

August 2022

# Inception Report

## Evaluation Policy Guidance Development



Technical Evaluation  
Reference Group  
ADAPTATION FUND

# Inception Report

## Evaluation Policy Guidance Development



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

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

While independent of the operations of the Fund, the AF-TERG aims to add value to the Fund's work through independent monitoring, evaluation, and learning. [www.adaptation-fund.org/about/evaluation/](http://www.adaptation-fund.org/about/evaluation/)

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AF-TERG, 2022. Evaluation Policy Guidance Development - Inception Report. AF-TERG, Washington, DC.



This report was finalized in August 2022.

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## Acronyms and abbreviations

AF-TERG	Technical Evaluation Reference Group of the Adaptation Fund
CCA	Climate change adaptation
CIF	Climate Investment Funds
DA	Designated Authority
ECD	Evaluation Capacity Development
EF	Evaluation Framework
EFC	Ethics and Finance Committee
EP	Evaluation Policy of the Adaptation Fund (replacing EF in October 2023)
EPG	Evaluation Policy Guidance
EPG AG	Evaluation Policy Guidance Advisory Group
ESP	Environmental and Social Policy
Fund	Adaptation Fund
GCF	Green Climate Fund
GEF	Global Environment Facility
GN	Guidance Note
GP	Gender Policy
IE	Implementing Entity
IFAD	International Fund for Agricultural Development
IR	Inception report
KIIs	Key Informant Interviews
KM	Knowledge management
M&E	Monitoring and evaluation
MEL	Monitoring, evaluation, and learning
MIE	Multilateral Implementing Entity
MTR	Mid-term Review
MTS	Medium-term Strategy
NIE	National Implementing Entity
OCAT	Organizational capacity assessment tool
OPG	Operating Policies and Guidelines for Parties to Access Resources

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RBM	Results-based Management
RIE	Regional Implementing Entity
RTE	Real-time evaluation
SDG	(United Nations) Sustainable Development Goal
STC	Short-Term Consultant (or Consultancy)
TOR	Terms of Reference
ToT	Training of trainers
UNEG	United Nations Evaluation Group



## 1. Executive summary

### A. Introduction

The Board approved a new Evaluation Policy (EP) for the Adaptation Fund (the Fund) at its thirty-eighth meeting in April 2022. The development of the EP was led by the Technical Evaluation Reference Group of the Fund (AF-TERG) in consultation with the Board secretariat (the secretariat) and with support from a multistakeholder Evaluation Policy Advisory Group (EP AG).

The new EP will become operational in October 2023, replacing the Fund's 2012 Evaluation Framework. During the transition between April 2022 and September 2023, the AF-TERG is working, in collaboration with the secretariat and the EPG AG, to develop a series of evaluation policy guidance (EPG) to support operationalization of the new EP. This work supports evaluation capacity development (ECD) at the Fund that is aligned with its EP for a reliable, useful, and ethical evaluation function that supports the pursuit of mission and vision.

The purpose of this Inception Report (IR) is to demonstrate a clear understanding, as well as a valid and realistic and coherent approach, for the **development of fit-for-purpose EPG documents for the Fund**. The primary users of this IR are the secretariat and the AF-TERG. Intended secondary users are Fund Implementing Entities (IEs).<sup>1</sup> Analysis draws upon three main data sources: a desktop review of background documents, remote interviews, and an online survey.

### B. Summary of findings and conclusions

Given the Fund's ambition to be an innovator and influencer in the climate change adaptation (CCA) space, it is important that it remains abreast of and responsive to **important global trends in evaluation**. The urgency for global climate action and rapidly changing contexts for development are challenging evaluation to go beyond conventional methodologies. Evaluation needs to explore alternative approaches that embrace the complexity and ambiguity that characterize the contexts in which CCA is delivered and evaluated.

The Fund is largely aware of these evaluation trends, which are reflected in the new EP. However, it remains unclear if the Fund's awareness extends beyond conceptual understanding to actionable practice. The development of EPG documents and ensuing ECD is an important investment towards this goal.

The **Fund has evaluation systems and processes** to support programme expansion and impact. However, capacity and performance gaps remain, which calls for improvements. This is reflected in the very rationale for developing a new EP and EPG resources, and was triangulated by both primary and secondary data sources. **ECD needs were identified across all evaluation levels**

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<sup>1</sup> It is worth noting that IEs are primary users of EPG for which this IR informs.

**and types, with varying capacity gaps across Fund stakeholder groups.** For instance, 58% of the surveyed IEs indicated they have, and use, their own evaluation guidance resources, with a higher presence of resources among Multilateral Implementing Entities (MIEs) than National Implementing Entities (NIEs).

**There is a strong appetite for ECD across Funder stakeholders.** There is interest in an assortment of evaluation topics rather than a select few, and preference for multiple ECD delivery options that extend beyond printed EPG documents to include live and recorded media. However, a strong preference was also reported for a printable format of EPG resources<sup>2</sup>.

### C. Summary of recommendations

Based on the analysis of key findings, the IR recommends a principled-focused approach to EPG development, identifying seven key principles summarized in Box 1. Central to the success of the EPG is its strategic approach that maintains a commitment to usability. It emphasizes systems thinking that goes beyond concrete EPG deliverables. Thus, it considers printed documents as part of a more comprehensive approach to ECD that supports improved accountability, lesson learning, and adaptive management. Ultimately, this supports the Fund's mission, goal, and vision, including the Paris Agreement.

#### BOX 1: Guiding Principles for EPG Development

1. Utilization-focused
2. Systemic and strategic
3. Adaptive oriented
4. Inclusive participation
5. Differentiated learning and mixed ECD methods
6. Recycle rather than reinvent the wheel
7. Efficient and non-extractive

*(See Section 6a for more detail on the principles)*

In the interest of being user friendly, **a suite of EPG documents is recommended rather than an overwhelming single document.** The suite is centred on a **core EPG document** that covers evaluation concepts and practices that cut across the Fund's evaluation levels and types. **Eighteen auxiliary guidance notes (GNs)** are then recommended on various targeted topics, such as

<sup>2</sup> Any reference to printed or printable documents in this report encompasses any file format that can be printed. It does not mean that printed documents will be made available to stakeholders.

developing an evaluation budget, baseline studies, and evaluation reporting. These GNs are to contain supplementary templates, checklists, exemplary examples, and other tools.

The key phases that characterize evaluations – preparation, inception, implementation, reporting, and follow-up – are recommended as the organizing architecture through which users can access EPG resources through an online platform. Such a temporal sequence reinforces a coherent, intuitive structure based on how an evaluation is approached.

Additional recommendations are presented for the **eventual development of ECD resources** to supplement EPG documents with other learning media and activities, such as trainings, webinars, online discussion boards, etc.

## D. Update on the EP's Provision for Evaluation Guidance

To a large degree, this IR and the overall EPG development is accountable to Section 8 in the EP, "Provision for the evaluation guidance documents." Therefore, the following table provides a summary update to the key points framed in this section of the EP:

**Table 1: EP's "Provision for the evaluation guidance document"**<sup>3</sup>

Update – EP's "Provision for the evaluation guidance document"	
1. The AF-TERG, in consultation with the secretariat, is responsible for developing and maintaining accessible evaluation guidance documents for Board approval.	This IR summarizes key analysis to inform the development of EPG documents and proposes an approach.
2. The AF-TERG will collaborate with the secretariat and IEs to ensure guidance will be implementable, useful, and compatible with other Fund guidance documents.	The first guiding principle identified in this IR for the EPG development is "utilization-focused." Key findings and recommendations underscore the centrality of EPG to be aligned with and reinforce existing Fund guidance and the strategy and policy upon which it is based.
3. The secretariat will review proposed guidance to inform the alignment of the Operating Policies and Guidelines for Parties to Access Resources (OPG) and existing policies related to monitoring and evaluation.	The IR details a process in which the secretariat reviews all EPG development outputs for alignment with relevant policy, strategy, and guidance. The IR recognizes that the EP does not encompass monitoring. At the same time, it acknowledges the importance of EPG for the mutually reinforcing relationship between monitoring and related RBM process.

<sup>3</sup> Adapted from the Adaptation Fund Evaluation Policy, Section 8.

<p>4. EPG will include reporting templates, guidance documents, and evaluation capacity-development packages that serve the evaluation and learning needs of Fund entities and implementing partners.</p>	<p>The IR proposes an approach that includes a menu of EPG printed resources, as well as key considerations for ECD. This includes, foremost, the recommendation to encompass EPG outputs as part of a coherent and comprehensive approach to ECD aligned with the Fund's knowledge management (KM) and longer-term goals.</p>
<p>5. EPG will prioritize knowledge development and use of the Fund and its partners, with attention to in-country and locally led adaptation evaluative thinking and decision making.</p>	<p>The IR underscores the critical relationship of ECD with the Fund's strategic focus on learning and sharing, and the important role of KM. It reinforces the EP's emphasis on evaluation for learning versus compliance, and identifies the importance of participatory evaluative learning that is "whole-of-Fund" and cuts across stakeholder groups, especially IEs and local partners. Towards this end, it stresses that EPG must be assessable and user friendly for culturally diverse users, and that ECD must extend beyond printed guidelines to include other media and activities that support learning.</p>
<p>6. Use of the Fund's evaluation report templates is mandatory, unless they are unavailable for certain evaluation functions, or if IEs have their own mandated templates that include all elements of the Fund's reporting template.</p>	<p>The IR recommends a guidance note on evaluation reporting, including required reporting templates, as well as supportive checklists and potential example reports. The IR also explicitly recognizes existing EP and resources from IEs or their donors/partners, and the importance for EPG to help users navigate potential conflicts between EP and IE existing protocol.</p>
<p>7. Aside from report templates, IEs can decide themselves whether to use the Fund's evaluation methodology guidance relative to their own guidance or other sources.</p>	<p>This would be elaborated in a section on evaluation methods in the core EPG document recommended by the IR, as well as targeted GN for Fund evaluation types.</p>
<p>8. The AF-TERG will communicate to all relevant stakeholders updates to templates, which entities are responsible for ensuring they adopt.</p>	<p>The IR recognizes the significant role of processes and protocol at the Fund, and the importance to proactively communicate with relevant stakeholders time, roles, and responsibility expectations associated with any changes or updates in the EPG development.</p>

## E. Inception report structure

The remainder of this IR is structured as follows:

- **Section 2** presents the background informing this assignment
- **Section 3** frames the goal, objectives, and scope of the assignment
- **Section 4** describes the inception phase's approach and methodology
- **Section 5** shares the inception phase findings and conclusions
- **Section 6** presents the proposed approach for the assignment
- **Section 7** summarizes next (immediate) steps for the assignment
- **Annexes** supplement the IR with further detail and background information

## 2. Background

### A. Evaluation policy background

Since 2012, a Fund Evaluation Framework (EF) guided the evaluation function at the Fund. Approved by the Board the prior year (Decision B.13/20, March 2011), it included a clause for its own review and revision. The AF-TERG started operating in July 2019, and its Terms of Reference (TOR) included a plan to review the EF (Decision B.35.a-35.b/29). The review, which was presented to the Ethics and Finance Committee (EFC) of the Board in March 2021 (document AFB/EFC.27/7), concluded the EF had become outdated. It recommended development of an EP to replace it. In March 2021, having considered the findings of the review, and recommendation of the EFC, the Board decided:

*"(To) request the Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG), in consultation with the Adaptation Fund Board secretariat, to prepare a draft evaluation policy for the Adaptation Fund that would replace the current Evaluation Framework."*

(Decision B.36/32)

The development of the EP was the first part of a two-phase process, with Phase 2 encompassing the development of EPG to support the institutionalization and operationalization of the EP. The process of developing the draft EP commenced in May 2020 and consisted of three stages: 1) Inception stage (October 2020 – March 2021), 2) Review of the Evaluation Framework and establishment of an Evaluation Policy Advisory Group (March – June 2021), and 3) Participatory policy formation stage (June 2021 – February 2022). Particularly relevant for Phase 2 for the development of EPG was the data collection and analysis conducted during Phase 1. This included the collation of relevant background documents, as well as primary data collection through

interviews, workshops, and surveys. All this has served as secondary data for Phase 2 (the focus of this IR).

## B. Evaluation policy content

The EP<sup>4</sup> identifies the fundamental expectations, processes, and protocol to support a reliable, useful, and ethical evaluation function that contributes to learning, decision making, and accountability for the Fund to pursue its mission, goal, and vision effectively. It supersedes the EF and proposes a more consolidated approach to stakeholder roles and responsibilities in relation to evaluation. As such, it stresses a “**whole-of-Fund approach**” that engages all Fund entities in contributing to generating and optimizing the use of better quality evidence and learning across the Fund.

The EP adopts the **United Nations Evaluation Group’s (UNEG’s) definition of evaluation** – see **Box 2**. As an important consideration for the development of the EPG, the EP does not cover the Fund’s monitoring functions,<sup>5</sup> except those directly related to the evaluation function.

### **BOX 2:** United Nations Evaluation Group’s definition of evaluation

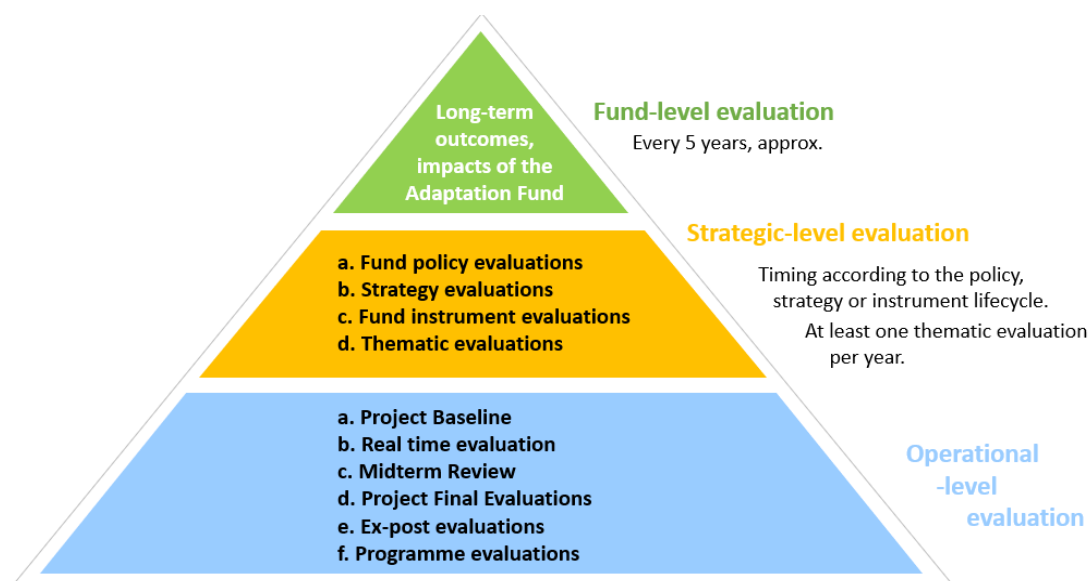
“An evaluation is an assessment, conducted as systematically and impartially as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, or institutional performance. It analyses the level of achievement of both expected and unexpected results by examining the results chain, processes, contextual factors, and causality using appropriate criteria such as relevance, effectiveness, efficiency, impact, and sustainability. An evaluation should provide credible, useful evidence-based information that enables the timely incorporation of its findings, recommendations, and lessons into the decision-making processes of organizations and stakeholders” (UNEG, 2016).

The EP identifies **three levels of evaluation** for the continuous improvement of Fund performance – Fund-level evaluations, Strategic-level evaluations, and Operational-level evaluations – and **12 types of evaluation activity** as summarized in **Figure 1**.

<sup>4</sup> <https://www.adaptation-fund.org/document/evaluation-policy-of-the-adaptation-fund-graphically-edited/>

<sup>5</sup> The Fund regards “monitoring” as an ongoing assessment of programme, project, and/or corporate strategy progress towards achievement of expected results and outputs, focusing on process, effectiveness, and efficiency. See also glossary for expanded definition.

