



ADAPTATION FUND

AFB/EFC.29/Inf.2  
28 March 2022

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Adaptation Fund Board  
Ethics and Finance Committee  
Twenty-ninth Meeting  
Bonn, Germany, (Hybrid meeting), 5-6 April 2022

Agenda Item: 5

**TECHNICAL EVALUATION REFERENCE GROUP OF THE  
ADAPTATION FUND (AF-TERG)**

**WORK UPDATE REPORT FOR FISCAL YEAR 2022 (FY22)**

**AND**

**FORWARD PRIORITIES (FY23)**

## Background

1. The Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG) is an independent evaluation advisory group, accountable to the Adaptation Board (*hereafter*, 'the Board'), and functionally independent of the Adaptation Fund Board secretariat (*hereafter*, 'the secretariat'). It was established to ensure the independent implementation of the Adaptation Fund's (*hereafter*, 'the Fund') Evaluation Framework. The AF-TERG has been operational since 1<sup>st</sup> July 2019, and is comprised of an independent group of experts, with strategic leadership provided by a Chair.

2. The final terms of reference of the AF-TERG were presented at the twenty-second Ethics and Finance Committee (EFC) meeting, under the title "Implications of the Establishment of the Fund's Evaluation Function" – document AFB/EFC.22/.3.<sup>1</sup> 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);<sup>2</sup>*

(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);  
[...]*

*(Decision B.31/25)*

3. On June 4, 2020, the Board approved, through inter-sessional decision B.35.a-35.b/29, the strategy and three-year work programme of the AF-TERG for 2021-23 (AFB/EFC.26.a-26.b/3).<sup>3</sup> The approved multiyear work programme responds to the broad mandate and the three functions of the AF-TERG: evaluation, advisory and oversight. A copy of paragraphs 18 to 29 of the Board approved strategy and work programme can be found in Annex 1. Work principles adopted by the AF-TERG that inform its approach are in Annex 2.

4. Through intersessional decision B.35.a-35.b/27 the Board approved the first proposed two-year budget to cover the costs of the operations of the AF-TERG and its secretariat for fiscal years 2021 (FY21) and 2022 (FY22).<sup>4</sup> Adjustments for FY22 and a new requested budget for FY23<sup>5</sup> were approved by the Board as part of decision B.36/31.

5. Over the last year, the AF-TERG has undergone some personnel changes. On 23 November 2020, Ms. Debbie Menezes commenced as the new AF-TERG Chair, taking over from

<sup>1</sup> Available at: <https://www.adaptation-fund.org/document/implications-establishment-funds-evaluation-function/>

<sup>2</sup> Available at: <https://www.adaptation-fund.org/wp-content/uploads/2018/07/AFB.B.31-final-report.pdf>

<sup>3</sup> Available at: <https://www.adaptation-fund.org/document/draft-strategy-and-work-programme-of-the-adaptation-fund-technical-evaluation-reference-group-af-terg/>

<sup>4</sup> Administrative Budgets of the Board and Secretariat, and Trustee for Fiscal Year 2021 and the AF-TERG and its Secretariat for Fiscal Years 2021-2022. Document no. AFB/EFC.26.a-26.b/1/Rev.1. Available at: <https://www.adaptation-fund.org/document/administrative-budgets-of-the-board-and-secretariat-and-trustee-for-fiscal-year-2021-and-the-af-terg-and-its-secretariat-for-fiscal-years-2021-2022/>

<sup>5</sup> Administrative Budgets of the Board and Secretariat, and Trustee for Fiscal Year 2022, and the AF-TERG and its Secretariat for Fiscal Years 2022-2023. Document no. AFB/EFC.27/6. Available at: <https://www.adaptation-fund.org/document/administrative-budgets-of-the-board-and-secretariat-and-trustee-for-fiscal-year-2022-and-the-af-terg-and-its-secretariat-for-fiscal-years-2022-2023/>

AF-TERG member Mr. Mutizwa Mukute who was the acting Chair since Ms. Eva Lithman stepped down as AF-TERG Chair on 15 July 2020. In FY22, AF-TERG members Mr. Andy Rowe and Ms. Nancy Macpherson decided to rotate out after serving for two years each. Consequently, two new members – Mr. Carroll Patterson and Ms. Susan Legro - were identified through a competitive and transparent process and have taken up their positions in September and December 2021 respectively, joining the existing members Mr. Claudio Volonte and Mr. Mutizwa Mukute. Short profiles of all AF-TERG personnel are available on the Fund website.<sup>6</sup>

6. The AF-TERG is supported in the implementation of its work programme by a lean secretariat, comprising a full-time secretariat Coordinator (Mr. Dennis Bours) and a part-time admin and finance assistant (Ms. Beryl Onyango). Technical expert consultants are hired on short-term basis to implement specific work elements, and a list is presented in Annex 3. A summary of AF-TERG external outreach activities is in Annex 4.

### Objective of this update

7. The purpose of this document is as follows:
- (a) To present an annual progress update for FY22 from the Chair of the AF-TERG on the multi-year workplan and outline forward priorities for FY23 (this document - AFB/EFC.29/Inf.2).
  - (b) To provide the basis for the AF-TERG's budget request to the EFC and the Board to enable the AF-TERG to seamlessly plan for and deliver its work programme. This document should be read in conjunction with the detailed budget and financial document submitted to the EFC (AFB/EFC.29/5) which includes requests for a marginal adjustment to its FY23 budget, and a new budget request for FY24.

