



Technical Evaluation  
Reference Group  
ADAPTATION FUND

# Evaluating projects Ex post & Emerging sustainability and resilience



Presented by: Jindra Cekan, PhD. (Valuing Voices) and Meg Spearman  
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Training  
material  
Part 1

## The AF-TERG and the evaluation team



### The Adaptation Fund (AF)

The Adaptation Fund was established to **finance concrete adaptation projects and programmes** in developing countries that are parties to the Kyoto Protocol and are particularly vulnerable to the adverse **effects of climate change**.

The Fund is supervised and managed by the Adaptation Fund Board (AFB). It now **serves the Paris Agreement**.



### The Technical Evaluation Reference Group of the AF

The AF-TERG is an **independent evaluation advisory group**, accountable to the Board, established to ensure the independent implementation of the Fund's evaluation framework.

Specifically, the TERG provides an:

- a) evaluation function,**
- b) advisory function,** and
- c) oversight function**

## AF-TERG team for Ex post evaluations



Susan Legro



Jindra Cekan, PhD.



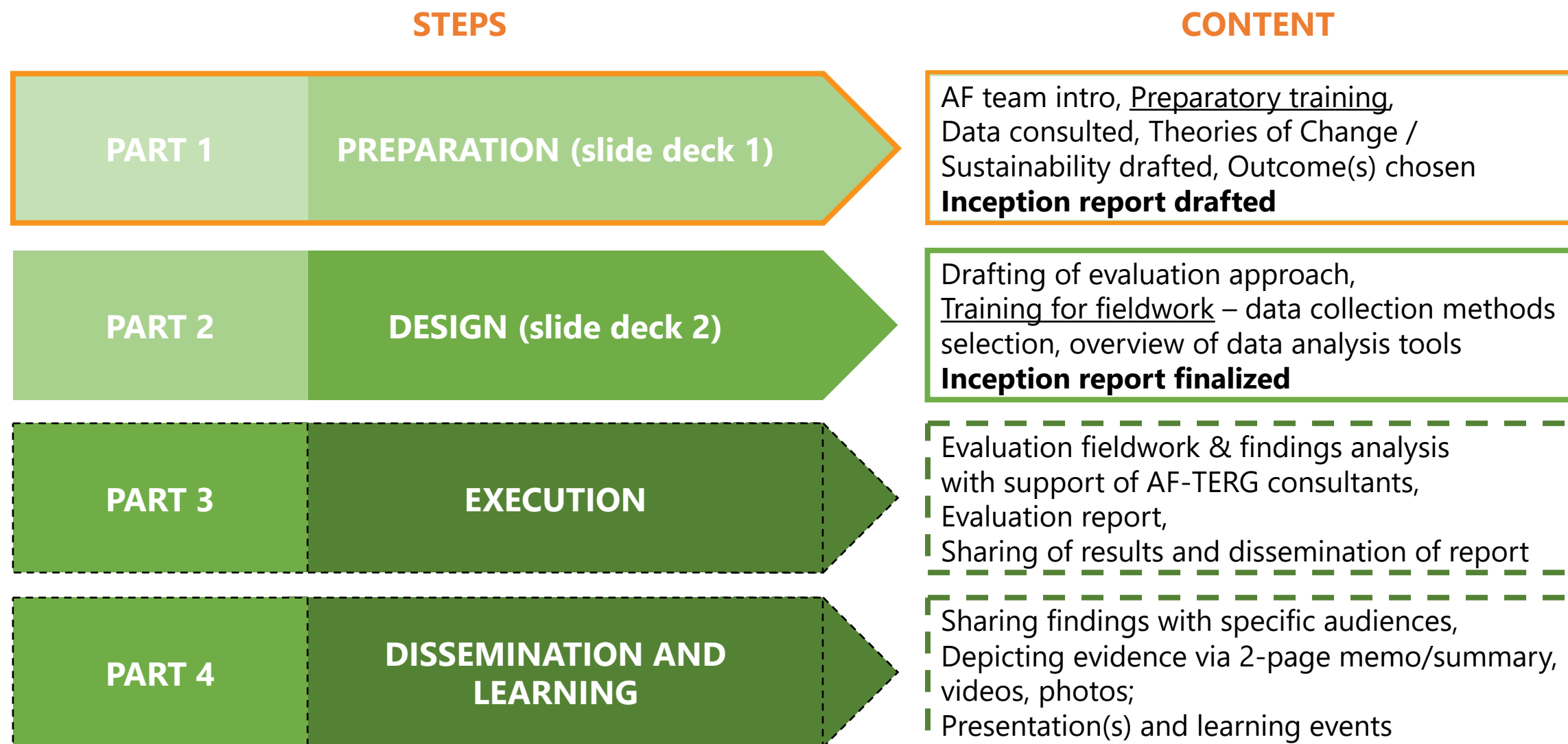
Meg Spearman



Mariana Vidal Merino



## Ex post evaluation process overview at the Adaptation Fund



# PART 1

## Preparation for the Ex post Evaluation



Project selection for ex post evaluations

Understanding ex post evaluations

Sustainability and resilience frameworks

Preparatory work for field work

# Part 1: Preparation for the ex post evaluation

## Objective and expectations: what will you learn?

### OBJECTIVES OF PART 1:

- Learn from national evaluators and implementing entities about their **project/ program**
- Build on evaluator's capacities to draft a **theory of change and theory of sustainability**
- Advise on outputs/ **outcomes**/ impacts selection/ methods for the **co-creation process**
- Help national stakeholders **understand sustainability/ resilience** broadly and how to evaluate them to help them learn for their planning/programming



### CONTENTS OF PART 1:

1.1 PROJECT SELECTION FOR EX POST

1.2 UNDERSTANDING ADAPTATION FUND EX POST EVALUATIONS

1.3 SUSTAINABILITY AND RESILIENCE ANALYSIS FRAMEWORKS

1.4 FIELDWORK PREPARATION

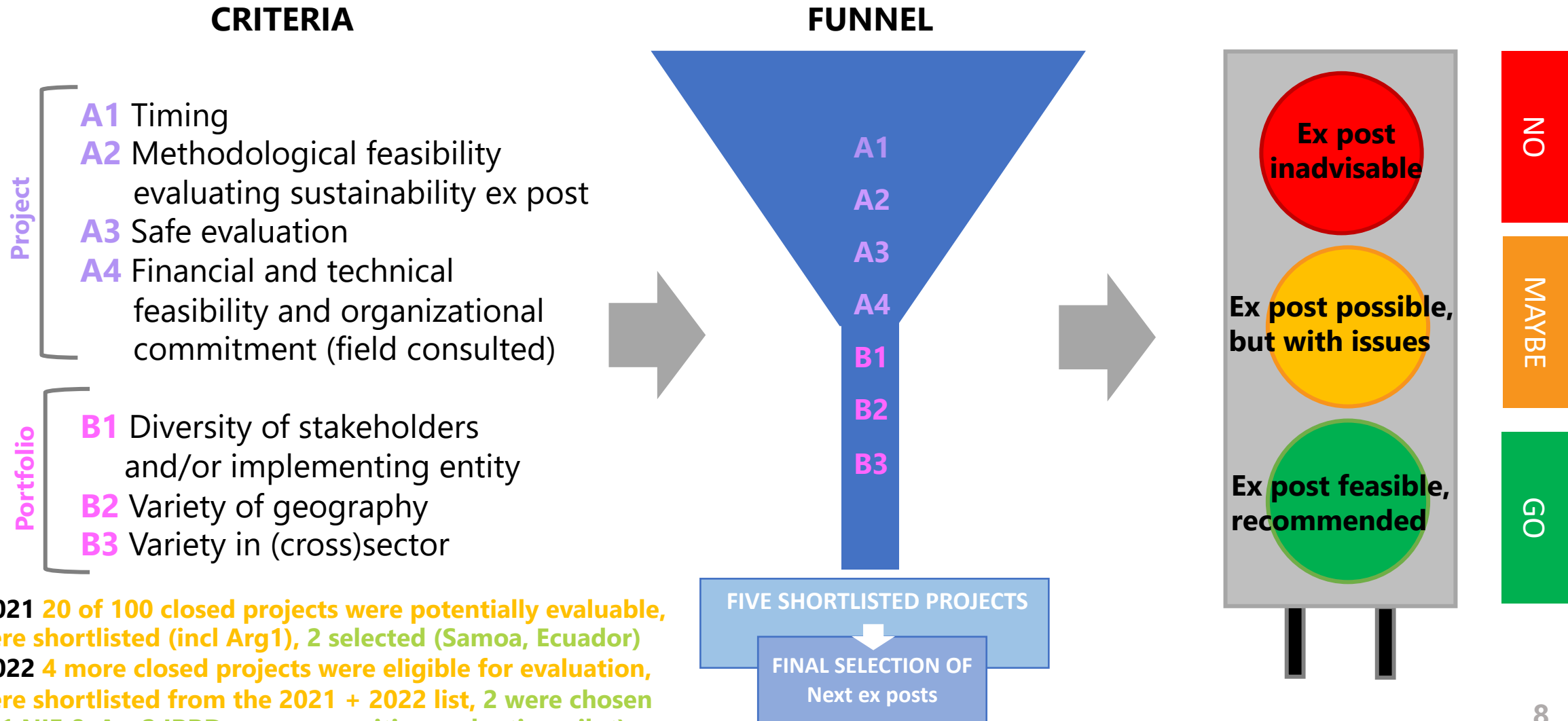
# 1.1- Project selection for ex post evaluation

## Contents

- Selection framework for project eligibility
- Overview of project and selection criteria

# Project selection for ex post evaluations

## Selection framework to determine projects eligible for ex post evaluation



In 2021 20 of 100 closed projects were potentially evaluable, 5 were shortlisted (incl Arg1), 2 selected (Samoa, Ecuador)  
In 2022 4 more closed projects were eligible for evaluation, 4 were shortlisted from the 2021 + 2022 list, 2 were chosen (Arg1 NIE & Arg2 IBRD a new capacities evaluation pilot)



# Project selection for ex post evaluations

## Argentina 1: “Enhancing the Adaptive Capacity and Increasing Resilience of Small-size Agriculture Producers of the Northeast of Argentina” (DIPROSE)

### Criteria ratings

<b>NO</b>
--
<b>MAYBE</b>
A2 data quality A2 ownership A2 resources A3 Safety (Covid)
<b>GO</b>
A1 timing A2 project quality A2 partnerships A2 capacities A2 scale-up



**a) project closure:** Dec 2018

**b) duration:** 5 years (2013-2018)

**c) final evaluation:** Jan-May 2019 (4 years ago)

**d) seasonality:** field work between July and August

**Project/ Data quality:** mix of outputs and outcomes, stronger on assets. Ranked as among best of 24 evaluable projects for partnerships and local capacities but data quality mixed.

**Diversity:** First NIE (Unidad Para Cambio Rural Argentina) project and very participatory. Second Latin American ex post. Focus on local resilience.

**Portfolio Learning:** Second Agriculture (after Ecuador) and with the other Argentine project, it means 3 Agriculture ex posts.

**Special:** Sustainability of monitoring systems, participating entities maintain data collection and monitors results

# Project selection for ex post evaluations

## Argentina 2: “Increasing Climate Resilience and Enhancing Sustainable Land Management in the Southwest of the Buenos Aires Province” (IBRD)

### Criteria ratings

NO

A2 data quality

MAYBE

A2 ownership  
A2 resources  
A2 scale-up  
A3 Safety (Covid)

GO

A1 timing  
A2 project quality  
A2 capacities  
A2 partnerships



**a) project closure:** Nov 2015

**b) duration:** 3 years (2012-2015)

**c) final evaluation:** Mar 2020 (3 years ago)

**d) seasonality:** field work between August and Sept 2019

**Project/ Data quality:** Focus on capacities development, although outcome data seems at output level, outcomes could be re-created

**Diversity:** First overt focus on Capacities so can pilot ex-post eval. First IBRD project, although third Latin American ex post.

**Portfolio Learning:** Second Agriculture (after Ecuador) and with the Argentine 1 NIE, will have 3 Agriculture ex-posts

**Special:** ‘Adaptation practices’ plus promised participatory sustainability strategy for funding for future activities (inc. MEL) and continued cooperation related with monitoring of climate change and land degradation via Information and Early Warning.

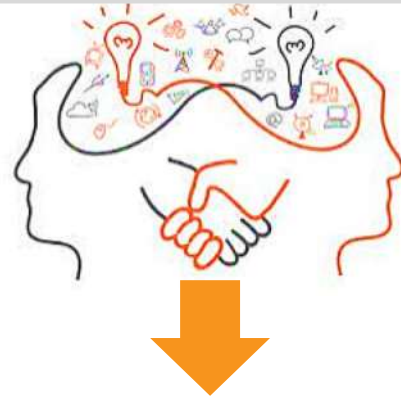
# 1.2- Understanding ex post evaluations

## Contents

- What are ex post evaluations?
- Defining sustainability and resilience
- What will you evaluate at ex post?
- What will you learn from ex post evaluations?
- AF Policy & Gender Considerations



## What is co-creation?



This ex post evaluation follows a

### Co-creation process





## What is co-creation?

### What does co-creation involve for the evaluator(s)/evaluation team prior to fieldwork?

- **Reach out to and engage the IEs, national counterpoints** (relevant ministries, government officials, etc), and – however and where possible - local partners (government, NGOs) early, and with strategic intent:
  - Identify post-project data gaps, key or additional data sources, and key stakeholders to consult and/or interview
  - Narrow down and choose which post-project outcome(s) have strong learning value and national/local interest level
- **Build rapport and ensure broad understanding of the ex post evaluation approach** (including materials covered in this slide deck) and discuss proposed fieldwork methodologies with IEs and national counterparts by conducting a training or workshop during the inception period
- **Finalize fieldwork preparation in collaboration with IEs and national counterparts**, including local support and travel logistics for finalized site selection, finalize targeted stakeholder lists, and other key considerations as outlined in the inception report
- **Prepare and plan for final ex post evaluation products** (eventual evaluation report and other materials/multimedia) to be shared and discussed with local and national counterparts for upward accountability and learning, including considerations for products targeted to specific audiences and translation



## [AF-TERG framework] What will you evaluate at ex post?

The ex post framework focuses on aspects of both sustainability of outcomes and of climate resilience to answer the following **overarching** questions:

1 Have the project outcomes/impact(s) been sustained since project completion?

*Why? If not, why not? What, if anything, emerged?*

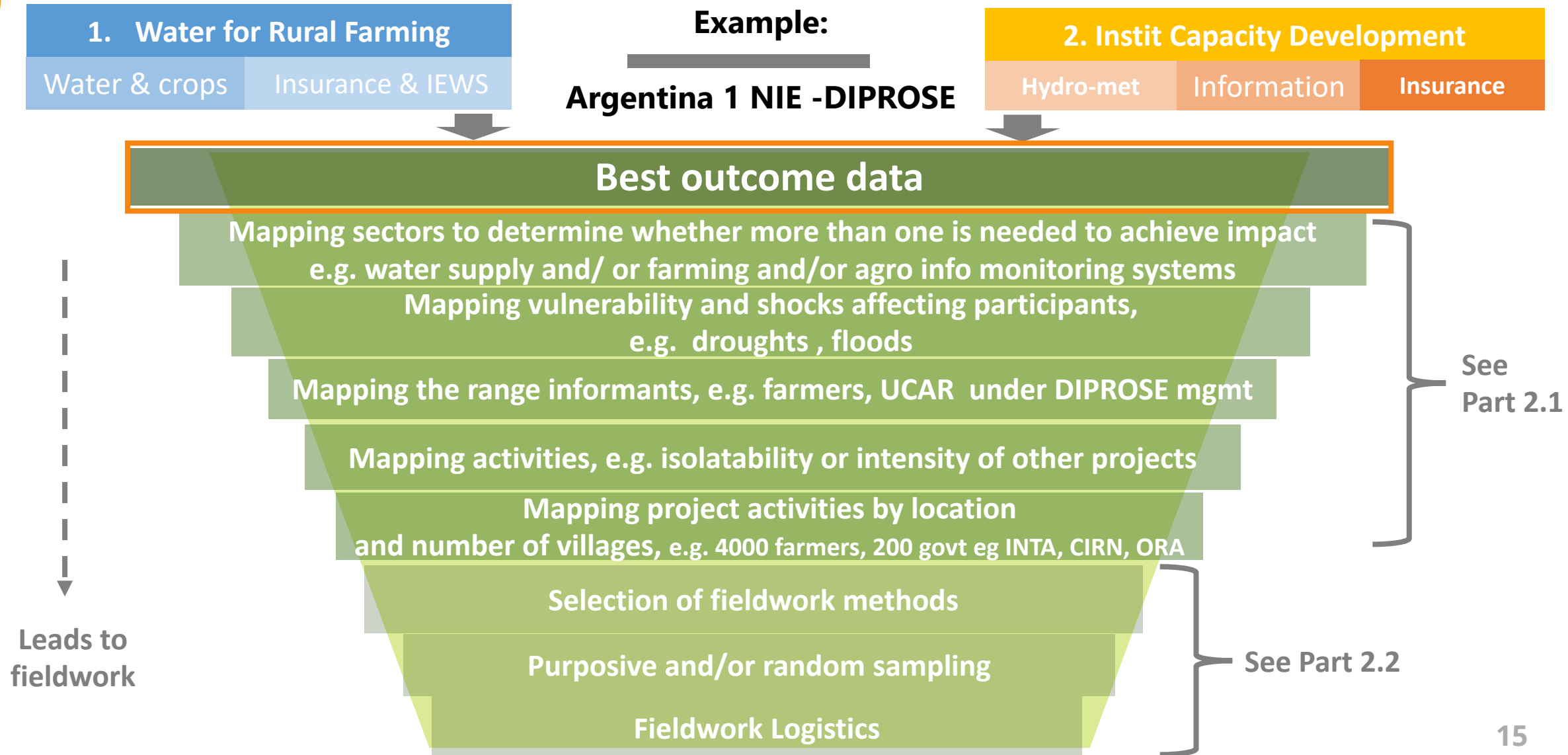
2 Are the sustained project outcomes/impact(s) climate-resilient?