**Figure 1: Fund evaluation levels and indicative types to be pursued<sup>6</sup>**



During the thirty-eighth Board meeting in April 2022, the AF-TERG summarized seven key quality improvements reflected in the EP. These improvements **shift the focus of the evaluation function from compliance to value**, summarized in **Figure 2**. While not exhaustive, these improvements underscore the need for EPG to support the uptake of new elements identified in the EP.

**Figure 2: Seven improvements in the Fund's new Evaluation Policy<sup>7</sup>**



<sup>6</sup> AF-TERG. 2022. Draft Evaluation Policy of the Adaptation Fund.

<sup>7</sup> Adapted from AF-TERG. April 2022. Update to the Work Programme of the Adaptation Fund's Technical Evaluation Reference Group (AF-TERG) FY23 and FY24.

Particularly relevant for the EPG development is Section 8 of the EP, “*Provision for evaluation guidance document*,” which was therefore included as Table 1 in the Executive Summary above.

### C. Evaluation Policy Guidance Development Assignment

In anticipation of Phase 2 for the EPG development, the AF-TERG drafted a TOR and recruited for a Short-Term Consultancy (STC) prior to the start of 2022. The TOR identifies two primary phases for the STC. **First, the Inception Phase** that commenced in January 2022, **for which this IR is the primary deliverable** and culmination.<sup>8</sup> **Second, an EPG Development Phase** will follow the Inception Phase, for which the timing and approach are also presented later in this report.

## 3. Goal, objectives, and scope of the assignment

### A. Goal

The goal of this assignment is to prepare relevant and fit-for-purpose EPG resources as part of a coherent, strategic approach to ECD to assist the Fund to introduce and operationalize the new EP.

### B. Objectives

The objectives of the assignment are to:

- 1. Identify and prioritize recommended EPG documents for the Fund**, (this encompasses a core set of Fund-developed or vetted printed documents to support the operationalization of the EP).
- 2. Recommend a user-friendly platform and structure to access EPG documents and relevant ECD resources.**
- 3. Produce quality and suitable EPG documents for the Fund based on needs and feasibility.**

Objectives one and two will be addressed as part of the Inception Phase of this assignment, (for which this report is the cumulative deliverable), while Objective three will be the focus of the second Development Phase.

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<sup>8</sup> The period for the Inception Phase was extended to accommodate the EPG survey, and the review and approval of the EP.



**Box 3:** Evaluation Policy Guidance vs. Evaluation Capacity Development resources

In this IR, EPG refers to a core set of Fund-developed printed documents to support the operationalization of the EP. ECD resources include the EPG but expand upon printed guidance documents. For example, ECD resources include different delivery media and related formats to access, interact with, and apply learning. In so doing, they reinforce the understanding, uptake, and use of EPG content among relevant Fund stakeholders. Examples of other ECD resources include online training, webinars, discussion boards, in-person workshops, and exchange visits supporting learning and practices for evaluation.

## C. Scope

Given the importance of a systems orientation, (recognized in the EP and identified below, Section 6A), it is important to identify the *boundaries* for this assignment:

1. **Thematic scope** – this assignment will focus on the development and operationalization of **EPG based on the EP’s content**. As a stand-alone document that frames the Fund’s evaluation function, the EP provides high-level strategic guidance. Conversely, the specific EPG documents need to provide detailed guidance to operationalize different areas of the EP. These areas range from the commissioning, budgeting, and design to the implementation, communication, and utilization of evaluations at operational, Fund, and strategic levels.

**Monitoring is outside the scope of the EP and will not be covered by this assignment**, except when directly related to the evaluation function. Similarly, the **EPG will not cover the Fund’s Strategic Framework, RBM, and KM systems**, except as they directly relate to the evaluation function. Given their critical link to the Fund’s evaluation function, this IR gives careful attention to these related processes and workstreams. The inception phase included targeted consultation with representatives from these workstreams to support an integrated approach to EPG development that complements rather than competes with or repeats their respective guidance.

2. **Demographic (and geographic) scope** – the EP stresses a **“whole-of-Fund” commitment** to engage its stakeholders, and therefore this assignment will follow this principle. This means that the assignment seeks to consult with a wide range of stakeholders to inform the development of EPG resources, including IEs in all geographies that partner with the Fund. **Annex C** summarizes key stakeholder groups and their relevance to this assignment. Given the different evaluation types, levels, and audiences, EPG development will consider these demographic characteristics and contexts in which EP is operationalized.

## 4. Inception phase approach and methodology

The inception phase took place from January to June 2022. The work was informed and guided by the AF-TERG [Work Principles](#). It paid particular attention to Principle 8 to work synergistically through constructive and respectful dialogue with stakeholders. This ensures a well-informed IR that meets the needs of the Fund and its partners, and that has legitimacy with both.

### A. Responsibilities

An STC led research with critical technical steer and guidance by an AF-TERG member serving as the Focal Point for this activity. An Evaluation Policy Team formed to support the EP development provided advice and guidance during the inception phase, with an Evaluation Technical Adviser that supported the Focal Point and STC on behalf of the AF-TERG.<sup>9</sup> The secretariat, EPG AG and AF-TERG provided comments on the draft IR for its improvement. The AF-TERG had the final responsibility for the review and approval of this IR.

### B. Data collection

Data collection took place from January to June 2022, drawing upon three major data sources and related methods:

1. **Desktop review of secondary resources** (January – June 2022). A list of reviewed documents can be found in **Annex B**. Reviewed documents included both Fund and non-Fund policy, strategy, guidance, evaluations, and other resources relevant to the purpose of this assignment. It also included a light scan on the literature on CCA, mitigation, and financing, with a focus on the Fund's internal documents and a content analysis of evaluation guidance examples. A **content analysis** was conducted of selected evaluation guidance from peer organizations to inform the topic analysis and format options of the EPG. A particular noteworthy source of secondary data came from the information generated during the data collection and analysis for the EP development, which included many relevant topics for the EPG development.
2. **Remote key informant interviews (KIs)** (February – June 2022). A purposeful sample of 17 key informants was provided to the STC, drawing from the AF-TERG, the EP Advisory Group, and the secretariat, including Fund core staff and IE partner staff (see **Annex D**). KIs were exploratory, eliciting opinions on a range of topics. They provided the opportunity for the STC to sense-check and triangulate formative ideas and suggestions for topics, format, and media for the EPG documents and related ECD considerations. **Annex F** exhibits the semi-structured interview guide and questions used, which was

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<sup>9</sup> The Evaluation Policy Team has been recycled as an Evaluation Policy Guidance Team (EPGT) to support Phase 2 for the EPG development – discussed in Section 6E of this IR.

reviewed and approved by the AF-TERG, and all interviews were conducted online via the Zoom platform.

3. **EPG online survey** (June 2022). An online EPG survey was sent by the AF-TERG to IE representatives, DAs, Board members, secretariat staff, and representatives in the Adaptation Fund CSO Network. The survey (see **Annex G**) consisted primarily of closed-ended questions (with the option of write-in open-ended responses) to inform the topic analysis for the EPG, and assess capacity needs, learning styles, preferred EPG formats and media, and IEs' existing and recommended EPG resources. The survey was completed by 52 respondents, – see **Table 2** below for a disaggregation of survey respondents by stakeholder group.<sup>10</sup>

**Table 2: Disaggregated EPG survey respondents**

<b>Disaggregated Survey Respondents<sup>11</sup></b>		
<b>Board members</b>	11	21%
<b>Board secretariat staff</b>	2	4%
<b>Implementing Entities</b>	27	52%
<b>Designated Authorities</b>	12	23%
<b>Total survey respondents</b>	<b>52</b>	

## C. Data analysis

Collected data were collated and analysed iteratively throughout the inception period. Attention was given to complex systems analysis to synthesize findings and identify key considerations to inform a proposed approach to the EPG development. This approach encompasses the diverse stakeholders, contexts, and levels of evaluations reflected in the EP's whole-of-Fund approach. Analysis was often concurrent with data collection, and collaboratively conducted in discussion with key informants. Secondary data gaps or uncertainties were clarified in interviews, but the open-ended format also encouraged joint sensemaking on key topics, such as the pros and cons of different approaches to structure the EPG. The review process (see Section 6E for further detail) involved further sensemaking with relevant stakeholders to cross-check preliminary findings, conclusions, and recommendations.

<sup>10</sup> Annex F provides further information regarding the survey response rate.

<sup>11</sup> Note that the survey was sent by the AF-TERG but not to AF-TERG members themselves.

## D. Methodological limitations

While the inception research explored relevant evaluation needs, capacities, and resources to inform EPG development, the inception exercise was **not an organizational evaluation capacity assessment**. Findings provide insights on the evaluation function, but they are not all-inclusive. The inception research is not intended as a “meta-evaluation” of the evaluation function.

A purposeful sample of 17 KIIs was used, which is not statistically representative of the larger Fund stakeholder group, especially IEs. Further, country visits and engagements were absent from the research. Nevertheless, the KIIs’ pool included representatives from AF-TERG, the secretariat and IEs. It was decided to enumerate the EPG survey to solicit IE input for a more complete “whole-of-Fund” picture for the EPG development. Furthermore, KII questioning prioritized prompts for IE perspectives as a primary user group of the EPG.

All data collection was conducted remotely (with the exception of one in-person interview). The absence of in-person interaction can challenge establishment of rapport and reading of body language and cues for more open-ended discussion to probe deeper into issues. Nevertheless, people have become accustomed to remote online interviews, and given budget and time constraints this format was appropriate. Also, key informant-consented recordings of KIIs supported the review of interviews to cross-check conversations and key points when necessary.

Primary data collection was delayed due to the time needed to review and approve the EP. As a result, the survey response time was limited to three weeks before data needed to be analysed for this report. With more time, it may have been possible to obtain a higher response rate. For example, the 26 IE response rate represents approximately 46% of the 56 total accredited IEs. This response rate limits the statistical significance to generalize findings to the larger Fund stakeholder group. Recognizing these limitations, the survey nevertheless is an important additional data source to triangulate with other data for this research.

## 5. Inception phase findings and conclusions

This section reviews key findings and conclusions for the EPG development identified from the inception phase research. Rather than organizing the discussion according to findings per data collection method (desktop review, interviews, and survey), findings were synthesized into **nine thematic subsections** to distil key lessons to inform the proposed approach for the EPG development:

### A. Topline findings

All findings are important, but based on the KIIs, triangulated by EPG survey and secondary data, three findings stood out as overarching themes to bear in mind for the EPG development.

## A.1. Crosscutting

As stated in the EP, evaluation is a “whole-of-Fund” function. Its primary and secondary data confirm that developed EPG should be aligned with and reinforce relevant Fund policy, strategy, and workstreams. In addition to Fund Medium-term Strategy (MTS) and policy with particular mention of the Gender Policy (GP) and Environmental and Social Policy (ESP)], the research identified an important link with the **Knowledge Management (KM) Strategy** and Action Plan. It found 1) evaluation is a critical knowledge source for KM, 2) KM products can also be important sources of evidence and learning for evaluation, and 3) EPG resources themselves are inherently KM outputs to be considered within the larger KM strategy.

Furthermore, the 2021 Mid-term Review (MTR) of the MTS stressed the need to assess the wider impact of the Fund’s projects, track interactions between, and outcomes across, the strategic pillars, and provide specific guidance on how to measure priority areas such as innovation and adaptation. Other evaluation interlinkages include those with RBM (discussed below), the IE accreditation and reaccreditation processes, funding approval processes, stakeholder feedback processes, quality assurance, and IE “readiness workshop and management training.”

## A.2. Participatory evaluative learning

There was a clear evidence chain<sup>12</sup> stressing the importance of meaningful and inclusive stakeholder engagement that supports evaluative learning. For instance, a key insight from a 2021 internal review of the Fund’s 2012 EF concluded that, “The EF’s compliance-oriented purpose should be superseded by a tangible vision for the role of evaluative learning.”<sup>13</sup> KII echoed that EPG resources should not come across as compliance focused, which can distract from and disincentivize evaluative learning, innovation, and adaptation.

“Accountability without learning seldom improves effectiveness.” (KII)

KIIs corroborated the importance of **participation in, and peer learning from, engagement in the evaluation function**. Consultations highlighted that evaluative learning encompasses a continuum from emergent learning during formative evaluation [i.e., ex ante, baseline studies, MTRs and real-time evaluations (RTEs)] through to longitudinal learning from final and ex post evaluations. It was also stressed that the subjects of evaluation should not be excluded from evaluative learning, and evaluation findings should be shared and discussed with them, if not earlier through their engagement in evaluation analysis.

<sup>12</sup> From EP development-related data analysis and resultant policy itself.

<sup>13</sup> Weston, P., et al. 2021. Lessons and recommendations for content of an evaluation policy for the Adaptation Fund. An internal briefing paper.

### A.3. ECD that goes beyond guidance documents

KIIs underscored the critical importance of auxiliary capacity-development media and outlets to support ECD that go beyond printed guidelines. The EPG development is viewed as a valuable opportunity to step back, take inventory, and lay the foundation for a coherent, innovative approach to support evaluation, learning, and use in the Fund's work. This is particularly relevant for the Fund's priority to strengthen the analytical capacity in developing countries. As such, the IR recommends a comprehensive, strategic approach that situates EPG documents as one set of tools in a larger ECD toolbox.

"This is an opportunity for the Fund to establish itself as an innovator with guidance and support for low-resourced entities to integrate evaluative thinking and learning for climate change adaptation." (KII)

## B. Fund's global context

**The Fund works in an increasingly complex world in an increasingly urgent area – CCA.** This raises important considerations for the Fund's evaluation function and its EPG development. For example, secondary and primary data sources stressed the need for **EPG to help users pursue evaluation amid the increasing frequency and magnitude of global disruption.** They gave examples such as the COVID-19 pandemic, large-scale weather events, and civil unrest and war.

The gravity of the global crisis has increased the **demand for transformational change.** This is reflected in the key international frameworks and agreements central to the Fund, such as the Global 2030 Agenda, the Paris Agreement, and its Global Goal on Adaptation. EPG will need to help users assess and mainstream these priorities in the Fund's work. Also, given the Fund's ambition to be an innovator and influencer in the CCA MEL space (i.e. AF-TERG guiding principles on innovation and contributing to the CCA MEL field), the Fund should remain abreast of, and respond to, related global trends in evaluation. While not exhaustive, the following summarizes **six notable trends in evaluation for the Fund to monitor** and respond to accordingly:

1. **A call for evaluation to transform itself if it is to support rather than hamper the transformational agenda.**<sup>14</sup>
2. **Growing recognition that evaluation needs to prioritize accountability to the planet** and the global systems change embodied in the Sustainable Development Goals (SDGs), rather than accountability to discrete projects and pre-determine results articulated in their design frameworks (e.g. logic model or theory of change). This includes attention to the nexus of human and natural systems versus the disproportionate focus on more immediate social and economic objectives. Progress towards sustainable development is

<sup>14</sup> E.g.: Chaplowe & Hejnowicz 2021, Cox & Barbrook-Johnson 2020, Gregorowski & Bours 2022, Patton 2019a, Schwandt 2000, and Scriven 2016.

integrally linked to the natural resources and environment that sustain human systems. As such, natural systems need to be critically included in the evaluand.<sup>15</sup>

3. **Increasing attention on the limitations of quantitative-driven attribution analysis and the importance of contribution analysis** given the interdependence and tenacity of today's wicked problems. This is reflected in the attention on mixed methods and expanded timeframes for assessment, including ex ante and ex post evaluation for more longitudinal assessments of systems change.<sup>16</sup>
4. **Increasing demand for evaluation to explore complexity-adaptive methods**, such as developmental and real-time evaluation, that support emergent learning, adaptive management, and course correction. This is better suited for the volatility, uncertainty, complexity, and ambiguity that characterized the complex contexts in which interventions are delivered and evaluated.<sup>17</sup>
5. **Embracing the potential contributions to evaluation from advances in data technology and science** (i.e. Big Data, artificial intelligence, and machine learning) to better scale and accelerate global systems change in pace with the urgent need.<sup>18</sup>
6. **The call to decolonize evaluation and empower indigenous worldviews and approaches to evaluation.** Decolonization – the undoing of colonial rule over subordinate countries – has acquired a wider meaning to liberate people from colonial ideology by addressing deeply ingrained assumptions and prejudices in the dominant culture. It challenges the prevailing practices of knowledge generation and power relations, including who pays for evaluation and the degree it serves commissioners versus local communities. Decolonization also challenges the underrepresentation of Indigenous peoples, who often assume a subordinate role in the evaluation process. It thus advances local experience and indigenous worldviews that are seen as more harmonious with nature than conventional western science and evaluation.<sup>19</sup>

The Fund recognizes these trends. For example, the EP's "Equitable and gender-sensitive inclusivity" principle explicitly identifies the importance for evaluation to incorporate indigenous and local knowledge. In addition, the MTR of the MTS underscores the importance of systemic impact assessment beyond CCA to include interlinkages at multiple levels in both human and natural systems. However, **the degree such conceptual understanding will transfer to a change in evaluative practice at the Fund is yet to be seen and is an important area the EPG can support.**

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<sup>15</sup> e.g.: Footprint Evaluation 2022, Patton 2019b, Rowe 2019, Uitto 2019, Uitto & Batra 2022.