### Introduction

8. The AF-TERG is completing the second year of implementation of its three-year work programme (FY21-23), and the trajectory remains positive despite the challenges caused by the COVID-19 pandemic. Over the last two years, the AF-TERG has delivered the following reports to the Board:

- (a) The results of three studies related to evaluating adaptation (AFB/EFC.26.b/Inf.2) (October 2020);<sup>7</sup>
- (b) A progress update on the review and revision of the Evaluation Framework, along with an Annex outlining the case for revising the Evaluation Framework (AFB/EFC.27/.7) (March 2021);<sup>8</sup>

<sup>6</sup> <https://www.adaptation-fund.org/about/evaluation/af-terg-who-we-are/>

<sup>7</sup> Available at: <https://www.adaptation-fund.org/document/evaluating-adaptation-common-challenges-identified-across-three-studies-commissioned-by-the-adaptation-fund-technical-evaluation-reference-group-af-terg/>

<sup>8</sup> Available at: <https://www.adaptation-fund.org/document/progress-update-on-the-review-and-revision-of-the-evaluation-framework-technical-evaluation-reference-group-of-the-adaptation-fund-af-terg/>

- (c) The concept for establishing Advisory Groups which gained EFC approval (AFB/EFC.27/.9/Rev.2) (March 2021);<sup>9</sup>
- (d) A first synthesis of final evaluations (AFB/EFC.27/.8) (March 2021);<sup>10</sup>
- (e) A progress update on the mid-term review of the Fund's medium-term strategy with the emerging findings and areas of discussions of the review (AFB/EFC.27/Inf.2) (March 2021);<sup>11</sup>
- (f) Progress on development of the Fund's new Evaluation Policy (AFB/EFC.28/Inf.3) (October 2021);<sup>12</sup>
- (g) A progress update on the phased ex post evaluation work (AFB/EFC.28/Inf.4) (October 2021);<sup>13</sup>
- (h) A mid-term review of the Fund's medium-term strategy (AFB/EFC.28/7) (October 2021).<sup>14</sup>

9. In championing the Fund's evaluation function, the AF-TERG's approach to all its work elements remains strongly grounded in the priorities and niche value of the Fund; it takes direction from the Board's steer; is informed by relevant guidance from the governing, process management, subsidiary, and constituted bodies of the UNFCCC; and adopts the AF-TERG's work principles. The AF-TERG's approach continues to be responsive to and informed by other significant contextual shifts including the focus on country-driven action, the growth of the Fund's portfolio, and diversification of types of funding and funding instruments.

10. An approach of participatory engagement with Adaptation Fund stakeholders continues to inform all aspects of the AF-TERG's work. This includes consultations with the Board, the EFC, Implementing Entities (IEs), the Fund's CSO network and the secretariat to get their perspectives and to ensure that the work of the AF-TERG remains grounded in contextual realities.

### **Progress on key work elements**

11. The AF-TERG is pleased to present the following update on its key work elements. More details on each of these are contained within the respective documents that have been submitted to the EFC for its 29<sup>th</sup> meeting in April 2022, as follows:

- (a) **The draft Evaluation Policy is presented to the EFC for consideration and recommendation for Board approval (AFB/EFC.29/6).** The development of the

<sup>9</sup> Available at: <https://www.adaptation-fund.org/document/boards-participation-in-advisory-groups-technical-evaluation-reference-group-of-the-adaptation-fund-af-terg/>

<sup>10</sup> Available at: <https://www.adaptation-fund.org/document/synthesis-of-adaptation-fund-final-evaluations-technical-evaluation-reference-group-of-the-adaptation-fund-af-terg/>

<sup>11</sup> Available at: <https://www.adaptation-fund.org/document/mid-term-review-of-the-medium-term-strategy-emerging-findings-and-areas-for-discussion-technical-evaluation-reference-group-of-the-adaptation-fund-af-terg/>

<sup>12</sup> Available at: <https://www.adaptation-fund.org/document/progress-on-development-of-the-adaptation-fund-evaluation-policy-information-update/>

<sup>13</sup> Available at: <https://www.adaptation-fund.org/document/progress-update-on-ex-post-evaluations-af-terg/>

<sup>14</sup> Available at: <https://www.adaptation-fund.org/document/mid-term-review-of-the-medium-term-strategy-of-the-adaptation-fund/>

Evaluation Policy (EP) follows the Board's decision in April 2021 to request the AF-TERG, in consultation with the secretariat, *to prepare a draft Evaluation Policy for the Adaptation Fund that would replace the current Evaluation Framework.*" (Decision B.36/32). The policy is intended to bring a more systematic and responsive approach to evaluation to inform decision making and learning across the Fund. It also intended to enable IEs to align efforts with their own evaluation systems, with national MEL systems, and to identify progress to UNFCCC global goals on adaptation.