*How? In what ways? What does the outcome do in relation to climate disturbances?*

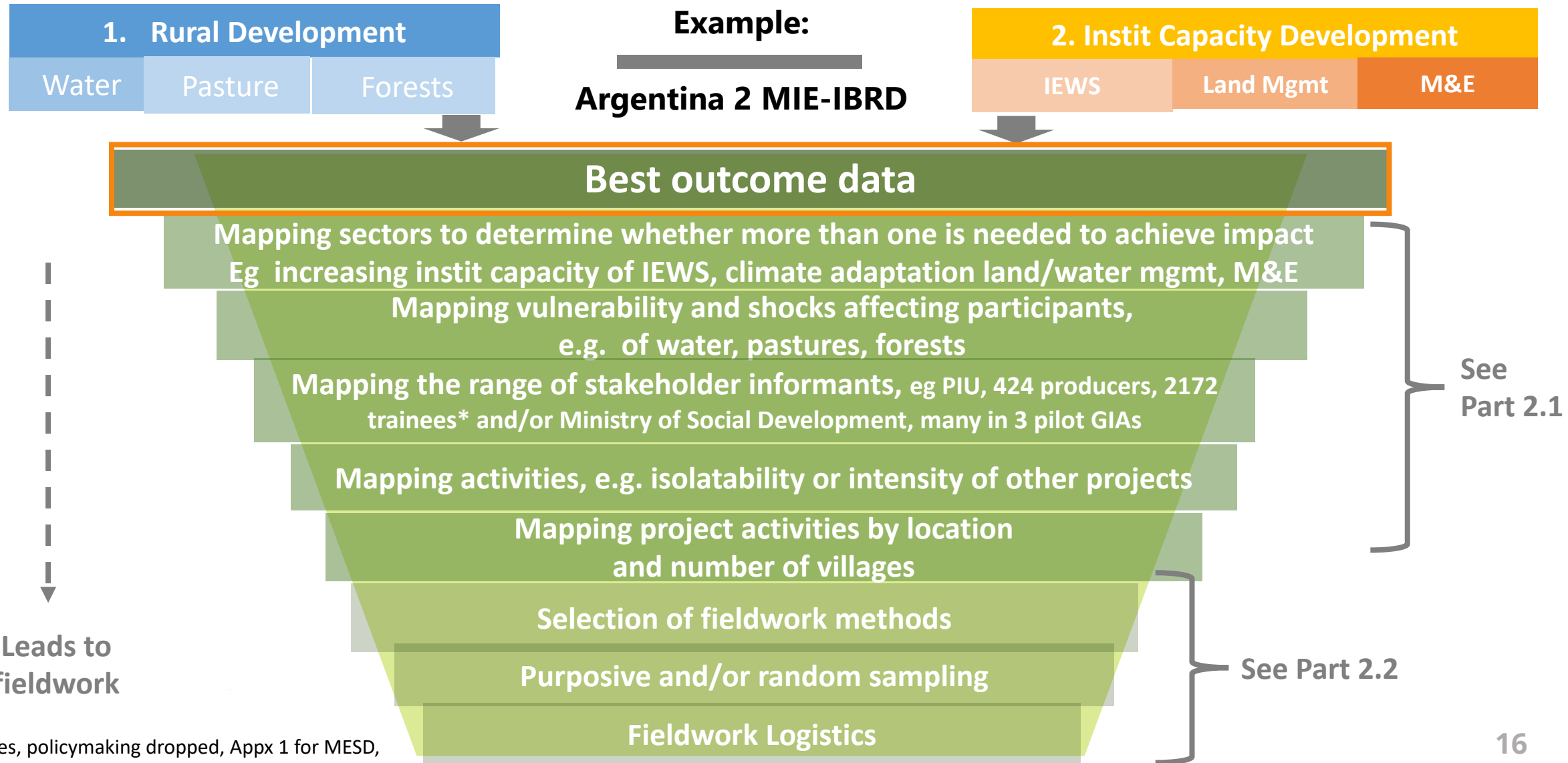
**All that is sustained may not be resilient to climate disturbances, and all that may be resilient to climate disturbances may not be sustained!**



# Understanding ex post evaluations: process – NIE example



# Understanding ex post evaluations: process – MIE example



\*Notes, policymaking dropped, Appx 1 for MESD, 36% women and some ILO course overlap + budget



# Understanding Ex post evaluations

## Definitions of frequently used terminology – Sustainability

### **Sustainability**

“The ability of a local system, network, or institutions to produce desired outcomes over time. Programs contribute to sustainability when they strengthen the ability to produce valued results and to be both resilient and adaptive in the face of changing circumstances.”

### **Sustained Outcome**

“Any outputs or outcomes which by their nature are to be measured over a sustained period” and “Sustainability relates to ‘the likelihood of the changes brought about by the project being continued in the long term.’”

### **Emerging Outcomes**

“How project participants used their own means to carry project initiatives forward...[this differs from] unanticipated outcomes which relate directly to a project's theory of change and may reveal the extent of and reasons why assumptions or objectives deviated from what was anticipated in the design.”

# Understanding Ex post evaluation

## Definitions of frequently used terminology – Adaptation & Resilience

**Adaptation** In human systems, the process of adjustment to actual or expected climate and its effects, in order to moderate harm or exploit beneficial opportunities. In natural systems, the process of adjustment to actual climate and its effects; human intervention may facilitate adjustment to expected climate.

**Resilience** The ability of a system and its component parts to anticipate, absorb, accommodate, or recover from the effects of a hazardous event in a timely and efficient manner, including through ensuring the preservation, restoration, or improvement of its essential basic structures and functions.

**Exposure** The presence of people, livelihoods, species or ecosystems, environmental functions, services, and resources, infrastructure, or economic, social, or cultural assets in places and settings that could be adversely affected.

**Sensitivity** The degree to which a system or species is affected, either adversely or beneficially, by climate variability or change. The effect may be direct (e.g., a change in crop yield in response to a change in the mean, range, or variability of temperature) or indirect (e.g., damages caused by an increase in the frequency of coastal flooding due to sea level rise).

**Adaptive Capacity** The combination of the strengths, attributes, and resources available to an individual, community, society, or organization that can be used to prepare for and undertake actions to reduce adverse impacts, moderate harm, or exploit beneficial opportunities.

# Understanding ex post evaluations

## What is ex post evaluation?

The OECD DAC 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”.



**EX POST EVALUATION FOCUSES ON SUSTAINABILITY**



## Why evaluate ex post?

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*"At exit it is impossible to verify how much the project will contribute to sustainability... but many assume full success and full attribution to the project." - John Mayne, evaluator*

**Translation:** The sustainability analysis and sustainability ratings found in many multilateral final evaluations are untested and unproven.

**Also:** We cannot attribute results to only our project, but we can evaluate contribution to sustainability... and evaluate what emerged from local/national efforts to sustain results.



## Why evaluate ex post?

Ex post evaluations may generate a variety of **benefits** for different stakeholders, such as to:

- ✓ **Confirm anticipated and projected changes** post-closure
- ✓ **Increase** upwards **accountability** to donors and decision makers and downwards to project participants
- ✓ **Determine how much projects contribute to AF intended impacts** and document unintended, maladaptive and emerging results
- ✓ **Improve the design of adaptation** projects, strategy, and management for decision-makers at the Fund and its partners
- ✓ **Cross-check sustainability ratings** at closure and inform similar estimates moving forward
- ✓ **Use lessons** to inform future design, M&E, and exit planning.
- ✓ **Identify relevant sustained outcomes and climate resilience lessons** for projects with adaptation components
- ✓ **Increase transparency for country-level reporting** to the United Nations Framework Convention on Climate Change (UNFCCC) and the Paris Agreement.

Samoa: Regina's Beach Fale after tropical cyclone



Samoa: Regina's Beach Fale after breaker (Nov '21)



# Understanding ex post evaluations

## On what results level will ex post evaluations focus?

**The Adaptation Fund desired impact to trace is:**  
*“Adaptive capacity enhanced, resilience strengthened and the vulnerability of people, livelihoods and ecosystems to climate change reduced.”*

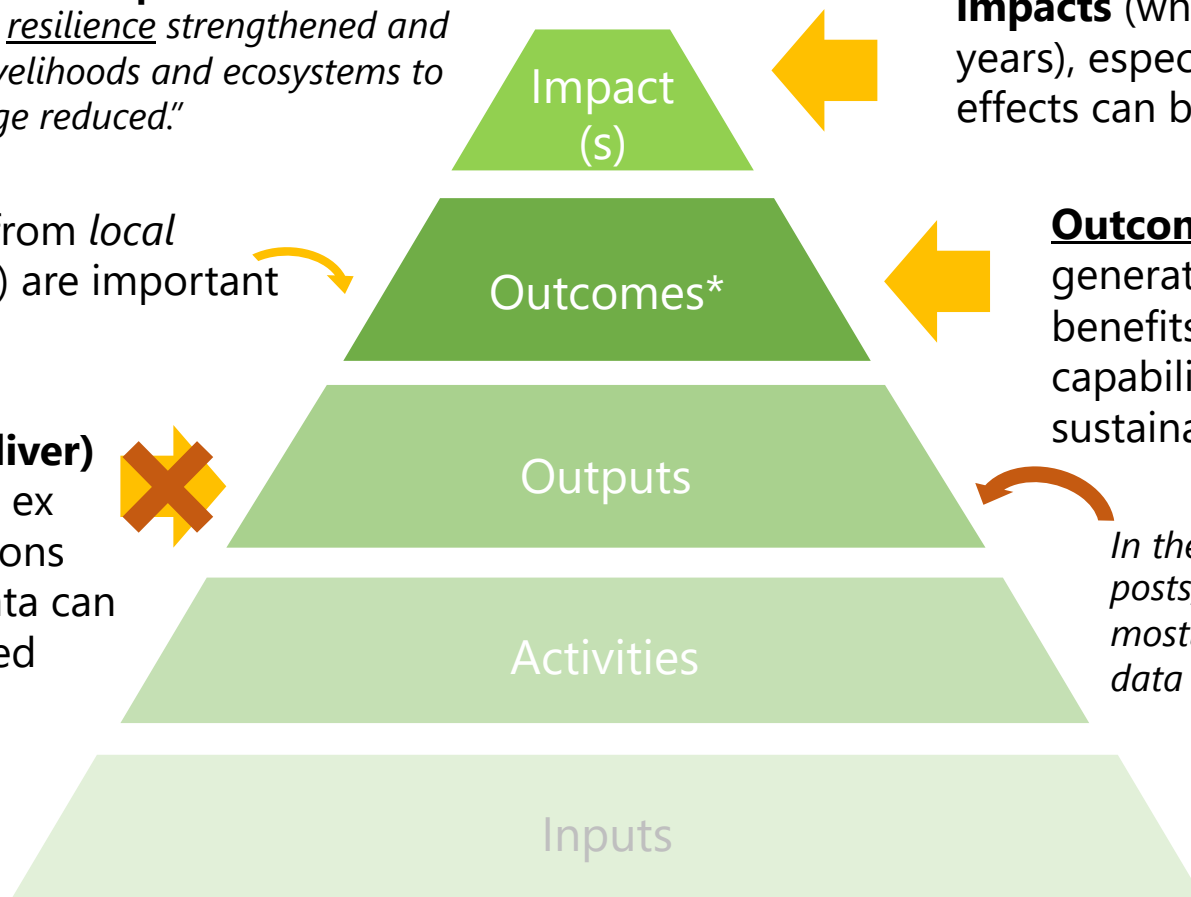
Ex posts ideally track **high-level long-term impacts** (what did we want to change for years), especially for climate adaptation where effects can be traced 3-5 years +

**Emerging outcomes** from *local efforts* (not the project) are important to trace ex post

**Outcomes (what did we want to achieve)** generated from assets (tangible gains, benefits) and capacities (resources, capabilities) that can be evaluated for sustainability

**Outputs (what did we deliver)** are normally not evaluated ex post as they are preconditions for results, *but* outcome data can be retrospectively re-created

*In the Ecuador and Samoa pilot ex posts, the final evaluation data was mostly about outputs, so some outcome data was retrospectively re-created*

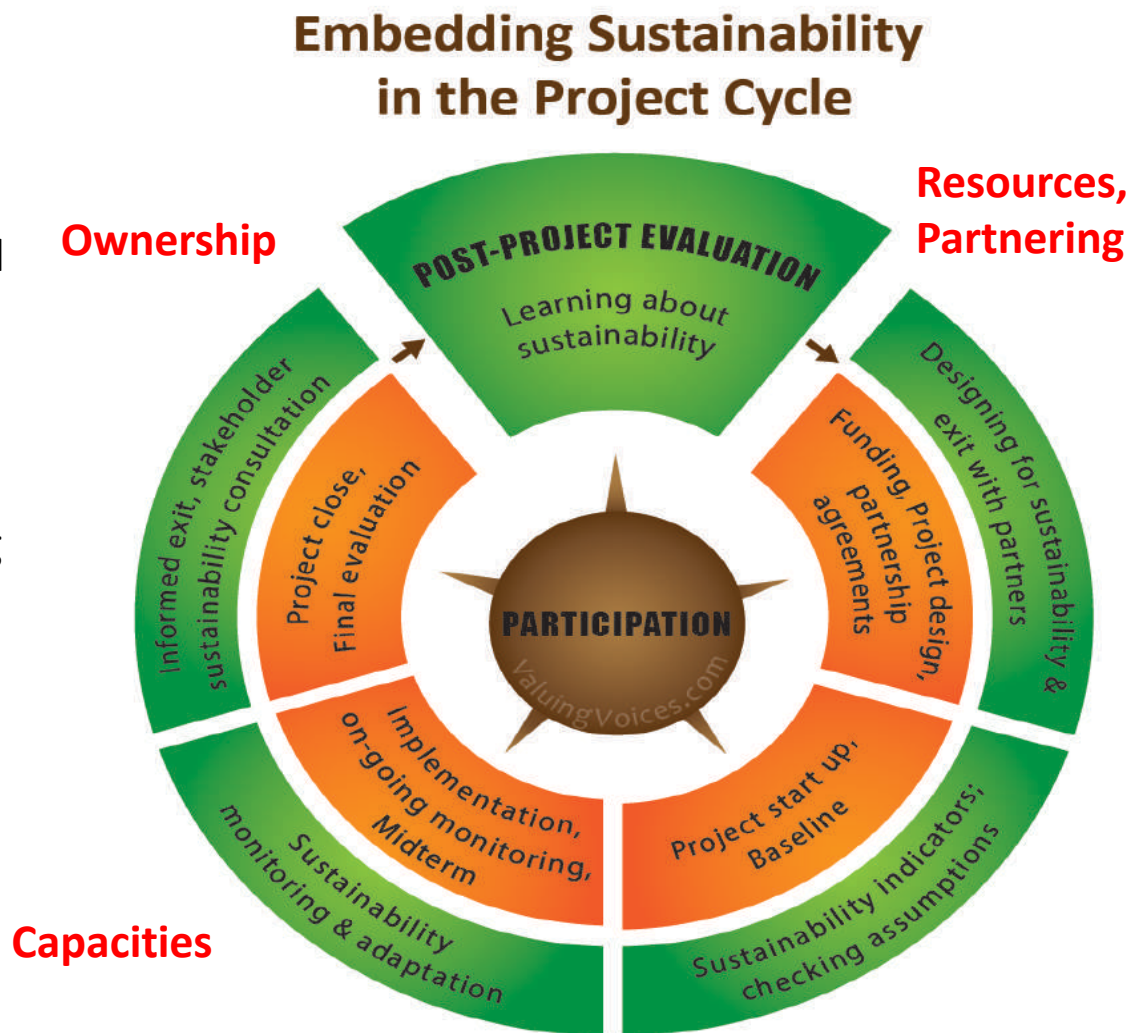


Ex post evaluation & M&E pyramid

# Understanding ex post evaluations

## On what results level will ex post evaluations focus?

The **Outcomes** of assets and capacities used need to be traced to Sustained Impact(s)... This can be done retrospectively, using a participatory approach to evaluating resources, partnering, capacities, and ownership that led to sustainability.



For instance, much of the AF project “Enhancing the Adaptive Capacity and Increasing Resilience of Small-size Agriculture Producers of the Northeast of Argentina” (NIE - Unidad Para Cambio Rural Argentina) seems to focus on designing for sustainability with partners

# Understanding ex post evaluations

What are we looking for?