<sup>16</sup> e.g.: Adaptation Fund 2022, Adaptation Fund 2020a, ENRD 2022, Muller 2018, Natsios 2010, OECD 2016, Patton 2019c.

<sup>17</sup> Bamberger et al. 2016, Cox & Barbrook-Johnson 2020, Garcia & Zazueta 2015, Hernandez et al. 2019, Stame 2022.

<sup>18</sup> Hejnowicz & Chaplowe 2021, Picciotto 2020, Raftree 2020, York & Bamberger 2020.

<sup>19</sup> Bagele & Mertens 2021, Chouinard 2016, Cram et al. 2018, Cloete & Auriacombe 2019, David & Gavin 2018, Oladavo et al. 2021, Smith 1999.

## C. Evaluation in Fund peer and partner organizations

It is useful to compare key elements of the evaluation function in Fund peer organizations to inform the EPG development. **Annex H** summarizes the evaluation function (evaluation budgets, strategy, policy, and guidance) for four Fund peer organizations that KII identified as especially relevant for comparison – **the Global Environment Facility (GEF), the Green Climate Fund (GCF), the Climate Investment Funds (CIF), and the International Fund for Agricultural Development (IFAD)**. The snapshot provides three key insights for the Fund:

1. Like the Fund, **each of these four peer organizations has an EP approved within the last three years**, and all have developed evaluation guidance within the last year.
2. **There is considerable variation in the number and type of evaluation guidance resources**, reflecting different audiences and use across organizations. For instance, IFAD's new 2022 Evaluation Manual is geared towards IFAD staff and evaluation consultants but not IEs. It therefore provides considerable technical detail for designing and conducting evaluations. In contrast, the GCF opted not to develop guidelines on evaluation methods given their diversity and range between sectors.
3. **Evaluation strategies across organizations are not stand-alone documents** but instead included as part of annual workplans. The review of the four peer organizations did not find an explicit evaluation strategy beyond that which was identified as part of the annual planning and budgeting process for each organization.

## D. Fund's operational context for evaluation

**The Fund itself is a complex initiative** with a dynamic constellation of stakeholders (see below). This set of findings summarizes analysis of this context as it relates to the Fund's policy/strategy landscape, and then its evaluation status.

### D.1. Dynamic policy/strategy landscape

The Fund is a **process-oriented** organization, encapsulating required and recommended practice in an assortment of policies, strategies, and guidance documents. For instance, research for the development of the new EP identified 30 Board decisions and 43 Fund policies, processes, guidelines, and policies by the Board or introduced by the United Nations Framework Convention on Climate Change (UNFCCC) since 2012 that affect the evaluation function. An important role for EPG will be to assist users to navigate this busy landscape and pursue and use evaluation aligned with, and supportive of, policy and strategy. This was specifically highlighted in the TOR for this assignment for the ESP and GP.

Another important consideration for the EPG is that this policy/strategy landscape is **rapidly changing**, and new policy and strategy is the norm rather than the exception. For instance, the introduction of the MTS in 2017 brought many changes, including a new strategic focus on



innovation and learning, as well as seven new funding modalities, and now a new MTS is to be approved in October 2022. Monitoring inevitable policy/strategy change will be important to inform EPG revision and updates, underscoring that EPG needs to remain flexible to accommodate such change.

### D.2. The Fund's evaluation status

The Fund has invested considerable resources into understanding and improving its evaluation function.<sup>20</sup> In addition to providing valuable secondary resources for this assignment, this is an important indicator that reflects a strong organizational commitment to the evaluation function and adapting it to best serve the Fund's strategic priorities.

Primary data collection corroborated findings from Fund reports, which included assessment of the evaluation function. Rather than repackaging these findings, an Organizational Evaluation Maturity Model is presented in **Annex I** to step back for a *bird's-eye* assessment of the Fund's overall evaluation status. Using four-stage rubrics corresponding with different stages in an organization's evaluation maturity model, the Fund is rated at Stage 3 – Grow. This is characteristic of organizations with established evaluation systems and processes. However, capacity and performance gaps remain. **Evaluation capacity and resources exist but need to be coordinated and streamlined as part of a coherent, strategic approach to ECD. This would support evaluation that is well-integrated into the Fund.**

The rating justification reflects the same rationale for developing a new EP and EPG resources. This includes, "several issues pertinent to improving evaluation practice for the Fund," such as: better integrating new Fund policy, strategies, processes, and roles; improved evaluation KM and cross-learning throughout the Fund; coordinated evaluation and learning with partners; the uptake of new and emerging evaluation approaches that support inclusive and adaptive management; consistent budgeting for evaluation; providing EPG and ECD to operationalize evaluation.<sup>21</sup>

"MEL implementation and the subsequent data and evidence generated by projects was generally weak, in turn linked to poorly formulated MEL plans, a lack of project resources allocated to MEL, ill-defined results frameworks, and a tendency to report on activities rather than outcomes." (Adaptation Fund Evaluability Assessment Final Report, 2020; p. v, (An internal report).

The rating justification has been triangulated by other secondary and primary data sources. One particularly relevant finding for this assignment is from the AF-TERG's 2020 Evaluability

<sup>20</sup> Relevant documents included: Evaluation Policy of the Adaptation Fund (2022), Inception Report for the Review and Revision of the Evaluation Framework (2021), Mid-term Review of the Medium-term Strategy of the Adaptation Fund (2021); Synthesis of Adaptation Fund Final Evaluations (2021), Ex Post Project Sustainability Evaluation (2021), Evaluability Assessment Final Report (2020), Study on Approaches to Ex Post Evaluation of Climate Change Adaptation (2020), Overall Evaluation of the Adaptation Fund (Phase 1, 2015 and Phase 2, 2019).

<sup>21</sup> Inception Report for the Review and Revision of the Evaluation Framework (2021): p. 7.

Assessment [internal], which found, “**MEL implementation and the subsequent data and evidence generated by projects was generally weak**, in turn linked to poorly formulated MEL plans, a lack of project resources allocated to MEL, ill-defined results frameworks, and a tendency to report on activities rather than outcomes.”<sup>22</sup> This finding highlights the integral link between evaluation and the larger RBM system; if project designs, indicators, monitoring, and reporting are weak, this will negatively affect evaluation.

This assessment of the Fund’s evaluation function is important to inform the EPG development, highlighting critical deficits for the EPG to help address, as well as assets for guidance to capitalize on and reinforce.

## E. Stakeholder analysis

The Fund represents a distinct and dynamic constellation of stakeholders that engage differently according to evaluation type and level, which is the focus of this subsection. It first showcases overall stakeholder findings, then summarizes the presence of evaluation guidance resources among Fund stakeholders, as well as stakeholder learning styles and preferences.

### E.1. EPG stakeholder overview

**Annex C** identifies **15 key EPG stakeholder groups** summarized in relation to four broad categories of evaluation roles and responsibilities: 1) Conducting evaluations; 2) Evaluation management & oversight; 3) Evaluation learning and use; and 4) Evaluation capacity development.<sup>23</sup> An output from the EP development phase, **Annex J** further summarizes a range of requirements, responsibilities, and competencies for eight key stakeholder groups.

The following findings distil five key stakeholder insights identified during the inception research:

- a) **IEs are primary users of EPG/ECD level of operational evaluations**, and the **secretariat and the AF-TERG are the primary users at the Strategic and Fund levels**. However, there is **significant variation among IEs**; for example, smaller NIEs will likely have a greater need for EPG resources and capacity development than larger MIEs with established systems for M&E and ECD.
- b) **The Fund’s Board, secretariat, TERG, and other relevant bodies such as the IE Accreditation Panel are also important users of EPG guidance and recipients of ECD**. KIIs underscored there is **inconsistent understanding within the Fund of the evaluation function**, especially with the new EP, for the management and oversight with IEs of evaluation planning and execution.

“Let’s not forget that it is not just the IEs that need [evaluation] guidance; there is not always a shared understanding and terminology among the AF-TERG and secretariat.” (KII)

<sup>22</sup> Adaptation Fund Evaluability Assessment Final Report (2020); p. v.

<sup>23</sup> This categorization is similar to that in the EP (Section 6), but the “Generation of evaluations” has been separated into conducting and management/oversight of evaluations.

- c) **There is an important distinction between EPG users who need to know how to commission, supervise, and manage evaluations, versus those who conduct evaluations, those who use evaluations, and those that are the subject of evaluations.** These stakeholder groups are not necessarily exclusive of each other – for instance, all can learn from evaluations. But these distinctions are important to inform the EPG content and format. In addition to the need for EPG to recruit and supervise external evaluators who conduct evaluations, there is increasing demand from IEs for EPG to design and pursue self-evaluations. Some EPG documents, such as guidance on TOR development, can target those who commission evaluations. Others, such as guidance on evaluation reporting, can be used by those who both commission and conduct evaluations. In the case of those who use and those who are the subject of evaluations, these groups will not necessarily be primary users of EPG. However, consideration to them will be essential in the content of EPG – i.e. guidance on evaluation reporting, follow-up, and use.
- d) As part of the Fund's aspirations to be a global influencer in the climate adaptation field, **important secondary EPG and ECD user groups include recipient and contributor governments, peer organizations, and public, private, and civic actors** working in the climate adaptation space.
- e) A big challenge identified at the operational level is that **external evaluators do not always adequately understand the local context**, as well as the Fund context (beyond the topic of CCA). This is not so much a capacity gap in evaluation methods. However, it does highlight the importance of employing locally (culturally and linguistically) competent external evaluators, and to capitalize on orienting them during an evaluation's inception phase.

## E.2. Existing evaluation resources

There is an assortment of evaluation-relevant resources within the Fund and used among its IEs and peer organizations. They vary in length, format, topics, and detail, and intended audiences and purpose. **Annex B** summarizes some of these resources within the Fund and among IEs and peer organizations reviewed for this assignment. Notably, 50% of EPG survey respondents indicated their organization has and uses an evaluation policy, and 58% indicated their organization has and uses its own evaluation guidance.<sup>24</sup> The inventory of EPG resources from or used by Fund entity stakeholders provides four important insights relevant for this assignment:

- a) Understandably, (and as noted above), **existing EPG resources were more prevalent among larger MIEs with established M&E systems**, highlighting that smaller (N)IEs with fewer resources are likely to have greater need for Fund EPG resources and capacity development.
- b) The range of resources reflect two important considerations for the EPG development: 1) the **diversity of organizational and operational contexts** where evaluations are used by

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<sup>24</sup> Survey respondents noted 16 different evaluation resource titles, ranging from guidance on M&E, mixed methods, and the evaluation of national CC policy to M&E training.

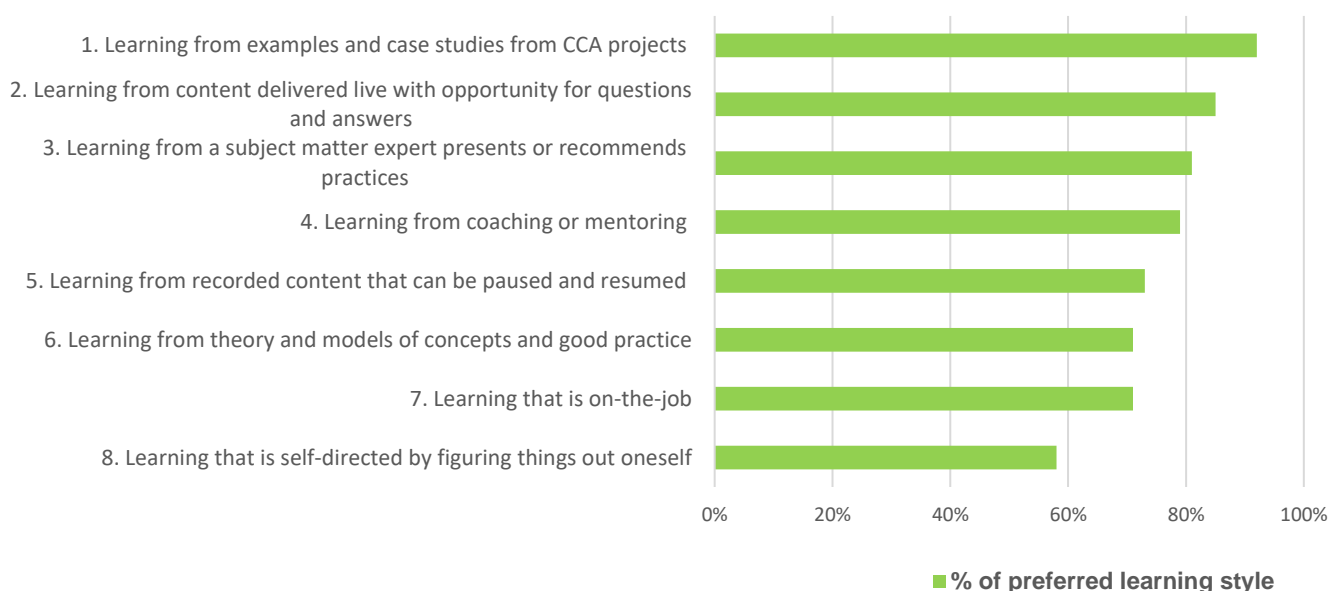
Fund stakeholders; 2) the **different accountabilities**, either to policy and protocol within their own organizations, or with other partner and donor organizations. Therefore, it will be important for EPG development to consider existing resource types and acknowledge any overlaps, duplications, or potential conflicts for IE users, with guidance for users to navigate such circumstances (further reflected in Finding 6.I.7).

- c) **Fund partner evaluation resources can provide practical and context-relevant examples for EPG development.** Acknowledging this, examples of existing evaluation resources have informed the analysis for content and topics, structure, format, and style of EPG development for this assignment.
- d) Lastly, but very important, given the high prevalence of evaluation guidance among IEs (58%), EPG may need to go beyond general concepts and practices already contained in existing organizational guidance.<sup>25</sup> Instead, it could **specify expectations and good practice specific to the Fund evaluation context.**

### E.3. Stakeholder learning styles and preferences

**Figure 3** below summarizes EPG survey responses for preferred learning styles. Respondents indicated an overall preference for the use of examples and case studies based on actual CCA projects (which can include examples or TORs and evaluation reports). In addition to practical appeal, examples inherently come across as illustrative rather than a standardized blueprint. This is important given the need to provide flexible guidance for the Fund's diverse stakeholder groups. There was a general preference for learning that is delivered in real time (live) and with a subject matter expert versus self-directed or on-the-job learning.