The process was highly participatory and inclusive, including through consultations with climate and evaluation experts beyond the Fund, and a survey which reached IEs, members of the Board, the Adaptation Fund CSO network, the Board secretariat, and other key stakeholders. Significantly, the AF-TERG established an Advisory Group to inform the development of the draft EP. The Advisory Group includes participation from across Fund stakeholder groups, including a Board member, and has been a useful resource and testing ground for the direction of the work, its relevance and alignment with the Paris Agreement, and for deepening understanding on potential implications of these revised evaluation approaches across all constituents of the Fund.

The draft Evaluation Policy has intentionally been developed as a high-level document to provide an overarching framing that will direct future evaluative activity across the Fund to standard and to ensure quality of processes and utility of products to Fund stakeholders and to the wider climate change adaptation community.

Following its approval by the Board, the AF-TERG, working in consultation with the secretariat, is proposing a process of incremental transition from the current Evaluation Framework to the new Fund-wide Evaluation Policy to enable Fund entities and stakeholders to absorb these changes. This will involve an AF-TERG led process of consultation, dissemination, capacity building and guidance development to help operationalise the policy. This process is expected to continue through FY23 and FY24.

- (b) **An information document on Phase 1 of the thematic evaluation of the Fund's work on Innovation** (AFB/EFC.29/Inf.3). This document presents research and insights of a review of organizations, relevant to the Fund, that are working on innovation within climate change adaptation and sustainable development as well as a discussion on key concepts related to innovation in the context of CCA. This information document should be complementary to the work that the secretariat is presenting to the Board (AFB/B38/9). The AF-TERG will progress work on Phase 2 which will review the progress the Fund has made in fostering innovation for CCA and on lessons from this experience to date. The analysis will be synthesized during Phase 3 (to be completed in June 2022) with the evaluation report.
- (c) **An information update on the on-going ex post evaluation work is presented** (AFB/EFC.29/Inf.4). The ex post evaluation work has progressed to its second phase and is piloting ex post methods in selected projects. Fieldwork is completed in Samoa and is about to start in Ecuador. Phase 2 will continue with the work in Ecuador.

Lessons from both pilots will be consolidated with findings from fieldwork and recommendations will be presented to the Board on completion of the work.

12. Progress on other elements of the AF-TERG work programme is presented in Table 1 below:

**Table 1: Current work elements and their status**

Work Element	Status	Comment
i. Annual Implementation Plan	In progress, on-track	Activities continue to be implemented in line with annual work plan and budgets for FY22 and FY23, as approved by the Board and guided by Fund priorities.
ii. Development of AF-TERG Operational Guidance	Phase 1 complete	An organizational development consultant undertook work between April and August 2021 to support the AF-TERG in strengthening operational modalities and ways of working for increased impact and effectiveness. Further work may continue to support the AF-TERG in adopting the recommendations and adapting to emerging priorities.
iii. Review / revision of the Evaluation Framework (AFB/EFC.27/7)	In progress - advanced	<p>(i) Inception phase (completed, February 2021): Review of the Fund's current Evaluation Framework, which recommended the development of an Evaluation Policy instrument and was approved by the Board in March 2021.</p> <p>(ii) Phase 1 (current): The draft Evaluation Policy has been developed with the support of a representative Advisory Group (AG) which includes representation from across Implementing Entities, Adaptation Fund CSO network, the Board, and the secretariat. The AG held six meetings since its formation in June 2021 and added tremendous value to the development of the Evaluation Policy. The AF-TERG also followed a robust process of consultation which included a survey to Fund stakeholders and interviews with experts and stakeholders in peer organizations</p> <p>(iii) Phase 2 (planned): Development of detailed operational guidelines following EFC / Board approval of the Evaluation Policy.</p>
iv. Co-learning and Capacity Building	In progress	The AF-TERG has continued to engage with Fund stakeholders in several ways: through the consultative process in developing the draft Evaluation Policy (as noted above); piloting training of local evaluators and implementing entities on ex post methodologies (on-going); and, AF-TERG members and its secretariat participated in reviews and engaged with IEs at external events such as COP-26 to better

		<p>understand their evaluation approaches and needs.</p> <p>Further engagements with Fund stakeholders are planned over the next few months, including through on-going thematic and ex post work, and to support the operationalization of the Evaluation Policy once it is agreed.</p>
v. Medium-Term Strategy (MTS) mid-term review (AFB/EFC.27/Inf.2)	Completed	<p>The Mid-Term Review (MTR) of the medium-term strategy (MTS) is available on the Fund's website, following presentation of its findings and recommendations to the EFC and Board in October 2021. A management response and action plan were subsequently developed by the secretariat, in consultation with the AF-TERG.</p> <p>The MTR of the MTS<sup>15</sup> reiterated the strong relevance, niche and ambition of the Adaptation Fund in helping to achieve the pace and scale of climate change adaptation action and concluded that the MTS has positioned the Fund well in the overall climate landscape. It provided four recommendations for the current phase of the MTS and two recommendations to inform the development of the next MTS. The AF-TERG continues to engage, as required, in the secretariat-led consultations to develop the next MTS (2023-2027).</p>
vi. Studies and thematic evaluations	In progress	<p>A suite of three thematic evaluations have been initiated and are being taken forward in consultation with the secretariat: (i) Innovation in Climate Change Adaptation - work is on-going and will be completed by June 2022; (ii) Accreditation - this remains in early stages of scoping and development; (iii) Upscaling – this remains in early stages of scoping and development.</p>
vii. Ex post evaluations	In progress	<p>Phase 1 (completed in August 2021) developed specific guidance for ex post evaluations. This new, innovative approach is aimed at evaluating both project sustainability and the ultimate aim of resilience. Phase 2 (on-going) involves field testing the guidance in two strategically selected pilots (selected on the basis of country availability and readiness to engage), in Ecuador and Samoa.</p> <p>In October and December 2021, the AF-TERG facilitated a three-day ex-post training session for the project teams and evaluator in Samoa</p>

