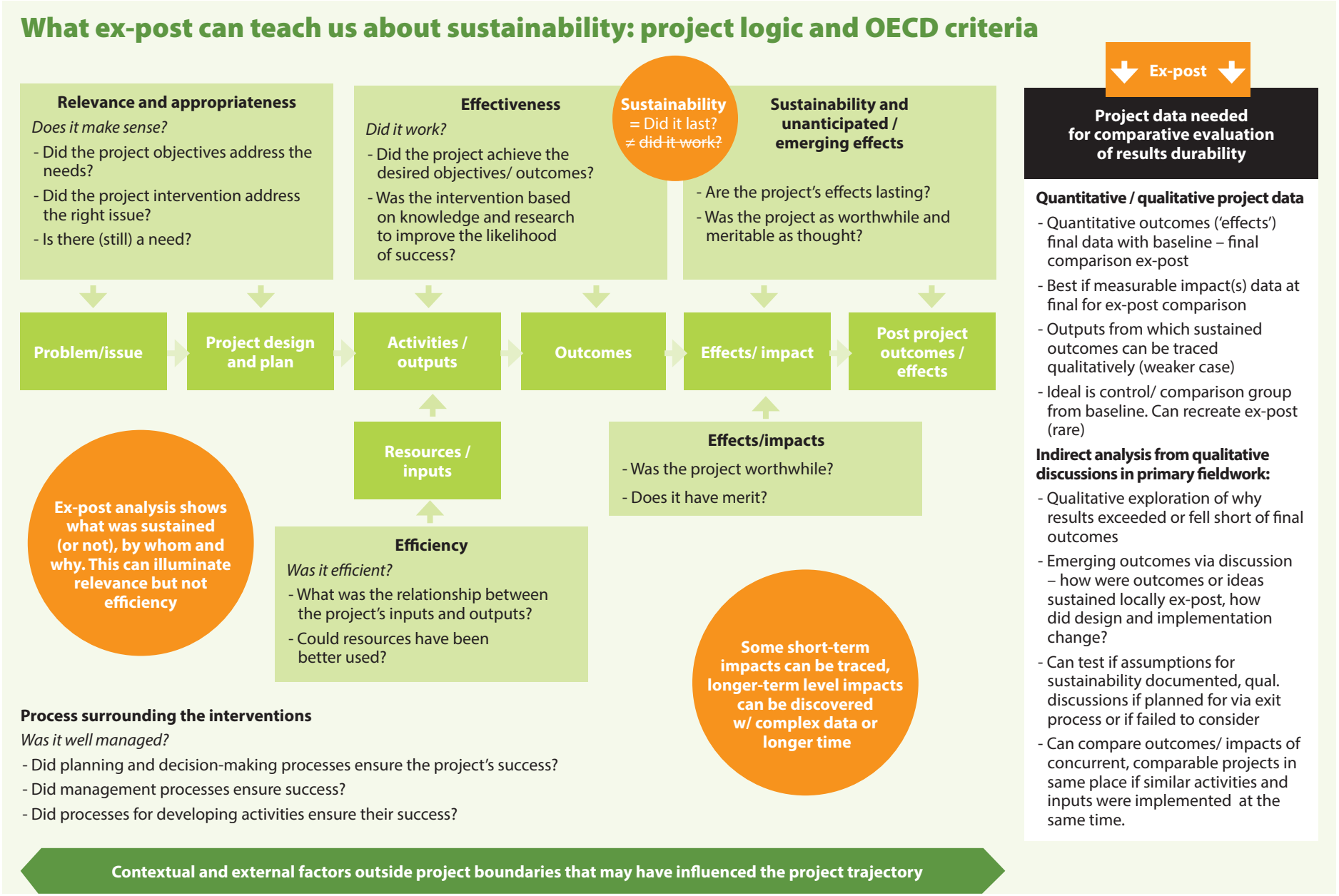
There is little uniformity in terms of ex post evaluation approaches and methods. This is even more the case for ex post evaluation of climate change adaptation interventions, for which there is no consistency or agreement on standards. Adaptation presents challenges to evaluation practice due to the cross-sector, spatial, and temporal nature of climate change. While there is a growing set of guides, toolkits, and other publications to help unpack these challenges, few concentrate on ex post evaluation of adaptation.

Given this context, this study becomes more important than ever. For that reason, the study chose a longer timeframe (three to five years after project completion) for ex post evaluations of Fund projects that aimed at decreasing vulnerability to

climate change. In this way, the study hopes to detect sustainability and resilience of outcomes over longer timeframes (Box 2). Beyond timing, the study must consider data quality before projects can be considered evaluable and methods chosen.

The study of methodologies showed that almost all development cooperation organizations use evaluation criteria from the OECD DAC (2019 and 2021) as a base for evaluation. This sets a direction for the learning extracted from studies. Figure 1 shows that ex post evaluations only illuminate lessons about certain aspects of those criteria, namely sustainability, impact, and to some degree, relevance. This has an impact on what data is needed and what analysis can be performed.

Figure 1. What ex post evaluations can teach us about "Sustainability"



Source: adapted from https://www.who.int/reproductivehealth/publications/post-project-evaluations-adolescent-srhr-projects/en/

2.2 Potential methodological limitations of doing ex post evaluation and suggested ways of addressing them

Table 2 outlines several anticipated challenges of ex post evaluations of Fund projects in Phase two, and measures to mitigate them. This table will be updated based on evidence and lessons from piloting and used to improve approaches and methods applied in Phase three.

Note that the table does not include contextual challenges of a more fluid nature, like the COVID-19 pandemic, political developments or other types of internal instabilities.

Table 2. Challenges and mitigation measures in conducting ex post analysis of Fund projects

Risks – study inputs	Mitigation
Lack of sufficient data to select cases and create ex post guidance	Select subsets of projects that have the most outcome/impact data (e.g. food security in Mauritania) and focus on developmental and environmental aspects per country. Use innovative methods, e.g. Contribution Analysis, Propensity Score Matching and Resilience-focused methods, etc. to examine a wide array of possible causes for the outcomes. Ensure a variety of robust data sources and rely especially on strong stakeholder engagement and co-generation of the evaluation scope and design of the ex post evaluation process.
Insufficient funding for good evaluation	Manage limited expectations, look for additional funding/co-funding or new co-researchers, e.g. multilateral evaluation partners. Use data available to do a deep dive into a smaller selection of outcomes.
Selection bias in project selection	Be aware that only projects with outcome/impact data are selected. After piloting, there might be a shift to more data-poor projects. The budget for ex post evaluations is not sufficient to retroactively reconstitute any missing baseline and endline data.
Projects relatively "young" to evaluate – even three years after project completion	Examine outcomes that have either had more time to develop, or outcomes that yield results more quickly, e.g. year-three fruit trees may have yielded fruit, but afforestation may take longer.
Missing data in Fund documents at the right levels and accuracy	Recommend additional data, e.g. - replace "number of beneficiaries", which is not a proxy for more climate-resilient populations; - ask recipients to revise inputs and outputs, and outcome results; - add exit strategies clearly stated and measurable outcomes (not outputs) e.g. survival rate of trees planted, not just trees planted documented in future MEL.
Risks – Study process	**Mitigation**
Unquantified claims of results	Use recall, especially in projects completed only three years ago; focus on more robust triangulation and also Outcome Harvesting.
Low capacity of (national) evaluators in these specific branches of evaluation	Conduct training pre-fieldwork, hold daily check-ins with team lead, send data weekly to check on quality, give feedback/direction. The consultants will also have weekly calls with national consultants to answer questions and help them manage questions, as both areas are likely to be new to most of them. Develop the evaluation significance and evaluation skills capacities of stakeholders involved in the ex post process.
Lower quality of reports, or difficulty in drawing lessons from a small number of cases	Build in additional time to document where process faltered to fix for next round of ex posts in 2022.
Risks – Study outputs	**Mitigation**
Insufficient time for analysis/ write-up/willingness to learn	Make early presentations to AF-TERG members and Fund staff, sharing studies with the Board to manage expectations.
Irrelevance of findings (inaction able and/or not useful to in-country counterparts)	Develop evaluation findings products that reach targeted stakeholder groups in-country in a form that is easily understood and useful. All evaluation products are derived from a stakeholder-driven process. Therefore, scope and questions answered are also a product of co-generation from the early days of evaluation design.
The materializing of results is not a linear process	Visit a project that was part of the ex post pilot two years later to see if anticipated results further materialized.

III. Phase one: Scoping and developing ex post evaluations piloting

The first part of Phase one included a "scoping" phase. This process for ex post pilot selection included setting criteria for winnowing down the 21 administratively completed projects based on evaluability in ex post.

Phase one reviewed data in the final evaluations and project performance reports (PPRs) of the shortlisted projects. Based on this analysis, it suggested methods for Phase two for evaluating the sustainability of outcomes and impacts, where available, and what emerged. It included also suggestions on evaluating resilience to climate change based on research in the resilience and vulnerability literature, customized to the Fund's core indicators in these shortlisted projects.

In Phase two, a shortlist of five projects will be further reviewed and narrowed down to one or two based on COVID-19 circumstances and stakeholder discussions. Those most evaluable projects will help establish proof of concept and ensure the Fund has the most significant opportunity for immediate and impactful learning. In later stages, the AF-TERG can take on ex post evaluation of projects that might be harder to tackle from an evaluability point of view. It could also focus on other specific interest areas, e.g. other sectors or topics, including infrastructure, gender, among others (Annex B).

The Fund plans to evaluate high-level, Fund-expected impacts, e.g. reduced vulnerability and increased resilience of humans in their natural systems and trace the Fund's contribution to responses to shocks and stresses they are facing. In terms of resilience, it will analyze the types of resilience embodied in outcomes achieved. It will also explore to what extent the project's actions and results are designed for maintaining or altering the structures and functions in both human and natural systems (and the nexus between them).

3.1 Project selection for ex post evaluation pilots

3.1.1 Process for ex post project pilot selections

A vetting process was adapted from findings through the AF-TERG Phase zero ex post research, Valuing Voices' work on building the evidence base for post project evaluation (Zivetz, Cekan, and Robbins, 2017), and Save the Children's retrospective impact evaluation scoping guide (2018).

The project selection or screening process for ex post evaluability has a two-layered structure with two types of criteria: mandatory (project evaluability) and optional (purposive portfolio sampling):

- **Mandatory:** Examining elements of project evaluability (Type A criteria) can help determine whether quality, sufficient, and relevant data, as well as favourable timing, commitment, and interest of IEs are all in place for supporting a successful ex post analysis.

- **Optional:** The sampling of the portfolio (Type B criteria) will aim to reflect the (multi/cross-) sectoral and geographic variety of interventions. Concurrently, it will seek project characteristics that might lend themselves to a more robust ex post evaluation and a more accurate overview of the contributions of the Fund. These are optional in Phase one given the small pool of completed projects.

Furthermore, the selection process has two-stage filtering (desk-based/field consulted):

- **Screening through desk-based review:** Review of Timing (A1), Methodological Evaluability (A2) and Safety (A3) of completed projects based on content of final evaluations and PPRs, and on results of the AF-TERG's evaluation assessment and evaluation synthesis studies. This stage was completed.
- **Subsequent field-consulted selection:** Review of Financial and Technical feasibility (A4) for the field-based portion of the ex post evaluation, based on stakeholder engagement at the national level. It stands separate from the desk-based screening as stakeholder engagement, quality of evaluators, and funding for rigorous ex post evaluations to make evaluating sustainability possible. This stage will be completed after desk-based screening and pilot selection.

Projects are rated first by mandatory type A criteria (ex post) then by optional type B criteria (Fund portfolio) with the idea of a screening funnel. Each criterion is assessed against a "stoplight scale" to rank projects (Green: ex post feasible; Orange: ex post possible but with issues; Red: ex post inadvisable). The figure below (Figure 2) describes the decision funnel for the vetting process.

3.1.2 Results of project selection

The first stage of the screening process concluded with a shortlisted five projects for the piloting of ex post evaluations (out of all evaluated and completed Fund projects as of March 2021). 21 projects were assessed, and the selection framework was applied to the 17 projects with a final evaluation[4] , drawing on the Evaluability Assessment, final PPRs, and final evaluations findings.

The results for project selections were heavily influenced by the possibility of doing fieldwork (criterion A3 "safety"), given the COVID-19 pandemic and its potential to endanger the lives of evaluators and participants.[5] The following projects were found to be good candidates for evaluations i.e. could potentially yield robust ex post sustainability results (country, date of completion):

- **Argentina (12.2018),** with the highest rankings across all criteria except for COVID-19 criterion (CDC Travel Health Notice Level 4)
- **Myanmar (06.2019),** with very good M&E evaluability, but concerns on safety [COVID-19 Level 4, and political unrest]

4. As of March 2021, 21 projects had completed implementation, out of which 17 had received a final evaluation (see Annex C).
5. As the duration of the global pandemic is not known, the safety criterion will be applied for as long as relevant, as will the other criteria of political safety and other future safety issues. The provisional ranking provided in this report will be updated before evaluators are hired.

- **Mauritania (09.2019),** with good M&E evaluability, with early indications of sustainability, and better COVID-19 Level (3)
- **Ecuador (06.2018),** with the most robust grassroots design and implementation, but weaker M&E outcomes and weak COVID-19 Level (4)
- **Samoa (06.2018),** with moderate M&E evaluability but a good COVID-19 situation.