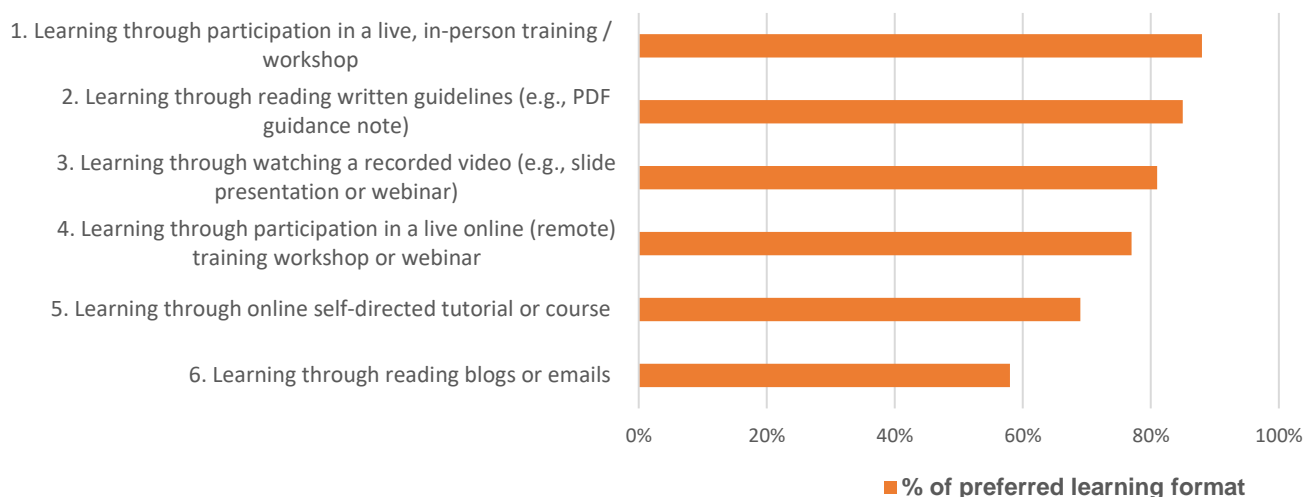
**Figure 3: EPG survey results for preferred learning style (N=52)**



<sup>25</sup> This is reflected in the relatively lower utility rating in the EPG survey responses for basic concepts like the definition of evaluation.

**Figure 4** below summarizes EPG survey responses for preferred learning delivery format and medium for providing evaluation guidance. Triangulating the high response to a similar question on live delivery above, the top preference here was for face-to-face training or workshop delivery. It is worth noting, however, the high preference for printed guidelines. This is a form of self-directed learning that can be pursued according to one's schedule (although reading from blogs or emails was the least preferred option). There was also a reasonably high preference for recorded video, which is also self-directed according to one's schedule. Finally, the difference between preferences for online synchronous workshops versus self-directed tutorial is not very large.

**Figure 4: EPG survey results for preferred learning delivery format and medium (N=52)**



**Three additional learning preferences that surfaced in the KIIs worth noting are:**

- a) **User-friendly EPG**, which includes keeping EPG conceptually and linguistically accessible. This is an important consideration given the international EPG audience that predominantly speaks English as a second or third language. Concern was expressed that the EPG should not be overly complicated or technical so as to require an "international and expensive" consultant to implement, which can undermine IE ownership and divert their funds externally. It was also pointed out that keeping it simple did not mean "dumbing it down," but instead being concise and straightforward, delivering content in "digestible pieces" in a coherent and intuitive structure and progression.
 

"Keep it [EPG] simple but not simplistic." (KII)
- b) **Practical EPG**. Guidance should balance conceptual framing with practical "how to" direction (triangulated by the high survey response rate for examples and case studies).
- c) **Minimum requirements**. Users want to know "the bottom line" as to what is required, but grounded with templates, checklists, and other practical tools that can be tailored to meet these requirements (rather than projecting a prescribed approach).

## F. EPG topic analysis

This subsection focuses on the potential topics for the EPG development. It was a central part of the inception research, drawing initially upon the content analysis of existing Fund and other external evaluation resources, and triangulated with data from the KIIs and the EPG survey.

**Table 3** summarizes the key EPG evaluation topics from the EPG survey; while far from exhaustive, it reflects the assortment of potential EPG topics to consider for this assignment. **As a valuable overall observation from the survey findings, respondents largely found all topics useful** (if not very useful or extremely useful). In other words, **there were not really any “standout” topics, but rather all were deemed valuable.**

**Table 3: EPG survey evaluation topics**

EPG Survey – Evaluation Topics		
GENERAL EVALUATION TOPICS		EVALUATION TYPES
<ol style="list-style-type: none"> <li>1. Fund’s definition of evaluation</li> <li>2. Fund’s evaluation principles</li> <li>3. Fund’s new evaluation criteria</li> <li>4. Ethical guidelines for evaluation</li> <li>5. Evaluation competencies</li> <li>6. Glossary of evaluation terms</li> </ol>	<ol style="list-style-type: none"> <li>7. Evaluation quality assessment</li> <li>8. New methods and tools for evaluating CCA projects, (e.g. data science, Big Data, social media analysis, etc.)</li> <li>9. Providing ECD to others</li> <li>10. Evaluation as part of KM</li> </ol>	<ol style="list-style-type: none"> <li>1. Ex ante evaluations</li> <li>2. Baseline studies (and reports)</li> <li>3. Mid-term evaluations</li> <li>4. Real-time evaluations</li> <li>5. Final evaluations</li> <li>6. Ex post evaluations</li> </ol>
TOPICS BY EVALUATION PHASE		
<ol style="list-style-type: none"> <li>1. <b>Preparation Phase</b> <ol style="list-style-type: none"> <li>1) Proposal evaluation screening checklist</li> <li>2) Evaluation budget guidelines</li> <li>3) Evaluability assessment</li> </ol> </li> <li>2. <b>Commissioning Phase</b> <ol style="list-style-type: none"> <li>1) TOR development guidelines and template</li> <li>2) Recruiting/assembling an evaluation team (internal or external)</li> <li>3) Evaluation roles, responsibilities, and management</li> </ol> </li> </ol>	<ol style="list-style-type: none"> <li>3. <b>Implementation Phase</b> <ol style="list-style-type: none"> <li>1) Supervising an evaluation</li> <li>2) Evaluation Design – incorporating Fund’s ESP</li> <li>3) Evaluation Design – incorporating Fund’s GP</li> <li>4) Evaluation Design – fragility and disruptive settings</li> <li>5) Evaluation and Fund core indicators</li> <li>6) Evaluation data collection methods</li> <li>7) Evaluation data management</li> <li>8) Evaluation reporting</li> </ol> </li> </ol>	<ol style="list-style-type: none"> <li>4. <b>Follow-up and utilization phase</b> <ol style="list-style-type: none"> <li>1) Management response and action plans to evaluation report</li> <li>2) Dissemination and communications of evaluation findings/learning</li> <li>3) Post-evaluation evaluator assessment</li> <li>4) South-South evaluation learning exchange opportunities</li> </ol> </li> </ol>

The EPG survey’s **general evaluation topic category** reflects topics that are not specific to a particular evaluation type or phase but that cut across these groups. Of all responses, the “most useful” included new methods and tools for evaluating CCA projects (69% response rate),

guidance for providing ECD to others (69%), working with the Fund's new evaluation criteria (67%), and the assessment of the quality of evaluations (67%). Two of the three write-in topics centred on best practices for Fund and CCA projects, and on project design and contribution analysis to address loss/damage reduction due to climate change.

The EPG survey's **evaluation type category** includes the five primary kinds of evaluation contained in the EP at the operational level, with the addition of ex ante evaluations. "Final evaluations" was rated as the most useful (86%), then MTRs (76%), followed by Baseline studies (75%) and Ex post evaluations (73%). Additional topics again included project design and contribution analysis to address loss/damage reduction due to climate change. One comment identified the difficulty for data access for ex post evaluations after project completion and potential government changes.

For the category of survey **topics organized by evaluation phase**, mostly all topics across phases were deemed to be useful at a minimum<sup>26</sup> by at least 90 per cent of respondents. For the preparation phase, proposal evaluation screening criteria and checklist received the highest response rate for overall usefulness (98 per cent). For the commissioning phase, evaluation roles, responsibilities, and management scored the highest, closely followed by TOR development guidance. A write-in comment noted it is difficult to incorporate modifications once a TOR is approved. For the implementation phase, all topics were deemed useful. However, the lowest rated topic was notably evaluation design for contexts of fragility, conflict, and disruption.

Finally, for the survey responses on the evaluation follow-up and utilization phase, the highest utility was scored for the **dissemination and communication of evaluation findings for learning**. This reaffirms the EP's emphasis on supporting evaluative learning versus compliance evaluation. Related, a comment highlighted the importance of sharing findings with community participants and front-line adapters, underscoring the importance of downward accountability for the evaluation function.

Triangulating this survey topic analysis, KIIs also highlighted the **importance of EPG for all required evaluation types in the EP**: baseline data report, MTRs for projects four or more years in duration, and final project and programme evaluation. Regarding baselines, IEs need guidance when they confront baseline reporting requirements for different donors, and when baseline data collection does not occur prior to a project start.

Another important topic point raised by key informants is the critical importance of the EPG to consider requirements set by the Paris Agreement, and the potential for EPG to support efforts to track the progress in achieving the Global Goal on Adaptation, and to use such information to inform international initiatives such as the Global Stocktake "to take stock of the implementation of the Paris Agreement to assess the collective progress towards achieving the purpose of the

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<sup>26</sup> This means the topics we identified were either useful, very useful, or essential.

Agreement and its long-term goals.” (Adaptation Committee, 2022a: p. 4, and also Adaptation Committee 2022b and 2021.)

KIs also identified the need for **guidance on thematic evaluations** at the strategic level. Specific examples cited the evaluation of the utilization of innovation and learning. This was underscored by the recent addition of core innovation indicators to the Strategic Results Framework of the Fund, the scalability and replicability of fund projects, and the uptake of knowledge products, learning, and capacity development. Recommendations in the recent MTR of the MTS also identified topics that could feed into thematic evaluations, including the contribution and impact of the Fund’s work in knowledge and learning, innovation, and adaptation.<sup>27</sup>

### G. EPG primary delivery medium

The primary structure and delivery medium for the Fund’s EPG is a central consideration for this assignment, especially as it relates to the user-friendliness and accessibility of EPG (per Object 2 of this assignment and reflected in Finding 5.E.3a). The analysis here largely draws from a content review of EPG-related resources and platforms both within and external to the Fund, complemented by KIs and survey responses.

A variety of delivery media options are used for ECD, but a fundamental distinction is made between printed media (accessible online, such as PDF documents) and non-printed media (such as an online recording of a webinar or an in-person training workshop). While the survey data indicated the highest preference for live, in-person learning delivery, reading written guidance also scored very high. There was clear consensus in the KIs **that EPG would need to be grounded foremost in a foundational printed format accessible online.**

The primacy of printed PDF guidelines among peer organizations for ECD delivery was confirmed by the desktop review of external EPG resources. PDF evaluation guidance is commonly accessed online through a designated organizational webpage, often complemented by additional resources in varying formats.

Three key considerations noted for printed EPG documents were:

1. **Printed EPG guidance has the advantage of being available when Internet access is unavailable or unreliable** (through prior download to a device or printing a hard copy).
2. **Printed EPG guidance available on an electronic platform facilitates updating and revisions**, which is important given the Fund’s changing policy and strategy landscape, and trends in the evaluation industry. For instance, the Executive Summary to IFAD’s new

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<sup>27</sup> Other examples of thematic evaluation topics from the MTR recommendations include conducting thematic evaluations of the secretariat structure and the degree it supports the MTS 3 pillars; the feasibility of achieving IP targets by the end of the MTS period; the Fund’s comparative advantage and niche; capacity and resources to support current and future portfolio; and how the IP can be used to drive performance.



evaluation manual states, “The manual will be available on an electronic platform, which will facilitate any updates and revisions.”

**3. Printed EPG can be supplemented by, and refer users to, additional, open access (hyperlinked) evaluation resources.**

**Annex H** provides a more in-depth analysis of EPG delivery media among eight other international development organizations, which was used to inform the proposed approach recommended in Section 6 below.

## H. Evaluation capacity development (ECD)

“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,”  
(AF-TERG Work Principle).

This topic for the findings analysis circles back to a point initially identified at the start of this section – the need for the assignment to extend beyond developing EPG documents to shape and pursue a larger vision for ECD. Reflected in the above quote, **ECD features critically in the AF-TERG, and the EP explicitly identifies ECD as one of three overarching responsibilities** shared across the six stakeholder groups discussed in the roles and responsibilities section.

KIIs resoundingly confirmed the importance of ECD for the longer-term objectives of this assignment. They expressed concern about the **gap between new EP expectations and IE abilities, as well as a pre-existing evaluation capacity gap for IEs prior to the EP** (i.e. baseline measurement).

As noted earlier, the need for Fund internal **ECD was also identified for the AF-TERG** and secretariat to pursue its own evaluations (Strategic and Fund level) and provide oversight and management for quality assurance for the evaluation function throughout the Fund.

“The Adaptation Fund’s third Strategic Focus is, therefore, learning and sharing to enhance its own processes and activities, as well as those of others,”  
(MTS, p. 20, underline added for emphasis)

**The Fund does not have an overall ECD strategy.** Interviews underscored that any ECD strategy would need to be integrated into a KM strategy, especially as evaluation relates to KM workstreams for research, monitoring, and reporting. An ECD strategy should also be aligned to the IE accreditation processes, Readiness Programme, and the South-to-South Programme. This integrated perspective is in keeping with the EP’s “whole-of-Fund” emphasis.

While PDF guidelines and templates exist for evaluation (and M&E), KIIs noted that evaluation training opportunities at the Fund are largely missing.<sup>28</sup> This was confirmed by the desktop review of Fund EPG resources and echoed by the high response rate in the EPG survey for live, in-person training and workshops. KIIs also stressed the importance of a hybrid approach to ECD that provides a “menu” of learning outlets and options. For instance, in-country and regional face-to-face workshops were reported to be more adaptable to operational contexts (including cultural and linguistic variations), interactive, hands-on, and engaging. On the other hand, respondents recognized the value of online self-guided ECD training for greater cost-effective outreach, and for being more convenient and adaptable to learners’ busy schedules.

Given the importance of ECD that goes beyond printed guidance, **Annex L** provides a more detailed summary comparing different aspects of learning delivery through face-to-face, distant asynchronous, and synchronous media. KIIs commented that the Fund builds capacity in two primary ways: in-person training and online training.<sup>29</sup> The AF-TERG is exploring its own evaluation training through its [training material for ex post pilots](#), which can provide valuable insights for related ECD training resource development.

KIIs also revealed that stakeholder underperformance may not always be due to capacity gaps. Instead, underperformance may result from their unavailability, attitudes, or low motivation for evaluation requirements and good practice. Time and capacity restraints did not allow for the inception research to include a designated task and casual analysis of evaluation performance of key stakeholder groups. However, this observation highlights **that other factors than capacity deficits can underly partial or substandard compliance with EP recommended practice**. **Annex M** illustrates this, summarizing common underlying causes for underperformance that would be best considered in relation to any ECD strategy development at the Fund.

### I. EPG development process

KII respondents were asked to identify key success factors for the assignment. Drawing upon these responses and the above analysis, this final set of findings summarizes important process considerations for the effective development of EPG.

- 1. Inclusive consultative process.** KIIs strongly endorsed meaningful consultation with Fund stakeholders on EPG topics, formats, outlets, and the review and piloting of EPG outputs. Two sets of key stakeholders identified included: 1) **EPG users** included IEs, as well as the secretariat and AF-TERG to understand and manage the Fund’s evaluation function; 2) **EPG**

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<sup>28</sup> One exception is the Fund’s webpage with training material for ex post pilots, with links to 11 PDFs of training materials and handouts, <https://www.adaptation-fund.org/document/training-material-for-ex-post-pilots/>

<sup>29</sup> One observation noted the loose use of the term “e-courses” at the Fund. For instance, an e-course accessed through the Fund’s [E-Course archive](#) is generally a 15–20 minute YouTube video. However, separate from this archive, there is an online course on [Direct Access](#) named differently as an E-Learning Course, and which consists of two self-directed modules of three hours each.