<sup>15</sup> The MTR work was undertaken in two phases: phase 1 synthesized key information, undertook extensive consultations and prepared a document for the EFC March 2021 meeting with preliminary findings and areas of further exploration; and phase 2 included further analysis and extensive consultations with the Fund secretariat and identified a series of recommendations for the EFC consideration at this meeting.

		<p>and Ecuador, respectively. The objective of the training was to introduce the stakeholders to the AF-TERG ex-post evaluation process, the main research questions, including theories of sustainability, resilience, and preconditions for collaborative learning. In addition, the facilitators held a discussion on fieldwork preparation and the methods to evaluate sustainability of outputs/ outcomes and climate resilience, based on secondary documentation and data.</p> <p>Fieldwork is completed in Samoa and the work is currently under internal AF-TERG review.</p>
viii. Evaluation Synthesis (AFB/EFC.27/8)	Completed	<p>This foundational study (completed in January 2021) looked at the quality of 17 AF final evaluations. Emerging lessons and recommendations continue to inform AF-TERG work elements. The secretariat subsequently developed a management response in discussion with the AF-TERG. Further work will depend on the availability of a sufficient number of final evaluation reports.</p>
ix. Sharing Outreach and Communication on evaluation results	Continuous	<p>The AF-TERG was represented at COP-26, and met with IEs, Fund stakeholders, other evaluators, and presented the Fund's evaluation work at a side-event organised by the GCF's Independent Evaluation Unit (IEU) – that was well received. Other communications work includes participation in the GEF Independent Evaluation Office-led panel discussion at the Asia Pacific Evaluation Association conference (February 2021), as well as contributions to wider published work.</p> <p>A strategic communications approach is in the advanced stages of development and is intended to advise the AF-TERG on how best to strengthen its external outreach and communication.</p> <p>The AF-TERG secretariat has been active on social media, with growing presence and interest from internal and external stakeholders in its work.</p>

### Forward Priorities

13. Over the next year, and in addition to on-going work elements, the AF-TERG will prioritise the delivery of the following milestones:

- (a) **Overall Performance Evaluation of the Fund:** The AF-TERG's multi-year strategy and work programme provisioned for an overall performance evaluation (OPE) of the Adaptation Fund. This critical piece of work is planned to be delivered



in FY24, which would be in the period of implementation of the next Medium-Term Strategy. The AF-TERG has commenced scoping work in preparation of the OPE. Initial work in FY22 includes the development of an overarching framework for the OPE which will identify the key questions and associated sub-topics / issues / criteria/ areas of focus for the Fund's overall evaluation. This framework also serves an additional purpose: it is intended to guide on-going AF-TERG evaluative activity to systematically build evidence and lessons that can meaningfully inform the OPE. Therefore, all on-going AF-TERG evaluation studies remain consistent with this approach. This process will continue in FY23, and the AF-TERG will submit reports on different pieces of the framework of the OPE, to the EFC at subsequent meetings.

- (b) Development and testing of **operational guidelines to guide implementation of the Evaluation Policy** (following its approval by the Board), alongside an evaluation capacity building plan that meets the needs of the Fund and its stakeholders to implement the policy. Both elements of this work will be undertaken in close collaboration with the secretariat and in consultation with the Advisory Group and other Adaptation Fund stakeholders. This may also require AF-TERG members to undertake some field visits to ensure that the work is grounded in contextual realities.
- (c) **Implement the AF Evaluation Policy, if and when adopted by the AF Board.** This will be a major priority and will be undertaken in close consultation with the secretariat.
- (d) **Thematic studies:** The AF-TERG plans to complete the thematic evaluation on 'Innovation' by June 2022; and to achieve substantial progress in the two other thematic evaluations on 'Accreditation', and on 'Upscaling' which are anticipated to be completed by October 2022). This suite of three thematic evaluations will provide a rich ground for lesson learning for the Fund and for the field of climate change adaptation more widely. Coordination across the three thematic evaluation work streams will ensure that the evaluations leverage all available research and avoid duplication.
- (e) **Ex post evaluations:** The piloting of ex-post methods in Samoa has concluded, and the draft report is under internal AF-TERG review. The pilot of methods in Ecuador is expected to be completed by October 2022. Upon their finalisation, the AF-TERG will present to the EFC, the findings and lessons emerging from Phase 2 of the ex-post work. These will inform adjustments to the AF-TERG methodology on ex post for future evaluations, and approaches and systems related to MEL within the Fund.