Considering the timing, methodological feasibility, and evaluation feasibility, Mauritania and Argentina were regarded as the strongest candidates of the five selected projects (with the caveat that an evaluation would only be possible when the COVID-19 situation improves in Argentina). This list of projects will however be reviewed in Phase two and narrowed down to two candidates for the pilot, taking into account the COVID-19 situation and the stakeholders' willingness to participate in the evaluation[6].

Annexes D and E provide an extensive definition of selection criteria and their application to the subset of completed projects.

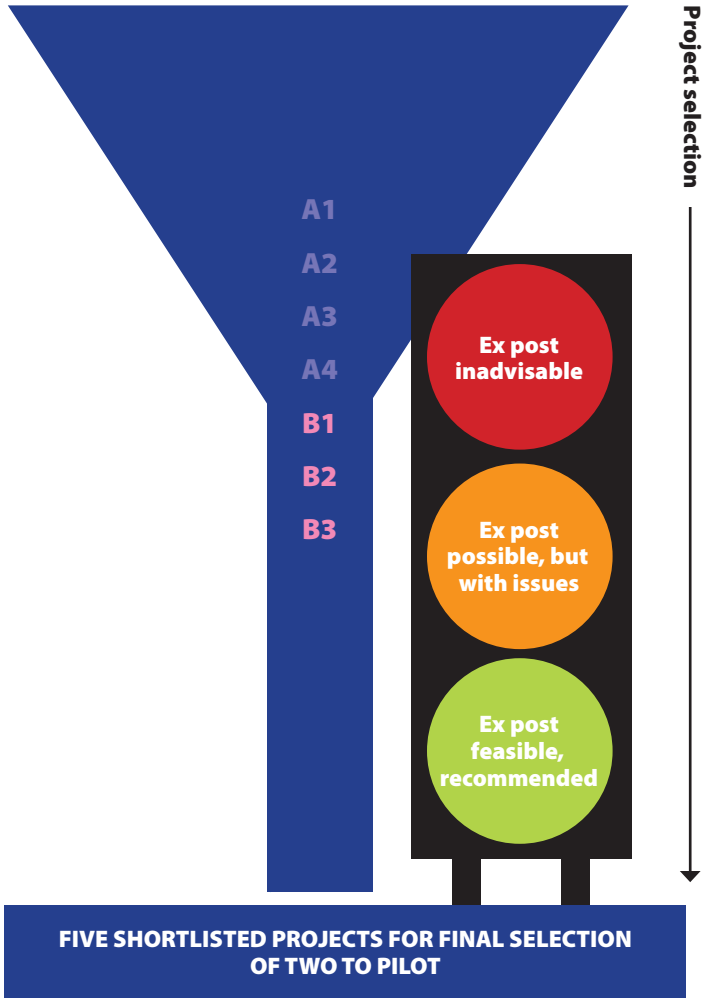
6. The heightened pressure of COVID-19 and risks to fieldwork limited pilot selection this year. Given their excellent methodologies, Argentina (2018) and Myanmar (2019) cases could be candidates in upcoming years. However, they may also not be selected as more, potentially better-case projects close-out.

Figure 2. Adaptation Fund ex post Screening/Project Selection: NO-MAYBE-GO Rationale, March 2021

Criteria type	List of criteria
	Each criterion is rated against the no-maybe-go scale GO | MAYBE | NO
Mandatory criteria Project evaluability	**A1 Timing** a) Years ex post project completion (min of three years, max of five) b) Duration of project (four-plus years) c) Completion more recent than five years d) Seasonality of final evaluation matches ex post (summer 2021)
	A2 Methodological feasibility of evaluating sustainability ex post a) Overall project quality at completion and ratings of quality and likely sustainability b) Measurable outcome & impact data at completion c) Sustainability planning, including ownership, resources, partnerships, capacities, exit readiness and any post-monitoring, replication or scale-up d) Institutional memory accessible of prior project (field consulted)
	A3 Safe evaluation a) Personal safety (unrest) and b) COVID-19 (health) – in 2021
	A4 Financial and technical feasibility and organizational commitment (field consulted) a) Stakeholder engagement and ex post learning commitment b) Quality of evaluators c) Time needed for quality ex post evaluation versus funding available
Optional criteria Fund considerations	**B1 Diversity of stakeholders and/or implementing entity** a) Multilateral implementing entity vs. National implementing entity b) Range of participants
	B2 Variety of geography
	B3 Variety in (cross)sector * current focus is similar sectors

Decision funnel

Project selection is based on the filtering process of both types of criteria



Sources: Stoplight Evaluability approach adapted from AF-TERG's Phase zero ex post research and evaluability assessment, AFB secretariat input, Save the Children (2018) and Zivetz, Cekan and Robbins (2017).

3.2. Methodological considerations for ex post evaluation pilots

Phase one of this process touched on methods that will be piloted in two ex post evaluations. Ex post evaluation is a surprisingly neglected area of the evaluation field. While most ex post evaluations use mixed methods, the variable quality of many global development projects may shape further methods used in this guide. Issues include (in)comparable endline methods; the quality of endline data, including to what extent retained datasets are (not) able to disaggregate for local ex post study; and missing or variably comparable baselines (see Valuing Voices research for Michael Scriven).

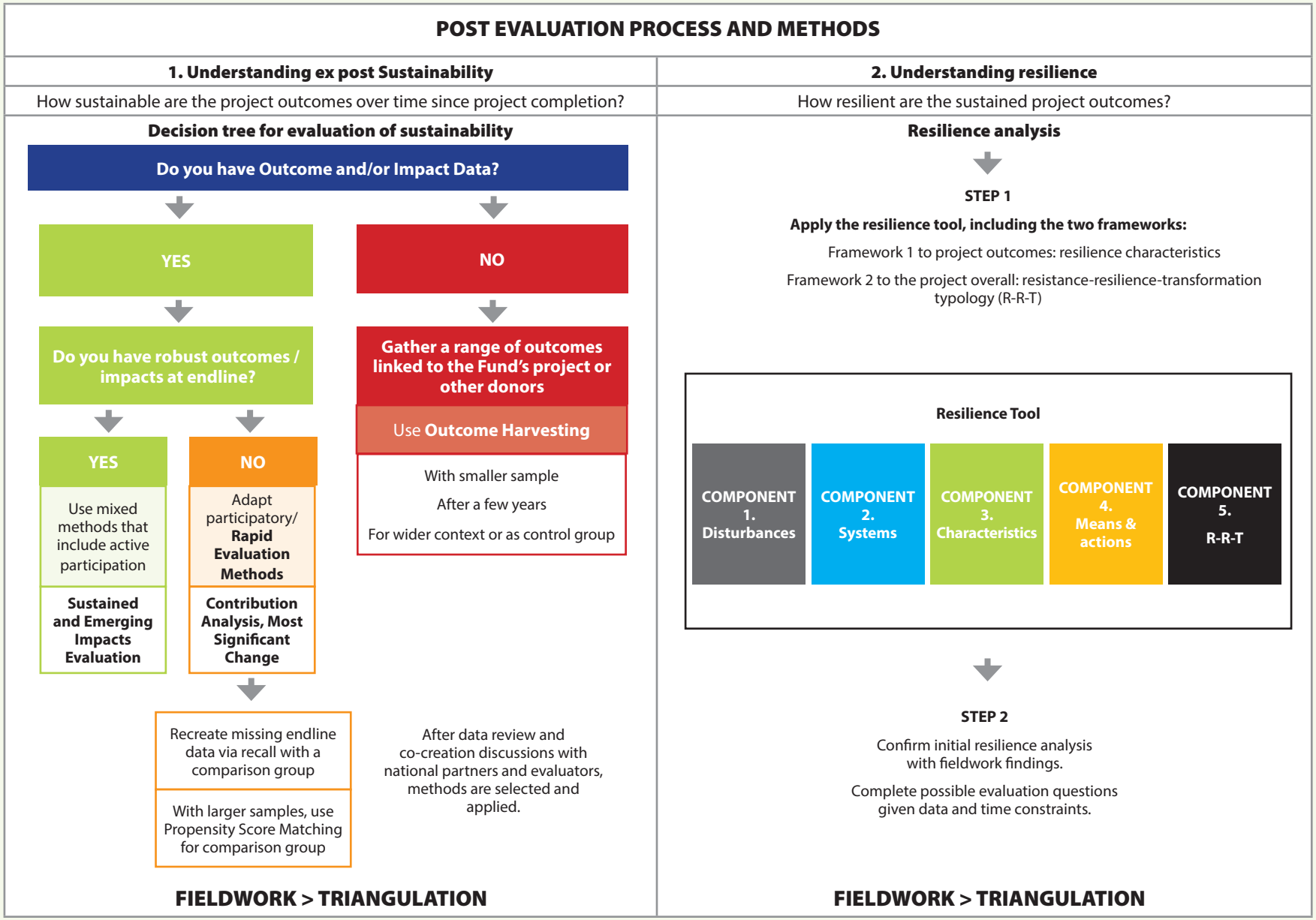
The AF-TERG ex post evaluations will examine both the sustainability of project and the ultimate aim of resilience. The two main research questions these evaluations aim to answer are:

1. How sustainable are the project outcomes over time since project completion?
2. How resilient are the sustained project outcomes?

These two questions will be applied to a portfolio with varying M&E strengths, documentation of results and sectors (e.g. behaviour change versus infrastructure). This will lead evaluators both to use different methods based on data availability to assess sustainability, and to apply new definitions and evaluative processes to resilience.

Figure 3 summarizes the process to conduct ex post evaluations, as well as methods to evaluate sustainability and resilience of project outcomes. It describes the decision tree to determine the best methods to use, as well as the tool for resilience analysis of sustained outcomes.

Figure 3. Ex post evaluation process and methods for Phase two



Sustainability vs. Resilience

Sustainability and resilience are sometimes used interchangeably. Yet a project can lead to resilience without being sustainable or be sustainable without being resilient.

Project outcomes, for example, can be sustainable, but might not deliver on typologies that touch upon resilience. Equally, outcomes at the end of the project might be climate resilient but might not be sustainable after project completion.

Moreover, not all adaptation projects have a strong focus on resilience. Reducing vulnerability of humans or systems, for example, does not equate to resilience. The early projects of the Adaptation Fund, which are the focus of these ex post evaluations, may not have had strong formulations for climate resilience. In other words, climate resilience might be part of project risk management, but not the anticipated outcomes. As such, the project might have achieved its goal of reducing vulnerability, and it might even be sustainable, but it would not be resilient.

3.2.1 Methods options for ex post sustainability

Different evaluation methods were considered during Phase one after the review of projects as part of the scoping process. Both the scoping review and previous analyses (Phase zero) revealed that completed projects varied greatly in data quality, with some having few or weak outcomes and impacts data.

Different requirements may be needed for the analysis to be robust depending on the method chosen for evaluation e.g. Propensity Score Matching requires quite large samples. As a result, a decision tree and a guidance report were developed to help national evaluators choose appropriate methods to assess sustainability of project outcomes in the field.

During Phase two, methods will be revisited and shaped with national partners, in line with the co-creation principle of the AF-TERG. Methods will depend on the skillsets of national evaluators, access to sampling data, aims of stakeholders, timeline and availability of project respondents and funding. The AF-TERG will provide training and back-stopping support on methods during fieldwork.

The following methods can be recommended:

- Mixed-method Sustained and Emerging Impacts Evaluation (where there are robust outcomes data)
- Contribution Analysis or Most Significant Change (where there is an unclear Theory of Change and weak outcomes or only outputs)
- Recall methods randomized with Propensity Score Matching (where there is no outcome data)
- Outcome Harvesting (where contribution could not be traced to the Fund or after the first year(s) of ex post sustainability evaluation)

- Shortened versions of the above via Rapid Evaluation adaptations (where safety is an issue for data collection).

3.2.2 Methodological framework for ex post resilience

Phase one also covered what resilience is and how it may be evaluated ex post for decreased vulnerability as per the Fund's mission.

The ultimate goal of climate change adaptation can be described as 'resilience' to the effects of climate change and related extreme weather events (floods, storms, droughts, etc.) and climate variability (seasonal timing changes, shifts in weather patterns, etc.). Although resilience frameworks exist in various fields and are being utilized in specific sectors or sub-sectors (USAID, 2018), resilience does not readily lend itself to generic measurements, indicators, and/or quantification (Levine, 2014). Additionally, definitions of resilience in the context of development largely focus on resilience in human systems (individuals, communities, economic activities, institutions, etc.), despite the fundamental reliance of humans - and especially the most climate-exposed and/or vulnerable populations - on natural systems.

Definition of resilience

IPCC (2014) defines resilience as, "The capacity of social, economic, and environmental systems to cope with a hazardous event or trend or disturbance, responding or reorganizing in ways that maintain their essential function, identity, and structure, while also maintaining the capacity for adaptation, learning, and transformation."

For Adaptation Fund projects, the main core impacts are split between human and natural systems, e.g. "Increased adaptive capacity of communities to respond to the impacts of climate change," and "Increased ecosystem resilience in response to climate change-induced stresses." Consequently, the AF-TERG ex post evaluation process and analysis considers the nexus between human and natural systems and how the project addressed this complex relationship to improve resilience of both systems through the outcomes achieved and sustained since project completion.