## ADAPTATION FUND DESIRED IMPACT:

**Adaptive capacity** enhanced,

**RESILIENCE** strengthened and

the **vulnerability** of people, livelihoods and ecosystems to climate change reduced

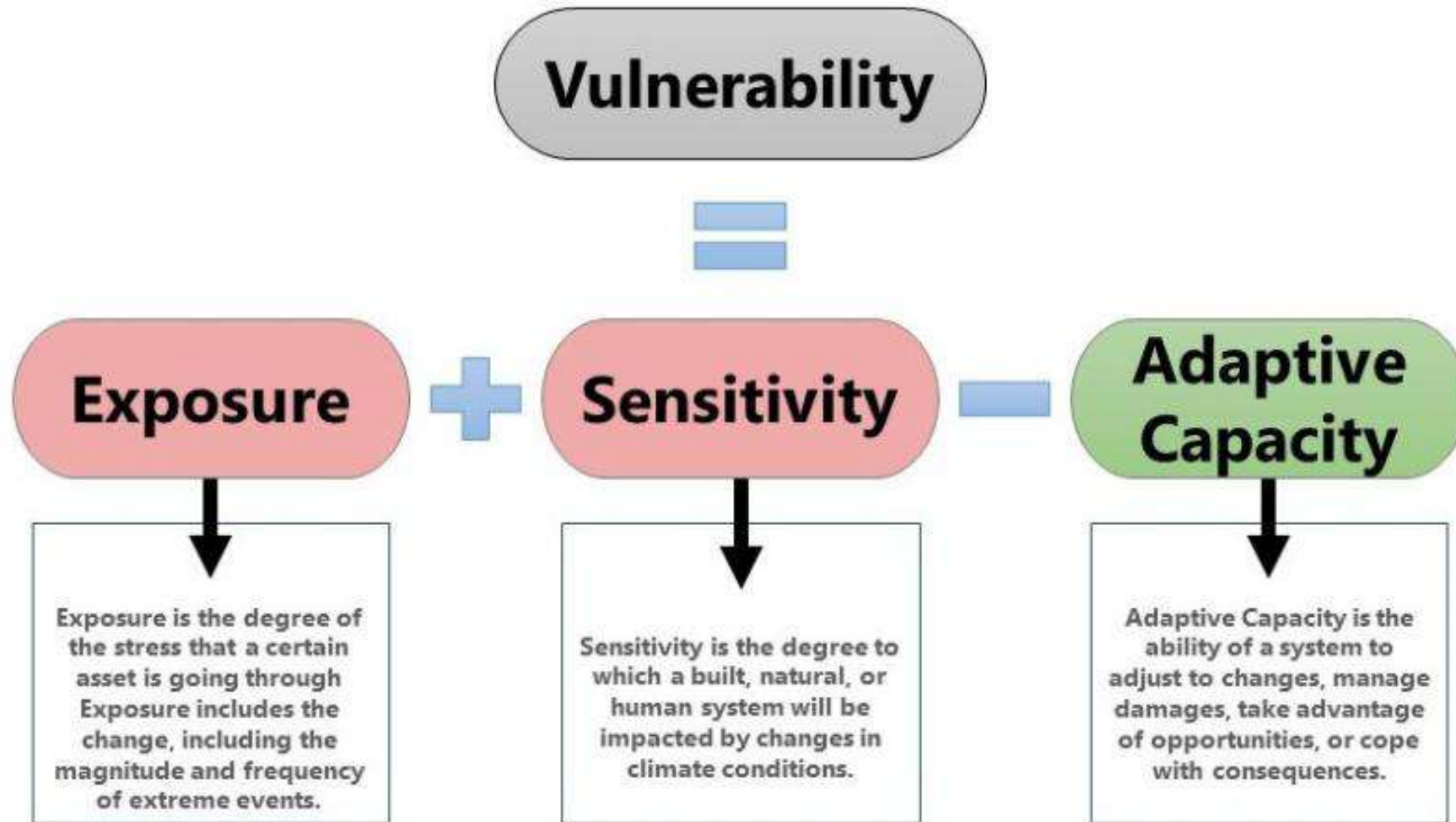


**EVALUATING ADAPTATION FUND PROJECTS ALSO MEANS LOOKING AT CLIMATE RESILIENCE**





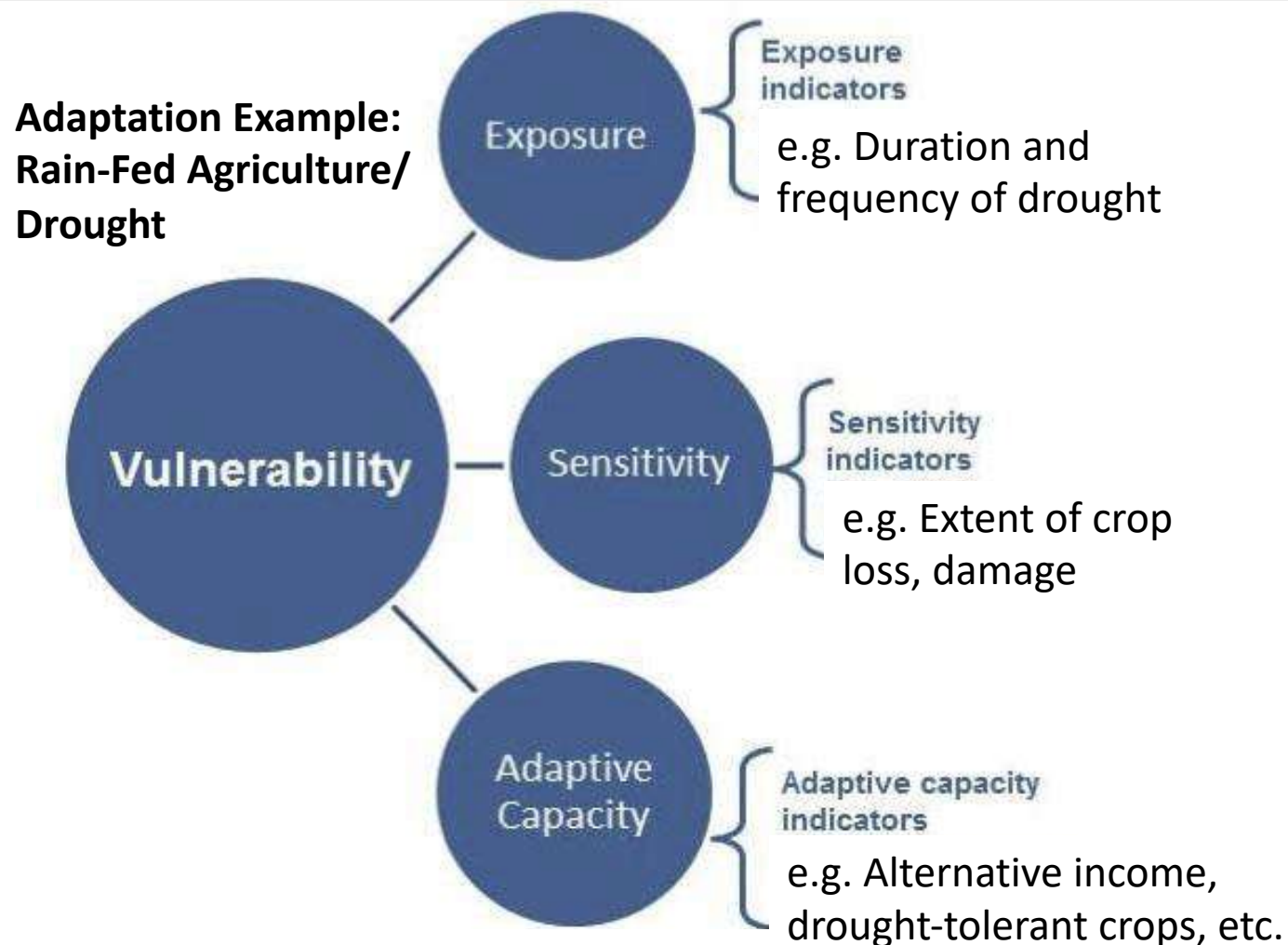
## Linking sustainability and resilience: Decreasing Vulnerability





## Linking sustainability and resilience: Decreasing Vulnerability

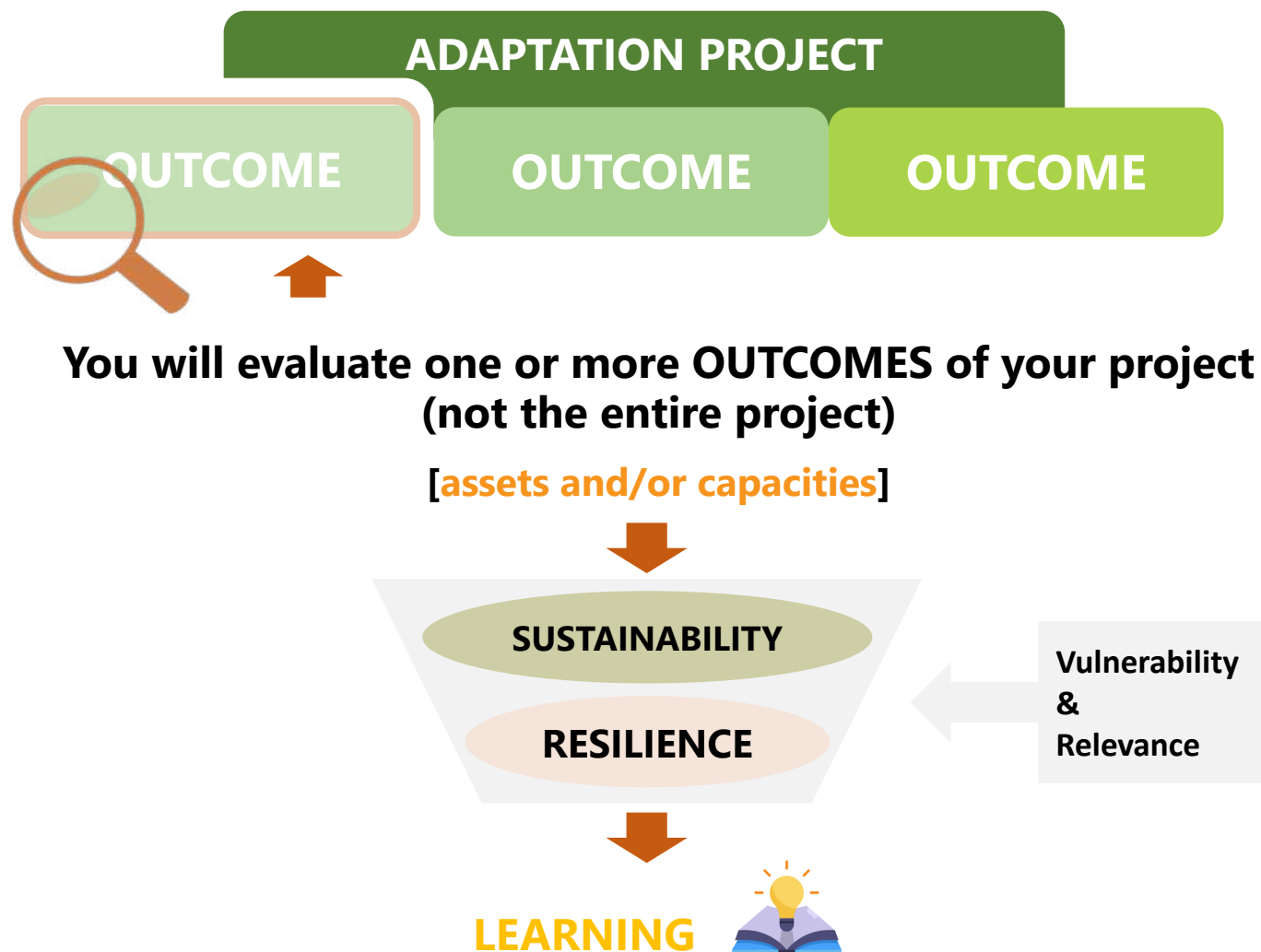
- ✓ **Vulnerability is structural**; if an outcome has been sustained, it is because it was valued or relevant to reducing vulnerability
- ✓ **Vulnerability is multi-dimensional**; social, economic/financial, and cultural, but also environmental (including climate and other external disturbances)
- ✓ **Most of climate change adaptation is tied to broader unmet development needs**



**NB: Refer to upcoming slide on relevance in climate change adaptation vs relevance in sustainability**

# Understanding ex post evaluations

[AF-TERG framework] What will you evaluate at ex post?



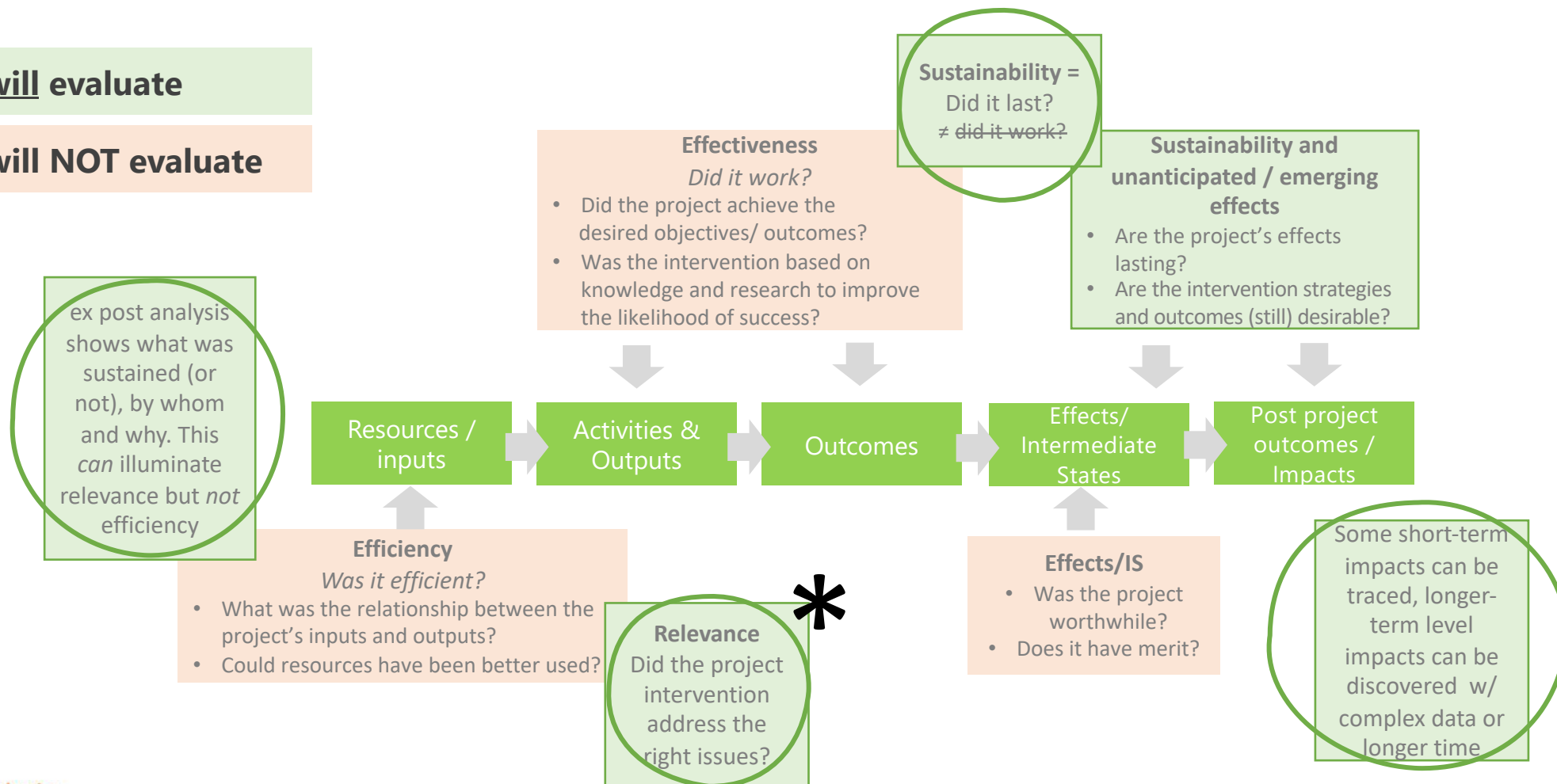


## What will you evaluate at ex post?

Legend:

What you will evaluate

What you will NOT evaluate



# Understanding ex post evaluations

## What will you evaluate at ex post?

### What relevance means for sustainability

- Ex post focuses on learning what does/ doesn't last, and why, and then examines relevance.
- Using OECD/DAC + sustainability thinking, relevance is: 'did the intervention address (fund, design, implement) the right issues... that could be sustained?'
- If results were not sustained, why not, and what can be learned?
- Ex posts look for sustainability disincentives in the very funding/design, e.g. food aid subsidies

**Relevance**  
Did the project intervention address the right issues? \*

### What relevance means for adaptation

- Outcomes achieved e.g.:
  - feed into national or sector-level climate change strategy objectives
  - address the needs of the most vulnerable people and/or address climate-vulnerable sectors
  - reduce exposure to and/or sensitivity to climate disturbances
  - improve use, quality of, and/or access to climate information for decision-making
- Key participants involved or affected by the outcome achieved are engaged and invested in its continuation



## Learning and main expectations from ex post project evaluations

### Main lessons from past ex post evaluations, to be expected:

- There are always **positive and negative lessons from all project evaluated**; not all activities are typically sustained, but all results can be learned from;
- Questions of **why some results lasted in some places over others** can illuminate differences in context, design, implementation, M&E or exit;
- Some **outputs/outcomes could be sustained differently than originally conceived**, given differed resources/ capacities etc.; this has important future design implications, especially for scaling up 'success' that can be differently defined;
- There can be **emerging outcomes** that came from local efforts (not through the project) to sustain results through different design and implementation. These especially can help inform future project design and funding.