14. **Development of the next AF-TERG work programme:** The AF-TERG will initiate the process of developing its forward-looking multi-year work programme for FY24-FY26, for EFC and Board approval. This will also need to take into account any adjustments arising from the new evaluation policy (as and when adopted) and will follow a consultative process.

15. **Review of the AF-TERG:** The current work programme envisaged a two-step process of review. The first step involves a self-evaluation of its performance in FY22 and FY23 drawing on stakeholder feedback, and joint planning and consultation with the Board secretariat. This process will include an AF-TERG led internal review of its approach, results, and options for strengthening its evaluation function and operational effectiveness. This exercise will also provide input to the process of forward work planning. Subject to travel resuming, the AF-TERG members plan to have an in-person meeting before the end of FY22 to develop the AF-TERG's forward strategic work programme and to undertake a review of its work programme. The second element envisages an external peer review of the AF-TERG to assess the contribution of its evaluation function to the Fund after three years of AF-TERG operations, and relative to international standards and good practice. The AF-TERG plans to develop options for the external peer review process and submit these to the EFC by October 2022.

16. **External engagement:** As part of its strategic communications and external outreach which is oriented towards demonstrating the Fund's niche value, results, and facilitate learning, the AF-TERG will continue to engage with evaluation units in the Green Climate Fund (GCF), the Global Environment Facility (GEF), the Climate Investment Fund (CIF), UN organisations and multilateral development banks, and with other climate change adaptation experts to ensure coherence and to reflect relevant thinking on adaptation monitoring evaluation and learning (MEL) in its approach and advice to the Board.

17. **Contextual factors.** The COVID-19 pandemic continues to present challenges that influences the pace of delivery as well as the way in which work activities are being conducted. Travel restrictions have continued to prevent field missions and the AF-TERG has, so far, not been able to meet in person yet again this year. Consequently, the AF-TERG has continued to engage through online and virtual forums.

18. **Budget update.** Through intersessional decision B.35.a-35.b/27 the Board approved the first proposed two-year budget to cover the costs of the operations of the AF-TERG and its secretariat for fiscal years 2021 (FY21) and 2022 (FY22) (refer footnote 4). Adjustments for FY22 and a new requested budget for FY23 (refer footnote 5) were approved by the Board as part of decision B.36/31.

19. **FY22:** Document AFB/EFC.29/5 provides the estimated FY22 year-end actual for the AF-TERG and its secretariat as of 30 June 2022, being US\$ 1,025,246 (79 per cent) of the approved FY22 budget (US\$ 1,300,829).

20. **FY23:** As momentum on its work continues to build, the AF-TERG is seeking approval for a minor upward revision of its budget for FY23 (1 July 2022 to 30 June 2023), from the originally approved budget of US\$ 1,293,049 to **US\$ 1,329,965**. This comprises US\$ 691,496 for the management component and US\$ 638,469 for the evaluation component. The resulting increase of US\$ 36,916 over the originally approved AF-TERG budget for fiscal year 2023 consists of a carry-over of US\$ 60,000 from FY22 and a net *decrease* of US\$ 23,084 for FY23 that requires an additional transfer from the Trust Fund. The proposed budget for FY24 is US\$ 1,336,413 to cover the costs of the operations of the AF-TERG and its secretariat.

21. FY24: The proposed budget of **US\$ 1,336,413** to cover the costs of the operations of the AF-TERG and its secretariat for fiscal year 2024, from 1 July 2023 to 30 June 2024, comprises US\$ 705,684 for the management component and US\$ 630,729 for the evaluation component.

**Annex 1: AF-TERG Work Programme (FY21 to FY23, i.e. July 1, 2020 to June 30, 2023)<sup>16</sup>**

18. The proposed AF-TERG work programme for FY21 to FY23, i.e. July 1, 2020 to June 30, 2023, is based on the strategic choices and priorities emerging from scoping and diagnostic work during the first year of the AF-TERG operations, as presented in the two previous sections and in Table 1. The following proposed work programme sets out the activities that will be conducted, and the outputs that will be generated to achieve the intermediate outcomes of the work of the AF-TERG (Table 2).

19. The work programme will be continually reviewed and updated by the AF-TERG and updates will be reported yearly, for presentation to the EFC [Ethics and Finance Committee] for its review in conjunction with the consideration of the proposed budget and budget adjustments. Reporting on completed and ongoing work elements will take place semi-annually.

**Table 2 AF-TERG Indicative Work Programme FY21 to FY23**

<b>Intermediate Outcome areas</b>	<b>Outputs</b>	<b>Activities</b>
1. Solution-focused understanding of the Fund's evaluation needs and expectations on the AF-TERG	New knowledge on the Fund's evaluation approaches, processes and needs	<ul style="list-style-type: none"> <li>• Conduct country scoping studies (FY20 to FY21)</li> <li>• Regular reviews and reflection e-based meetings</li> <li>• AF-TERG in person meetings (half-yearly)</li> <li>• Update AF-TERG theory of change and AF-TERG operations manual as needed.</li> </ul>
2. Co-learning, productive and trustful relationships and processes	Clear, productive communication and interaction with key stakeholders	<ul style="list-style-type: none"> <li>• On-going collaborative MEL [monitoring, evaluation, and learning] engagements with the Adaptation Fund Board [AFB] secretariat, Board and IEs [Implementing Entities], CSOs [Civil Society Organizations] and others in the evaluation and climate change communities.</li> </ul>
3. Fit-for-purpose evaluation tools and	Evaluation tools developed and/or revised	<ul style="list-style-type: none"> <li>• Review and revise the Evaluation Framework in collaboration with the AFB secretariat (FY20 to FY22)</li> </ul>

<sup>16</sup> Note that this Annex is a partial recap of the approved AF-TERG Strategy and Work Programme, contained in Annex 1 of the document AFB/EFC.26.a-26.b/3, added here to serve as a memory jogger for the reader.