A resilience analysis tool was developed, made of five core different components for analysis, including two main frameworks to assess resilience in Fund projects ex post. The resilience analysis tool is an innovative tool that will be piloted during Phase two. The core components of the resilience analysis of Fund projects in ex post are:

- Component 1: the climate disturbances.
- Component 2: the systems that outcomes affect and are affected by.
- Component 3 (framework 1): the characteristics of resilience used by the outcomes.

- Component 4: the actions and resources devoted to supporting those outcomes.
- Component 5 (framework 2): the resistance-resilience-transformational (R-R-T) typology for determining where the project sits in terms of strategies employed and how/whether actions are designed to maintain or change existing structures (or "what" the project influences or uses to implement actions) and functions (or what "purposes" or "roles" those structures fulfil). This framing moves beyond individual sustained outcomes to explore how and whether actions as a collective whole are being taken that translate to improved climate resilience.

3.2.3 Methods options for evaluating sustainability and resilience in subsequent years

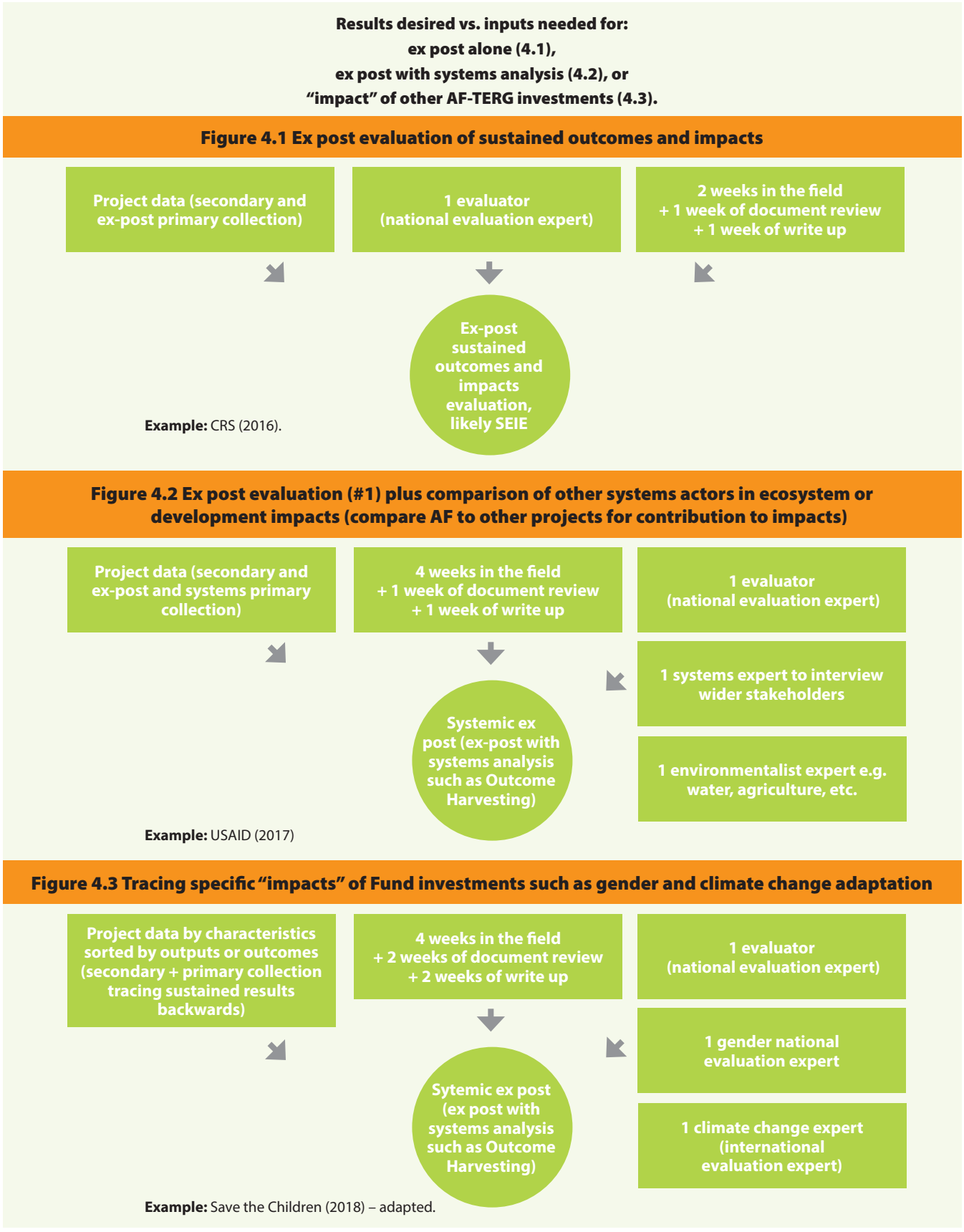
The methods developed in Phase one should not be considered as final. Methods could be amended based on the retrieved dataset and learning from the first pilots in Phase two i.e. what is missing and needs to be re-created, the interest of the stakeholders in a more robust study with a comparison group, etc. Similarly, other evaluation methods could be seen as relevant following the initial piloting in Phase two. Additional methods could confirm the extent of impact or enable focus on other aspects to be investigated by the Fund in later stages.

Example of additional methodological considerations

Counterfactuals are needed for a range of approaches suggested by the World Bank for evaluating infrastructure. They have been used rigorously in a Valuing Voices' ex post evaluation of the sustainability of behaviour change and infrastructure. For these, consider methods designed for infrastructure (yet to be adapted for ex post). Measuring the sustainability of intangible outcomes (technology, markets, resources), for example, includes infrastructure investment criteria with financial, environmental, or social costs or sustainable development "value" (social, economic, and environmental). All of these will break new ground in the field by newly applying innovative approaches in the field of ex post evaluation of adaptation.

Evaluating the additional aspects of funded projects has time and cost implications. Figure 4 describes the implications of ex post evaluation focuses. 4.1 describes the "typical" ex post sustained outcomes/impact evaluations (with or without emerging). 4.2 is used to compare systemic impacts from similar projects. 4.3 is vetting not by the sustainability of results ex post but another filter entirely e.g. climate change adaptation by gender. Both 4.2 and 4.3 would have implications for duration and content of the evaluation in terms of costs and timing. These include innovation of new methods compared to somewhat developed methods for Sustaining and Emerging Impacts Evaluation ex post, as well as expertise and wider team for analysis. However, these are likely to be revised in future years after fieldwork data.

Figure 4. Implications of what is evaluated ex post on methods, field duration, and cost



Note: SEIE = Sustained and Emerging Impact Evaluations.

Conclusions and recommendations for next phases

The ex post process goes beyond routine project completion reporting. It will include verifying data in the field and learning which results lasted and why, or why not, and what emerged since project completion.

Ex post evaluations allow to study the uncertainty rooted in what happens after funded projects finish. It explores how well the assumptions about project design lead to sustained relevance post-completion? What results that projected sustainability in final evaluations were sustained post-project completion? It is also about how results are withstanding and/or managing climate change disturbances.

While ex post evaluations aim to provide accountability for funds spent, they are also an important source of feedback to the Fund and its partners on the relevance of funding, design, and implementation. Research can give feedback on how to explore accountability of the Fund's catalytic direct funding to the ability of national implementing entities to foster sustainability. It can also reveal what outcomes emerged ex post from their efforts and those of participants.

Finally, ex posts provide accountability to the ultimate "beneficiaries" – the project participants and the ecosystems within which they live and which are rapidly changing.

Lessons from AF-TERG ex post work: an evolving process

Phases zero to three of ex post evaluation at the Fund will aim to evaluate up to six projects ex post and to test different evaluation methods. In so doing, they aim to identify key lessons on the sustainability and climate resilience of outcomes for projects that have ended in the medium to long term.

Phase one is already yielding lessons for Phases two and three. These touch on areas such as learning about selection, vetting, and quality of 17 completed and evaluated projects, as well as innovative methods and tools for the Phase two evaluators. They also suggest how ex post can enrich the Fund's strategic pillars of action, innovation, and learning and sharing.

Further analysis of early projects could inform additional MEL guidance for still-implementing projects to make them more ex post evaluable. These include ex post-typical lessons about final evaluation data quality of outcomes and impacts, gaps in data retention in-country, knowledge management to foster institutional memory, and evaluation for key stakeholders years later.

Evaluation methods used for ex post evaluation of Fund projects will evolve during and as a result of fieldwork and piloting. Additional methods will be adapted for use in ex posts, including evaluating infrastructure investments.

Ex post evaluations in later years will move beyond the most robust data sectors to date i.e. disaster risk reduction, water management, agriculture, food security and rural

development. It is also possible to decide to phase-in random sampling of ex post evaluation selection, including the less overtly "successfully evaluable" projects. This could influence comparability between ex post evaluations over the years. However, the AF-TERG will aim to develop a whole learning set about lasting effects. It could also feed into a discussion on the need for a set of standardized indicators for comparability and comparable methods to aggregate results.

Several hypotheses will be tested after several rounds of ex posts. For example, is funding to NIEs or to MIEs more effective? Is resilience to climate shocks stronger with, say, infrastructure or human-centered design? Are certain kinds of vulnerability more sustainably addressed through building risk diversification? Are adaptive capacities built early on in programming more effective? This also opens learning about how well the Fund has helped build sustained ownership, resources, partnerships, (adaptative) capacities, as well as how well the Fund can benchmark, evaluate and design with national voices leading.

Engaging stakeholders

The ex post process will engage stakeholders, in line with the AF-TERG work principles. The AF-TERG is embracing new approaches for co-creation (cogeneration) of evaluations that will be more responsive to stakeholder wishes. Making adaptations more inclusive and accountable, sharing learnings, and building national evaluator capacities are all aspects of "decolonizing development."

Transparent sharing about project results over time is vital for all stakeholders, from the Fund and implementing entities to national Ministries of various sectors. This can help generate incentives for useful and effective project design, implementation, monitoring, and evaluation.

Sharing lessons across multilateral organizations is equally important. This is rarely done in multilateral development banks (MDBs), apart from the IEG and the Asian Development Bank Independent Evaluation Department (ADB IED). The Fund's ex post work could help refute the dominant view of short-accountability for sustained and resilient results by widely sharing the findings from the ex post fieldwork. Such findings could be critical in highlighting lessons about lasting impacts, especially in the face of climate change threats. For multilateral entities and MDBs, they will also be a vital tool to ground-truth projected sustainability ratings and assumptions about what lasts and for how long.

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Annex A. Background and tasks from the original Terms of Reference

Ex post evaluation background

At the nineteenth meeting (October 2016), the Project and Programme Review Committee (PPRC) of the Board discussed the importance of the follow-up of projects and programmes once they have been completed, including their post-implementation evaluation. Based on the above discussion, The Project and Programme Review Committee (PPRC) decided to:

> *[…]*
>
> *Recommend that the Adaptation Fund Board request the secretariat to propose, at the twentieth meeting of the PPRC options for how post-implementation learning and impact evaluation could be arranged for Adaptation Fund projects and programmes, taking into account on-going discussions on the evaluation function of the Fund.*
>
> *(Recommendation PPRC.19/32, October 2016)*

Having considered the comments, recommendation, and discussions of the PPRC during the meeting, the Adaptation Fund Board decided to request the secretariat to:

> *[….]*
>
> *Propose, at the twentieth meeting of the PPRC, options for how post-implementation learning and impact evaluation could be arranged for Adaptation Fund projects and programmes, taking into account ongoing discussions on the evaluation function of the Adaptation Fund, as well as Phase II of the evaluation.*
>
> *(Decision B.28/32, October 2016)*

Pursuant to the PPRC discussion and Board Decision B.28/32, the secretariat developed a document, which presented three options for how ex post evaluations of Adaptation Fund projects and programmes could be arranged. The three options presented in document were as follows:

> *I. The Evaluation Function of the Adaptation Fund would conduct the ex post assessments.*
>
> *II. The ex post evaluation would be conducted by independent evaluators but selected by the Implementing Entity (IE).*
>
> *III. An external third party selected by the Adaptation Fund could perform the ex post evaluation.*

At the twentieth meeting, the PPRC reviewed the options prepared by the secretariat presented in the document AFB/PPRC.20/30, to arrange post-implementation learning and impact evaluations of Adaptation Fund projects and programmes. Based on the

recommendation of the PPRC, the Board – at its twenty-ninth meeting (March 2017) – decided to request the secretariat:

> *(i) To undertake a revised analysis of the implications of options one and three for the ex post assessment or evaluations of completed projects/programmes, as contained in document AFB/PPRC.20/30, taking into account:*
>
> > *a) The cost-effectiveness of the two options; and*
> >
> > *b) The discussions during the twentieth and twenty-first meetings of the Ethics and Finance Committee on the evaluation function of the Adaptation Fund; and*
>
> *(ii) To present the revised analysis to the Project and Programme Review Committee for its consideration at its twenty-second meeting.*
>
> *(Decision B.29/29, March 2017)*

At the twenty-second meeting of the PPRC (March 2018), the secretariat presented a document showing the cost-effectiveness of the above two options and, budget implications for ex post evaluations included in the indicative three-year evaluation work programme of the Evaluation Framework of the Adaptation Fund (the Fund). Furthermore, the document also presented the revised analysis of the two options, with consideration to the Adaptation Fund Board decision to:

> *[…]*
>
> *Approve the option of re-establishing a long-term evaluation function for the Adaptation Fund through a Technical Evaluation Reference Group (TERG), as described in documents AFB/EFC.20/3 and AFB/EFC.21/4*
>
> *(Decision B.30/38, March 2018)*

Having considered the comments and recommendation of the Project and Programme Review Committee (PPRC) regarding the two options described in document AFB/PPRC.22/26 for conducting ex post evaluations of completed Adaptation Fund projects and programmes, the Board decided:

> *a) To convey the assessment of the two options to the Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG), once it is operational, which will subsequently report to the Board on its preferred option; and*
>
> *b) To request the AF-TERG to take into account the above discussion in the PPRC.*
>
> *(Decision B.31/24, March 2018)*

The discussion is recapped in document AFB/PPRC.22/27, the Report of the twenty-second meeting of the PPRC. One of the elements being that as the AF-TERG would be evaluating projects and programmes (at portfolio level) it should report to the PPRC in addition to the EFC. That part of the recommendation was not taken over by the Board in its decision but is noteworthy.