**"Gatekeepers,"** who will review and approve the assignment deliverables, consisting primarily of the secretariat and AF-TERG.

2. **Time/capacity constraints.** Balanced with stakeholder consultation was the warning **not to overburden stakeholders** with excessive demands from the assignment. People are busy and too many feedback loops can result in excessive procedure that can burden stakeholders.
3. **Time management.** Urgency was expressed to make available priority EPG resources in underperforming areas, such as evaluation budget and baseline guidelines. Some KIIs stressed the need for meeting deadlines on time. Others advised not to rush the EPG development process and to allow a wider period to review and pilot draft outputs. The urgency to produce EPG must be balanced with the need to adequately consult with stakeholders and remain respectful of their time.

"Deadlines should be flexible for an assignment like developing guidelines, especially given the iterative learning and need to consult and revise deliverables. An action plan with a timeline for deliverables is okay, but if a deadline needs to change, clearly communicate this beforehand and why." (KII)
4. **EPG approval protocol.** Given the significant role of processes and protocol at the Fund, it will be essential to proactively plan for and navigate the approval process for EPG deliverables, which can "backfire" and delay deliverables if not carefully managed.

"Phase the development of your work: drip-feed, discuss, fine-tune. Don't wait to the end [to consult with others] or else you may get some *surprises*." (KII)
5. **Develop, adapt, or adopt.** A key consideration is whether to develop new EPG resources, or to adopt or adapt from existing resources within or external to the Fund. In instances where resources will need to be developed and tailored to the Fund's needs, preference was expressed to develop new outputs. However, if relevant and quality resources already exist, adopting or adapting accordingly can conserve considerable time and resources.
6. **Complement rather than compete with RBM.** KIIs unanimously commented on the mutually reinforcing relationship between evaluation and project design, monitoring, and other RBM processes. However, they also clearly advised to keep EPG development separate from RBM development. Furthermore, the EP policy clearly states it does not encompass monitoring functions. Including monitoring and other RBM topics in the EPG and ECD risks complicating parallel Fund processes for RBM guidance and capacity development. Therefore, EPG should clarify the integral relationship between evaluation and monitoring and other RBM processes when relevant, i.e. project design, baseline development, and the generation of monitoring evidence for evaluative assessment and learning. However, **separate workstreams should be retained between EPG and RBM to avoid potential duplication, competition, and conflict in outputs, and to more efficiently utilize limited resources.**

- 7. Acknowledge existing IE evaluation policy and resources.** There are many existing evaluation resources, ranging from policy and guidance to training. Consequently, respondents expressed concern that Fund EPG risks conflicting or competing with existing IE evaluation protocol. Sometimes these resources are developed by the IE (especially MIEs). Other times, the IE may need to follow guidelines and protocol according to other donor requirements and expectations. As with the EP itself,<sup>30</sup> EPG development must strive to take inventory of existing IE evaluation resources to identify and discuss any potential conflicts with IE existing protocol that could cause confusion or delays in the preparation or implementation of projects.

"The risk that I see is guidance that is contradictory to IEs' own policy and standards." (KII)

- 8. Dispel the perception that EPG complicates the project cycle.** Given the assortment of existing requirements, protocol, and related resources for IEs, respondents expressed concern that IEs may react to any new EPG as an "add-on" rather than "added-value," overcomplicating the project cycle. Therefore, the EPG emphasizes how it can help (rather than burden) users to pursue evaluation that is useful and used. Maintaining a user-friendly, intuitive EPG format (per Finding 5.E.3a), and active consultation with key stakeholders during EPG development (**Finding 1**) are other key approaches to ensure a positive perception and acceptance of EPG. Also, it is recommended to begin each EPG resource with an explicit explanation of its utility and added value, stressing its benefits.

## 6. Proposed approach for the assignment

Drawing upon the above analysis, this final section of the IR proposes a plan of action for the development phase of the EPG. Per the adaptive principle (discussed immediately below), this plan should be pursued heuristically. In other words, it should be regularly interrogated and revised as required, responding to emergent (double and triple loop) learning to ensure it is fit-for-purpose.<sup>31</sup>

### A. Guiding principles

**A principles-focused approach is recommended for this assignment.** This is in no small part because of the **institutional legitimacy of guiding principles at the Fund**, reflected in the AF-TERG's Work Principles, as well as the EP's Evaluation Principles. This assignment acknowledges

<sup>30</sup> For example, the EP states (p. 24), "In cases where IEs have their own evaluation report templates mandated for use by their evaluation guidance, and as long as these templates do not contradict the Fund's template and include all the elements of the Fund's template, the IE may adapt the Fund templates to meet the needs of both the IE and the Fund."

<sup>31</sup> This process of interrogation and revision begins with the review of this IR. This will ensure that the AF-TERG and key stakeholders can ensure the proposed approach aligns with the Fund's vision, and is owned and supported.

and endorses these fundamental pre-existing principles.<sup>32</sup> The additional six principles identified here focused on key priorities to guide the EPG development work. They are based largely on the findings surfaced during the inception phase, with attention to the EPG development process (immediately above), as well as the experience and expertise of the STC and AF-TERG.

- 1. Utilization-focused.** Ultimately, if EPG is to contribute to reliable, useful, and ethical evaluation that upholds the EP, it needs to be useful and used. This principle is aligned with those of the AF-TERG to ensure contributions and products are relevant and responsive to Fund priorities, with added value that benefits its stakeholders. This entails **a guiding vision that goes beyond the concrete EPG outputs/deliverables to maintain focus on the higher-level outcomes and results sought from the assignment** – quality evaluation practice that contributes the Fund’s strategic goals (see immediately below). This principle cuts across and is supported by the subsequent principles described below.
- 2. Systematic and strategic.** EPG is a means to an end and should be developed as part of a coherent strategic approach to ECD that recognizes the larger system in which evaluation operates and in which its capacity development occurs. EPG is best planned as part of a comprehensive approach that recognizes and complements other Fund workstreams (e.g. RBM and KM) strategy, and policy, as well as existing IE evaluation policy and resources. Ultimately, it is critical to prioritize the commitment to usability and pursue EPG that extends beyond printed documents to meaningfully contribute to the Fund’s longer-term goals.
- 3. Adaptive oriented.** The Fund operates in a complex and dynamic context. To maintain a commitment to usability, the assignment will prioritize complex systems analysis to **identify and adapt to changing stakeholder needs based on emergent learning and feedback, and any unexpected challenges encountered.**

“AM [adaptive management] implies an explicitly experimental approach to managing structures, systems, and processes,” (MTS, p. 29)

It will be important to **listen and flex during EPG resource development.** Contents and scope initially envisioned for one EPG document may be better structured differently after the resource has begun to be drafted. Similarly, it will be essential to “pilot” resources and revise based on user feedback. It is important to acknowledge the value of deadlines, but **the quality and utility of EPG resources should not be sacrificed just to meet those deadlines.** This may entail a longer period for the EPG development and review to engage

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<sup>32</sup> The assignment also endorses the overarching principles and modalities embodied in the Fund’s Operating Policies and Guidelines for Parties to Access Resources, Environmental and Social Policy, Gender Policy and Action Plan, Knowledge Management Strategy and Action Plan, Open Information Policy, Zero Tolerance Policy Against Corruption, Ad-Hoc Complaint Handling Mechanism, and annexes, updates, amendments, and guidance documents deemed appropriate for this assignment.

and solicit user input.<sup>33</sup> Subsection 6E below further details a review process to uphold the adaptive principle.

As much as possible, the EPG documents should be adaptive to the broad user group of the guidance and their diverse organizational and operational contexts. This means not being prescriptive in evaluation methods and approaches. Instead, they should strive towards a toolbox or menu of methods and resources from which users can select, tailor, and adapt according to needs and context.

4. **Inclusive participation.** The utility of this assignment largely depends on active stakeholder input to ensure developed EPG is fit-for-purpose to the users' needs and contexts. This principle is aligned with the AF-TERG's principles for co-creation and co-learning, and to respect and utilize different knowledges that supports collective, reflexive learning. Stakeholder engagement **reinforces "whole-of-Fund" sensemaking to inform EPG outputs.** At the same time, it **reinforces shared support and ownership** to sustain the EPG development process over time. This is vital given the process is not a one-output assignment but will need to sequence deliverables over time. The spirit of this approach is a collaborative learning partnership. The STCs and those immediately charged to lead this assignment will not work as a doctor that diagnoses, prepares an ECD prescription, and delivers the remedy. Instead, the role is akin to a travel agent working collectively on a journey towards shared learning to inform EPG development and use.
5. **Differentiated learning and mixed ECD methods.** People learn differently and institutions have different learning cultures. Therefore, capacity development is more effective when tailored to different learners' needs. This includes utilizing a variety of learning materials, media, and delivery methods rather than a "one size fits all" approach. This enables ECD to be tailored to different learning levels and abilities, as well as institutional contexts (e.g. IE versus secretariat) and individual circumstances. For example, some people learn better in a face-to-face setting where they can get immediate feedback and answers to questions. Others learn better when it is self-directed so it can better accommodate their busy schedules.
6. **Recycle rather than reinvent the wheel.** An assortment of ECD resources can be readily accessed over the Internet – from guidelines and self-tutorials to recorded webinars and podcasts. With attention to the principle of efficiency (see below), rather than spending limited time, capacity, and budget developing a new ECD resource, first cross-check to see if one may already exist that can be adopted or adapted for the Fund's needs. Also, for certain EPG topics, such as baseline indicator sets, abundant sector resources (i.e. for livelihoods and agriculture) can be referenced or hyperlinked rather than directly

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<sup>33</sup> This principle informed the decision to enumerate the EPG survey, even though it entailed delaying completion of the inception phase of this assignment.

developed and included in guidance documents. This would save resources while also reducing document length so it is user friendly.

7. **Efficient and non-extractive.** Fund stakeholders often face significant time and resource constraints, especially given disruptions such as COVID-19 and others projected for the future.<sup>34</sup> Likewise, the assignment needs to be wary of stakeholder fatigue from overburdening requests for review, feedback, and other forms of input for the assignment. Given this, **every effort should be made to balance a participatory approach with the resources/time required to minimize burden on all involved.** There is a degree of urgency to produce EPG deliverables within a practical timeframe and budget. Therefore, attention should be given to **remain cost-effective and efficient.** This principle is aligned with the AF-TERG's principle to ensure cost-effective use of the Fund's resources.

## B. EPG documents

This subsection outlines the key EPG documents and illustrative topic platform for users' access. **Figure 5** below provides a conceptual overview of this structure. The vision is that, like a trunk of a tree, **a core EPG document (e.g. *Adaptation Fund Evaluation Essentials*) will serve as the "landing" resource to orient users to terminology, concepts and practices that largely cut across the Fund's evaluation function**, such as evaluation ethics, principles, and criteria.

The core EPG document will also introduce the key phases for evaluation (regardless of evaluation type) – from preparation and inception to implementation, reporting, and follow-up. This temporal architecture will also be used to direct users to **supplementary GNs and related resources as part of a comprehensive EPG suite.**

The ultimate length and table of contents for this central EPG document will be refined (iteratively as needed), but it should aim to be as concise as possible, i.e. under 80 pages. If any topic within it requires more space, it should be considered for a GN (discussed next). Practical examples and visuals, such as cartoons, could make content more realistic, user friendly, and engaging.<sup>35</sup>

Building upon this core EPG document, **complementary GNs on targeted topics** (with templates, checklists, and other tools) are recommended, like tree limbs that branch from the central tree trunk. GNs will be concise, targeted resources focused on specific topics and tasks (and related audiences). They will also use hyperlinks to direct users to other supplementary resources. As noted above and depicted in the conceptual diagram, **the key evaluation phases will serve as the organizing architecture through which to present GNs.** This will reinforce a coherent, intuitive temporal sequence based on how users would approach an evaluation.

An additional category of GNs can be included for EPG resources that are not phase-specific, such as a GN for ECD, or evaluator competencies. In addition to Fund-developed GNs, **other relevant**

<sup>34</sup> See Optiz-Stapleton et al. 2019. ODI: London.

<sup>35</sup> For example, see how cartoons have been used in the [IFRC M&E guidelines](#).

**evaluation resources can also be presented using this overarching organizing architecture.** Appropriate external resources, as well as the Fund’s EP and eventual ECD resources (see below), can be hyperlinked.

This model of a core EPG guidance should be monitored and “sense-checked”. It is feasible and may be preferable to **structure the EPG documents suite all as GNs**. For example, an overview GN can cover key definitions, concepts, and phases of evaluation. Other topics identified for a core EPG document, such as evaluation principles and criteria or incorporating GP/ESP policy priorities into evaluation, can instead be partitioned out as separate GNs.

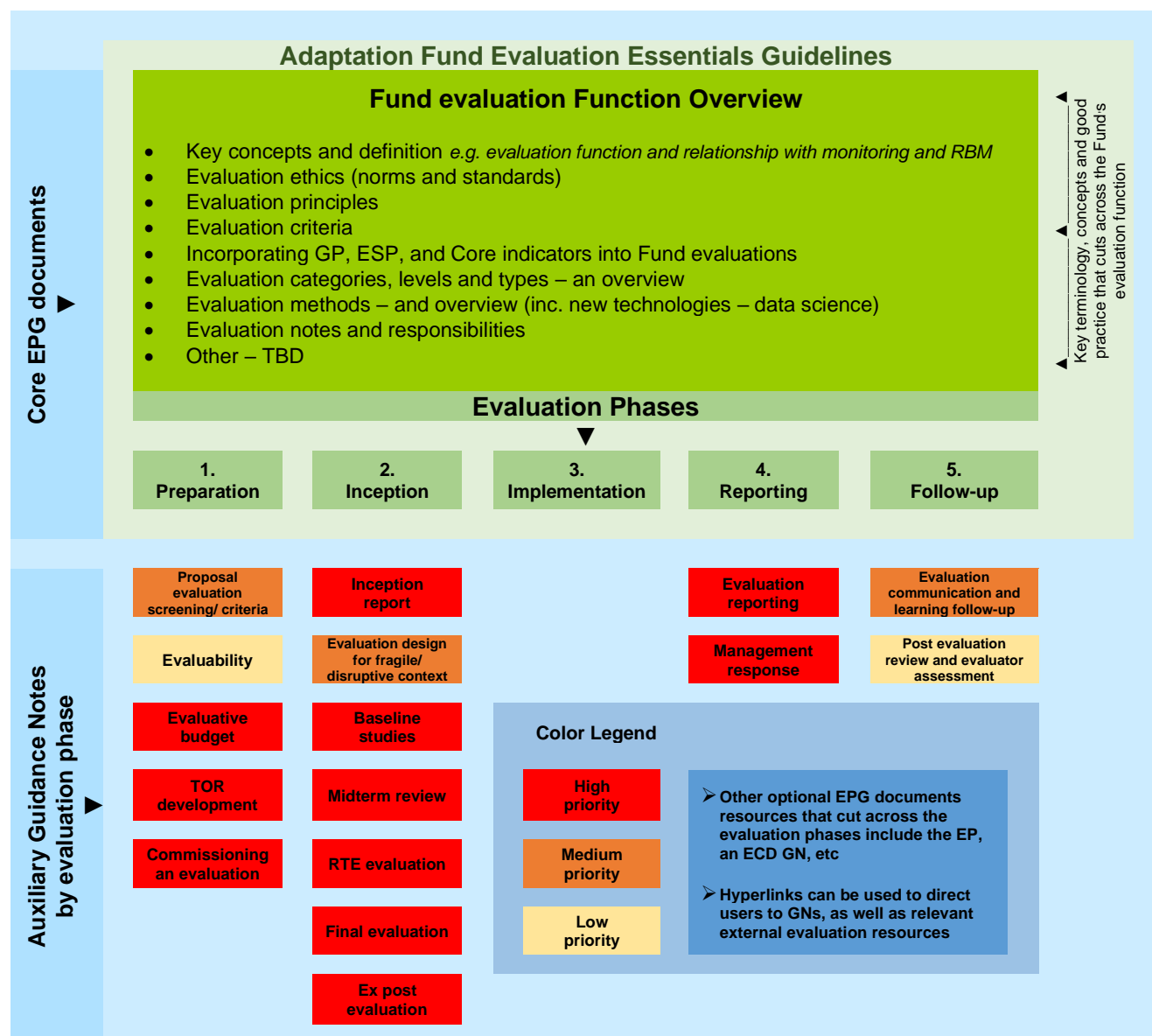
The central EPG document and auxiliary EPG resources should be accessed through an **AF-TERG evaluation resource webpage**. This would serve as a primary conduit with links to EPG and related ECD resources (foremost being the EP itself), as well as other ECD resources (i.e. recorded training or webinars) using a similar architecture as outlined in Figure 5. As the ECD approach and resources get developed, the webpage could consider a discussion board, feature posts/blogs, and a library to sample evaluation products for learning purposes (e.g. evaluation TORs, IR, baseline studies, reports).