<p>approaches are developed and used</p>		<ul style="list-style-type: none"> <li>• Develop and share guide on ex post evaluations</li> <li>• Develop and share note on evaluability and evaluability assessment</li> <li>• Produce guidance on conducting project level mid-term reviews [evaluations] and terminal [final] evaluations in consultation with the AFB secretariat, IEs [Implementing Entities], and CSOs.</li> </ul>
<p>4. Evaluation results and learning insights articulated and utilised within the Fund</p>	<p>Performance of the MTS [medium-term strategy] and adjustments needed established</p> <p>MEL insights synthesised and shared</p>	<p>Commission / conduct:</p> <ul style="list-style-type: none"> <li>• Mid-term review of the MTS (FY21)</li> <li>• Evaluation of the MTS (FY22 to FY23)</li> <li>• 1 or 2 thematic/performance reviews/evaluations (yearly)</li> <li>• 1 or 2 ex post evaluations (yearly)</li> <li>• Evaluative gap mapping<sup>17</sup> for 1 or 2 strategic topics</li> <li>• Review of Adaptation Fund evaluation reports for MEL insights (yearly)</li> <li>• Overall evaluation of the Fund (FY23)</li> <li>• Review of the AF-TERG (FY23-24).</li> </ul>
<p>5. Enhanced planning, monitoring, evaluation and learning capacity across the Fund</p>	<p>Collaborative working relationship with AFB secretariat fostered</p> <p>MEL capacity in some IEs developed</p>	<ul style="list-style-type: none"> <li>• Hold 1 MEL workshop with the AFB secretariat (yearly),</li> <li>• Hold 1 capacity development and co-learning seminar with</li> </ul>

<sup>17</sup> Evaluative gap mapping refers to a visual overview of existing and ongoing studies or reviews in a sector or sub-sector in terms of the types of programmes evaluated and the outcomes measured. In FY21, the AF-TERG will map out existing and ongoing evaluations to identify lessons and experiences within the AF portfolio and outside but relevant to it.

		partners in collaboration with the AFB secretariat.
6. Utilisation of Adaptation Fund evaluation insights beyond the Fund	Climate change adaptation (CCA) evaluation trends and good practices identified and shared with the CCA community	<ul style="list-style-type: none"> <li>• Network with MEL functions of other climate change funding organizations and regional networks</li> <li>• Produce MEL blogs, prepare and present conference papers, keep the current website updated and develop a dedicated interactive website for the AF-TERG.</li> </ul>

### Implementing the AF-TERG Work Programme – Three Workstreams

20. The MEL work above will be managed and implemented in three workstreams that broadly correspond to the three functions of the TERG, Evaluation, Advisory and Oversight:

- (a) Workstream 1: Conducting Strategy and Programme Evaluations;
- (b) Workstream 2: Enhancing MEL Capacity and Tools;
- (c) Workstream 3: Co-generating Evaluative Knowledge and Insights.

21. The Advisory and Oversight functions of the AF-TERG will span the three workstreams. The Evaluation function is embedded in Workstream 1.

#### *Workstream 1: Conducting Strategy and Project/Programme Evaluations*

22. Workstream 1 focuses on the review and evaluation of the Medium-Term Strategy (MTS), thematic evaluations and the overall model and performance of the Fund, centred around the core features and niche of the Fund.

23. The review of the five-year Medium-Term Strategy 2018-2022 will assess progress made in the implementation of targets and outputs expected (to be done in FY21) to inform the current strategy as well as the designing of the next. The evaluation of the strategy will take place after the end of the strategy period to summarise achievements and lessons learned. Over the MTS period the AF-TERG will carry out a phased series of assessments of processes and policies implemented under the three pillars of the MTS: Action, Innovation and Learning and Sharing, the effectiveness and efficiency of the governance of the Fund and the actual and expected outcomes and impacts of the Fund's portfolio. Main processes and policies to be evaluated include Direct Access, Accreditation, Readiness Programme, the Environmental and Social Policy (ESP), and the Gender Policy and Action Plan.

24. Innovation is and will continue to be a key feature of the MTS and the mission of the Fund. The AF-TERG will propose to conduct an assessment of the experience on how the concept of innovation is applied by the Fund as well as of examples of innovative climate change actions. An initial conceptual study and overview will be initiated during the FY20. Both the review and the evaluation of the MTS will provide inputs to the Overall Evaluation of the performance of the Fund in 2023. A preparatory scoping study will be initiated in FY21.

25. Thematic evaluations of Fund performance will provide perspectives on core features of the Fund, such as the country driven and innovative character of Fund operations with a view to assessing the potential for scale up and longer-term impact. This includes exploring how projects and programmes conceptualise and address vulnerability and adaptation to climate change.