At its thirtieth meeting the Board decided:

> *a) To approve the option of re-establishing a long-term evaluation function for the Adaptation Fund through a Technical Evaluation Reference Group (TERG), as described in documents AFB/EFC.20/3 and AFB/EFC.21/4;*
>
> *[…]*
>
> *(Decision B.30/38, October 2017)*

To implement the decision above, the secretariat drafted the Terms of Reference of the TERG and shared them with the GEF-IEO and the secretariat of the Global Fund's Technical Evaluation Reference Group, for their inputs and advice.

Having considered the comments and recommendation of the EFC, the Board decided at its thirty-first meeting in March 2018:

> *a) To approve the terms of reference of the Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG) as contained in Annex III to the report of the Board (AFB/B.31/8);*
>
> *b) To approve the amendment to the terms of reference of the Ethics and Finance Committee (EFC) as contained in Annex IV to the report of the Board (AFB/B.31/8);*
>
> *c) To establish the AF-TERG Recruitment Working Group composed of the following Board members and alternates: Mr. Ibila Djibril (Benin, Africa), Mr. Marc-Antoine Martin (France, Annex I Parties), Ms. Barbara Schäfer (Germany, Annex I Parties) and Ms. Margarita Caso (Mexico, Non-Annex I Parties); and*
>
> *d) To request the AF-TERG Recruitment Working Group, with the support of the secretariat, to undertake the necessary arrangements for the recruitment of the AF-TERG chair and four members intersessionally between the thirty-first and thirty-second meetings of the Board and to report back to the EFC at its twenty-third meeting.*
>
> *(Decision B.31/25, March 2018)*

On February 24, 2019, inter-sessional decision B.32-33/15 resulted in the appointment of the first Chair of the Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG).

(Decision B.32-33/15)

At the thirty-fourth Board meeting (October 2019) the manager reported – as noted in meeting report AFB/B.34/20 – that the AF-TERG had completed the selection process for four members and had held their first in-person meeting with the members to discuss the set-up, mandate, communication channels, and expectations. Preliminary work had taken place on the AF-TERG work programme, with a focus on evaluative components and products.

A study on approaches to ex post performance evaluations has been carried out during fiscal year 2020 (FY20), to inform the development of the AF-TERG strategy and work programme, and to be foundational to future AF-TERG work on ex post evaluations.

The first AF-TERG strategy and work programme was presented to the Board intersessionally between the first and second parts of its 35th meeting. Having considered the document AFB/EFC.26.a-26.b/3 and the recommendation by the Ethics and Finance Committee, the Board decided to approve the draft strategy and work programme of the AF-TERG contained in Annex 1 of the document AFB/EFC.26.a-26.b/3.

(Decision B.35.a-35.b/29, April 2020)

The AF-TERG work programme states that a draft ex post guide will be elaborated for field testing during fiscal year 2021 (FY21). The guide will be revised as needed and used for two evaluations per year from FY22 onwards. The AF-TERG will commission one or two ex post evaluations of strategically selected projects that have been completed three to five years before, that would provide learning on climate change actions and accountability of results financed by the Fund.

Rationale and tasks

Rationale

The rationale for ex post evaluations is that the Fund wants to know whether its desired impact is (expected to be) achieved, being aware that adaptation takes time to resolve and often will only be visible years after projects were completed. Is adaptive capacity enhanced, resilience strengthened and the vulnerability of people, livelihoods and ecosystems to climate change reduced? And with longer-term impact, is there sustainability? What has remained and what has perhaps disappeared, and can drivers of sustainability be identified?

Based on the work conducted by the AF-TERG regarding the review of ex post evaluation methods and the evaluability of Fund-supported projects conducted in FY20, the AF-TERG will continue the work in three phases:

Phase one will develop a framework to conduct ex post evaluations and a shortlist of up to five completed projects as pilots for ex post evaluation.

Phase two will test methods in at least two pilots.

Phase three will continue ex post evaluations over time, and related capacity building of evaluators, feeding into ex post evaluation informed adjustments within the Fund.

These specific terms of reference relate to **the first phase** detailed further below.

Tasks

With the aim of arriving at a Fund-specific framework for conducting ex post evaluations, this first phase is a continuation to the ex post evaluation study and the evaluability assessment, which took place in FY20. Following the ex post study and evaluability assessment, the consultant will further review/narrow down the array of possible ex post evaluation methods:

- Evaluability assessment: follow up on the findings of the evaluability assessment on long-term evaluability, exit strategies, and post-completion ownership, as well as other evaluability assessment findings with an indirect effect on ex post evaluability, e.g. limited detail on intervention logic, poorly defined results and indicators, a predominant focus on outputs rather than outcomes or impact, non-existent baselines, and limited scope for disaggregated/granular data
- Ex post evaluability: review other ex post evaluability indicators that were not part of the evaluability assessment, including being an organizational/partner (especially country Ministry) learning priority, methodological data access, quality, and selection criteria of projects, including at a minimum three years' completion, a minimum of three years' implementation, contribution of project results that can be isolated, etc. Not limited to, but other indicators could include:
  - Lead by national implementing entity (NIE) vs. multilateral implementing entity (MIE), taking into account that many of the first projects were MIE-implemented
  - Focused on Adaptation Fund priority sectors as per the ex post study report: water management, rural development, disaster risk reduction, and/or agriculture
  - Geographical spread: Asia-Pacific, Africa, and Latin America featuring the most Adaptation Fund-supported projects to date
  - Implementing entity vs. executing entity transparency of MEL and access to stakeholders for the ex post evaluation.
- The consultant could do a sensitivity analysis of what the unit of account should be and discuss different units. Sometimes a single Fund-supported project would not show long-term impacts so a set of related projects (e.g. around a priority sector, an ecosystem, landscapes, seascapes or a region) may be a better approach. There may a need in some cases to go into partnerships with other funders. Another question is whether all Fund projects should eventually be evaluated ex post or whether a (purposive/stratified) sample of projects would make sense.
- Departing from the results of the earlier ex post study, develop a framework to guide ex post evaluation for Fund-supported projects, and that should be tested as part of the pilots to take place in Phase two, among others:

- Verify that the expected results, particularly those that are long-term outcome and impact, are achieved or progressing towards.
- Further understand the concept of contribution by the Fund to these results.
- Seeing what "emerged" ex post, including local adaptations to funding, design, implementation that make activities locally and regionally sustainable as well as unexpected outcomes and even impacts.
- Going beyond the above, aim to identify "how" and "why" certain change – for both human and natural systems – did or did not take place.
- What are the key challenges / risks of doing ex post evaluations? And how to deal with them?
- Determine clear and strategic selection criteria on which projects should be considered for ex post evaluation. What is it we hope to learn?

By the end of this phase, a framework should present what to evaluate ex post, and guidance on how to do it. The framework should take into account the Fund's three strategic pillars of 1) action, 2) innovation, and 3) learning and sharing and desired impact as phrased in the rationale. The framework should also explain how the guidance fits the broad range of projects the Fund supports. By the end of this phase at least two completed projects have been selected as pilot projects for testing the broad framework for conducting ex post evaluations with clear justification for method selection, for project selection and guidance including conditions necessary for evaluability pre- and during the ex post.

Presentation/discussion to the TTL and feedback to us, e.g. methods and sensitivity analysis then twice-weekly check-in re: preliminary findings.

Issues to be clarified as part of this first phase are structured around use-seeking approaches:

- Target project and sites and use of national evaluators especially during Covid-19 pandemic restrictions
- Shared understanding of definitions of sustainability and impact, including "how long?"
- Questions around methods and project selection
- Evaluation of natural systems sustainability linked to the "for how long", above, is explored in the secondary literature
- The degree to which the adaptations to any external shocks were documented in the project reports
- Finding a meaningful balance between the process of developing a framework for conducting ex post evaluations and corresponding report to the AF-TERG on the framework for conducting ex post evaluations, ie. process vs. product as deliverable.

Presentation to AF-TERG members and/or findings discussions with relevant AF-TERG members, pre-presentation of final report or as needed.

Note that the AF-TERG has developed a set of ten work principles to guide the work of the AF-TERG, including the work that it commissions, presented on the next page. The consultant will ensure that these principles are followed in the processes and products, especially those principles that focus on co-learning and cogeneration of knowledge.

Deliverable Phase one: The process of developing a framework and report on the framework for conducting ex post evaluations, outlining ex post selection criteria and evaluation prospects for additional Fund-related concepts (such as evaluating the sustainability of natural systems, monitoring adaptation during implementation, for instance) currently missing from ex post literature, and guidance on how we evaluate.

Propose a shortlist of up to five completed projects as pilots for ex post evaluation, based on transparent selection criteria and consultations with relevant stakeholders.

Annex B. Considerations for Phases two and three

To be revisited after first round of ex post evaluations

Additional topics to be covered in Phase two or, at the latest, Phase three:

Ex post design:

- elements that need to be considered as part of future ex post evaluations, and that should be tested as part of the pilots, with further revisions planned once more complex projects become evaluable in later years, including those w/more human+ natural systems
- lessons on methods, e.g. to possibly randomly sample all completed projects irrespective of project quality or data availability and test Outcome Harvesting
- lessons about the evaluative process and tools including what needs adapting for Phase two (the second tranche of ex posts in other sectors, geographies, needing different tools, potentially, or piloting new ex post evaluation methods e.g. Andy Rowe's rapid impact evaluation)
- lessons in later iterations of ex posts where evaluators will aim to capture the "systemic change", the changes within the larger systems, and/or the ways in which the intervention touched on, influenced, or otherwise engaged with larger systems (and other actors)
- lessons about evaluating adaptation/ resilience of natural systems, including tools to evaluate ex post based on ecosystem
- lessons about decolonizing development by using national evaluators, building national capacity to conduct and retain knowledge and data from such evaluations in local institutions.

Dissemination/ MEL Learning:

- audience and learning uptake from the process of winnowing (to inform MEL of Phase three)
- learning from the pilot ex posts including stakeholders about the funding and the project cycle preparedness for sustainability
- learning about comparability of indicators across the portfolio and possibly changes to guidance such as mandatory Theories of Change/Sustainability, unified indicators, etc.
- innovative feedback to the Fund on actual sustainability vis-à-vis projected sustainability ratings
- implications for Fund investments and partnerships and industry learning including the Fund championing a learning/sharing culture on how to fund/design sustainable, resilient projects through knowledge sharing including annual report and workshop for Board members

- fit with the AF-TERG principles for evaluator guidance Principles of AF-TERG, and ex post principles of engaging, meaningful, and grounded (such as participatory, evidence-based, and user-driven) including the AF-TERG Theory of Change.

Annex C. Completed projects portfolio

The Phase one study focused on the subset of evaluated projects in the Fund portfolio comprising 118 projects. As of March 2021, 21 projects had completed implementation, out of which 17 had received a final evaluation. The main characteristics of completed projects are noted below:

- 19 of completed projects were implemented by multilateral implementing entities (MIEs), among which 12 were implemented by the United Nations Development Programme (UNDP), and another four by the United Nations Environment Programme (UNEP) and the World Food Programme (WFP).
- A final evaluation was received for 17 of the completed projects.
- Most were implemented in Asia (eight) and Latin America and the Caribbean (six) regions; had a duration of four years (10) or more (10); and were evaluated within the last three years (five in 2019; four in 2018).
- Most projects were water management or disaster risk reduction (DRR) projects. The remainder were mostly focused on food security and rural development, although this was not an overt (B3) screen of variety cross-sectorally.
- All projects had undergone an Evaluability Analysis based on proposals, PPR analysis and final evaluation analysis when available. This included M&E data in Phase zero's Evaluability Assessment, which proved invaluable in Phase one.
- Two projects were implemented by national implementing entities (NIEs).