The Power Of Learning

# Understanding ex post evaluations

## What ex post evaluations can tell: example of mixed outcomes

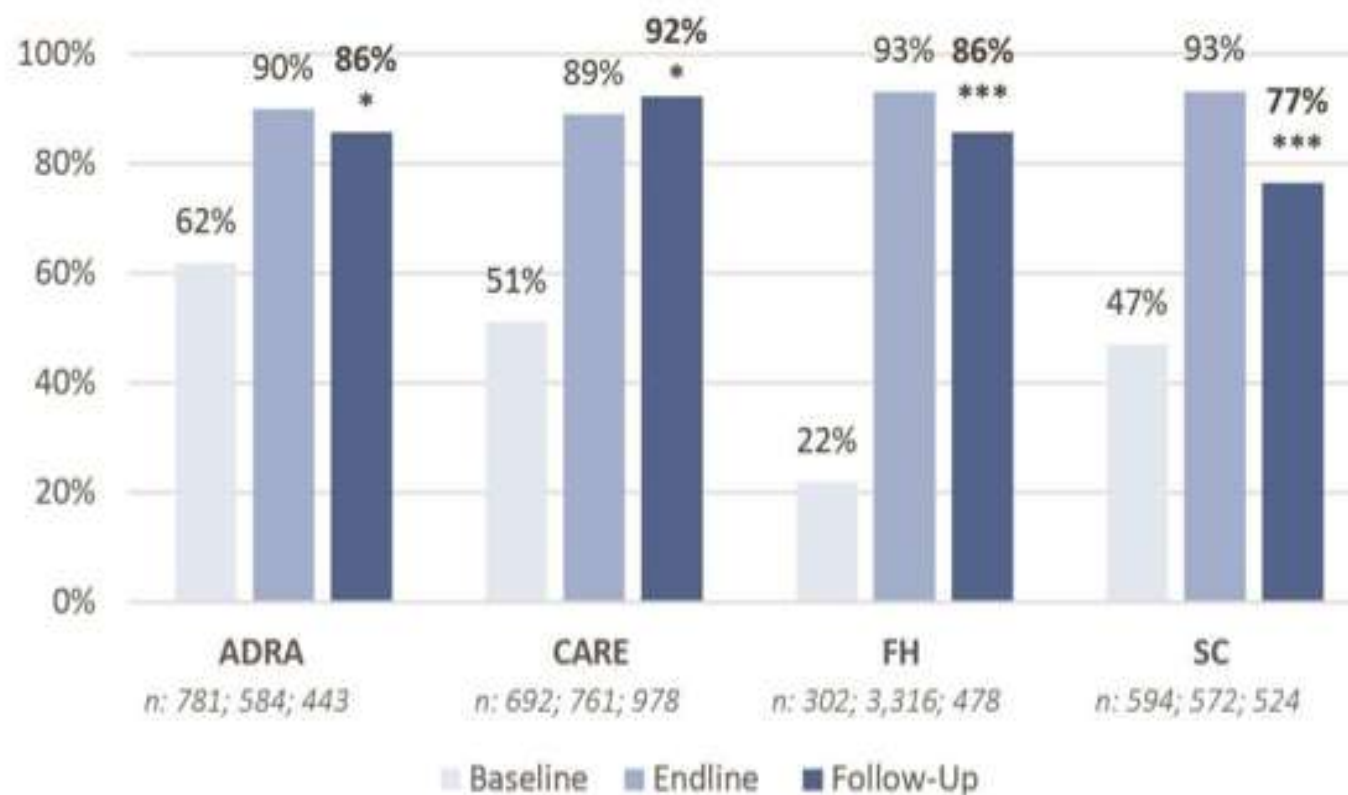
**Percentage of households with children 3-35 months of age participating in growth monitoring:**

**Decreased child health** via growth monitoring from end line by only 4-16% (ADRA, FH, SC)

**Improved child health** via growth monitoring by 3% (CARE)

### Mixed (Typical) outcomes on child health, Bolivia

USAID, 2 years ex post 2016



# Understanding ex post evaluations

## What ex post evaluations can tell: example of unanticipated outcomes

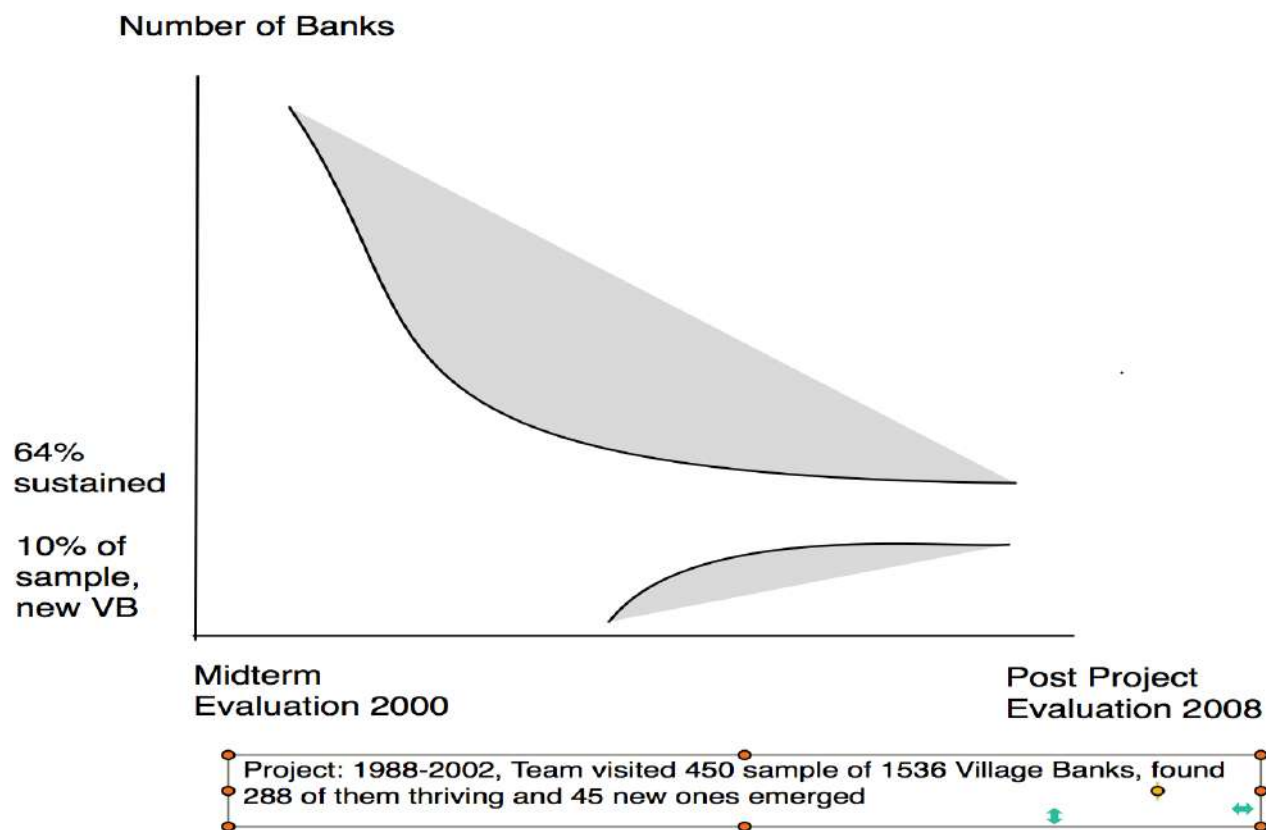
### Mixed Results with Unexpected Positive Results in Village Savings and Empowerment

**Only 2/3 banks were sustained...**

Yet **10% were new village banks formed post-closure** in communities by word of mouth or self-help training

(Note: No baseline or final, only since midterm, project was replicated in 12 countries)

#### PACT WORTH Nepal, 2008





# Understanding ex post evaluations

## Gender Considerations – AF Policy



Photo credit: M. Petrov

### AF Gender Policy (2016, 2022)

- Gender Action Plan for 2021-2023
- Guidance Document for Compliance published October 2022
- *Policy applies to project operations from 2016 onwards*

### AF Evaluation Policy (2022)

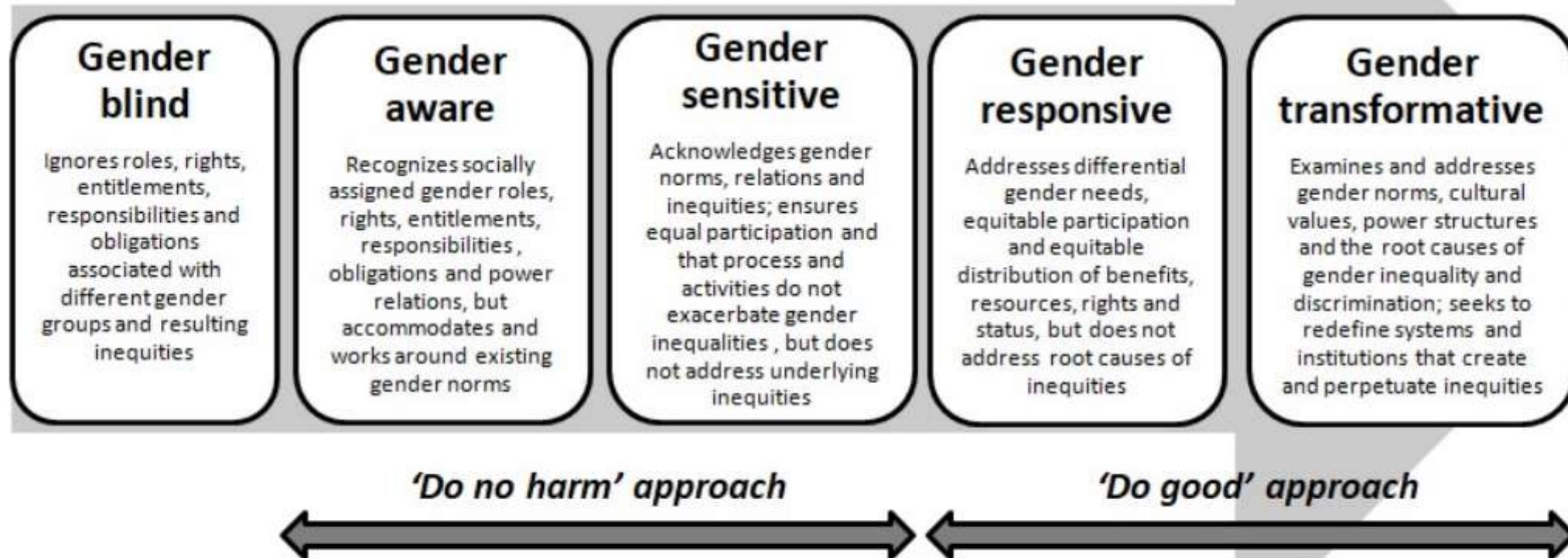
- “Equitable and gender-sensitive inclusivity” is an EP principle.



# Understanding ex post evaluations

## Gender Considerations – Gender in Ex Post Evaluations

### Adaptation Fund Gender Integration Continuum



## Gender Considerations – Gender in Ex Post Evaluations

### Gender in AF Ex Post Evaluations

- 1. Project screening and desk review phase:** Screen for gender-disaggregated data, elements of the theory of change that may or may not have been gender sensitive, and potential gender differences in the distribution of project benefits.
- 2. Training and co-creation:** Ensure that women are represented and meaningfully involved in all aspects of training and co-creation.
- 3. Field work:** Document gender of key informants and seek equitable representation of women and men; ask questions that assess sustained project benefits by gender (i.e. who is using assets or capacities generated by the project); and document evidence of gender-differentiated vulnerability and/or adaptation and/or resilience when possible.

# Stretch and drink break



Questions? Comments?

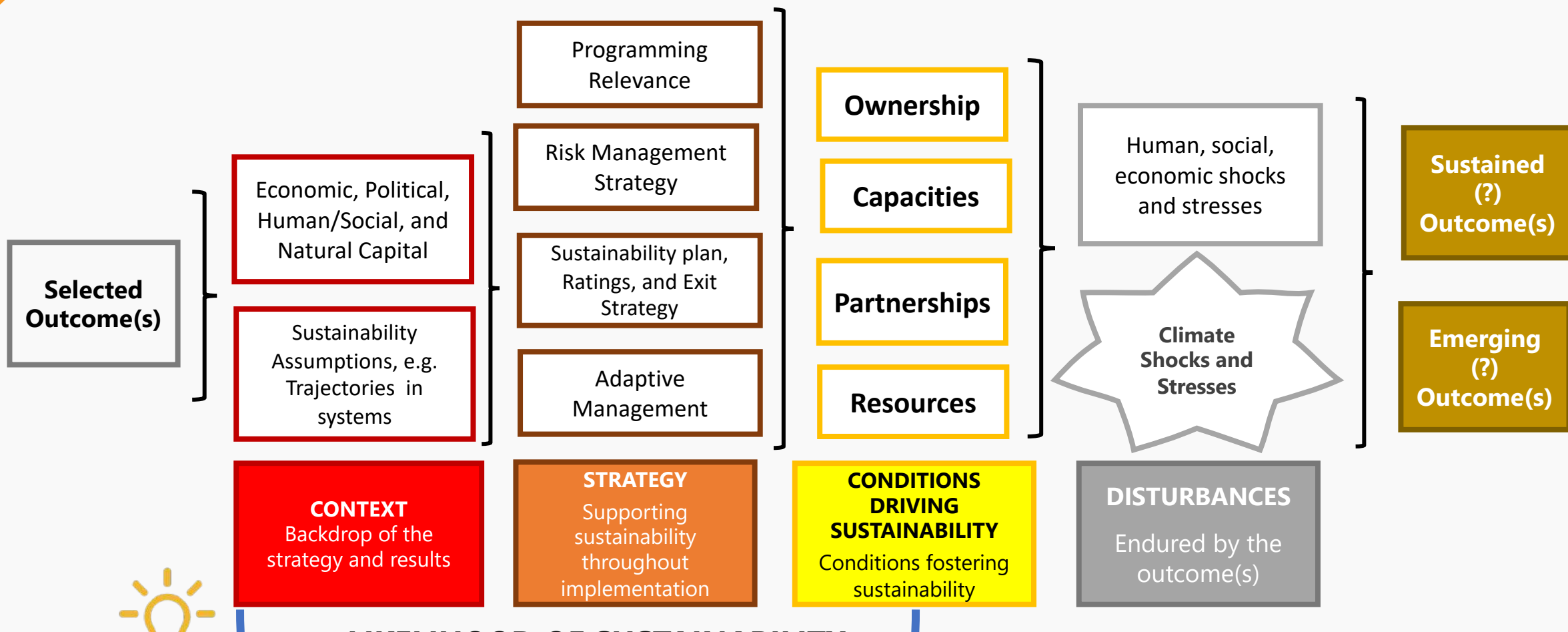
# 1.3- Sustainability and resilience analysis frameworks

## Contents

- Quick overview of sustainability analysis
- Quick overview of resilience analysis

# Ex post evaluation and sustainability

## Analyzing sustainability through the sustainability framework



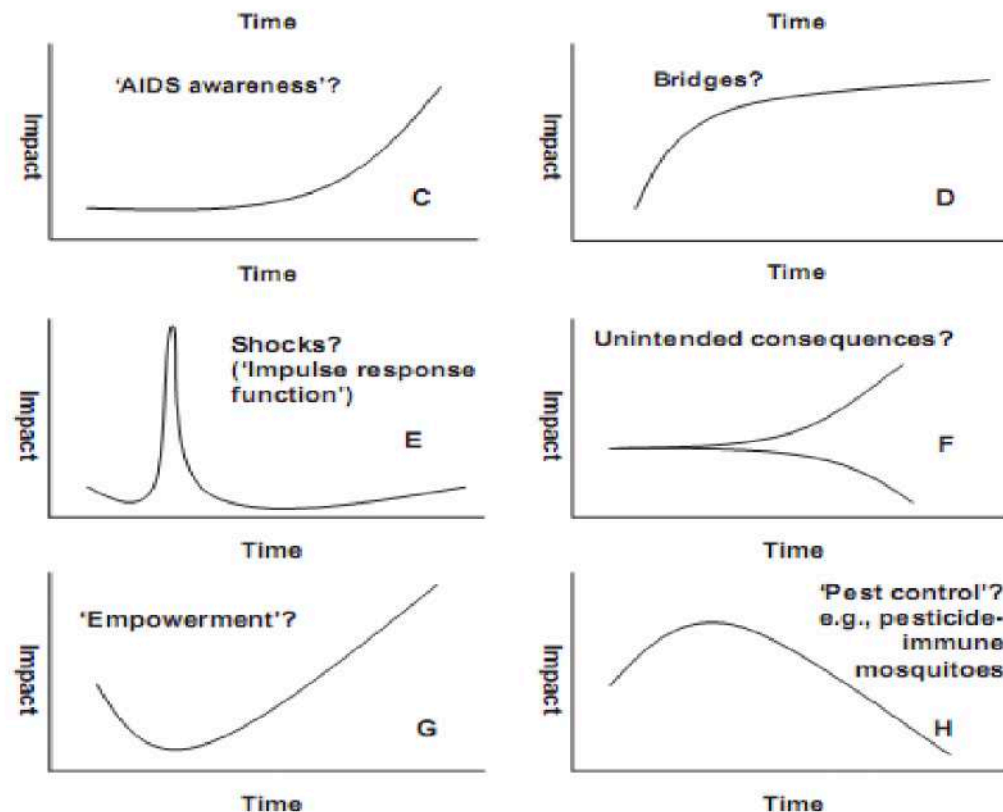
**YOU WILL USE THE ENTIRE SUTAINABILITY FRAMEWORK (ALL 4 COMPONENTS) AS PART OF THE EX POST EVALUATION TO UNDERSTAND HOW THE OUTCOME(S) IS/ARE (NOT) SUSTAINED**