Given the dynamic nature of such an ECD platform, the adaptive principle is essential because the EPG resources should be iteratively reviewed, updated, and revised over time (i.e. adding hyperlinked titles to new resources as they are developed or identified). For example, the recent IFAD evaluation manual is in a PDF format and hosted through IFAD’s webpage, which makes it easy to update and revise.

Reflecting Figure 5, **Table 4** summarizes **19 EPG documents to consider for this assignment**, with columns for priority, estimated days to develop, and key considerations to support further deliberation and planning for EPG development. Priority ratings at this stage are formative and more illustrative. They are based on the identified need, demand, and urgency for specific EPG documents emerging from primary data collection. For example, more than one KII identified guidance for evaluation budgeting as an immediate priority EPG document.



**Figure 5: Illustrative EPG Document & Topic Architecture**



**Box 4** illustrates criteria that can be used to help prioritize development of GNs.<sup>36</sup> More detailed prioritization can be reflected in a precise schedule for EPG document development once an initial list of documents has been vetted and approved. The days to develop GN in Table 4 are very much estimates to kick-start the planning process. Ultimately, required days to develop individual EPG documents will depend on a variety of factors i.e. subject matter expertise and familiarity with the Fund of those spearheading EPG document development, availability of existing resources to inform and include in the EPG document, the number and availability of stakeholders recommended to consult with and/or be involved in the EPG development, etc.

<b>Box 4: GN Prioritization Criteria</b>	
<ol style="list-style-type: none"> <li><b>1. Urgency / user need for GN topic</b></li> <li><b>2. Timing in relation to Fund milestones</b> (Board meetings, etc.)</li> <li><b>3. Feasibility</b> – amount of time (days) to develop GN (low hanging fruit)</li> <li><b>4. Availability of STCs</b> to develop GN</li> <li><b>5. Availability of AF-TERG members to manage</b> GN development</li> <li><b>6. Availability of secondary resources on relevant GN topics</b></li> <li><b>7. Availability of relevant Fund and partner subject matter experts</b> to consult with for GN development</li> </ol>	

**Table 4: Illustrative EPG Document & Topic Architecture**

<b>Summary of Potential EPG Documents</b>			
<b>EPG document</b>	<b>Priority</b> 1 (low), 2 (medium), 3 (high)	<b>Estimated days to develop<sup>37</sup></b>	<b>Key considerations</b>
<b>Crosscutting EPG Resources</b>			
<b>1. Core EPG document</b>	<b>3</b>	40	– Contents and length need to be vetted. For instance, whether GP, ESP, and Core Indicators will be covered in this document or in separate GN.
<b>2. ECD GN</b>	<b>1</b>	10	– Encompasses the ECD of team/org members. – Received high response rate for utility in EPG survey but does not seem urgent.

<sup>36</sup> Some of these criteria are also assumptions for the assignment.

<sup>37</sup> All day estimates will depend on a number of factors, i.e. how long (prolonged) the review and approval process take.

<b>3. Data science for evaluation GN</b>	<b>1</b>	10	— Encompasses Big Data, AI, machine learning, etc. Can also encompass digital data collection and data management but overlaps with monitoring and RBM.
<b>Evaluation Preparation Phase</b>			
<b>4. Proposal evaluation screening/criteria GN</b>	<b>2</b>	10	— Received high response rate for utility in EPG survey.
<b>5. Evaluability GN</b>	<b>1</b>	10	— This is an example of an organization-level evaluation. It can overlap with a meta-evaluation of key recommendations from other evaluations, and contribute to a meta-evaluation of the evaluation function itself.
<b>6. Evaluation budget GN</b>	<b>3</b>	10	— Identified for the STC to develop first, for which initial work has begun. — Fund example projects are expected to be needed to build a relevant example for GN.
<b>7. TOR development GN</b>	<b>3</b>	10	— Fund can start to locate exemplary <sup>38</sup> /shareable example TORs to include with the GN for different evaluation types.
<b>8. Commissioning an evaluation GN</b>	<b>3</b>	10	— Encompasses recruiting an evaluation team (internal or external), and can be collapsed with the TOR GN above. Includes recruitment checklist, interview questions, etc.
<b>Evaluation Inception into Implementation Phases</b>			
<b>9. Inception report GN</b>	<b>3</b>	10	— Fund can start to locate exemplary/shareable example TORs to include with the GN for different evaluation types.
<b>10. Evaluation design for fragile/disruptive contexts GN</b>	<b>2</b>	10	— Wealth of examples guidance on this topic after the start of the COVID-19 pandemic, but GN should be expanded to evaluation amid other disruption types.
<b>11. Baseline studies GN</b>	<b>3</b>	15	— Identified as a critical and much-needed guide but need to develop with careful coordination with RBM guidance development workstream. — Needs to locate practical teaching examples, include Fund Core Indicators, and inventory sector-specific indicators.

<sup>38</sup> Inferior examples (learning from failure) are also useful as a teaching aid but more sensitive to share.

<b>12. Mid-term Review GN</b>	<b>3</b>	10	
<b>13. Real-time evaluation GN</b>	<b>3</b>	10	— Given the RTEs can be a form of MTR, this can potentially be included as part of the MTR GN. However, this risks diluting the RTE content.
<b>14. Final evaluation GN</b>	<b>3</b>	10	— May make sense to develop this at the same time and with the same STC as the Baseline studies GN, given that baseline data are typically compared with endline data to assess impact (when appropriate) as part of a final evaluation.
<b>15. Ex post evaluation GN</b>	<b>3</b>	10	— Given the Fund's work on the ex post pilot training, this may not be a high priority if the training can meet immediate ECD needs. GN development may take less time given the material (and conceptualization) from the ex post eval training development.
<b>Evaluation Reporting Phase</b>			
<b>16. Evaluation reporting GN</b>	<b>3</b>	10	<ul style="list-style-type: none"> <li>— Prioritize, given that mandatory evaluation report templates are one of the key points called-out in the EP's "Provision for the evaluation guidance document" (EP, Section 8).</li> <li>— Fund can start to locate exemplary/shareable example evaluation reports to include with the GN for different evaluation types.</li> </ul>
<b>17. Management response GN</b>	<b>1</b>	10	<ul style="list-style-type: none"> <li>— Within the Fund, the primary user of this is the secretariat, with the AF-TERG the secondary user.</li> <li>— Fund can start to locate exemplary/shareable example MR reports to include with the GN for different evaluation types.</li> </ul>
<b>Evaluation Follow-up Phase</b>			
<b>18. Evaluation communication and learning follow-up GN</b>	<b>2</b>	10	<ul style="list-style-type: none"> <li>— Received high response rate for utility in EPG survey.</li> <li>— May want to bump-up to high priority given the interest and importance of this GN.</li> </ul>
<b>19. Post-evaluation review and evaluator assessment GN</b>	<b>1</b>	10	<ul style="list-style-type: none"> <li>— Encompasses checklists of evaluator competencies that are also useful to share prior to evaluation to help frame expectations with evaluator/s.</li> <li>— Can be expanded to identify key elements of successful evaluation exercise to rate the evaluation itself.</li> </ul>

While the above table is formative and should be revised with stakeholder input, it nevertheless provides an initial illustrative overview. Based on the high priority rating, it identifies 11 **recommended EPG documents to initially prioritize for development**. These are summarized in **Table 5** below. In the discussion on a timeframe for the EPG development (Section 6E), these recommended documents are revisited in an illustrative sequence for their development, with further detail in the EPG development timeline presented in **Annex N**. Once more, acknowledging the adaptive principle, **this draft list of 11 recommended EPG documents is expected to evolve and be revised** based on stakeholder input and emergent learning during their development.

**Table 5: Recommended EPG documents to prioritize for development**

Recommended EPG documents to prioritize for development	
<ol style="list-style-type: none"> <li>1. Core EPG document</li> <li>2. Evaluation budget GN</li> <li>3. TOR development GN</li> <li>4. Commissioning an evaluation GN</li> <li>5. Inception report GN</li> <li>6. Baseline studies GN</li> </ol>	<ol style="list-style-type: none"> <li>7. Mid-term Review GN</li> <li>8. Real-time evaluation GN</li> <li>9. Final evaluation GN</li> <li>10. Ex post evaluation GN</li> <li>11. Evaluation reporting GN</li> </ol>

### C. Evaluation capacity development

If the EP is a cornerstone of the Fund evaluation function, then the suite of printed EPG documents proposed above is the foundation built around that cornerstone. However, whereas the EPG resources help operationalize the EP, additional ECD resources and activities will help operationalize the printed EPG guidance. Therefore, **it is important to approach the development of the EPG documents strategically as part of a comprehensive approach to capacity development that extends beyond printed guidance**.

"Evaluation capacity development includes training, provision of resource materials and advice, practice-based learning, and learning from the experience of others," (EP, p. 18)

For example, as individual EPG documents (e.g. GNs) are developed, it will be important to introduce them to users through a communications plan. This should be coordinated in a manner that is mutually supportive of the suite of EPG documents and their phased development and release. In addition to strategic marketing of finished EPG documents, their learning points should be complemented and reinforced with other learning delivery media and activities (e.g. online and in-person training, webinars, tutorial sessions, targeted mentoring). Providing such a broad base of learning delivery media has greater likelihood to "reach and teach" people with different learning preferences and styles (Principle 5, Section 6a).

There is an assortment of delivery media and outlets available for ECD, ranging from recorded webinars and podcasts to self-tutorials. **Annex L** provides a deeper analysis of pros and cons of learning delivery to inform ECD according to the three primary categories of instructional media (face-to-face, synchronous, and asynchronous).<sup>39</sup>

Ultimately, there is no boilerplate approach or single recipe for the eventual configuration of ECD resources and strategic approach. Nevertheless, some **key considerations can be highlighted to guide the future development of ECD resources:**

- 1. Learn from what works, does not work, and why, especially from the direct experience of previous capacity development and delivery initiatives with Fund stakeholders.** Foremost are lessons from the AF-TERG, such as its experience with the ex post pilots training material. However, other workstreams also offer valuable insights, such as the Fund's e-courses, Readiness Programme, and the South-to-South Programme. This is an area where findings from any evaluation of learning at the Fund (a priority identified in the MTS) can also have added value for informing ECD.
- 2. Consider IE evaluation (or M&E) capacity assessment exercises as a strategic part of the ECD.** Capacity assessments inform capacity development, and an organization capacity assessment tool (OCAT) for evaluation<sup>40</sup> coupled with an internally led (even if externally facilitated) self-assessment process can help jumpstart ECD in response to identified capacity deficits and assets. Any OCAT for evaluation can also be distilled into an evaluation capacity assessment checklist. This would help inform the Fund's accreditation process, and help IEs conduct less formal internal inventory of their evaluation needs, capacities, and resources.
- 3. Develop a menu or toolbox with a variety of ECD media in different formats.** Such a mixed methods approach to ECD supports differentiated learning (see Principle 5, Section 6a). Providing different entry points and formats for learning tailored to different audiences provides a greater likelihood for the uptake and use of learning content. Sometimes referred to as blended learning, learning delivery can include printed media (as recommended) that cater to EPG users who prefer more conventional self-directed reading or without regular or reliable access to the Internet. At the same time, it can accommodate EPG users with Internet access who prefer live or recorded webinars or tutorials.
- 4. Pursue ECD that is not siloed but rather woven into other Fund capacity-development initiatives.** For example, rather than a stand-alone training on evaluation, explore ways to integrate it into existing IE/programme management training. This can better capitalize on limited time and resources, while also reducing training overload or

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<sup>39</sup> See glossary for definition of parenthesized terms.

<sup>40</sup> Related to Point 5 in this subsection, rather than a siloed OCAT for evaluation, it can be a module in an overall OCAT. This can be led by those responsible for evaluation given the focus on data collection and assessment.

fatigue among stakeholders. It can also help avoid potential competition, overlap, or contradiction in learning content with other Fund capacity-development resources and initiatives. This is where attention to and coordination with the KM workstream would seem paramount.

- 5. Utilize collaborative, peer learning.** Adults respond well when they learn from and with each other, sharing knowledge and ideas gained from practical experience. Peer learning also calibrates the level of discussion and learning pace between learners, and often culture and language are more appropriate. For example, explore evaluation learning exchange visits between IEs, which can be linked to the Fund's South-to-South Programme, or coupled with any IE evaluation capacity assessment, where visiting IE representatives participate in the organizational capacity assessment, bringing back learning and insights from their engagement to their respective IEs.
- 6. Utilize online learning delivery for key concepts, and face-to-face learning delivery when learners need hands-on experience and practice applying concepts and newly acquired skills.** Online eLearning has the greatest potential for outreach, access, and mobility with learners at a relatively low cost given the prevalence of Internet technology and access. Related, online lessons or tutorials can be required as a prerequisite or as homework for a face-to-face training as part of a blended (hybrid) approach to ECD. This can reserve limited funds for transportation and accommodation costs in instances where in-person interaction is recommended.
- 7. Utilize narrated slide presentations on key topics such as a cost-effective and adaptive medium for ECD eLearning delivery.** Designing elaborate online interactive courses typically requires external expertise. It is also time consuming and costly, and can be complicated and laborious to change content. A viable alternative is to invest in designing conventional narrated slideshow lessons on key topics areas that can easily be recorded and provided online, and updated and revised in-house. Actual lessons can be recorded, with question-and-answer sessions, quizzes, and other learning activities in different languages and geographic locations. Such an approach supports cost-effective ECD development tailored towards culturally-specific user groups, while also ensuring consistent inclusion of key learning points contained in the master lesson.
- 8. Incorporate certificates into ECD training or other appropriate capacity-development engagement.** In addition to acting as an incentive for many learners (i.e. those who want to include participation on their CV), a certificate scheme can reinforce learning when learners are required to be tested to obtain certificates. The World Bank Group is accustomed to this approach – i.e. the Short-Term Staff Onboarding eLearning Program. Certificates can also be used organizationally to ascertain if an individual is qualified for a particular task, such as conducting a baseline study or commissioning an evaluation.

- 9. Considering capitalizing on the investment in a face-to-face training workshop to include other activities to support ECD.** Transporting and accommodating trainers and trainees for an in-person workshop can be costly. Therefore, it is advisable to make the most of the investment by including other ECD deliverables. For instance, couple a face-to-face evaluation workshop with an applied training of trainers (ToT) delivered beforehand, targeting appropriate IE personal who have identified evaluation as a professional objective. After the ToT, trained trainers can pursue applied learning by co-facilitating the actual workshop with the guidance and mentorship of the experienced trainer who provided the ToT. In this way, an additional outcome is a cadre of apprenticed trainers to support future evaluation training and related ECD needs.

## D. Roles and responsibilities

Two sets of interrelated responsibilities can be identified for this assignment following the inception phase. First is the monitoring and management of the overall process. This ensures developed EPG resources are delivered in a timely manner, while adhering to Fund policy, protocol, and the principles identified for this assignment. Second is the review of individual EPG resources to ensure inclusive input from key stakeholder groups and ultimately that EPG resources are fit-for-purpose.