Table B.1: Completed projects in the Adaptation Fund portfolio

Fund-ID	Country	IE	Start	Completion	Yrs.	Grant	Sector	FE
SEN/NIE/Coastal/2015/x	Senegal	CSE (NIE)*	1/21/2011	11/1/2014	3	$8,619,000	Coastal Management	Y
NCA/MIE/Water/2010/1	Nicaragua	UNDP	6/23/2011	5/29/2015	4	$5,500,950	Water Management	Y
SLB/MIE/Food/2010/1	Solomon Islands	UNDP	6/28/2011	6/28/2015	4	$5,533,500	Urban Development	Y
PAK/MIE/DRR/2010/1	Pakistan	UNDP	11/15/2011	11/30/2015	4	$3,906,000	Disaster Risk Reduction	Y
MDV/MIE/Water/2010/6	Maldives	UNDP	6/20/2012	6/20/2016	4	$8,989,225	Water Management	Y
HND/MIE/Water/2010/4	Honduras	UNDP	6/27/2011	6/27/2016	5	$5,620,300	Water Management	Y
GEO/MIE/DRR/2010/1	Georgia	UNDP	7/4/2012	7/4/2016	4	$5,316,500	Water Management	Y
PNG/MIE/DRR/2010/1	Papua New Guinea	UNDP	7/26/2012	7/26/2016	4	$6,530,373	Disaster Risk Reduction	N
SAM/MIE/Multi/2011/1/PD	Samoa	UNDP	1/28/2013	06/30/2018	4	$8,732,351	Multisector Projects	Y
TKM/MIE/Water/2011/1	Turkmenistan	UNDP	5/22/2012	5/22/2017	5	$2,929,500	Water Management	Y
COK/MIE/Multi/2011/1/PD	Cook Islands	UNDP	7/4/2012	7/4/2017	5	$5,381,600	Disaster Risk Reduction	Y
DJI/MIE/Agri/2011/1-X	Djibouti	UNDP	3/13/2013	3/13/2018	5	$4,658,556	Agriculture	Y
ECU/MIE/Food/2010/1	Ecuador	WFP	11/29/2011	6/15/2018	5	$7,449,468	Multisector Projects	Y
ARG/NIE/Agri/2011/1	Argentina	UPRCA (NIE)*	10/24/2013	12/31/2018	5	$5,640,000	Agriculture	Y
GTM/MIE/Rural/2010/1	Guatemala	UNDP	2/7/2015	2/7/2019	4	$5,425,000	Rural Development	Y
TZA/MIE/Coastal/2010/1	Tanzania	UNEP	10/29/2012	3/30/2019	5	$5,008,564	Coastal Management	Y
MDG/MIE/Agri/2010/1	Madagascar	UNEP	10/24/2012	6/30/2019	5	$5,104,925	Agriculture	N
MMR/MIE/Rural/2011/1	Myanmar	UNDP	9/25/2015	6/30/2019	4	$7,909,026	Rural Development	Y
MTN/MIE/Food/2011/1/PD	Mauritania	WFP	8/14/2014	9/15/2019	4	$7,803,605	Food Security	Y
COL/MIE/DRR/2011/1	Colombia	UNDP	3/21/2013	1/31/2020	5	$8,518,307	Disaster Risk Reduction	N
MUS/MIE/Coastal /2010/2	Mauritius	UNDP	8/30/2012	10/30/2020	5	$9,119,240	Coastal Management	N

Note: CSE = Centre de Suivi Ecologique; IE = Implementing Entity; NIE = National Implementing Entity; FE = Final evaluation; UNDP = United Nations Development Programme; UNEP = United Nations Environment Programme; UPRCA = Unidad Para Cambio Rural Argentina; WFP = World Food Programme.

Annex D. AF-TERG ex post project evaluation screening criteria

The current universe of 17 completed projects with final evaluations[7] will be screened by:

A. Evaluability: Criteria based on the (ex post) evaluability of the project

B. Portfolio: Criteria based on aspects of the project representing the Adaptation Fund Portfolio

(**Purple:** primary - must have; **Pink:** Fund consideration, if possible; **Blue:** use of proxy indicators)

	CRITERIA in order of importance to ex post Evaluation	INDICATORS/SUB-CRITERIA & Sources
A1	**Time Passed (a) and Timing:** This refers to project duration, time passed since completion, and seasonal timing for evaluation. At least three years must have passed since final evaluation completion. Each project should also have a duration of at least four years of implementation (with a FE and PPR). While large projects can be remembered up to 30 years later, it's easier for stakeholders to remember projects completed within five years. To capture lessons of sustainability with rural stakeholders whose lives and livelihoods are at risk, it is important to mirror the seasonal timing of the ex post to final evaluation. If these mandatory conditions were met, then an additional criterion could be strategic (such as piggybacking on a forthcoming thematic evaluation) or fortuitous (if a unique learning opportunity presents itself, e.g. informing design for imminent replication).	• Final evaluation completed ≥ 3 years *Source:* Final evaluation • 4+ year length project *Source:* Portfolio, project documentation, PPR • Completion < 5 years *Source:* Portfolio, project documentation • Fieldwork months/ seasons to mirror Final Evaluation *Source:* Final evaluation • Fortuitous learning opportunity. *Source:* Partner discussions
A2	**Methodological feasibility:** This criterion includes M&E data at end of project, particularly quantitative outcomes and/or impacts data. It also includes any post-monitoring and some identification of the project being "locally owned"; resources, capacities, partnerships and how they would be affected post-closeout and how the project addressed exit strategy planning, sustainability and/or risk management plans; and information that would enable access to past participants, partners, other stakeholders. In addition, it includes another key determinate: the potential for stakeholder engagement to obtain evidence of outcomes and impacts. This means it will be critical to have committed leadership, shared interests, and clarity on purpose in conducting an ex post evaluation by all stakeholders, including indications of contact data of those evaluated to whom the evaluator(s) can return.	• Overall data quality *Source:* EA study • Outcome data, and ideally impact data and post-monitoring, and sustainability planning *Source:* Final evaluation, PPR • Local ownership, tracking exit readiness re: resources, partnerships, capacities, risk mgmt. *Source:* Final evaluation, discussion with TTL/ project manager, shortlisted MIE/NIE/IE • Complemented by stakeholder engagement during project implementation and ex post plans *Source:* MTR and final evaluations and discussions with shortlisted • Achievement of outcomes analysis and rating *Source:* Final evaluation, Evaluation synthesis, PPR • Sustainability analysis and rating *Source:* Final evaluation, Evaluation synthesis

continued

7. Senegal (11.2014) Nicaragua (05.2015) Solomon Islands (06.2015) Pakistan (11.2015) Honduras (06.2016) Maldives (06.2016) Georgia (07.2016) Samoa (01.2017) Turkmenistan (05.2017) Cook Islands (07.2017) Djibouti (03.2018) Ecuador (06.2018) Argentina (12.2018) Guatemala (02.2019) Tanzania (03.2019) Myanmar (06.2019) Mauritania (09.2019)
Note: These countries had no final evaluations so were not methodologically evaluable: Papua New Guinea (07.2016) Madagascar (06.2019) Mauritius 10.2020) Colombia (01.2020)

A2 (a)	**Project quality at completion:** This criterion includes quality of the project and level of outcome achievement at completion, and rating of likely sustainability. The projects that show likely sustainability are selected for lessons about why some outcomes were sustained and/or resilient to shocks. In early years of ex posts where the emphasis is on the evaluative process, selection of the most successful projects in terms of implementation is based on final evaluation/PPR. In later years, this criterion will drop off, where the whole portfolio of possible ex post country selections could be included. That is because what emerged to sustain outcomes and impacts through local efforts could appear even in otherwise unlikely-to-be-sustained-projections of "unsuccessful" projects rated so at final evaluation.	• Achievement of outcomes analysis and rating *Source:* Final evaluation, Evaluation synthesis, PPR • Sustainability analysis and rating *Source:* Final evaluation, Evaluation synthesis
A3	**Safety:** There must be sufficient personal safety (unrest) and safety in relation to the COVID-19 pandemic (health) for the evaluation team to conduct their analysis. The safety of our national evaluators and their respondents is key. Tracking the risk levels of various ex post case countries will determine their priority. Risks to personal safety endanger the lives of those engaged and the quality of the ex post evaluation. Some contingencies could be planned regarding safe interviews (social distancing, masks, sanitizer access, or even virtual interviews). But if this is not possible, and it would influence fieldwork respondent access and data access during the pandemic, then, were there not better candidates, that country could be a later ex post.	• Travel advisory website(s)
A4	**Financial and technical feasibility and organizational commitment:** Sufficient funding and technical inputs will need to be available for ex post evaluations including fieldwork. This will be considered after shortlisting four to six countries. This may also include willingness of MIE/NIE and IEs to engage in evaluation and learning, and seconding their own staff to the effort, especially those originally engaged in the project to accompany the team. It also includes the quality of available local evaluators in COVID-19-affected times. Additionally, a consideration is how much donors are interested to boost use of findings, especially in early ex post years at the Fund. This is a secondary concern since it will apply to a shortlist of projects who have met the primary requirements. Also, whether the ex post evaluation can be part of a larger thematic or regional assessment already underway/ planned could be considered.	• Engagement of national stakeholders in sustainability, including indications of financial outlays pre-completion which also could inform organizational commitment and methodological access to stakeholders after project completion *Source:* Final evaluation, PPR • Financing available at the AF-TERG for ex post that may limit some cases, e.g. isolated, few evaluators. *Source:* Discussions with the AFB secretariat • Discussions with shortlisted MIE/NIE/IE
B1	**Diversity of stakeholders, partnerships, and implementing entity:** The screening process for determining which projects to evaluate will ensure (in time) a mix of MIEs, NIEs, and executing entities. Comparison of outcomes and sustainability by MIEs and NIEs, and exploration of the direct financing model of the Fund, may be explored once a larger pool and more ex posts are done. The ex post evaluation process requires access to a wide and representative variety of stakeholder interests and viewpoints. These include other stakeholder groups, such as Indigenous people and women (and in light of the Fund's gender policy). It should examine who is involved in the design, implementation, and execution of the project, and what unique aspects of their involvement may affect project outcomes and sustainability.	• Entity responsible for implementation (MIE or NIE): *Source:* PPR • Involvement of stakeholders in design, MEL, implementation *Source:* Final evaluation, MTR, EA Study • Participation of women/ youth *Source:* EA study, Final evaluation, MTR • Gender discussed in final evaluation *Source:* Final evaluation, Evaluation synthesis

continued

Note: DRM = disaster risk management; DRR = disaster risk reduction; EA = Evaluability assessment (Internal AF-TERG study); FE = final evaluation; MTR = mid-term review; TTL = Task Team Leader; PPR = Project performance report.

B2	**Variety of geography:** The Fund project portfolio covers the five major regions of the world and includes projects in 75 countries. The majority are in Africa (37) and the Asia-Pacific region (35); Latin America and the Caribbean (27) and Eastern Europe (6); and two multi-regional. In this subset of 20 currently evaluable projects, Africa, Central/Latin America, and the Pacific Islands are well-represented. The selection process will ensure variety of geographical foci in the interest of representation and learning what regional, national, and local – including ecological – factors may affect the relative sustainability of projects ex post.	• Geographic area, ecosystem / biome *Source:* Portfolio / project documents
B3	**Variety in (multi-/cross-) sectors:** Fund projects cover nine sectors that address land (agriculture, food security and livelihoods affected by drought), and water (coastal and glacier flooding), including DRR/DRM. All projects address one of the main sectors but most also address a secondary sector by nature of how they are designed. Screening will focus on the bigger sub-sectors (agriculture, food security, DRR, rural development, water management; this list is subject to updates as the portfolio evolves). It will also focus on projects that typically make up the portfolio, including examining if certain sectors that were big in the past are not as helpful in learning for the current portfolio. Projects will later be chosen for ex post evaluation based on a variety of sector representation – which may or may not always be proportional to the portfolio overall.	• Sector: Agriculture, Food Security, DRR, Rural Development and Water Management, etc. *Source:* Portfolio

Note: DRM = disaster risk management; DRR = disaster risk reduction; EA = Evaluability assessment (Internal AF-TERG study); FE = final evaluation; MTR = mid-term review; TTL = Task Team Leader; PPR = Project performance report.

Annex E. Application of ex post evaluability criteria

The ex post evaluability criteria have been applied on the five shortlisted projects.

- **Argentina** (12.2018)[8]
- **Myanmar** (06.2019)
- **Mauritania** (09.2019)
- **Ecuador** (06.2018)
- **Samoa** (06.2018)

Considering the timing, methodological feasibility, and evaluation feasibility, Mauritania and Argentina were regarded as the strongest candidates of the five selected projects (with the caveat that an evaluation would only be possible when the COVID-19 situation improves in Argentina).

a) Mauritania: Sufficiently safe to evaluate

Currently, the only country with a sufficiently COVID-19 safe rating is Mauritania. There are data quality issues. However, the evaluation could deal with them through a combination of Sustained and Emerging Impacts Evaluation and Contribution Analysis. Its rating summary is robust enough to do a good ex post evaluation. Table E1 illustrates Mauritania's rankings[9] and Table E4.1 describes the evidence behind the rankings. At endline, Mauritania showed good local ownership, evidence of partnerships and some scale-up of activities, which indicate good prospects for longer-term sustainability. Findings are mixed in terms of project quality and capacities built, and the resources all stakeholders marshalled to sustain activities and results. However, there was some evidence of exit and post-monitoring planning.

Table E1: Ex post evaluability ratings criteria for Mauritania

GO	Criteria		MAYBE	Criteria		NO	Criteria
	A1 timing A2 c ownership A2 c partnerships A2 c scale-up			A2 a project quality A2 c resources A2 c capacities A2 c exit A2 c post-monitoring A3 safety			A2 b data quality

The country selection will be revisited to see if another candidate project qualifies for field evaluation.

8. Dates of project completion into brackets.
9. Tables E1 and E2 illustrate the evaluability ranking for mandatory and desk-based criteria only.

b) Argentina: Evaluable only when the COVID-19 highest risk situation improves

For contrast, the ideal project (country) would have been Argentina (Table E2). However, given the COVID-19 pandemic, this is not yet possible. For instance, both the project quality below is higher, and the evaluation demonstrates capacity built to sustain results as well as evidence of scaling up at project end.