#### *Workstream 2: Enhancing MEL Capacity across the Fund*

26. Workstream 2 focuses on reviewing and updating the Fund's Evaluation Framework and associated tools and guidance. The Evaluation Framework is a key document supporting the implementation of the evaluation function in the Fund and guiding AF evaluation practice. During FY20 an initial gap analysis was carried out and Terms of Reference for the further review and revision of the Evaluation Framework was elaborated. The purpose of the revision will be to reflect the evolution of the Fund since the framework was amended in 2012 and the advances in the evaluation and climate change adaptation community. The review will include updating the evaluation tools used to assess projects and programmes at mid-term and at completion.

27. This workstream will include enabling capacity building initiatives to strengthen the Fund's in-house MEL capacity and that of Fund partners. Specific attention will be paid to the capacities needed to ensure improvements in the quality of projects and programmes as well as Readiness, Innovation and Learning grants. The AF-TERG will draw on and contribute to evaluation practices that enhance the capacity of vulnerable populations to adapt to the effects of climate change.

#### *Workstream 3: Co-generating Evaluative Knowledge and Insights*

28. Working with the AFB secretariat, IEs, CSOs and other partners, Workstream 3 will include collaborative co-generation of evaluative knowledge and insights of the work of the Fund, exchanging experience with peers involved in MEL related to climate change adaptation, learning from innovation results, and tracking of implementation of evaluation results and actions including management responses to previous evaluations. For example, each year one or two topics may be selected to conduct an evaluative gap mapping exercise to identify lessons and experiences within the Fund portfolio and from outside. This knowledge will be synthesised and the AF-TERG would organize an event for project teams to discuss, validate and extrapolate this knowledge and develop plans for closing knowledge gaps. The topics could be discussed using country or sector context.

29. This workstream will also include country scoping studies, regular e-based meetings and two AF-TERG in-person meetings each year. Under this work stream are outreach activities, production of papers and contributions to conferences and seminars and the maintenance and development of an interactive AF-TERG website.

## Annex 2: AF-TERG Work Principles

These ten work principles were derived from the approved AF-TERG strategy and work programme where they were formulated as part of and throughout the guiding principles, strategic choices and work culture

1. **Be relevant and responsive to the Fund priorities and operating contexts:** Stay tuned and responsive to the Fund's operational strategic and governance priorities; Fund partners' priorities; and relevant developments in the broader field of CCA and operating contexts.
2. **Make contributions that benefit Fund's stakeholders - people, livelihoods and ecosystems:** Observe equity, transparency and impartiality in our work designs, processes and products to serve the interests of Fund stakeholders.
3. **Produce MEL products that add value to the Fund:** Ensure the production of useful, credible, actionable, innovative, independent and timely monitoring, evaluation and learning (MEL) products that contribute to the performance and impact of the Fund at all levels.
4. **Support the development of MEL capacity of the Fund's key stakeholders:** develop the MEL capacity of the Fund's key stakeholders through engaging them in all our work, nurturing relationships of trust, co-learning and co-creation, and cultivating a sense of collective ownership of the MEL tools.
5. **Contribute to the development of the CCA monitoring, learning and evaluation (MEL) field:** Seek opportunities for sharing the Fund's MEL experience with the CCA and evaluation communities and to contribute to the discussion and development of the MEL in CCA and related fields.
6. **Draw on good and innovative MEL practice:** Identify, utilize and build on good, new, ethical MEL approaches and practice in the CCA and related fields.
7. **Respect and utilise different knowledges:** Seek, respect, value and work with traditional and local knowledge alongside other forms of knowledge and apply appropriate standards of quality to all types of knowledge.
8. **Work synergistically to produce optimal results:** Work collaboratively together, equitably share responsibilities, give our best, engage in constructive dialogue, exercise mutual respect, assume good intent and be open to surprise towards getting the most from the Fund's investment in MEL.
9. **Conduct collective, reflexive learning that improves practice:** Undertake purposive, collective, continuous and critical learning to improve our evaluative, oversight and advisory practice and the value it creates for the Fund over time.
10. **Ensure cost-effective utilization of the Fund's resources:** Utilize our time and budget in the most cost-effective ways while ensuring the production of fit-for-purpose MEL products.



### **Annex 3: Overview of changes in personnel for specific AF-TERG work elements in FY22**

#### Changes in AF-TERG membership

22. Mr. Andy Rowe, AF-TERG member left the AF-TERG on 30 June 2021 as part of the rotating out of AF-TERG members.
23. Ms. Nancy Macpherson, AF-TERG member left the AF-TERG on 31 July 2021 as part of the rotating out of AF-TERG members.
24. Mr. Carroll Patterson joined as AF-TERG member on 20 September 2021
25. Ms Susan Legro joined as AF-TERG member on 1 November 2021

#### AF-TERG Secretariat

26. Ms. Anh Bui, fin-admin support, left the AF-TERG on 31 August 2021.
27. Ms. Beryl Onyango, fin-admin support, joined the AF-TERG on 22 September 2021.