## Context: Capital and Trajectories

### Types of Capital – Community Capitals Framework



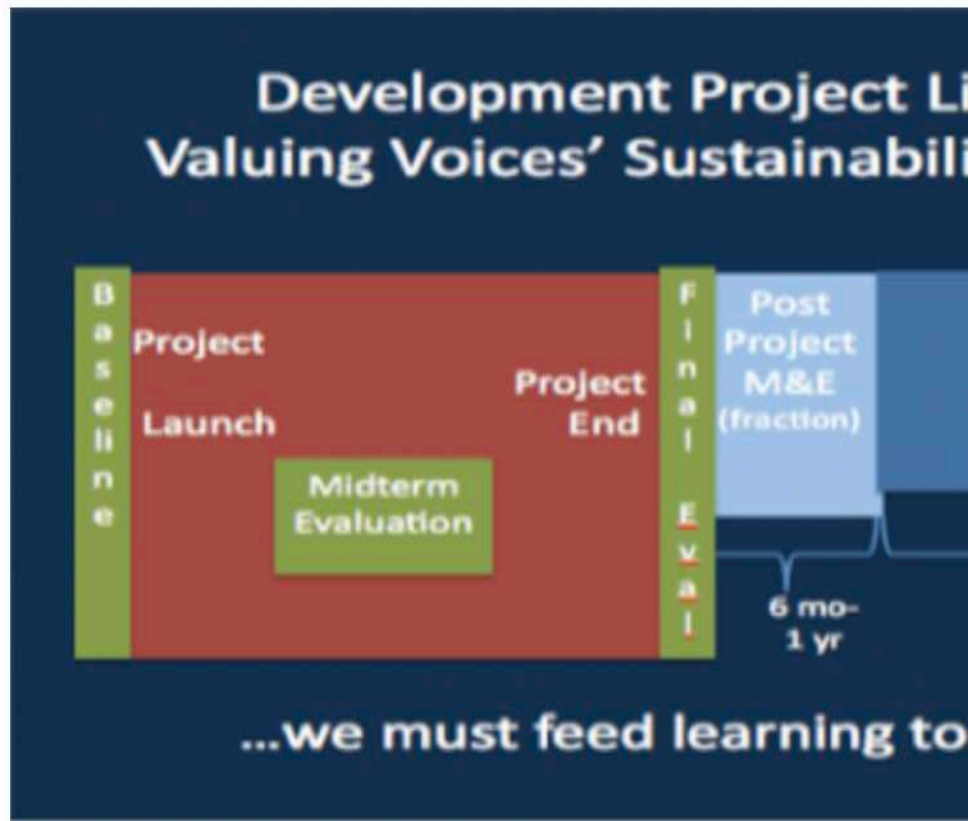
### Types of Trajectories



# Ex post evaluation and sustainability

**STRATEGY**  
Supporting sustainability throughout implementation

## Strategy: Relevance, Strategy, Sustainability & Risk Management plans, Adaptive Management



The adaptive management cycle



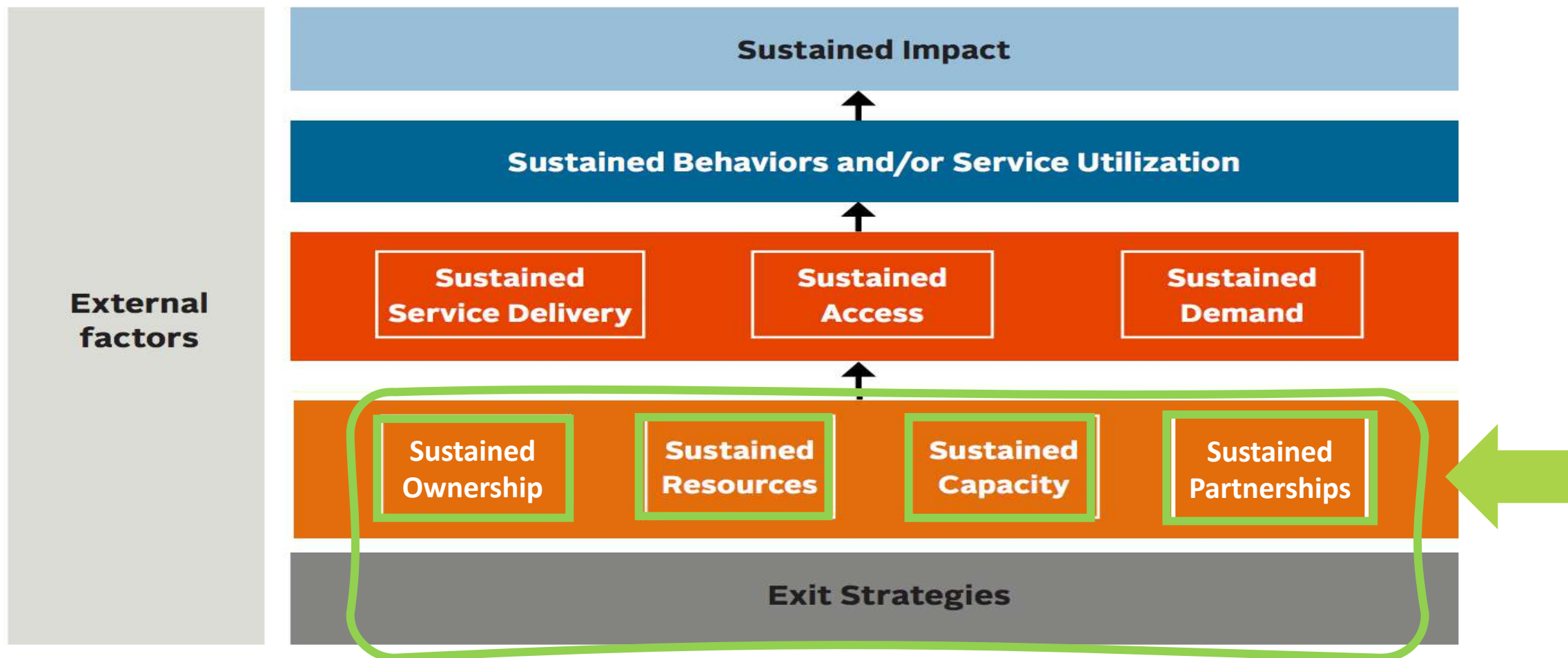
Source: DPIPWE 2014 after Jones 2005, 2009



# Ex post evaluation and sustainability

**CONDITIONS DRIVING SUSTAINABILITY**  
Conditions fostering sustainability

Conditions: Ownership, Resources, Capacity, Partnership



Adapted from Coates and Kegode. 2012. "Kenya Exit Strategies Study Round 2 Report." Unpublished, submitted to FANTA April 8.

# Ex post evaluation and sustainability

**CONDITIONS DRIVING SUSTAINABILITY**  
Conditions fostering sustainability

## Conditions: Focus on Capacity – The Kirkpatrick Model



*cal/national stakeholder  
continue sector change?*

**Level 1**  
*Reaction* measures how participants react to the training

**Level 2**  
*Learning* analyzes if they truly understood the training (e.g., increase in knowledge, skills or experience?)

**Level 3**  
*Behavior* looks at if they are utilizing what they learned at work (e.g., change in behaviors?)

**Level 4**  
*Results* determines if the material had a positive impact

1&2 Requires baseline data at time of training

3&4 Could be determined retrospectively via interviews

**A retrospective evaluation** determines what *actually* happened (and why)... and traces current results to past outcomes, where possible.

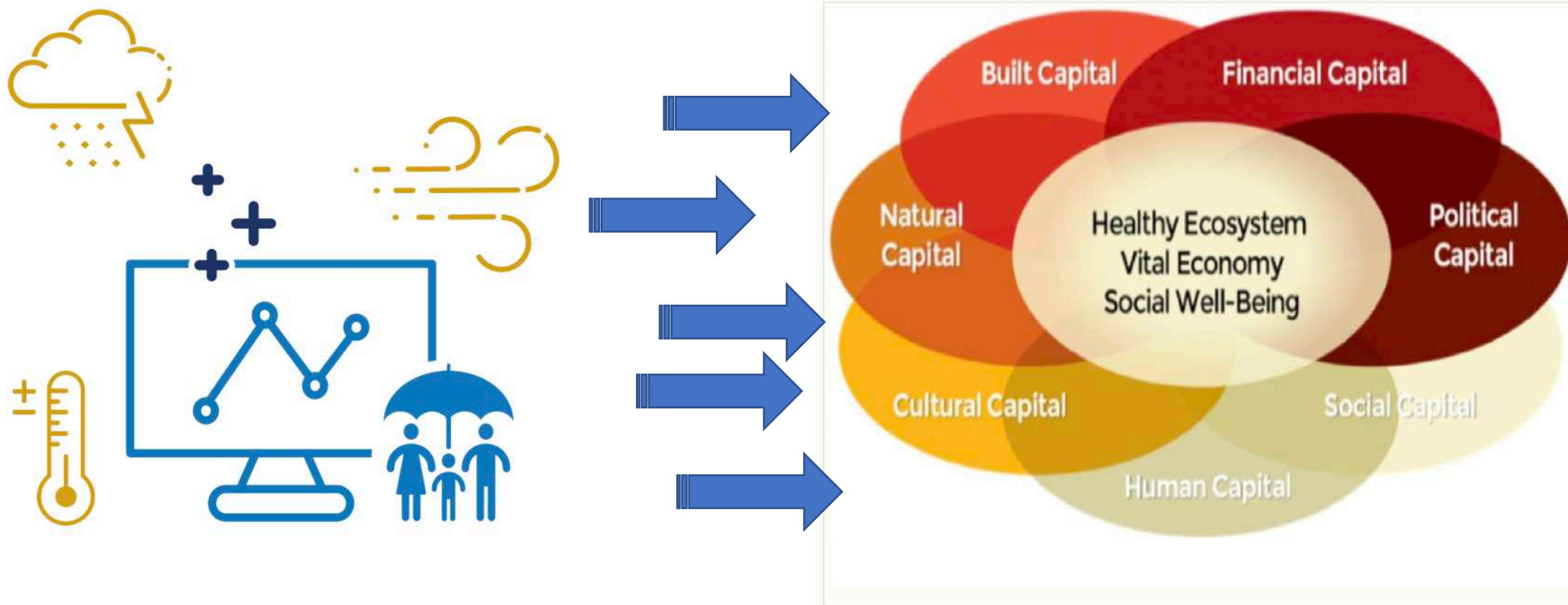
It is subjective, but data can be triangulated. Also, information from respondents can help increase confidence in the contribution the project (still) makes through achieved outputs/ outcomes...

# Ex post evaluation and sustainability

## DISTURBANCES

Endured by the outcome(s)

### Disturbances: Shocks and Stresses (climate and non-climate)

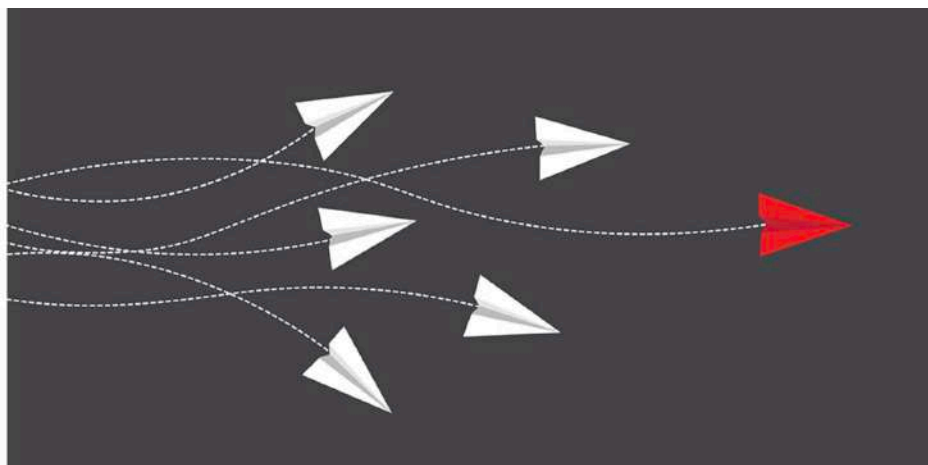


# Ex post evaluation and sustainability

Outcome(s)

## Outcomes: (Un?) Sustained & Emerging (?)

### Emerging outcome examples:



= project outcomes

= sustained outcome

Ownership & Resources:  
*Participants valued the health clinic built by the project and sustained it by **introducing community tithing to cover costs and incentives to comply** (CRS/Niger)*



Niger health clinic



Partnerships & Capacity:  
*Members of **Village Banks** offered trainings in Village Banks for sale in distant home areas (Pact/Nepal)*

# Ex post evaluation and resilience

## Defining resilience in the context of Climate Change Adaptation

"Resilience" to both the sudden and long-term effects of climate change can be described as a high-level goal of climate change adaptation.



Successful adaptation means the structures and functions critical to life are less affected by climate-related disturbances, and/or these disturbances are less impactful.

**DISTURBANCES:** acute shocks (e.g. a cyclone, flood event) or chronic stresses (e.g. gradual crop loss from temperature rise, sea level rise).

Affect...

...Are affected by



### **STRUCTURES:**

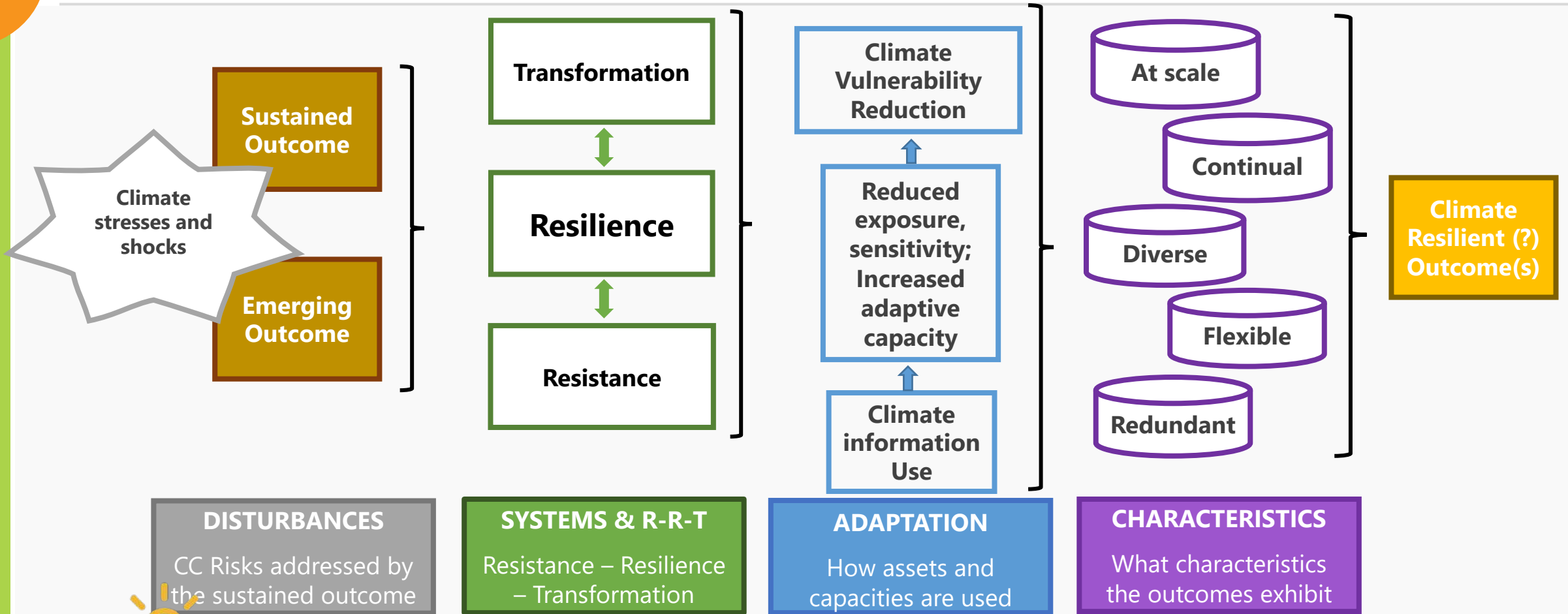
\*a literal, physical asset (forest, storm wall, evacuation shelter, etc.),  
\*a figurative asset like an institution or set of practices (local government, economy, early warning system).

### **FUNCTIONS:**

ability to serve a particular need or purpose (generate income, attend school, be safe and secure).