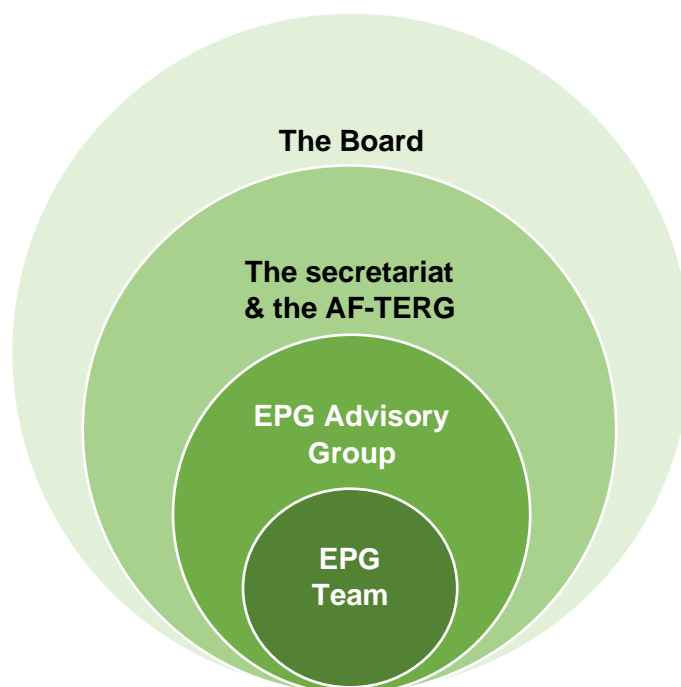
**Figure 6** represents the structure of roles to meet these responsibilities for this assignment. The innermost concentric circle encompasses the **EPG Team**, currently consisting of five members: the AF-TERG assignment Focal Point, AF-TERG CC subject matter experts, AF-TERG data analyst, and the STC/s<sup>41</sup> commissioned to develop the EPG deliverables. The EPG Team is complemented by a nine-person EPG Advisory Group comprised of wider representation from the Fund's stakeholder groups to advise on the assignment from their respective vantage points. The **AF-TERG**, the commissioner of this assignment, reviews EPG outputs. They are then submitted to the secretariat, which will review proposed guidance for alignment with the OPG and existing policies related to M&E. The Board, represented by the outermost concentric circle in Figure 6, then has final decision to approve EPG assignment deliverables.

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<sup>41</sup> Whereas the inception phase employed one STC, it is expected that multiple STDs will be employed for the EPG development phase.



**Figure 6: EPG development roles and responsibilities**



## E. Timeline

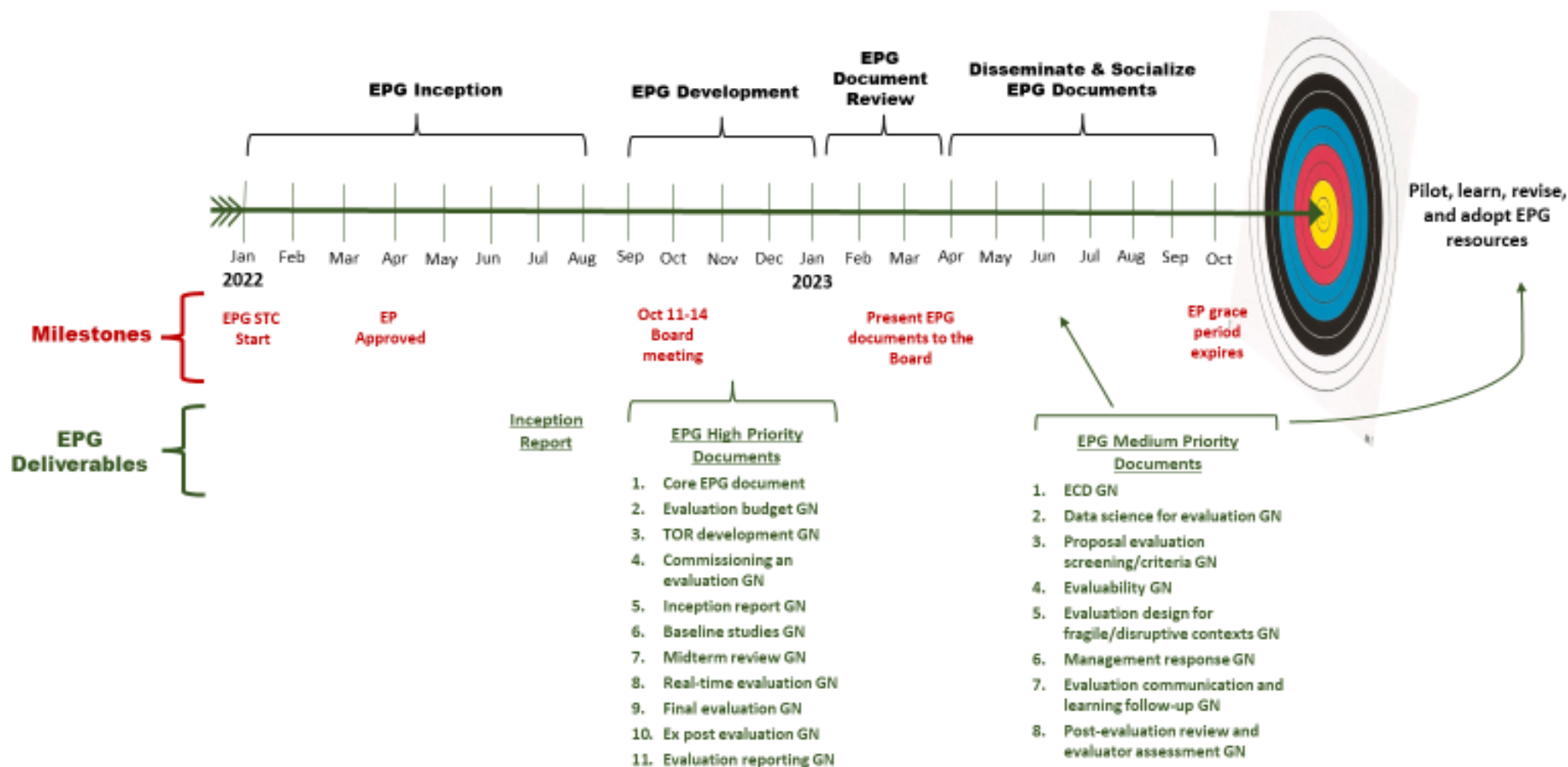
**Figure 7 provides an overview snapshot of the timeline for the EPG development** phase of the assignment. Once more acknowledging the adaptive principle, the timeline is illustrative. The specific timing of deliverables can vary based on a number of factors, including the number of EPG documents approved for development, AF-TERG capacity and resources, and the availability of relevant STCs.

One important consideration regarding the timing of deliverables is their order of development. For instance, it may be prudent to first develop select GNs that are a priority; lessons from these pilots can then inform development of the overall core EPG document, which can also draw upon and summarize key learning content from the GNs.

**It will be important to develop a more detailed working timeline for the EPG development.**

The timeline table in Annex N identifies the 11 priority EPG documents recommended for the development phase of this assignment, with an illustrative sequence for their development accompanied by a summary of the justification/rationale for their suggested order and timing. Relevant Fund milestones and deadlines are also noted to help contextualize the timeframe.

**Figure 7: Illustrative Timeline – EPG Development**



## F. Key assumptions for the proposed approach

**Table 6** concludes this section by summarizing key assumptions to consider and monitor for this assignment, with accompanying ancillary actions to avoid or mitigate associated risks.

**Table 6: Key assumptions for the proposed approach**

Assumptions	Ancillary Actions
<b>1. The Board, as indicated in the EP, assumes leadership on promoting a learning culture based on evaluative evidence, constructively supporting the EPG approval process.</b>	<ul style="list-style-type: none"> <li>— Utilize links between the EPG/ECD workstream with the work of the Board and secretariat.</li> <li>— The Board has recognized the added value of the EPG/ECD for achieving the Fund's goals.</li> <li>— Utilize Board membership in the EPG Advisory Group, and relationship/rapport with any Board members to elevate the importance of EPG/ECD at the Fund.</li> </ul>
<b>2. Investment in the development of EPG documents transfers into a change in practice for reliable, useful, and ethical evaluation aligned with the EP.</b>	<ul style="list-style-type: none"> <li>— Pursue EPG resource development with attention to additional ECD resources to reinforce and support transfer of new knowledge and skills into evaluation practice.</li> </ul>
<b>3. IEs recognize the added value of, and are receptive to, EPG resources and ECD, and support and incentivize staff to pursue ECD and the implementation of the EPG.</b>	<ul style="list-style-type: none"> <li>— Per the inclusive participation principle (above), actively consult with and engage Fund IEs and relevant partners to reinforce their understanding, ownership, and support of EPG resources.</li> <li>— Emphasize evaluative learning rather than evaluation compliance in the EPG, and how evaluation can help (rather than burden) users.</li> <li>— Utilize strategic communication to positively socialize the benefits of the EPG and importance of ECD.</li> <li>— Utilize IE evaluation "champions" (people who are outspokenly supportive of evaluation) to promote the benefits of investment in ECD.</li> <li>— Anticipate and include targeted guidance in the EPG responding to potential IE concerns about any new EP protocol that may be discordant with their existing policy, practice, and guidance, and ensure they know how to handle such situations.</li> </ul>

<p><b>4. Adequate resources (human, financial, and material) are available to develop proposed EPG documents and other ECD media.</b></p>	<ul style="list-style-type: none"> <li>— When appropriate, conserve resources by adopting or adapting external evaluation guidance that is fit-for-purpose.</li> <li>— Prepare and submit high-quality drafts for review.</li> <li>— Be expeditious and efficient in the review process to conserve time and resources (see below).</li> </ul>
<p><b>5. EPG development and approval are not hampered and delayed due to a prolonged review process, yet ample time is provided to review and ensure EPG resources are fit-for-purpose.</b></p>	<ul style="list-style-type: none"> <li>— Proactively plan and time reviews, clarifying roles and responsibilities, and communicating with and earmarking time from reviewers.</li> <li>— Strategically phase the review process and stakeholder engagement, i.e. utilize the EPG Team and EPG Advisory Group to feedback on initial drafts before scaling-out the additional reviewers.</li> <li>— Use deadlines to steer EPG development, but do not be used by deadlines; deadlines should not take precedence over quality assurance, but instead be flexible if required to ensure adequate review and revisions can be addressed. Changes to deadlines should be communicated in a clear and timely manner and approved beforehand with the justification understood by all parties involved.</li> <li>— Allow a contingency period for piloting new EPG resources so that they can be revised, if necessary, based on user input.</li> </ul>
<p><b>6. Recruiting and commissioning additional STCs proceeds without delays.</b></p>	<ul style="list-style-type: none"> <li>— Proactively identify the EPG resources that will require additional STCs; recycle and tailor EPG TORs to save time; establish timely process and earmark the time of people involved for selecting STCs, contracting, and orienting.</li> </ul>
<p><b>7. Monitoring and RBM processes are of quality to support rather than hamper evaluation.</b> New EP and supplementary EPG resources cannot guarantee quality evaluation if RBM processes that contribute to evaluation are not performed well.</p>	<ul style="list-style-type: none"> <li>— Per the EP (Section 2, p. 8), "Evaluations may verify an intervention's monitoring results against its targets and generate lessons to improve project design and monitoring processes. In addition, near real-time evaluation processes may improve the monitoring cycle's contribution to adaptive management learning."</li> <li>— Per Assumption 8 below, ensure that the EPG development process in coordinated with RBM workstreams.</li> </ul>

<p><b>8. EPG development is coordinated to avoid duplication, contradiction, or competition with other Fund processes that have distinct workstreams and outputs, but critically intersect with evaluation, (e.g. RBM, monitoring, and KM).</b></p>	<ul style="list-style-type: none"> <li>— Proactively identify critical nodes where EPG development intersects and could potentially overlap with other Fund workstreams and outputs.</li> <li>— Ensure lead representatives from relevant workstreams are consulted and represented in the EPG Advisory Group, and EPG Team members are consulted and represented in equivalent advisory groups, committees, or other bodies from these relevant workstreams.</li> <li>— Developed EPG resources should identify and link topics that intersect with evaluation, signposted appropriate Fund resources that cover those topics in detail, utilizing hyperlinks when available.</li> </ul>
<p><b>9. Fund-specific examples are forthcoming to incorporate into EPG documents and related ECD media.</b> Externally commissioned STCs will need realistic examples drawn from the Fund's context to model good practice, i.e. baseline indicator sets, TORs, evaluation budgets, evaluation reports, etc.</p>	<ul style="list-style-type: none"> <li>— Proactively request and locate potential examples from relevant Fund stakeholders for guidance development – i.e. from other workstreams, advisory groups and related Fund groups.</li> <li>— Bear in mind that real-life examples only need to be sufficient to provide core realistic features; these can then be revised and tailored for learning purposes.</li> </ul>
<p><b>10. Unanticipated disruptions (i.e. COVID-19 variants) do not arise that obstruct or delay EPG guidance work.</b></p>	<ul style="list-style-type: none"> <li>— AF-TERG routinely monitors and forecasts potential disruptions and advises its STCs and stakeholders accordingly.</li> </ul>

## 7. Next steps

An overall timeline is presented in Section 6.F, summarizing key Fund milestones to inform EPG deliverables. **Table 7** summarizes more specific and immediate action steps identified to complete the inception phase and initiate the EPG development stage. Acknowledging the adaptive principle, this list of steps is intended to be a living list to which to add, subtract, embellish, and revise as appropriate during the IR review process.

**Table 7: EPG development next steps**

EPG Development Next Steps
1. <b>AF-TERG reviews, readies, and approves the inception report.</b>
2. <b>Identify any inaccuracy, notable difference of opinion, or highly sensitive content in the IR's findings and conclusions that warrants revision.</b>
3. <b>Vet and revise as appropriate the proposed approach, topics, and architecture for the EPG guidance documents</b> (Section 6).
4. <b>Vet and revise as appropriate the key assumptions identified for the proposed approach</b> (Section 6.G).
5. Utilizing Table 7 and Annex N, <b>confirm an initial batch of EPG documents to develop</b> , and prepare accordingly a more detailed operational timeline to prioritize deliverables and meet submission deadlines, including the allocation of EPG document outputs to and recruitment of STCs, preferred draft deadlines, review periods, etc.
6. <b>Vet and elaborate the roles and responsibilities for the EPG development</b> (Section 6D), ensuring they are accurate, roles are realistically assigned and confirmed (e.g. EPG AG members and STCs), and people are informed of expected commitment and available.
7. <b>Ascertain whether an online platform/webpage can be designed</b> to mirror the proposed architecture (or revised structure) for users to access the EPG documents. If so, plan for its design and development accordingly to be ready to support the dissemination of developed EPG resources.
8. Determine <b>how and to what degree to plan and pursue ECD</b> to complement and operationalize the EPG document development.
9. As with the EP itself, <b>plan how to communicate and disseminate EPG, and to socialize Fund stakeholders for its uptake and use.</b>
10. <b>Identify, communicate with, and reserve time of relevant people to contribute to the EPG development</b> either as subject matter experts, reviewers, or both.
11. <b>Ensure that each drafted, reviewed, and AF-TERG-approved EPG document is submitted in a timely manner for Board review and decision for approval.</b>
12. <b>Ensure the Fund's OPG is updated to reflect any relevant evaluation protocol identified in Board-approved EPG</b> (as well as the EP itself).

## 8. Annexes

### Annex A: Glossary of Key Terms

#### **Accountability**

The assessment of results, effectiveness, processes, and performance of Fund-financed activities and their contribution to those objectives.

#### **Accreditation**

The process by which organizations can access Fund resources. IEs can achieve accreditation by meeting the standards set by the Fund. The accreditation standards relate to legal status, financial and management integrity, institutional capacity and transparency, self-investigation, anti-corruption, and compliance with the ESP and, most recently, its GP.