Table E2: Ex post evaluability ratings criteria for Argentina

GO	Criteria		MAYBE	Criteria		NO	Criteria
	A1 timing A2 a project quality A2 c partnerships A2 c capacities A2 c scale-up			A2 b data quality A2 c ownership A2 c resources			A3 safety

c) Other countries: Myanmar, Ecuador, Samoa?

The other countries, Myanmar and Ecuador, are also currently unevaluable because of COVID-19. Samoa is a good alternative given the COVID-19 safe situation:

- Myanmar: Only when the security highest risk and COVID-19 highest risk situations improve.
- Ecuador: Only when the COVID-19 highest risk situation improves.
- Samoa: Compared to other countries, Samoa was not given priority for the first round of ex post evaluations owing to moderate M&E evaluability. However, it is a good candidate for field evaluation given the COVID-19 safe situation and interesting aspects for the piloting of resilience.

Irrespective of the COVID-19 situation, other projects were not considered for the pilot for the following reasons:

Table E3: Key ex post evaluability criteria applied to completed projects

Timing (duration or completion) and data quality insufficient:			Unmatched seasonality
A1a: Less than two years, or without a final evaluation	**A1a: Six or more years (too long to return given shorter institutional memory)**	**A2a & b: Data quality may be insufficient for ex post evaluation and project quality in question to foster sustainability**	**A1c: Seasonality does not match ex post summer 2021 but could be evaluable in later years**
Papua New Guinea (07.2016) Madagascar (06.2019) Colombia (01.2020) Mauritius (10.2020)	Senegal (11.2014) Nicaragua (05.2015) Solomon Islands (06.2015) Pakistan (11.2015)		
		Djibouti (03.2018) Georgia (07.2016) Guatemala (02.2019) Honduras (06.2016) Maldives (06.2016) Nicaragua (05.2015) Solomon Islands (06.2015) Cook Islands (07.2017) Turkmenistan (05.2017)	
			Georgia (07.2016) Honduras (06.2016) Maldives (06.2016) Guatemala (02.2019) Tanzania (03.2019)

The pilot case selections might need to be reprioritized before field work depending on the COVID-19 situation. The tables below give an overview of the shortlisted countries ratings and rationale behind shortlisting for the piloting of ex post evaluation.

Table E4: Ratings and rationale for selection for Mauritania, Argentina, Myanmar, Ecuador, and Samoa

1. Mauritania ratings

Project: Enhancing the resilience of communities and their food security to adverse effects of climate change in Mauritania (PARSACC)

Ratings summary:

GO	Criteria		MAYBE	Criteria		NO	Criteria
	A1 timing A2 c ownership A2 c partnerships A2 c scale-up			A2 a project quality A2 c resources A2 c capacities A2 c exit A2 c post-monitoring A3 safety			A2 b data quality

Rationale:

Stoplight	Criteria		Justification (source: Final evaluations, EA study and PPR)
GO	A1	Timing	**a) Project completion:** August 2019 (2 years ago) **b) Duration:** 4 years (8/14/2014 to 8/13/2019) **c) Final evaluation:** publication in September 2019 (2 years) **d) Seasonality:** fieldwork between July and September
	A2	Methodological feasibility	**c) Ownership:** The project was part of a national plan, which was implemented locally via the development of strong partnerships with ministries of environment, nature, planning and four regional directorates with advisers from UN (incl. WFP, GIZ, civil society). As one important achievement, the project developed community social capital, which resulted in (i) the creation of 85 local committees and training of their members; and (ii) the strong involvement of the populations following their active participation throughout the project cycle (design, coordination, execution, and M&E).
			c) Partnerships: The implementation developed strategic partnerships. Activities' operationalization and execution are based on partners' missions and comparative advantages of the institutions and the search for synergies and complementarities. **c) Replication/scale-up:** Parts of the projects were replicated in another project in the same region. The new "Development of an Improved and Innovative Management System for Climate Change Resilient Livelihoods in Mauritania-DIMS" project, which started in 2018, was strongly inspired by PARSACC and relied on the same regional teams. The project also has a communication, knowledge and sharing plan and contact information for staff affiliated in the PPR.
MAYBE	A2	Methodological feasibility	**a) Project quality:** Final evaluation rated achievement of outcomes "moderately satisfactory" and did not rate sustainability of outcomes. The project produced tangible outputs and some outcomes. Several activities were good options for climate change adaptation, including restoration of degraded soils and development of sustainable agricultural practices; reforestation; and protection of crops and plant species. It should allow the reconstitution of woody formations limiting wind erosion, reduce soil and nutrients loss; and increase plant diversity and cover, organic matter, and soil moisture. Some outputs could also be found on food production, income from sale, cost of water, dune fixation, hectares treated in CES, etc.; and the project has supported initiatives to improve the conservation of natural resources in the territories of the 85 villages of the eight most vulnerable Wilayas in the South and South-East of the country. There was, however, varied success by activities and percentage of villages, e.g. market gardens, water, reforestation, shops, poultry were successful, while beekeeping and water conservation and traditional poultry were not. Final evaluation did not clearly assess the sustainability of outcomes (i.e. no likelihood or comprehensive description of risks). The report shows that many factors favour the sustainability of the project (some capacity building, infrastructures), yet is weakened by others (poor institutionalization of some activities, limited results of some activities inc. capacity building). There is a need to institutionalize involvement and to consolidate activities.

continued

MAYBE	**A2**	Methodological feasibility	**c) Resources:** Some management committees are dynamic and take ownership of project achievements. They have financial management tools and decide on the use of the resources generated. Certain infrastructures such as grain mills, boreholes and wells, community shops, market gardening or defence, have social and economic viability. However, permanent structures of the State (other ministries) are weak and lack financial and material resources to take over the project interventions. One of the weak points of PARSACC is also the uncertainty linked to the sustainability of the whole process. Many fixes are recommended in consolidation follow-on project. **c) Capacities:** The project has contributed positively to decentralization through institutional and logistical support, capacity building of regional and local actors, and the approach of empowering regional and local actors. It was built on other NRM projects and focused on the creation of capacity for the implementation of adaptation action plans in 85 villages. Although the commitment and support of government structures were satisfactory at the start of the project, the mobility of regional delegates and the limited regional capacities is still a serious issue. The design and geography of the project is too widespread and too few staff were sufficiently engaged in implementation to keep up sustainability. Activities need consolidation and the involvement of beneficiaries must be institutionalized, as unfinished activities can affect the impact on empowerment of groups. **c) Exit readiness:** The project exit has not been formulated and should be carefully managed for sustainability, as the final evaluation mentions constraints for sustainability such as limited regional capacities. The results of some activities will only be visible a few years after completion, as they were not completely finalized during final evaluation. **c) Post-completion monitoring:** Final evaluation recommends the development and implementation of a second phase of project consolidation dedicated to the consolidation and capitalization of achievements. Long-term monitoring will depend on uptake by local institutions and is strongly linked to maintaining the stability and motivation of the institutions involved in data monitoring.
	A3	Safe evaluation	**b) COVID-19: moderately safe evaluation:** https://wwwnc.cdc.gov/travel/notices/COVID-2/coronavirus-mauritania
NO	**A2**	Methodological feasibility	**b) Data quality:** The project presents no target or baseline (delay of one year). There is no identification of results level and the project logic is not clearly presented. As such, it is difficult to understand the impact of the project beyond the activity progress. There are some tangible outputs and some outcomes e.g. food production, income from sale, cost of water; however, the impact assessment is very weak and is limited to the contribution to food security, or to improvement of living conditions from increased standard of living and income generation. Final evaluation stated that not all activities were monitored, and most of the data collected was about the financial monitoring and physical achievements of the project. Ecological and impact monitoring was not satisfactory despite some tangible outputs (dune fixation, hectares treated in CES, soil conservation, fruit tree plantations, etc. Moreover, the project was mostly evaluated through qualitative assessments. There were many general statements and the "capacity development and cohesion" results are unquantified. Gender results are general findings.
To consider for future ex posts	**B1**	**Diversity of IE**	MIE (WFP)
	B1	**Stakeholder diversity**	**Gender:** 50-95 per cent of participants = women: unpaid women seasonal workers affected
	B2	**Vari**ety of geog**raphy**	Africa
	B3	Variety in cross-sector	Food security

Note: CES = Conservation des eaux et des sols (Fr.), water and soil conservation; NRM = natural resource management.

2. Argentina ratings

Project: Enhancing the Adaptive Capacity and Increasing Resilience of Small-size Agriculture Producers of the Northeast of Argentina

Ratings summary:

	Criteria			Criteria			Criteria
GO	**A1 timing** **A2 a project quality** **A2 c partnerships** **A2 c capacities** **A2 c scale-up**		**MAYBE**	**A2 b data quality** **A2 c ownership** **A2 c resources**		**NO**	**A3 safety**

Rationale:

Stoplight	Criteria		Justification (source: Final evaluations, EA study and PPR)
GO	**A1**	Timing	**a) Completion:** project completed in December 2018 (3 years ago) **b) Duration:** 5 years (10/24/2013 to 12/31/2018); **c) Final evaluation: p**ublication in May 2019 (2 years) **d) Seasonality:** field work between January and May
	A2	Methodological feasibility	**a) Project quality:** Final evaluation rated achievement of outcomes "satisfactory" and sustainability of outcomes "moderately likely"; FE rated the project's sustainability "moderately likely". The project managed to build and improve concrete infrastructures i.e. installation of new stations, improvement of preexisting ones, integration with provincial networks, and training of officials, which will allow better monitoring of risks. The executing parties really made the project their own; knowledge and capacities were passed on; institutional networks were created, strengthened, and consolidated; and legal breakthroughs were made that will consolidate the results obtained in the long term. Positive impacts were detected, despite negative external factors (worsening of extreme climate events in intervention area and increase in poverty) contrasting against the project's positive result. The project was very effective for the prevention and adaptation to risks of water stress but not in terms of water excess (unusual in the area and could only be faced in the short term with large-sized infrastructure works). However, the project reached new beneficiaries through works in public institutions such as rural schools and childcare providers, not provided for in the original design. Overall, the project was effective in delivering the different outputs; any outputs not reached was mostly because of restructuring. The project attained 90 per cent of the proposed goal; most of the anticipated goals of subcomponents/outcomes were achieved and surpassed. According to the MTR, the deployed methodologies (based on self-building and training for local producers and technicians) and the technologies used (adapted to the territorial socioeconomic reality, developed, and transferred by public bodies and with great facilities for their replica) suggest a high sustainability for most of the work lines. Risks to sustainability of the project are more external (NIE reaccreditation, unfavourable socioeconomic climate) than internal to the project.

continued

GO	**A2**	Methodological feasibility	**c) Partnerships:** Activities were built on an extensive network of actors (public and private) and the project involved many stakeholders through information sharing built into design, implementation and monitoring. These stakeholders were also incorporated into the project's MTR and final evaluation. The use of the skills, experience, and knowledge of the executing entities, NGOs and producers, insurance companies, universities, and municipalities was key to achieving a successful design and implementation. **c) Capacities:** UCAR/DIPROSE consolidated its capacity to implement adaptation projects with international funds. In general, knowledge and capacities were passed on; institutional networks were created, strengthened, and consolidated; and legal breakthroughs were made that will consolidate the results obtained in the long term. The final evaluation highlights the achievement of a better capacity for monitoring and evaluating climate change and variability through the installation of new climate stations, improvement of preexisting ones, integration with provincial networks, and the training carried out. **c) Replication and scale-up:** Activities were incorporated in State agencies, and a series of initiatives was launched in the last year to pick up and multiply the actions of adaptation to climate change already begun. Most innovations developed and adapted by the project have reached other regions of the country as they are in the hands of national public agencies. Legal breakthroughs were also made that will consolidate the results obtained in the long term. There was a high replication capacity presented by the project's broad territorial presence, and incorporation of local knowledge for the execution of the works. According to the final evaluation, there is a good replication capacity and parts have already been replicated in other regions. A second Fund project was also implemented in Argentina.
MAYBE	**A2**	Methodological feasibility	**b) Data quality:** The M&E system was implemented, and it is clear there was a systematic data collection from the references and the evidence presented in the analysis. Indicators are SMART with baseline data (though mostly qualitative); however, indicators for outcomes are not accurate enough and leave too much room for interpretation. This might explain why project achievement is occasionally unclear with regards to the level of results i.e. unclear identification of output/outcomes and respondents were purposively, not randomly chosen. The project provides however a detailed Logframe/Theory of Change, including five (intermediate) outcomes with targets at five human systems and one natural system. From an evaluability perspective, the proposal clearly defines interest groups and has direct beneficiary involvement in MEL. The final evaluation is a useful resource: it assesses the contribution of project outcomes to Fund objectives (alignment with the Fund's strategic framework), and it assesses many reporting dimensions in detail (e.g. likelihood and sustainability risks per component and per type of risk, and including alignment with national frameworks).
	A2	Methodological feasibility	**c) Ownership:** The final evaluation highlighted many signs of ownership in the country. The project was built on a broad and consolidated network of public and private actors and has a high degree of ownership shown by the public agencies involved (inc. matching funding by an actual matching contribution by the Secretariat of Agroindustry, the INTA, the producers and small-scale producers' organizations which took part in the construction works on-farm, the INTI, the Ministry of Production of the Province of Corrientes, and the DIPROSE, providing technical assistance and support). In one weakness, formulation failed to include a representative sample of small-scale family producers, which subsequently proved to be a real deficit. However, the insights of small-scale producers from the intervention area were considered more and more, particularly the opinion of the most vulnerable.
	A2	Methodological feasibility	**c) Resources:** Activities were incorporated in State agencies, but sustainability could be enhanced if the socioeconomic climate was more favourable; an unfavourable socioeconomic climate will undoubtedly put at risk the adaptive capacity of the most vulnerable producers and the ability of State actors to continue their usual tasks as a result of budgetary adjustments. One major problem is also the loss of a national entity accredited with the Fund and with the GCF. Some activities are more at risk than others e.g. the transfer of risks, which cannot be implemented without the State subsidizing the policy; the incoming administration did not agree on keeping this commitment.