# Data analysis – resilience tools

## Analyzing resilience through the resilience framework



**YOU WILL USE THE ENTIRE RESILIENCE FRAMEWORK (ALL 4 COMPONENTS) AS PART OF THE EX POST EVALUATION TO UNDERSTAND HOW THE OUTCOME(S) IS/ARE (NOT) RESILIENT**

## Disturbances: Climate stresses and shocks

### EXAMPLE - Outcome: Improve food security for drought prone region

#### Climate change stresses

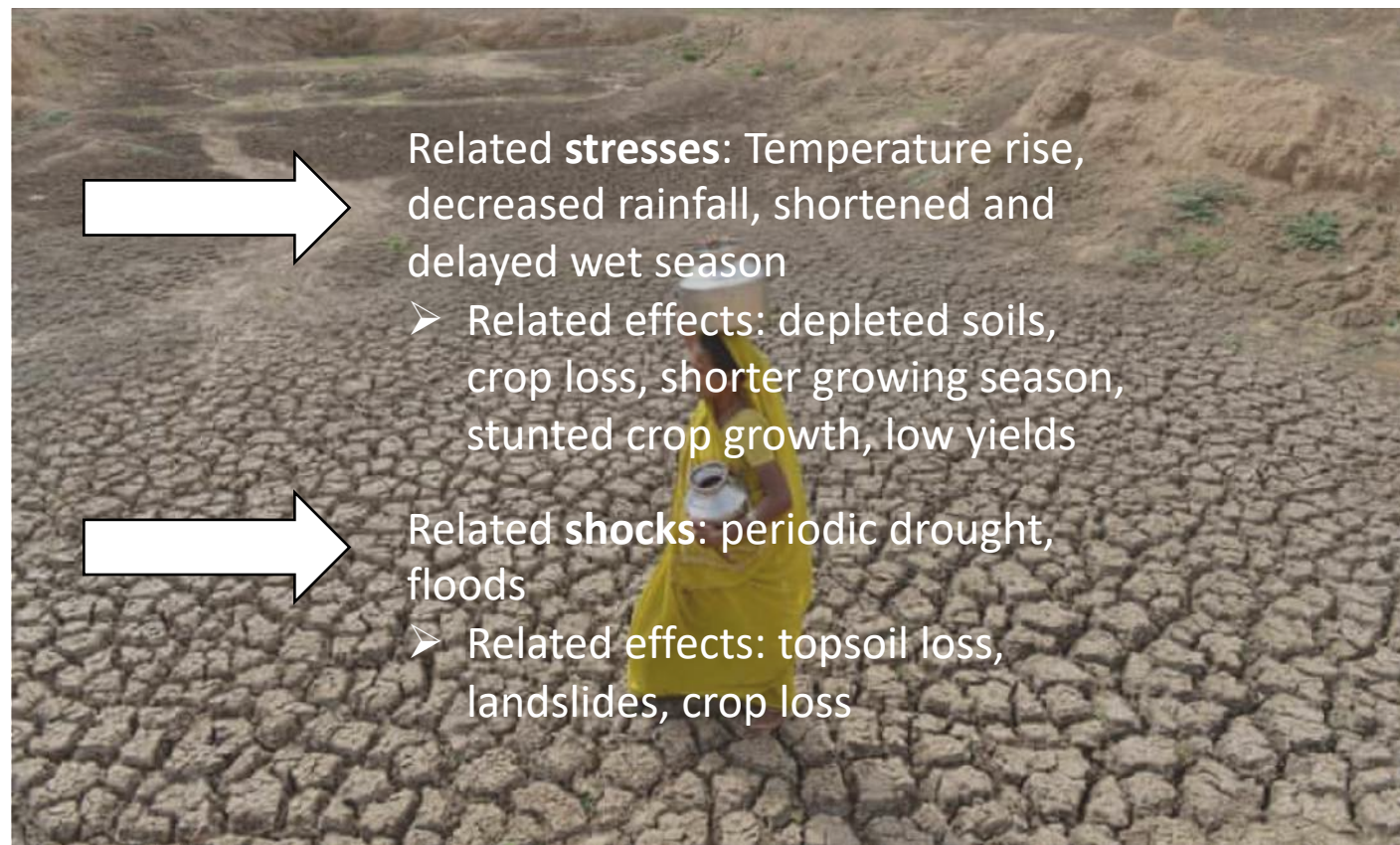
Gradual and/or cyclical changes in:

- Temperature
- Rainfall, rainfall patterns
- Sea level (rise)

#### Climate change shocks

Sudden ((un)expected) events:

- Hurricane or Typhoon
- Tornado
- Flood
- Storm Surge
- Seasonal Drought



Related **stresses**: Temperature rise, decreased rainfall, shortened and delayed wet season

- Related effects: depleted soils, crop loss, shorter growing season, stunted crop growth, low yields

Related **shocks**: periodic drought, floods

- Related effects: topsoil loss, landslides, crop loss

# Ex post evaluation and resilience

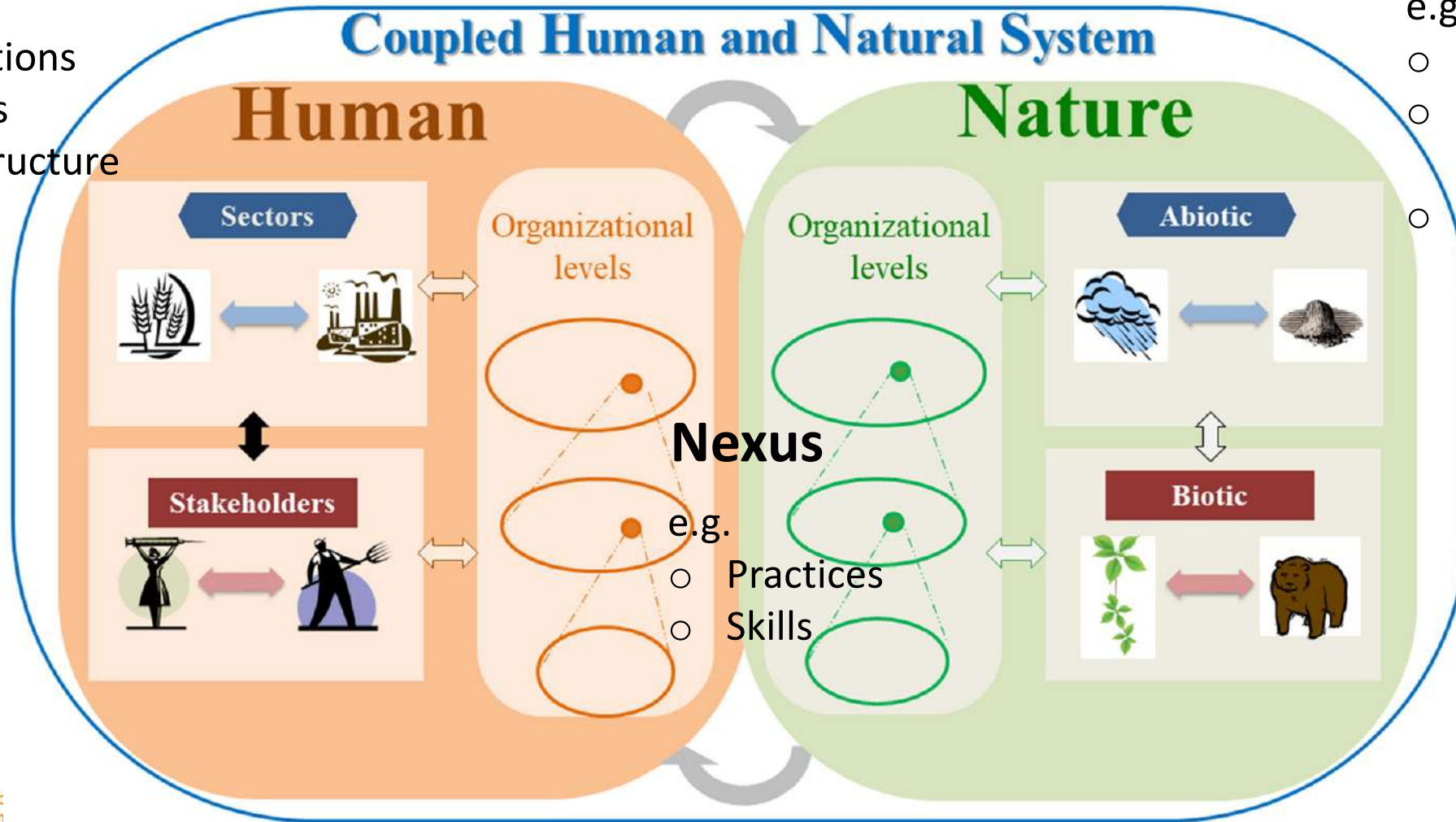
## SYSTEMS & RRT

The larger context of the strategy and results

## Systems: Human, Natural, Nexus

e.g.

- Institutions
- Policies
- Infrastructure

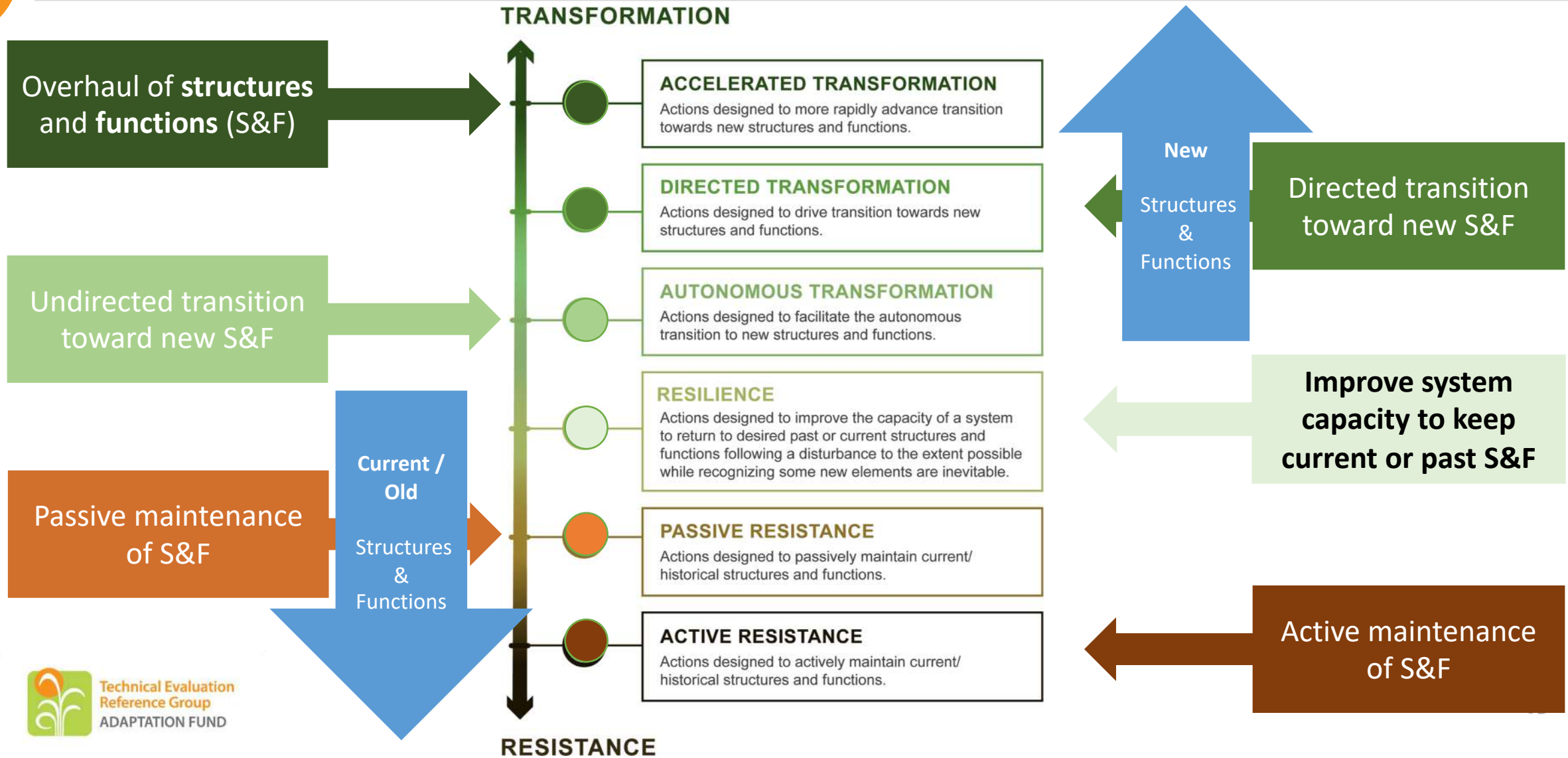


e.g.

- River basin
- Forest/protected area
- Wetlands

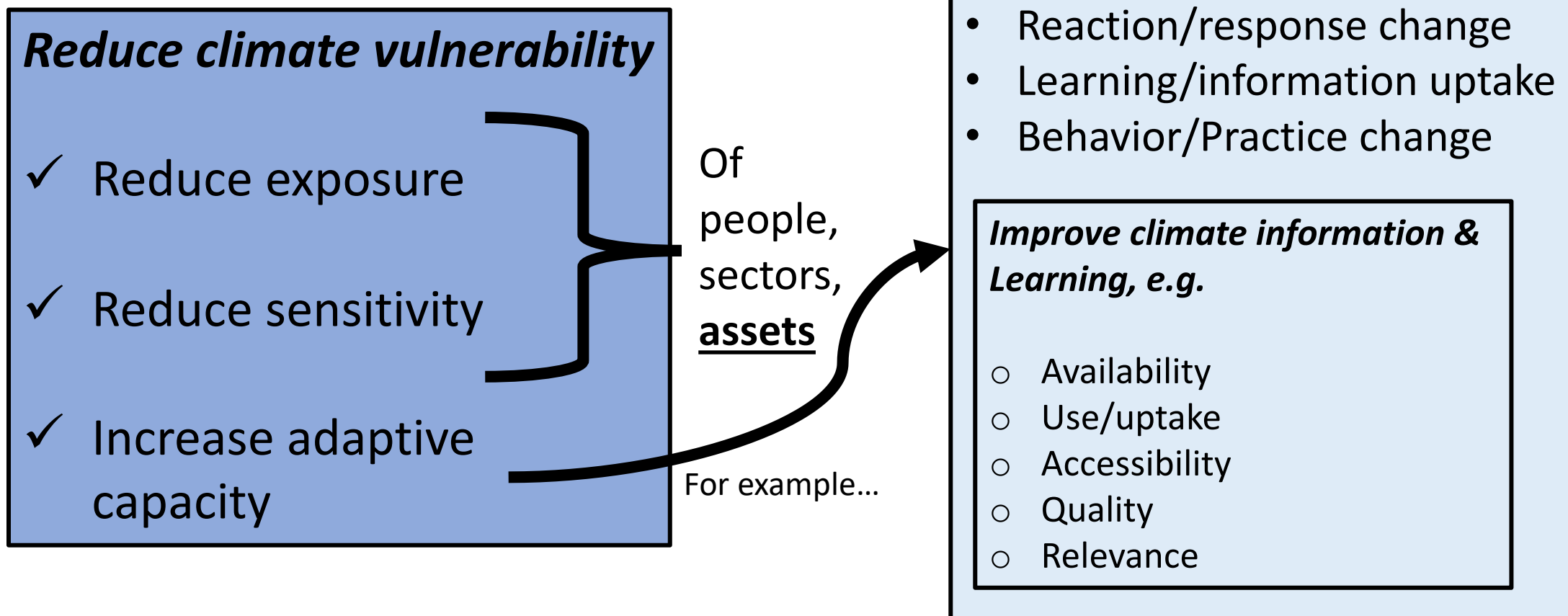


## Evaluating resilience : Systems & RRT Typology



## Adaptation: Climate Vulnerability, Climate Information

How are various assets and capacities used to reduce vulnerability and enable climate change adaptation? They can:



## Adaptation: Climate Vulnerability, Climate Information

How are various assets and capacities used to reduce vulnerability and enable climate change adaptation? They can:

### *Reduce climate vulnerability*

- ✓ Reduce exposure
- ✓ Reduce sensitivity
- ✓ Increase adaptive capacity

Infrastructure site 4: Salimu/ Musumusu road - water ponding on road from wetlands and streams runoff, no parallel drainage to guide water to cross culverts'



Infrastructure site 4: Salimu/ Musumusu rockwall - Rock undermine from wetland and stream runoff onto the road

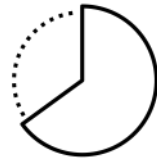


### Resistance-Resilience-Transformation Characteristics



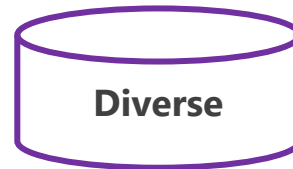
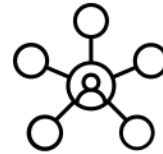
**Continual**

Feedback loops; continually receive and provide relevant information/substance



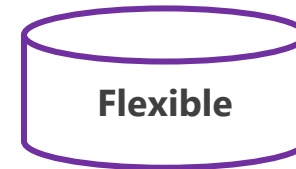
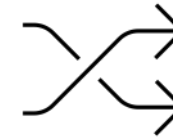
**At scale**

Sufficient time and space for systems to maintain or modify structures and functions



**Diverse**

Complexity of actors reliant on /supporting one another for success or survival



**Flexible**

Dynamic in approaches and strategy, around an equilibrium



**Redundant**

Duplicate or back up systems, paths, means, or options when another fails

# Stretch and drink break



Questions? Comments?