#### AF-TERG Short-Term Consultants

28. Mr. Luis Francisco Garcia Espinal, data analyst STC, left the AF-TERG on 30 June 2021.
29. Ms. Judith Friedman re-joined the AF-TERG as STC on 1 August 2021 to support the development of the overall evaluation framework.
30. Ms. Liza Ottlakan re-joined the AF-TERG on 1 September 2021 as a data analyst STC across work elements.
31. Ms. Mariana Vidal joined the AF-TERG on 1 October 2021 as a data analyst STC across work elements.
32. Ms. Karen Komiti joined the AF-TERG as STC on 21 September 2021 to support the ex post evaluation work in Samoa.
33. Ms. Monica Elizabeth Ribadeneira joined the AF-TERG as STC on 16 November 2021 to support the ex post evaluation work in Ecuador.
34. Ms. Lina Srivastava joined the AF-TERG on 30 October 2021 as communications and outreach strategy STC.
35. Mr. Scott Chaplowe joined the AF-TERG on 8 December 2021 as evaluation policy guidance development STC.
36. Mr. Martin Rokitzki joined the AF-TERG on 8 December 2021 as thematic evaluation on innovation STC

#### AF-TERG Extended-Term Consultant

37. Ms. Caroline Holo was appointed as data analyst on an Extended Term Contract on 14 March 2022.

#### Annex 4: Summary of external outreach activities by the AF-TERG

38. The AF-TERG Chair, Ms. Debbie Menezes and AF-TERG member, Mr. Claudio Volonte presented at the Independent Evaluation Unit (IEU) of the Green Climate Fund (GCF) side event at COP26 titled “Findings from evaluations on adaptation investments: what have we learned?” The two speakers presented on the key AF-TERG work elements, emerging thoughts from discrete aspects of Adaptation Fund evaluation practice and implications for innovative MEL of climate change adaptation: gaps, opportunities, and good practices.
39. A reflective blog: “COP26: Perspectives from evaluators”<sup>18</sup> was produced by the two AF-TERG participants following their participation at the event.
40. An op-ed was developed in the January 2022 journal *Evaluation* under the title “What should evaluation learn from COP 26? Views of evaluation practitioners”.<sup>19</sup>
41. Earlier work of the AF-TERG was published as chapters in the edited book “Transformational Change for People and the Planet”. One chapter contribution focused on innovation in CCA and the role for monitoring, evaluation and learning,<sup>20</sup> while a second chapter contribution focused on how to assess the evaluability of adaptation-focused interventions.<sup>21</sup>
42. One AF-TERG member (Ms. Susan Legro) and AF-TERG secretariat team members participated as observers in the three-day virtual Project Portfolio Monitoring Mission held on 30 November - 2 December 2021. The overall objective of the mission was to collect and analyze lessons learned and best practices from the project “Ecosystem Based Adaptation to Climate Change in Seychelles” implemented by the United Nations Development Programme (UNDP).
43. The AF-TERG Chair was invited to be a panel member at the 3<sup>rd</sup> Asia Pacific Evaluation Association (APEA) Conference and EvalFest (February 2022). The session: Adaptation and Resilience to Climate Change: Lessons from Evaluations, was moderated by the GEF IEU.
44. AF-TERG secretariat participated as observers in the following Fund-internal events:
- a) Workshop on Innovation in Adaptation on 22 November 2021
  - b) The 13<sup>th</sup> Readiness Webinar on 9 December 2021
  - c) The virtual 37<sup>th</sup> Accreditation Panel meeting held 2 February 2022
  - d) Medium Term Strategy II Brainstorming sessions held on 7 December 2021 and 18 January 2022.
45. The AF-TERG secretariat kept up an active web presence on social media platforms, such as Instagram, LinkedIn, and Twitter, covering updates on on-going and completed work elements.

<sup>18</sup> Menezes, D., Volonte, C., (2021). COP26: Perspectives from evaluators.

<https://www.linkedin.com/feed/update/urn:li:activity:6876762948317065216/>

<sup>19</sup> van den Berg, R., Bours, D., Brousselle, A., Ćekan, J., Chaplowe, S., Chelimsky, E., Davies, I., Felcis, W., Leiter, T., Menezes, D., Picciotto, R., Rogers, P., Rowe, A., & Uitto, J. (2022). What should evaluation learn from COP 26? Views of evaluation practitioners. *Evaluation*, 28(1), 7–35. <https://doi.org/10.1177/13563890221074173>

<sup>20</sup> Gregorowski R., Bours D. (2022) Enabling Systems Innovation in Climate Change Adaptation: Exploring the Role for MEL. In: Uitto J.I., Batra G. (eds) Transformational Change for People and the Planet. Sustainable Development Goals Series. Springer, Cham. [https://doi.org/10.1007/978-3-030-78853-7\\_11](https://doi.org/10.1007/978-3-030-78853-7_11)

<sup>21</sup> MacPherson R., Jersild A., Bours D., Holo C. (2022) Assessing the Evaluability of Adaptation-Focused Interventions: Lessons from the Adaptation Fund. In: Uitto J.I., Batra G. (eds) Transformational Change for People and the Planet. Sustainable Development Goals Series. Springer, Cham. [https://doi.org/10.1007/978-3-030-78853-7\\_12](https://doi.org/10.1007/978-3-030-78853-7_12)