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NO	**A3**		**A3:** Unsafe Evaluation: Level 4 COVID-19 Travel Advisory: https://wwwnc.cdc.gov/travel/notices/COVID-4/coronavirus-argentina
To consider for future ex posts	**B1**	Diversity of IE	**B1:** NIE (Unidad Para Cambio Rural Argentina / DIPROSE: General Directorate of Sectoral and Special Programs and Projects) **EE:** Consolidated network of public and private actors (ministries, provinces, municipalities, organizations, universities, trade associations and business organizations)
	B1	Stakeholder diversity	Gender: From formulation, gender approach was mainstreamed into project objectives. The diagnosis included in the project document provides information on the diversity of tasks and roles in the intervention area according to sex. It also includes gender goals to guarantee equitable participation of both sexes in the various activities and expected benefits of the project. Also 17.55 per cent of the project's target population is represented by Indigenous people. Youth: Data is disaggregated by "young population", which is great for sustainability of trainings, for instance. Interesting innovation: The insurance pilot plan for sheltered horticulture represented a true innovation.
	B2	**Variety of geography**	Latin America and Caribbean
	B3	**Variety in cross-sector**	Agriculture

Note: DIPROSE = General Directorate of Sectoral and Special Programs and Projects; GCF = Green Climate Funds; INTA = Instituto Nacional de Tecnología Industrial (Es.), National Institute of Industrial Technology; INTI = Instituto Nacional de Tecnología Industrial (Es.); National Institute of Industrial Technology; UCAR = Unit for Rural Change; MTR = mid-term review.

3. Myanmar ratings

Project: Addressing Climate Change Risks on Water Resources and Food Security in the Dry Zone of Myanmar

Ratings summary:

GO	Criteria	MAYBE	Criteria	NO	Criteria
	A1 timing A2 c resources A2 c partnerships A2 c post-monitoring A2 c exit A2 c scale-up		A2 a project quality A2 b data quality A2 c ownership A2 c capacities		A3 safety

Rationale:

Stoplight	Criteria		Justification (source: Final evaluations, EA study and PPR)
GO	**A1**	Timing	**a) Project completion:** June 2019 (2 years ago) **b) Duration:** 4 years (9/25/2015 to 6/30/2019) **c) Final evaluation:** publication in April 2019 (2 years) **d) Seasonality:** field work between March and April
	A2	Methodological feasibility	**c) Resources:** the engagement and participation of communities in water infrastructure-related support has been very positive. The communities that have had major domestic water supply projects previously (with the help of international NGOs) present a model for future communities and staged investment in water system using community funds generated from water use fees. There were high community participation and willingness to pay when pond renovation activities are implemented. As noted in the MTR, the project has leveraged as much as 50 per cent cash contributions from some of these communities. Communities have also willingly contributed co-financing for interventions on water retention/capture. However, for activities relating to forestry, there is significant risk that key outcomes will likely not carry on after project completion without commitment from the government to community forestry. **c) Partnerships:** the project on behalf of the government had capacity building objectives in agriculture with the involvement of local government departments. Strong partnerships were built between them and local stakeholder groups (FFS lead farmers, Seed multiplication farmers, post-harvest committee leaders). **c) Post-monitoring / exit readiness :** there is a fair potential for long-term evaluability. The final evaluation indicates an endline survey, and development of a comprehensive exit strategy, under which monitoring of activities is foreseen until end of 2018 and climate data usage is mentioned. **c) Replication and scale-up:** For soil and water conservation, apart from those who were provided with demonstrations, it is estimated that 10 per cent of the trained farmers replicated the activities. The rice and other crop trials are already being replicated without the project and will be sustainable with limited government support to the appropriate line agencies. Any visible and effective measures to enhance water supply are also likely to be replicated and upscaled in the future. However, a robust strategy is needed for replication, upscaling, and dissemination. Moreover, the project did not always differentiate clearly between demonstration plot and all plots or farmer participation, which meant that understanding the replication/ outreach effort was difficult. The ability to disseminate knowledge was also weak. But the advance tools in weather forecasting and early warning (weather forecasts, crop advisories, and disaster alert notification) have been significant and may provide important extension assistance in future agriculture practices. FFS and exchange programme have also been useful in disseminating climate-resilient measures.

continued

MAYBE	**A2**	Methodological feasibility	**a) Project quality:** Final evaluation rated achievement of outcomes "satisfactory" and sustainability of outcomes "moderately likely." Climate change adaptations and enhanced resilience measures for rural farmers and the environment were successfully implemented in the form of: improved water supply, soil & water conservation at catchment and farm level, watershed re-greening to enhance water retention, drought and heat-resistant crop varieties, post-harvest technologies to improve food security and income, asset diversification for the landless with livestock provision, weather information for farmers, and establishment of an early warning system. The project has achieved most of its objectives, in terms of farmer uptake of these dry zone adaptation measures. Agricultural-meteorology advisory information that is more tailor-made for the farmers still needs to be developed: the Sesame mobile application introduced by the project was a popular/innovative tool that provided weather forecasting and early warning services to farmers. However, the data provided is mainly weather-related and not agri-advisory as claimed within the project documentation. It is too early to assess any reduction in stress on the ecosystem. For example, while water supply from aquifers has been increased, without monitoring usage (especially if livestock production heavily increases due to year-round water availability secured), a significant draw-down may occur over the next 20 years. Thus, the solution is medium-term, not long-term. Water user groups were, however, established to operate and maintain the tube wells, pumps, and tanks, which largely negates the need for government funds. The main drawback of the project is regarding the forestry component: there is a need for a combined government-social approach to forest conservation. There is a significant risk that key outcomes will likely not carry on after project completion, although some outputs should carry on. Without proven sustainable re-greening methods, and without the government interest in community forestry, the willingness of donors to support forestry in the dry zone is unknown. For forestry as a key output, there is a significant risk that any success and lessons learned will not be built upon after project completion due to a lack of ownership and responsibility. There is also significant risk that outcomes such as forest cover will not be maintained after project completion due to lack of grazing control and the in-grained habit of pre-monsoon land clearance using fire.
	A2	Methodological feasibility	**b) Data quality:** The project presents clear outcomes: continuous freshwater availability; climate-resilient agricultural and livestock practices enhanced; and timeliness and quality of climate risk information disseminated to dry zone farmers enhanced through use of short-term weather forecasts, medium-term seasonal forecasts, and longer-term climate scenario planning in five townships. Final evaluation indicates an endline survey, and the development of a comprehensive exit strategy, under which monitoring of activities is foreseen until end of 2018 and climate data usage is mentioned. There was extensive reporting and regular monitoring of results, but some parts of the project were not captured by the M&E system. Reporting has, however, been overly focused on output and targets and left the outcome progress monitoring behind. The quality of data is also indirectly questioned by the final evaluation i.e. data not verifiable, sampling methods, etc. Still, the final evaluation's assessment of progress results is comprehensive, addresses all levels, and provides a baseline and target, as well as a qualitative analysis and indicators.

continued

MAYBE			**d) Ownership:** The project was based on needs consultation and developed many partnerships with local stakeholder groups (FFS lead farmers, Seed multiplication farmers, post-harvest committee leaders). There was wide ownership: from communities (see partnerships) to a system of regular dialogues with project counterparts/partners that continue to be immensely beneficial in implementation. The monthly project coordination meetings with the counterpart agency, the close working relationship with relevant departments at the township level, and the high level of outreach and stakeholder consultation served to expand the project activities smoothly. They resulted in good participation from the government departments especially under outcome 2 and outcome 3. In some instances, such as promotion of climate-resilient agriculture and livestock practices and climate risk information dissemination, concerned departments took leadership role in implementing activities. The collaboration with the Department of Meteorology and Hydrology has been exceptional and data sourced from the department has allowed the project to generate much-needed weather forecasts, which in turn is disseminated to the farmers. However, the final evaluation highlighted problems of ownership in the country: some activities were set up at village level, and some methods were taken onboard by the government but unevenly. There was also no ownership for tree planting; and for forestry as a key output, there is a significant risk that any success and lessons learned will not be built upon after project completion due to a lack of ownership and responsibility for these activities. The high turnover of government staff and the limitation of internal communication and sharing of information within government organizations and between levels of government also contributed to a lack of awareness of the project. The project has at least ten counterpart departments at various levels and despite the strong field activity coordination efforts, there are still gaps in information flow within the government system. **c) Capacity:** One of the key project approaches was to train alongside the implementation of activities. This was successfully and significantly undertaken in all three outcomes. There was a large support effort from several key government departments that were given the opportunity to learn, be active and "get involved." These included DoA (and DAR), DMH and DDM. The FD and DZGD became more involved once the tree plantation work got underway. However, in some cases, government departments could have been more proactive in learning and building their capacity or perhaps playing a wider role. This was truer of DZGD and FD.
NO	**A3**	Safe evaluation	**a) Political:** unsafe politically (biggest current risk is the coup and violence situation in 2021 in Myanmar). **b) COVID-19:** level 4 COVID-19 travel advisory https://wwwnc.cdc.gov/travel/notices/covid-4/coronavirus-burma
To consider for future ex posts	**B1**	Diversity of IE	MIE (UNDP).
	B1	Stakeholder diversity	Gender is an overt aim of the project – how climate affects women's food security, especially.
	B2	Variety of geography	Asia.
	B3	Variety in cross-sector	Food security / Rural development

Note: DOA = Department of Agriculture; DAR = Department of Agricultural Research; DDM = Department of Disaster Management; DMH = Department of Meteorology & Hydrology; DZGD = Dry Zone Greening Department; FD = Forest Department; FFS = Farmer Field School; MTR = mid-term review; NRM = natural resource management; SMART = Specific Measurable Accessible Relevant Time-bound.

4. Ecuador ratings

Project: Enhancing resilience of communities to the adverse effects of climate change on food security, in Pichincha Province and the Jubones River basin

Ratings summary:

GO	Criteria	MAYBE	Criteria	NO	Criteria
	A1 timing		A2 b data quality		A2 c resources
	A2 a project quality				A3 safety
	A2 c ownership				
	A2 c partnerships				
	A2 c capacities				
	A2 c exit				
	A2 c scale-up				

Rationale:

Stoplight	Criteria		Justification (source: Final evaluations, EA study and PPR)
GO	**A1**	Timing	**a) Project completion:** June 2018 (3 years ago) **b) Duration:** 5 years (11/29/2011 to 6/15/2018) **c) Final evaluation:** publication in September 2018 (3 years) **d) Seasonality:** field work between July and August
	A2	Methodological feasibility	**a) Project quality:** Final evaluation rated achievement of outcomes "satisfactory" and sustainability of outcomes "moderately likely." Awareness increased regarding the effects of climate change on food security among beneficiaries, communities and authorities. It also noted a reduction of food insecurity and greater resilience where the project was implemented. The delivery of parish waters increased the physical and biological protection of water sources at the parish. With the delivery of small animal farms, cages and feeding practices that prevent diseases and guarantee a greater yield were implemented. Community irrigation activities resulted in more crops being grown and greater income for the owners by generating marketable surplus and increasing self-consumption. Some notable outputs of the projects were the creation of 4 DRR modules for climate adaptation plans created (vulnerability, climate, communication, preparation), and the creation of meteorological stations as part of the EWS. Some risks to the sustainability of the outcomes were identified because of the weak socioeconomic situation at country level. These risks could make it difficult to obtain future national resources necessary to maintain the current level of transfers to municipalities and parish boards.

continued

GO	**A2**	Methodological feasibility	**c) Ownership:** The project was participative in its design, which was made according to identification of local needs and biggest threats with participation of local authorities and communities. The "grassroots design" of the project included the "importance of parish governments as a fundamental articulating element in achieving the project's objectives," and a collaborative process between local GADs and the community to enhance and complement the results of the implementation. The final evaluation describes the participation of co-executors in defining local needs, collection, workforce to execute adaptation measures and remain co-responsible for sustainability of what was carried out. It highlighted good aspects of ownership in the country: interinstitutional coordination, technical involvement of government, and high level of participation, both by beneficiaries and institutional stakeholders during design and execution phases. As a result, project awareness was good in the community, and there was institutional ownership for the project. The project was also responsible for neighbouring communities appropriating measures such as aspersion irrigation, family gardens, and organic fertilizer. It also introduced new collaborative community practices. **c) Partnerships:** There are indications of partnerships given the management model of the project, and the degree of interinstitutional coordination attained with autonomous parish governments, the Ministry of the Environment and of Agriculture and Livestock, the WFP, and civil society organizations and community groups, mainly of water users. **c) Capacities:** Capacities were strengthened (training of beneficiary communities at different times contributed to changes in awareness of communities and to support an increased self-esteem, empowerment, and involvement of the beneficiaries). **c) Exit readiness:** Exit strategy depends on the region, but each parish made strengthening, sustainability and closing plans for the project, which give a final element of information and base for future monitoring and relate adaptation measures process and final results in a detailed manner. **c) Replication or scale-up:** Some activities were taken on board by other neighbouring communities. The vulnerability studies that generated 49 local plans for climate change adaptation via local participation resulted later in the approval of 32 plans. These plans were built on and aimed to "standardize the training previously conducted in the process of developing adaptation measures" through alliances with State institutions, NGOs, and universities based on needs of the beneficiary populations and the types of adaptation measures designed and implemented. There is also potential in replication: another Fund project was also approved in Ecuador. This might give an opportunity for lessons dissemination.