# 1.4- Preparatory work for ex post evaluation

## Contents

- Step 1: Project documentation review
- Step 2: Theory of Change
- Step 3: Revise ToC into Theory of Sustainability
- Step 4: Outcome(s) selection for ex post evaluation

>> What do we want to see in the Inception report?

# Ex Post and field work preparation

## Objective and expectations: what will you do?

At the end of this training, you will be expected to do the following

### STEPS OF PART 1 (deliverables):

- 1 Inventory and analysis of project data availability and quality at hand
- 2 (Re-) creation of Theory of Change
- 3 Identification of factors affecting sustainability for Theory of Sustainability
- 4 Outcome selection



**Draft inception report /  
plan for ex post**



## STEP 1: project documentation review



**BEFORE GOING TO THE FIELD, THE IE AND EVALUATOR SHOULD GATHER AND REVIEW THE PROJECT'S SECONDARY DATA DOCUMENTATION (MANDATORY)**

**DATA GATHERING.** The following documents will be consulted to provide background on the project :

- ✓ **Project Proposal/Project Document**
- ✓ **Mid-Term Evaluation** and other assessments
- ✓ **Monitoring and Results Reports**
- ✓ **Final Evaluation**
- ✓ **Baseline Report & other Technical Reports**
- ✓ **Documented knowledge change**







## STEP 1: project documentation review

---

### What will the project documentation review tell us?

#### AVAILABILITY OF DATA

- Sufficient information on results (outcomes, impacts)

#### QUALITY OF DATA

- Surveys/participants, disaggregation, etc

#### CONDITIONS DRIVING SUSTAINABILITY

- Partnerships, capacities, resources, ownership

#### SUSTAINABILITY RATINGS

- Ratings, projections, etc.



# Ex post pilots: preparatory work for field work

## STEP 1: project documentation review / *identifying sustainability ratings* \*

During data gathering, you might find categories of sustainability ratings in the final evaluation. The former [Guidelines for final evaluations](#) required assessing the likelihood of sustainability of outcomes and provide a rating for the following risks and assumptions to sustainability:

- Financial and economic
- Socio-political
- Institutional framework and governance
- Environmental
- Uncertainties on climate change Impacts

### *Evaluation rating of Financial Sustainability*

*AF Project: Satisfactory (S).* Project outcomes for reduced infrastructure and ecosystems vulnerability to climate change do not require further financial inputs, aside from minimum maintenance of newly constructed infrastructure and replanted mangrove areas. District Councils are in a position to absorb these costs through their Medium-Term Expenditure Frameworks, in collaboration with the Ministries of Construction and Tourism, Natural Resources and Environment. However, local government revenues are for the most part insufficient to replicate adaptation measures or ICAM without external funding support.

*Example: Final evaluation of Tanzania*



**YOU WILL IDENTIFY SUSTAINABILITY RATINGS AND PROJECTIONS IN THE FINAL EVALUATION REPORT AND TEST WHETHER THEY HOLD TRUE AT EX POST**



# Ex post pilots: preparatory work for field work

## STEP 1: project documentation review / *identifying sustainability ratings*

### Example of identified projected sustainability to verify in the [FORECCSA project](#):

*"The expected outcomes of the two components of the FORECCSA project have been achieved **satisfactorily**:*  
*-increase awareness of communities in managing climate change risks and*  
*-enhance their ability to adapt and respond to the impacts of climate change*

*This allows to foresee a **high probability** that these communities will maintain what has been achieved."*

**To check in the field:** 

- Confirm awareness of climate change risks prior to intervention vs level at project closure;
- Document climate shocks and corresponding (absence of) community and household adaptations and responses after project closure



## STEP 2: Revisit the Theory of Change

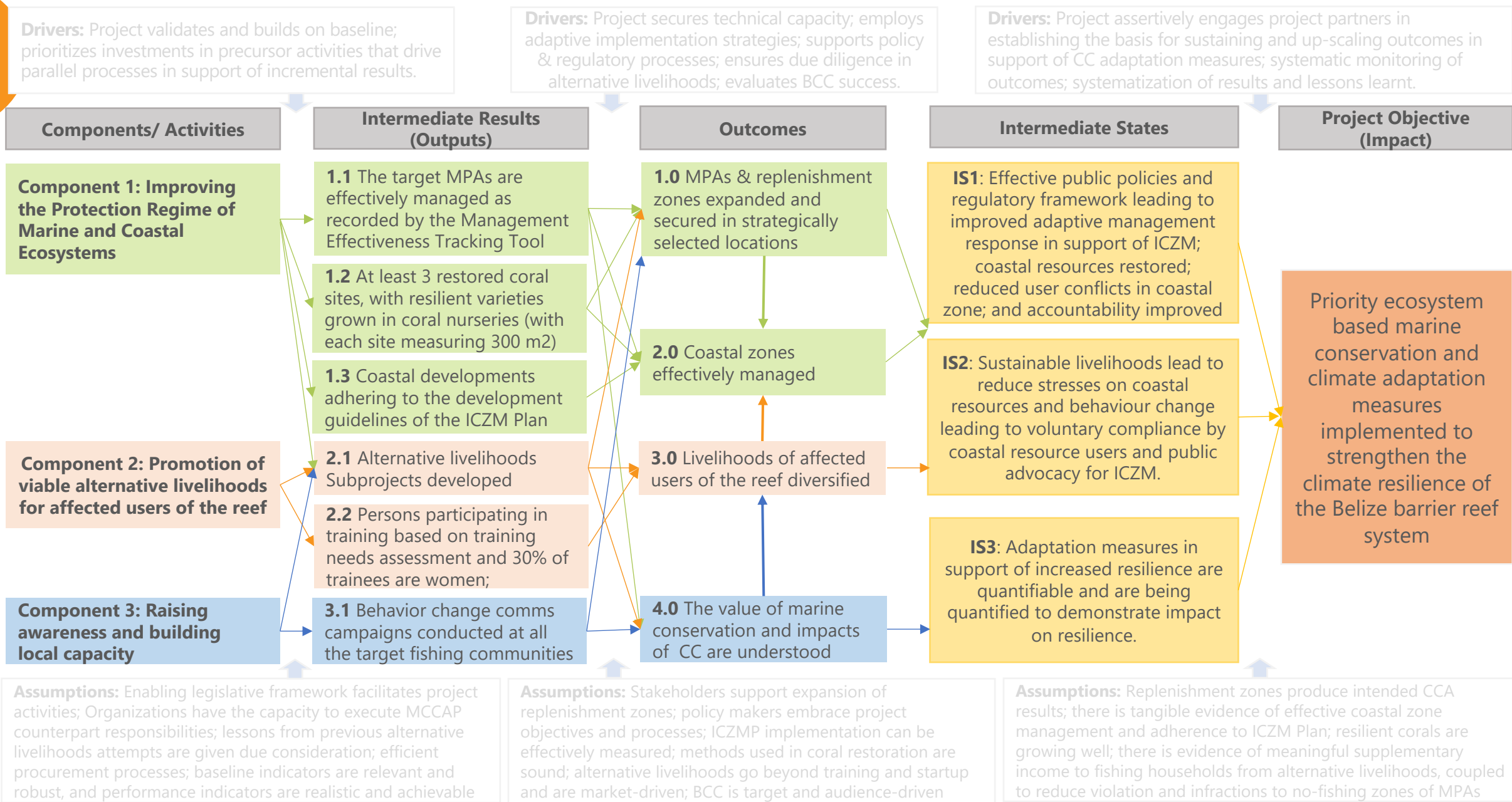


**YOU WILL NEED TO UNDERSTAND THE PROJECT LOGIC AND ASSUMPTIONS ABOUT SUSTAINABILITY IN ORDER TO CONDUCT THE EX POST EVALUATION**

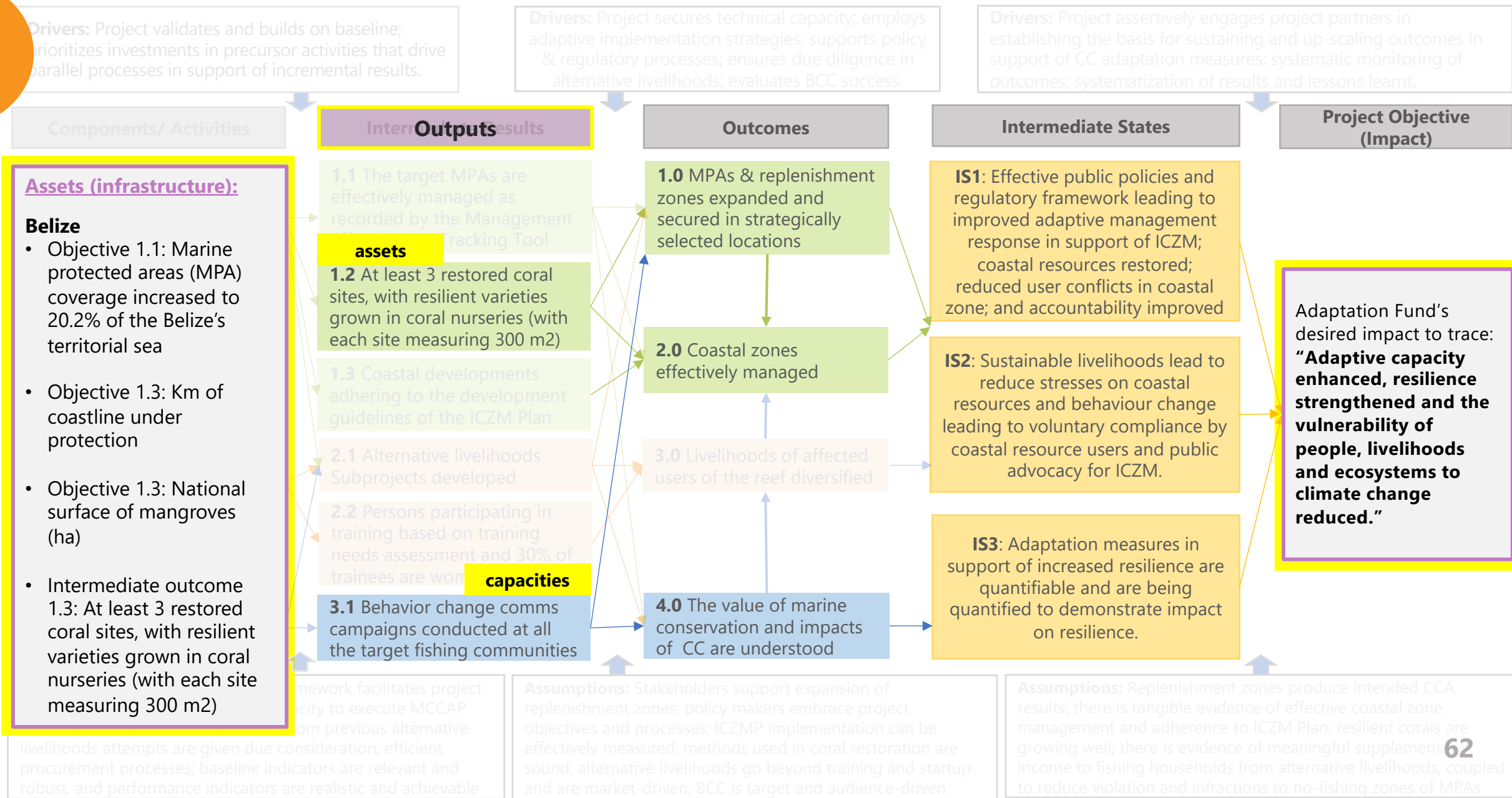
- **If the project has a Theory of Change,**
  - Ensure project Impact = Adaptation Fund's Impact
  - Identify the assets and capacities developed by the project outcomes
  - Determine whether outcomes and outputs were monitored
  - Find the most robust – thorough, verifiable, etc - data from among the assets-related outcomes and capacities-related outcomes
  - Ensure data is available from the TE/at project completion
  - Examine underlying assumptions and impact drivers related to the intervention logic
- **If the project does not have a Theory of Change,**
  - Recreate a Theory of Change by identifying the project logic and the results chain
  - Go through the steps above



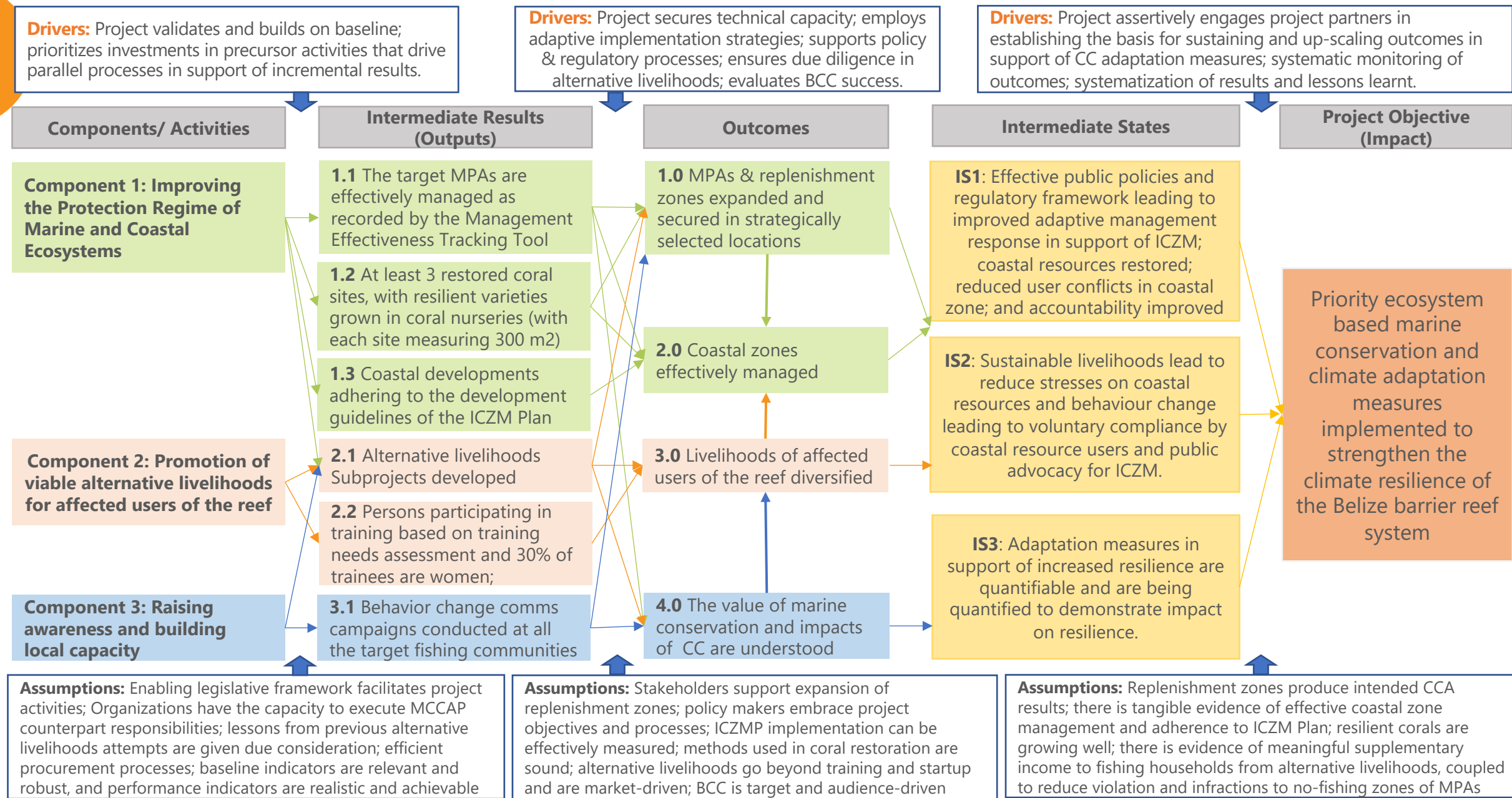
# Revisiting the ToC: Belize Example



# Revisiting the ToC: Belize Example (identifying assets)



# Revise the ToC: Belize Example (assumptions and drivers)



# Ex post pilots: preparatory work for field work

## STEP 3: Revise Theory of Change into a Theory of Sustainability

Identify underlying assumptions about climate shocks (Ecuador example)

Environmental and uncertainty of  
climate change impact risks

Moderately  
Probable



The main environmental risks faced by areas of [FORECCSA](#) project are derived from **global warming, environmental contamination, destruction of forests, diversification, floods, affectation of water sources, greenhouse effect, and decreased biodiversity.**

e.g.