continued

MAYBE	**A2**	Methodological feasibility	**b) Data quality:** Indicators of the project are not specifically SMART and they are more output-focused than outcome/impact indicators e.g. much of the project ends at outputs (hectares rehabilitated, livestock distributed), "outcomes" were output-focused (climate information systems in place, drinking sources rehabilitated or strategies in place). There were qualitative statements of "capacities increased." Many assumptions about adaptive capacity strengthening were found in the sustainability analysis. While the Theory of Change was okay, the results levels are unclear, and did not provide information about outcomes at local level. The final evaluation shows no data systemization, with no impact or outcome monitoring. The weakness of the logical framework had direct incidence over the quality and clarity of the information collected by the M&E system. The project was complex, delayed, and redefined. Some elements were not implemented e.g. ecosystem payments and "methodologies, tools, and explicit indicators for sustainability." However, some elements can be taken into account for the evaluation and could maybe be replicable in the field i.e. there was a late baseline to measure "impact" at final on water quality and time watering, water sources protected, orchard and agroforestry, vegetables and fruit gardening, etc. Given the grassroots-driven design and the implementation of 32 plans to adapt to climate change, some results could be quantified through recall-measure. There is also a good outlining of risks to sustainability and the project produced many unintended impacts. These were identified by the final evaluation and some could be evaluated: 1. Decrease in migration (although incipiently); 2. Change in dietary patterns of the general population of the beneficiary communities; 3. Acknowledgement of the importance of parish governments as a fundamental articulating element in achieving the project's objectives; 4. Appearance of associative forms for economic empowerment and incidence in matters of productive development especially in women; 5. Creation of collaborative and articulation spaces between local GADs and the community to enhance and complement the results of the implementation of measures; 6. Appropriation of neighbouring communities to beneficiaries of some measures as in the case of aspersion irrigation, family gardens, and organic fertilizer; 7. Generation of collaborative community practices not present in the traditional culture.
NO	**A2**	Methodological feasibility	**c) Resources:** Financial sustainability is weak owing to the socioeconomic situation of the country. The central government gave importance to local governments and the fight against adverse effects of climate change in both in its policies and financial support. However, Ecuador's economic and fiscal situation makes it difficult to obtain future national resources necessary to maintain this level of transfers to municipalities and parish boards. If no new external resources are mobilized, these governments will not have the necessary capacity to continue with FORECCSA's actions once the project concludes.
	A3	**Safe evaluation**	**b) COVID-19:** unsafe evaluation – COVID-19 risk Level 4 https://wwwnc.cdc.gov/travel/notices/COVID-4/coronavirus-ecuador
To consider for future ex posts	**B1**	**Diversity of IE**	**MIE (WFP)**
	B1	**Stakeholder diversity**	**Gender is an overt aim of the project i.e. how climate change affects genders differently (50% women represented). The final evaluation discusses results for women.**
	B2	**Variety of geography**	**Latin America and Caribbean.**
	B3	**Variety in cross-sector**	**Food security / Rural development.**

Note: EWS = early warning system; GADs = Gobiernos Autónomos Descentralizados (Es.), decentralized autonomous governments; FORECCSA = Project "Strengthening the resilience of communities facing the adverse effects of climate change with emphasis on food security in the Province of Pichincha and the Jubones River basin"; NGOs = non-governmental organizations.

5. Samoa ratings

Project: Enhancing Resilience of Samoa's Coastal Communities to Climate Change

Ratings summary:

GO	Criteria		MAYBE	Criteria		NO	Criteria
	A1 timing A2 c scale-up A2 c partnerships A3 safety			A2 a project quality A2 b data quality A2 c ownership A2 c capacities A2 c resources A2 c exit A2 c post-monitoring			None

Rationale:

Stoplight	Criteria		Justification (source: Final evaluations, EA study and PPR)
GO	**A1**	Timing	**a) Project completion:** June 2018 (3 years ago) **b) Duration:** 5 years (1/28/2013 to 06/30/2018) **c) Final evaluation:** publication in September 2018 (3 years) **d) Seasonality:** fieldwork in July 2018
	A2	Methodological feasibility	**c) Replication/scale-up:** The priorities defined in the community integrated management plans are now implemented by other climate funds. The GCF project "Integrated Flood Management to Enhance Climate Resilience of the Vaisigano River Catchment in Samoa", implemented by UNDP, will align ecosystem-based adaptation interventions based on the results of CIMP review relevant to districts in the Vaisigano river catchment area. In addition, the Ministry of Natural Resources and Environment (MNRE), through GEF-7 Fund, will also implement biodiversity and agriculture adaptation priorities defined in the plans. The CIMS model could also be replicated by Tonga, through South-South cooperation. **c) Partnerships:** The project was aligned with a World Bank project and has been critical in updating the Coastal Infrastructures Management Plans (CIMPs). These two initiatives created a solid partnership that aligned with government priorities and created nationwide benefits. The project was implemented through many partners: all activities were supported by UNDP and completed by MNRE, MoF, and LTA as well as other collaborating partners for specific activities (STA, SWA, EPC, etc.). The vast network of partnerships sometimes created issues for M&E (e.g. no concerted effort to harmonize M&E carried out by partners, difficulties to align deliveries). The project rests on many stakeholders, since the partnership principle of the CIMPs underpins the success of implementation of adaptation works, and various stakeholders were engaged in Samoan communities during the programme's activities planning and implementation phase.

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	A3	Safe evaluation	**b) COVID-19:** very safe evaluation (Level 1): https://wwwnc.cdc.gov/travel/notices/COVID-1/coronavirus-samoa
MAYBE	**A2**	Methodological feasibility	**a) Project quality:** Final evaluation did not rate achievement of outcomes, and rated sustainability of outcomes "moderately likely." The project is a scaled-up version of previous CIMP interventions, which is the climate change response of Samoa through the integration of watershed and Ridge to Reef approach. Therefore, it moves from only addressing coastal infrastructures to a more integrated approach to climate change adaptation. The AF-funded project together with the WB project have been critical in achieving nationwide benefits in all 41 districts by updating the CIMPs. It developed CIMPs, put climate proofing measures in place, and built capacities. In general, it created more awareness, especially among key decision makers at community level on adaptation and resilience. At the time of the final evaluation, most of the impact was still highly provisional, and depended on level of adoptions by the population or the government. The impact on forestry of upgrading inland roads is uncertain, for example, without involvement of MAFF. There are unexpected effects of coastal wave breakers on beach sand replenishment. At the time of final evaluations, the three different outcomes were only partially achieved. Because there are no targets, it is difficult to clearly understand how activities have been completed. In general, project delivery hampered full effectiveness e.g. outcome 2 targets had to be reduced by 50 per cent. Only small-scale water supply attained project document objectives. Targets of all other types of investments were too ambitious. Some important activities were replanting activities e.g. conservation of fauna and flora within a reserve, ecological restoration to conserve water resources, replanting in degraded areas. One of the most "impactful" activities was the road upgrading (higher-ground access roads). This aimed to facilitate inland transit to agricultural areas and coastal infrastructures to limit property destruction and costly relocation; the government wishes to encourage voluntary resettlement of risk-prone coastal communities. However, this measure did not consider land use. Furthermore, while coastal wave breakers result in sand replenishment on the spot, they may also accelerate erosion on the outside of these infrastructures. Coastal infrastructures like seawalls may also accelerate sandy beach removal, contributing to beach ecosystem damage. This means that coastal protection infrastructures should be monitored for signs of degradation. The sustainability of outcomes was linked to issues of ownership or budget. Potential for sustainability differs depending on the type of activity e.g. there is no specific government budget yet for CIMP sustainability (monitor and oversee the implementation of CIMPs. However, the government is finalizing the translation of the CIMPs to be accessible to local people so they can directly manage their resource mobilization. Regarding maintenance of infrastructures, there is financial capacity to maintain roads and water systems at the village level. **b) Data quality:** Outcome indicators are often output-focused in the Samoa project. As underlined by the final evaluation, the results framework design lacked ambition on how to measure changes. It included perception indicators that are systematically unrealistic and difficult to measure. Two outcomes related to institutional strengthening are quite weak. However, the one related to infrastructure and its role in fostering resilience is workable. Specifically, it has data on structures built, information about potential challenges given climate changes & "climate proofing" via roads, seawalls, flood protection/water supply and local commitment to "adaptive capacity" to respond to climate change aspects, e.g. roads in a majority of the communities that could help with sampling.

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MAYBE	**A2**	Methodological feasibility	**c) Ownership:** CIMPs at the community level that were developed through a largely bottom-up approach seem to have a lot of buy-in from communities. They are also linked to the Strategy for the Development of Samoa 2016/17 – 2019/20 that implied extensive consultations at villages and with the Ministry of Women, Transport, Water, etc. The coastal infrastructure interventions, which were generally at a small scale, were appreciated and considered successful by the communities. The communities also officially endorsed all CIMPs and seem committed to sustaining key infrastructure like roads if hard machinery is not needed; 15 identified communities have relocation plans developed. In general, the results are more mixed with less ownership on roads, replanting and highest levels for coastal infrastructures and micro-projects supported by CSSP. Early citizen engagement proved to be key in the implementation of the subprojects. Despite the country ownership at government level, there is uncertainty about whether the government has committed/will commit to sustainability in its work programming and budgetary planning processes e.g. for CIMPs. The programme actively engaged various stakeholders in Samoan communities during the activities planning and implementation phase: representatives of all key vulnerable groups in the communities, including the matais (both men and women), women and youth representative groups, public and private sector stakeholders, the council of chiefs. While the project document did not consider gender well, the CIMP technical team adequately mainstreamed gender in the formulation of CIMPs. In addition, vulnerable groups had a chance to contribute/identify their priorities. **c) Resources:** Potential resources are unclear given the existence of limited financial risks for sustainability depending on the activity e.g. no specific government budget for CIMP at exit. There is, however, financial capacity at community level, and possible local co-financing into project monitoring to evidence community's commitment to project delivery (to evaluate). However, the funding is uncertain given the low availability of technical assistance for village proponents, since 49 per cent of the funded subprojects were structural developments (e.g. revetment walls; water piping systems, etc.) **c) Capacities:** The project has developed the capacities at government level. PUMA's management of the project gained substantial expertise in the delivery of complex development projects without any PMU. Most specialized training of government staff resulted in substantial increased capacity building. However, government staff turnover is high, especially in the MNRE. Under outcome 2, a substantial chunk of the budget was allocated to road rehabilitation. However, due to lack of national standards, there is no information as to whether these roads are climate-proof. MWTI should follow-up with LTA the definition of new national road standards, assess the additional budget costs and integrate these into regular government budgets for future roadworks at community level. **c) Exit readiness:** The impact on local and government institutions has been substantial: village representatives are now clustering around the CIMP to voice their issues more effectively. Yet the final evaluation highlights some risks: no exit document was developed, and there is no proof that government will take on responsibilities for project's sustainability. There is a need to finalize this negotiation process and allocate financial resources to responsible agencies so that CIMPs are monitored and government financial resources are aligned sector-wide, to the community priorities as per CIMPs. Other risks involved extreme climatic events, poor collaboration between partners, land disputes, limited HR in line ministries, and insufficient gender support. Lack of coordination with PPCR was completely overlooked. **c) Post-completion monitoring:** A sustainability plan is developed but it is unclear how MEL will be sustained. Plans are integrated: updated plans changed name to Community Integrated Management, or CIM-2 so they could be monitored. The project was also monitored by the Fund as part of a Project Monitoring Mission, which could indicate some basis for ex post readiness.
NO			None

continued

To consider for future ex posts	**B1**	Diversity of IE	MIE (UNDP) Executing partners: Samoan MNRE, MoF, Ministry of Women, Community and Social Development, and CSSP
	B1	Stakeholder diversity	National stakeholders: Wide range Gender: 52 per cent of women are direct beneficiaries of these subprojects. Women were key in providing information on the location of water springs or where floods happened. The gender impact has been most positive for roads and water supply.
	B2	Variety of geography	Asia/Pacific
	B3	Variety in cross-sector	Multisector project (Coastal Management, Disaster Risk Reduction)

Note: CIM = Coastal infrastructure Management; CIMP = Coastal Infrastructure Management Plans; CIMS = Coastal Infrastructure Management Strategy; CSSP = (Samoa) Civil Society Support Programme; EPC = Electric and Power Corporation; LTA = Land Transport Authority; MAFF = Matagaluega o Faatoaga ma Faigafaiva (Samoan), Ministry of Agriculture and Fisheries; MWTI = Ministry of Works, Transport and Infrastructure; PMU = project management unit; PUMA = Planning and Urban Management Agency; STA = Samoa Tourism Authority; SWA = Samoa Water Authority; WB = World Bank.