- use of chemical products in flower companies
- decrease in water volume and loss of topsoil due to poor agricultural practices

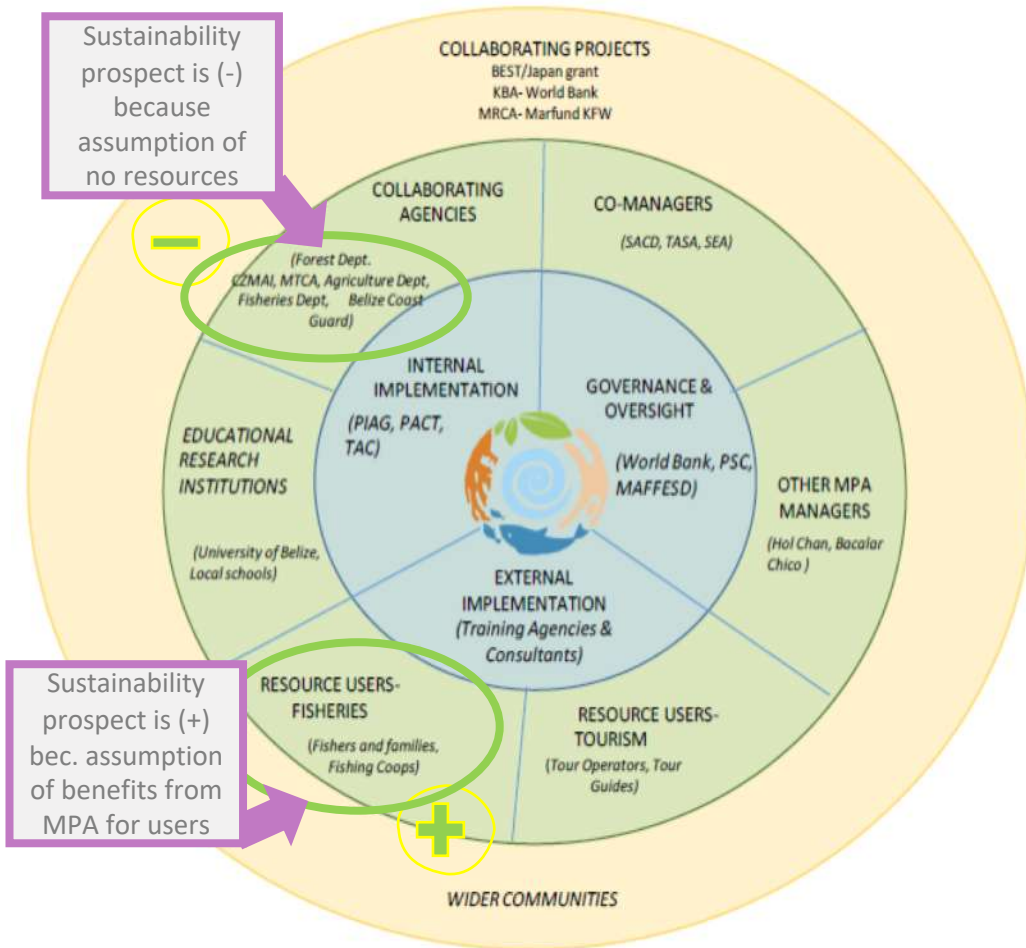
*Source: Evaluation of sustainability from the final evaluation of the Ecuador project*



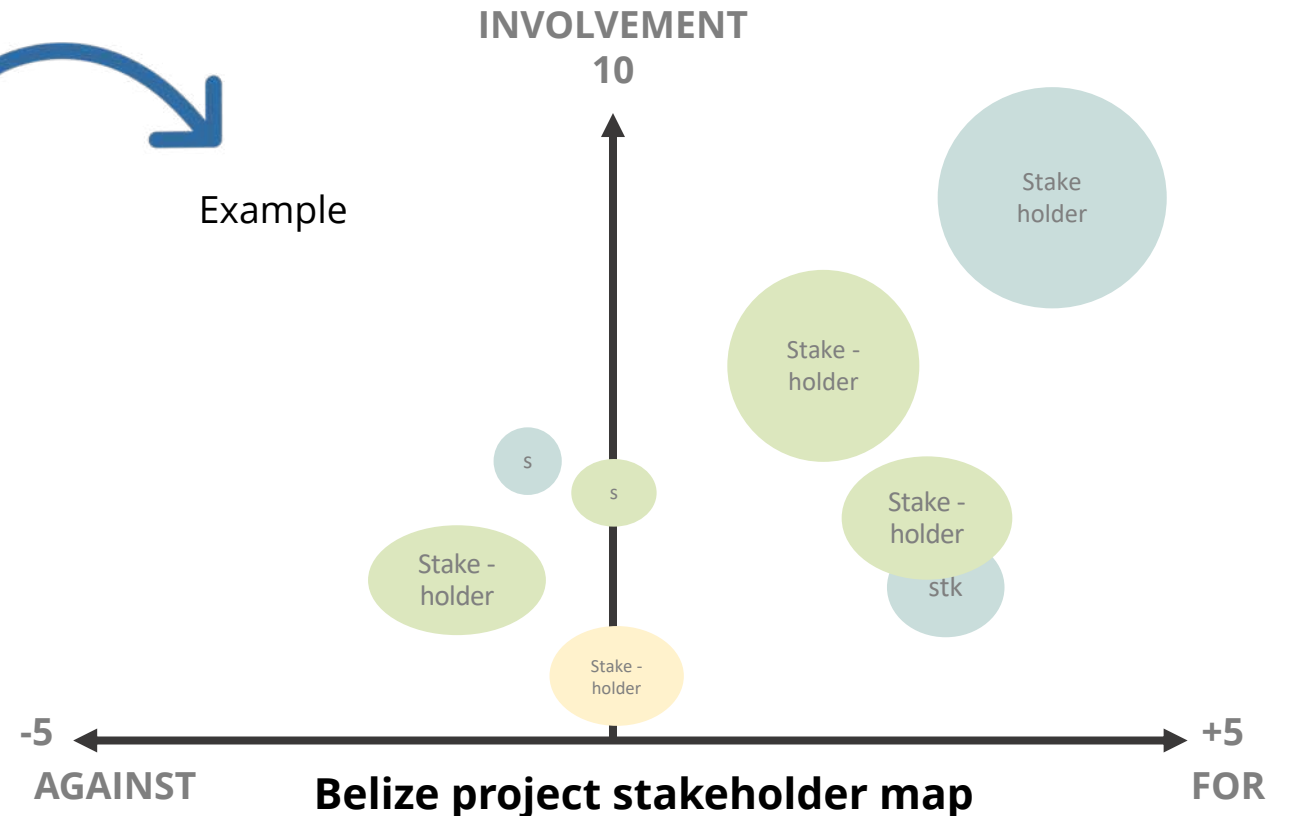
# Ex post pilots: preparatory work for field work

## STEP 3: Revise Theory of Change into a Theory of Sustainability

Identify sustainability assumptions: Map out who should be talked to and test assumptions of sustainability



Example



Which stakeholders are likely to make things last (+) or not (-)?



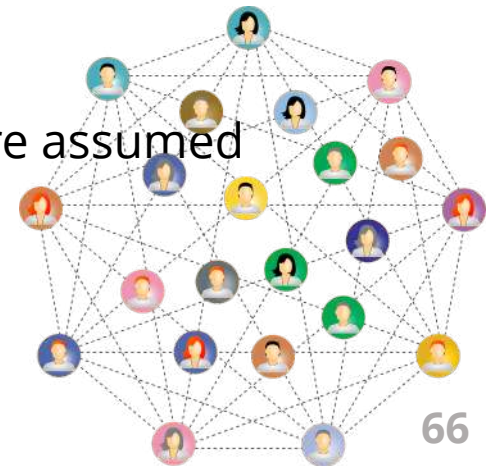
## STEP 3: Revise Theory of Change into a Theory of Sustainability

### Identify sustainability assumptions:

Understand who is expected to positively sustain results/ or harm them since exit

### >>> Draw a stakeholder map of organizations likely to sustain the results

- including partnerships, resources, and capacities to be sustained, how design & exit enabled this (e.g. who took over implementation ex post?)
- capacity and commitment and structure of institutions assuming responsibility post project and relationships of those locally implementing.
- what conditions/inputs internal to the project implementation that were assumed at exit changed since closure?



## STEP 4: Select the outcome(s) you will evaluate

**REMINDER: you will evaluate one or more outcome(s)  
(not *all* outcomes of the project)**



### OUTCOME SELECTION

*How?*

*(what will you consider for outcome selection?)*



- a** Interest and learning priorities of stakeholders (co-creation process)
- b** Quality of data
- c** Sustainability at exit or prospects of sustainability (e.g. Sustainability ratings and assumptions)

## STEP 4: Select the outcome(s) you will evaluate

### a Interest and learning priorities of stakeholders

#### >> Discuss purpose in choosing evaluated outcome(s) with key stakeholders

- Reminder of ex post evaluation questions: sustainability & relevance... and resilience
- Stakeholders' expectations and pre-evaluation questions :
  - What are the learning priorities for the implementing entity? National stakeholders?
  - What other things could be learned from the evaluation? How?
  - How will the evaluation process & findings be used and by whom?
  - Who will use the eval. data in the future and how will that influence retention & dissemination, from local levels to international?
- Other interests or lessons learned for current or future programming?

# Ex post pilots: preparatory work for field work

## STEP 4: Select the outcome(s) you will evaluate

### **b** Review quality of outcomes/outputs to give priority to measurable ones

Consider the following distinctions for the review:

- Planned outcomes (targets)
- VS
- Actual outcomes

Verify achievement, sustainability  
and risks

- Strong outcomes (measurable outputs)
- VS
- Weak outcomes (outputs not measured/missing data)

Give priority to measurable  
outcomes/outputs

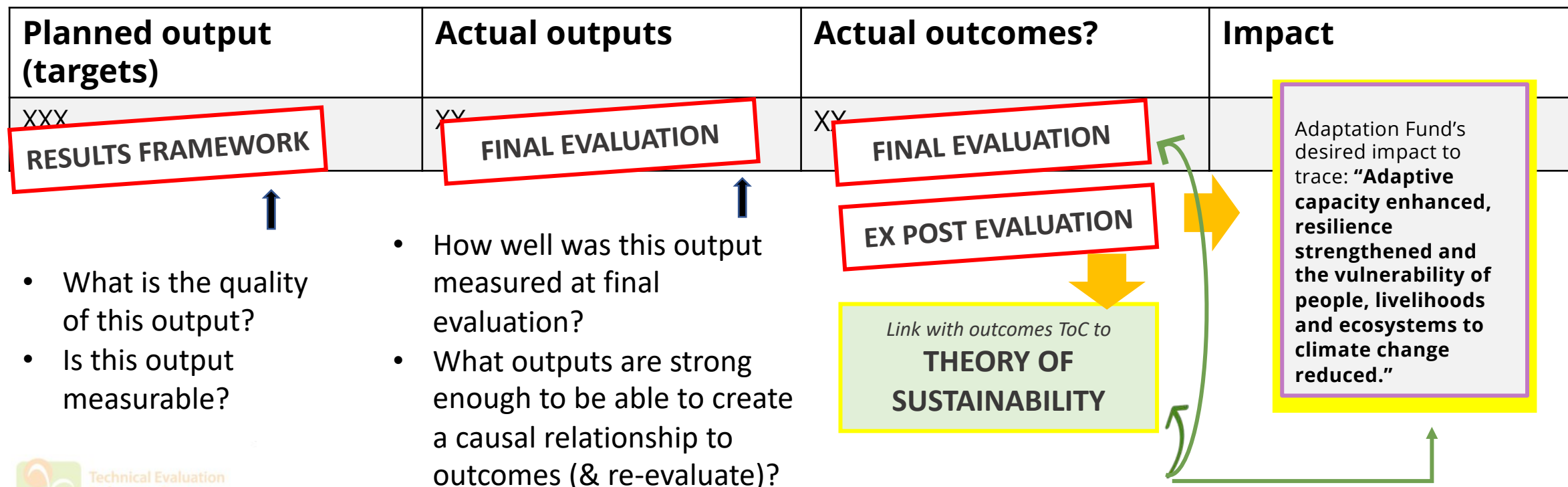
### **Examples from the project:**

- **Measurable outcomes:** ....
- **Weak outcomes:** ....

# Ex post pilots: preparatory work for field work

## STEP 4: Select the outcome(s) you will evaluate

### b Review quality of outcomes/outputs to understand the ability to evaluate change and impact



# Ex post pilots: preparatory work for field work

## STEP 4: Select the outcome(s) you will evaluate

### c Use sustainability prospects for outcome selection



**Remember: you want to select an outcome identified as sustained / sustainable in the final evaluation !**

# Pause...



Questions? Comments?



# Ex post pilots: field work preparation

## Next steps

### First:

- Evaluator(s) undergo(es) extensive desk review and consultation
- Evaluator(s) develop(s) draft Theories of Change/Theory of Sustainability with AF team after national stakeholder consultations, highlighting assets vs capacities, and strength of arguments for what outputs/outcomes can (or cannot) be evaluated
- **Evaluator(s) develop(s) draft evaluation inception report, shares with AF Team for review/feedback**

### Then....

- Evaluator/s complete(s) Part 2 training with AF team for deeper-dive on considerations for fieldwork, evaluation methods, and data analysis in relation to sustainability and resilience
- Evaluator/s finalize(s) inception report, then begins fieldwork planning: site selection, logistics support, etc.; leading to collection, analysis, and final report

# Ex post pilots: preparatory work for field work

## What do we want to see in the draft inception report?

1

Overall approach of the evaluation (conceptual model, evaluation questions):

**PROJECT BACKGROUND**

**DATA AVAILABILITY**

**SUSTAINABILITY PROJECTIONS**

**OUTCOME SELECTION**



**DRAFT REPORT**

# Ex post pilots: preparatory work for field work

## What do we want to see in the draft inception report?

2

DATA COLLECTION STRATEGY

DATA ANALYSIS STRATEGY

ANNEXES

**DRAFT REPORT\*\***

*\*\*only if information  
already available*

**FINAL REPORT**



## What are pre-fieldwork co-creation activities and deliverables?



### Co-creation process deliverables

#### Draft Inception Report

**IE and national counterpart understanding** of the ex post purpose, scope and design (approach)

**Assess data quality/availability and choose outcome(s) to evaluate** based on learning value / interests

#### Final Inception Report

**Discuss and agree on the best methods and approaches** to evaluate the chosen outcome

**Finalize field work preparations** (site selection, stakeholder lists, logistics, local support, etc)

**Consider, collaborate, and plan for targeted knowledge products;** sharing and learning of results and analysis

# Ex post pilots: preparatory work for field work

## What do we want to see in the draft inception report? [summary]

### DRAFT IR REPORT (END OF PART 1)

- Overall approach of the evaluation (conceptual model, evaluation questions)

#### PROJECT BACKGROUND

- Quick project description
- Map of activities implementation
- Important field/context considerations (geographical, climatic, economic, social)

#### DATA AVAILABILITY

- List of project documents available
- Inventory of M&E data available
- Analysis of data quality for each project outcome/ outputs

#### SUSTAINABILITY PROJECTIONS

- Project theory of change (available or recreated) inc. assumptions and drivers linked to sustainability and resilience
- Identified conditions driving sustainability
- List of relevant sustainability ratings

#### OUTCOME SELECTION

- Suggested outcome based on data availability and IE learning preferences
- Rationale for outcome selection
- Rationale for site selection based on suggested outcome

### FINALISED IR REPORT (END OF PART 2)

#### DATA COLLECTION STRATEGY

- Key data sources that will be selected to inform the answer to each evaluation question
- Discussion on data analysis methods to be used to answer each evaluation question and their limitations
- Sampling approach, including area and population to be represented, rationale for selection, and limitations of the sample.

#### DATA ANALYSIS STRATEGY

- Risks and limitations that may undermine the reliability and validity of results, and proposed mitigation strategies for each.
- How gender analysis will be integrated into the evaluation design

#### ANNEXES

- Summarized evaluation methodology in a matrix that contains for each evaluation question: measure(s) or indicator(s), data collection method(s), data source, sampling approach, and data analysis method(s).
- Timeline showing the key evaluation phases (e.g., data collection, data analysis, and reporting) and specific deliverables and milestones.

# Ex post pilots: preparatory work for field work

## Ex-post evaluation timetable - SEIE mixed-methods example

Date	Task
Weeks 0-3	<p><b>Preparation</b></p> <p>Part 1 Training on ex-post sustainability and resilience evaluations Theory of Change/ Sustainability, etc. Draft inception report is completed, received, and analyzed to inform co-creation process. Stakeholders agree on evaluation approach and sector/ site focus of the ex-post evaluation.</p> <p>Part 2 Training on fieldwork and methods considerations; what is needed logistically (data, fieldwork) &amp; for learning. Methods customized to finalize inception report.</p>
Week 4-6	<p><b>Fieldwork</b></p> <p>Team trained, tools pre-tested, sites informed of visit, and methods selected in final inception are used. Days per site depend on methods (can range from 3-8 days/site).</p> <p>Consultations with AF sustainability and resilience experts at the end of each site visit to confirm data quality and to address any outstanding questions at that site and/or for the next sites</p>
Week 7	<p><b>Debriefing</b></p> <p>Preliminary debriefing done in communities pre-leaving.</p> <p>Regional debriefing and confirmation of results done at the end of fieldwork.</p> <p>Analysis, preliminary debrief with AF team.</p>
Weeks 8-9	<p><b>Analysis &amp; Write-up</b></p> <p>Writeup and additional analysis with AF team, preparation for co-creation stakeholder HQ debrief presentation.</p>
Weeks 10-11	<p><b>Review</b></p> <p>Draft document shared; feedback given. Revisions/edits as needed with review panel/response matrix.</p>
Week 12	<p><b>Presentation</b></p> <p>Presentation to AF and co-creation IE/NIE and report finalized, including 2 page local debrief document.</p>

**See you soon!**



**Questions? Comments?**



**to Part 2....**

# What's next?

- **Part 2 – Designing the ex post evaluation**
  - Data Analysis - Sustainability
  - Data Analysis - Resilience
  - Considerations for fieldwork
    - Data collection





# Survey

**Before you go....**

**Please take the following quick survey:**

*What was clear and/or interesting to you?*

*What was unclear or difficult to understand?*

*What else would you like to tell us about this material?*