#### **Adaptive Management**

A MEL concept that recognizes that CCA and other development interventions are delivered in dynamic, unpredictable, and often contested contexts and systems; that, in these contexts, they need to be innovative; and that how best to deliver results in these contexts is uncertain. Therefore, to enable initiatives to identify early signals of potential systemic change, MEL systems must enable ongoing and real-time learning, course correction, and decision making to improve effectiveness.

#### **Asynchronous learning delivery**

Refers to distance learning delivery with no real-time interaction between participants (e.g. online recording of a webinar, podcast, or self-directed tutorial such as an animated slideshow).

#### **Baseline data**

An analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made.

#### **Entity associated with the Fund / Fund Stakeholders**

Fund stakeholders include internal entities, plus the Conference of the Parties, the UNFCCC, IEs, executing entities, DAs, and the AF NGO Network.

#### **Evaluation**

Assessment of intervention(s) to determine what works and what does not, and the extent to which intended and unintended results are accrued, as well as their impact on stakeholders. It provides evidence-based information that is credible and useful, enabling incorporation of findings, recommendations, and lessons into decision-making processes.

#### **Evaluation Capacity Development (ECD)**

*ECD* is used at the Fund to refer to the intentional process by which individuals, groups, and organizations, institutions, and countries develop, enhance, and organize their evaluation systems,

resources, and knowledge to perform reliable, useful, and ethical evaluation that support learning, inform decision making, and uphold accountability.

### **Evaluation function**

*Evaluation function* is used at the Fund to encompass the broader collection of systems, processes, and protocol to intentionally execute reliable, useful, and ethical evaluation that support learning, inform decision making, and uphold accountability (also see EP definition of *evaluation* above).

### **Evaluation evidence**

Presentation of data and facts generated through an assessment process conducted either by the AF-TERG, the secretariat, the independent units of IEs, or independent evaluators. Evaluation evidence includes evaluations, reviews, studies, and syntheses.

### **Evaluative learning**

Evaluative learning is used in this report to refer to learning from evaluations, which is complemented by “evaluative thinking” (the reflective practice of making sound judgements using reliable and relevant evidence).

### **Evaluation Policy Guidance (EPG)**

Refers to the suite of Fund-developed or vetted resources to support ECD and the operationalization of the EP for reliable, useful, and ethical evaluations.

### **Ex ante evaluation**

An ex ante evaluation is an intentional assessment exercise performed prior to an intervention’s implementation. However, its purpose can vary. A broad ex ante evaluation can be used to identify which alternative will yield the greatest benefit from an intended investment (akin to an initial or needs assessment). Ex ante evaluation can also be used to lay the foundations for an M&E system, ensuring that necessary information is available and that adequate processes are in place to generate and manage data to assess an intervention’s results and impacts (akin to both a baseline and evaluability assessment).

### **Evaluability assessment (EA)**

An EA is an intentional exercise to evaluate the extent to which an intervention can be evaluated in a reliable and credible fashion.

### **Ex post evaluation**

An ex post evaluation assesses longer-term impact, sustainability, and learning taking place three to five years after closure of Fund-financed projects.

### **Ethics and Finance Committee**

Provision of advice to the Board on issues of conflict of interest, ethics, finance, and audit. The committee provides oversight to the Fund’s evaluation function.



### **Evaluand**

The target of an evaluation. The thing being evaluated. In the context of the Fund, it may be a project, programme, theme, strategy, policy, funding instrument, the Fund itself, and so on.

### **Face-to-face learning delivery**

Refers to in-person learning delivery with real-time, physical interaction between participants (i.e. workshop classroom, on-the-job learning, etc.).

### **Final evaluation**

Evaluation by an independent evaluator chosen by the IE to provide evaluative evidence covering the entire intervention. It measures the overall impact, effectiveness, efficiency, sustainability, replicability, scale-up, and lessons learned of a Fund-financed project. These evaluations shall be prepared and submitted to the EFC through the secretariat within nine months after project completion.

### **Front-line adapters**

Intended beneficiaries and potential community-level stakeholders of CCA projects. The term acknowledges that inhabitants of communities in partnered countries are already responding and adapting to climate impacts, and that any Fund project is a supplement to those local efforts.

### **Implementing Entity**

The national, regional, and multilateral institutions accredited by the Board to receive direct financial transfers from the Fund for adaptation projects and programmes.

### **Independent evaluations**

Independent evaluations are carried out by individuals and entities that are independent from those responsible for the design and implementation of the intervention and having no past operational involvement or other conflict of interest in the interventions being evaluated. They are conducted by external consultants, personnel from the AF-TERG or an IE's own independent evaluation office (IEO). Independent evaluations provide objectivity and/or targeted expertise. Independent evaluations serve primarily an accountability function but can also contribute to learning.

### **Internal entity(ies) of the Fund**

An entity directly inside the Fund structure and subject to its Board. These include the Board itself, all committees, the secretariat, the AF-TERG and the AP.

### **Knowledge management**

The process by which the Fund acts as a key institution generating, managing, and sharing knowledge in adaptation and climate finance, and facilitating the access and use of that knowledge by other stakeholders.

### **Management response**

Evaluations presented by the AF-TERG to the Board will have a management response from the secretariat expressing the views of management regarding the evaluation.

### **Medium-term Strategy**

The Fund's MTS (2018–2022) updates and refines the Fund's niche to better serve the evolving needs of Parties to the UNFCCC. Towards this end, the Fund's vision, goal, and impact are derived from the Paris Agreement (especially Articles 7, 9, and 11), the 2030 Agenda for Sustainable Development (especially SDG 13.1), and their implied theory of change.

### **Mid-term Evaluation**

Evaluation by an independent evaluator chosen by the IE to provide evaluative evidence covering the initial outputs and results of Fund-financed projects with three or more years of implementation. These evaluations shall be submitted to the secretariat no later than six months after the midpoint of the project.

### **Mid-term Review**

The MTR of the MTS aims to track implementation, identify progress, and suggest course correction as needed.

### **Monitoring**

The Fund regards monitoring as an ongoing assessment of programme, project, and/or corporate strategy progress towards the achievement of expected results and outputs, focusing on process, effectiveness, and efficiency. It recognizes that monitoring is an essential part of the learning, adaptive management, and accountability system and that collaboration is essential between those responsible for evaluation and those responsible for monitoring.

### **Multilateral Implementing Entity**

Multilateral institutions and regional development banks invited by the Board that meet the fiduciary standards and demonstrate commitment and ability to comply with, as a minimum, the ESP and the GP. They will bear full responsibility for the overall management of projects and programmes financed by the Fund, and will bear all financial, monitoring, and reporting responsibilities.

### **National Designated Authority**

Designated by a Party to represent the government of such Party in its relations with the Board and its secretariat. The DA acts as an officer within the Party's government administration. The communication to the secretariat is made in writing and signed by a minister, an authority at Cabinet level, or the Ambassador of the Party. The main responsibility of the DA is the endorsement on behalf of the national government of: (i) accreditation applications as NIEs submitted by national entities; (ii) accreditation applications as regional or subregional IEs submitted by regional or subregional entities; and (iii) projects and programmes proposed by the IEs, either national, regional, subregional, or multilateral.

### **National Implementing Entity**

Nominated by the Parties, recognized by the Board as meeting the fiduciary standards and demonstrating the ability to comply with, as a minimum, the ESP and the GP. It will bear the full responsibility for the overall management of projects and programmes financed by the Fund, as well as financial, monitoring, and reporting responsibilities.

### **Project/Programme Review Committee**

Assists the Board in tasks related to project/programme review in accordance with the OPG for Parties to access resources of the Fund and for providing recommendations and advice to the Board thereon.

### **Real time**

Real-time evaluation refers to the incorporation of routine, user-friendly measures and tracking mechanisms that provide rapid, real-time feedback to project decision makers to respond to a project's unfolding environment and consequences. It recognizes that how best to deliver results may be uncertain, requiring iterative decision making. Reference to "near" real time recognizes that a variety of approaches will have cyclical instead of continuous data collection and application.

### **Recommendation**

Proposals aimed at enhancing the effectiveness, quality, or efficiency of a development intervention. Recommendations from the AF-TERG evaluations should be presented to the Board for appropriate follow-up of management response and action plan.

### **Review**

Assessment of performance of an intervention, periodically or on an ad hoc basis.

### **Results-based Management**

A framework that includes monitoring the efficiency and effectiveness of the Fund, or process monitoring that helps the Board track efficiency and effectiveness based on the set indicators and targets.

### **Regional Implementing Entity**

Nominated a group of Parties to bear full responsibility for overall management of the projects and programmes financed by the Fund, as well as all financial, monitoring, and reporting responsibilities.

### **Self-conducted evaluations**

Self-conducted evaluations are those conducted by personnel within the management or operational structure of the entity being evaluated and may include other stakeholders. Self-conducted evaluation is recommended for formative evaluations (for refining the project/initiative) when relatively rapid and/or continuous learning is required to optimize implementation effectiveness.

### **Semi-independent evaluations**

Semi-independent evaluations are those whose evaluation team comprises a combination of independent evaluator and personnel within the management or operational structure of the entity being evaluated. The team may include other stakeholders. Semi-independent evaluations may optimize the learning benefits of combining technical or evaluation expertise with insiders' intimate knowledge of the context, history, and stakeholders of the evaluand. Semi-independent evaluations may be useful for generating deeper formative lessons to inform decisions around an initiative's design and reforms, such as MTRs.

### **Sensemaking**

The gathering of information and its interpretation along with people's experiences to understand the world, make decisions, and take action towards Fund goals.

### **Study**

Detailed investigation and analysis of a subject or situation that is not, itself, an evaluation.

### **Strategic Results Framework**

Description of Fund level, goals, expected impact, outcomes, and outputs, as well as indicators and targets (amended in 2019).

### **Synchronous learning delivery**

Refers to distant delivery of learning (e.g. online) in real time with live interaction between participants (live webinar with Q&A).

### **Theory of change**

A method to explain how given intervention(s) are expected to lead to a specific development change, drawing on a causal analysis based on available evidence. It helps guide development of sound and evidence-based programme strategies, with assumptions and risks clearly identified and analysed (United Nations Development Assistance Framework Companion Guidance).

### **Thematic evaluation**

Evaluation of a series of interventions, all of which address a specific theme or cover specific sectors, while cutting across countries, regions, and sectors or themes. Thematic evaluations could focus on a specific or crosscutting theme, a sector, or projects in a geographic region, or type of country context (such as Small Island Developing States or Least Developed Countries). Topics and themes may stem from opportunities to generate lessons that contribute to fulfilling the Fund's mission and goal. These may be identified from germane lessons from previous evaluations; observations by internal Fund entities; collaborations with IEs or other climate funds; themes emerging from international climate conferences; and collaborations in support of the Paris Agreement's global stocktake of CCA progress, among others.

**Technical Evaluation Reference Group of the Adaptation Fund**

An independent evaluation advisory group, accountable to the Board, established to ensure the independent implementation of the Fund's EF.

**Whole-of-Fund approach**

Refers to a broadly inclusive approach to stakeholder engagement in the Fund's evaluation function that encompasses NIEs, MIEs, RIEs, DAs, the Adaptation Fund CSO Network, Board, secretariat, AF-TERG, and any stakeholder groups with a vested interest in and affected by the Fund's EP.

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- AF. 2022. Evaluation at Peer Orgs (Excel spreadsheet)
- AF. 2022. A study on Intersectional Approaches to Gender Mainstreaming in Adaptation-Relevant Interventions
- AF. 2021. Terms of Reference. AF-TERG. Evaluation Policy Guidance Development STC
- AF. 2021. Survey: Consultation for the draft Adaptation Fund Evaluation Policy
- AF. 2021. Survey Results Excel Spreadsheet: Consultation for the draft Adaptation Fund Evaluation Policy
- AF. 2021. Progress on Development of the Adaptation Fund Evaluation Policy – Information Update
- AF. 2021. Lessons and recommendations for content of an evaluation policy for the Adaptation Fund: An internal briefing paper
- AF. 2021.3. Adaptation Fund Evaluation Framework Review and Revision: IE Consultations with AF-TERG - Synthesis of Discussion outcomes.
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- AF. 2021.12. Summary of the Draft Adaptation Fund Evaluation Policy
- AF. 2021. Review and Revision of the Adaptation Fund Evaluation Framework: Inception Report
- AF. 2021. Terms of Reference of the Evaluation Policy Advisory Group

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<sup>42</sup> Multiple other resources have been archived (but not yet reviewed) for use later in the EPG development



AF. 2021. Synthesis of Adaptation Fund Final Evaluations  
AF. 2020. Evaluability Assessment Final Report  
AF. 2020. Preliminary Findings on a Gap Analysis of the Adaptation Fund Evaluation Framework  
AF. 2020a. Evaluating Adaptation: Common Challenges Identified Across Three Studies  
Commissioned by the AF-TERG.  
AF. 2019. Strategic Results Framework (Amended in March 2019)  
AF. 2019. Results tracker guidance document  
AF. 2018. Medium-term Strategy 2018–2022  
AF. 2018. Second Phase of the Overall Evaluation of the Fund  
AF. 2018. Implications of the Establishment of the Fund’s Evaluation Function  
AF. 2018. Implementation Plan for Medium-Term Strategy  
AF. Date? (AFB/B.28/9). Annex V: Knowledge Management Strategy and Action Plan  
AF. 2017. Options for Post-Implementation Learning and Impact Evaluation of Adaptation Fund  
Projects and Programmes  
AF. 2015. Evaluation of the Fund (Stage 1)  
AF. 2014. Methodologies for Reporting Adaptation Fund Core Impact Indicators  
AF. 2013. Environmental and Social Policy  
AF. Undated. Guidance document for Implementing Entities on compliance with the Adaptation  
Fund Environmental and Social Policy  
AF. 2011. Project-Level Results Framework and Baseline Guidance: Project level  
AF. 2011. Guidelines for Project/Programme Final Evaluations  
AF. 2010. An Approach to Implementing Results-Based Management – RBM  
AF. 2011. Project Performance Reporting: Process, Structure, and Content  
AF. 2009. Results-based Management Framework

**External (to the Adaptation Fund) Evaluation Background Documents**<sup>43</sup>

ADB. 2017. Knowledge Solutions Tools, Methods, and Approaches to Drive Organizational  
Performance. Asian Development Bank: Philippines  
Collaborative Crop Research Program. 2017. Integrated Monitoring, Evaluation, & Planning  
Handbook  
GCF. 2021. Green Climate Fund Evaluation Standards.  
GCF. 2022. Integrated Results Management Framework (IRMF): Results Handbook  
GCF. 2022. Sectoral Guide Consultation Version 1: Energy access and power generation  
GEF. 2022. Guidelines for Conducting Program Evaluation. Independent Evaluation Office  
GEF. 2019. The GEF Evaluation Policy. Independent Evaluation Office of the Global Environmental  
Facility. Independent Evaluation Office

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<sup>43</sup> When appropriate, entries have been listed by organizational affiliation

- GEF. 2017. Guidelines for GEF Agencies in Conducting Terminal Evaluation for Full-sized Projects. Independent Evaluation Office
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- UNEG. 2022. United Nations contributions to national evaluation capacity development and the evolution of national evaluation systems. An overview of implementation of General Assembly Resolution 69/237
- UNEG. 2020. Compendium of Evaluation Methods Reviewed - Volume 1
- UNEG. 2020. Ethical Guidelines for Evaluation
- UNEG. 2020. Pledge of Ethical Conduct in Evaluation
- UNEG. 2018. Guidance on Evaluating Institutional Gender Mainstreaming

- UNEG. 2017. Norms and Standards for Evaluation.
- UNEG. 2016. Evaluation Competency Framework
- UNEG. 2014. Resource Pack on Joint Evaluations
- UNEG. 2010. UNEG Quality Checklist for Evaluation Reports
- UNEG. 2010. UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports
- UNIDO. 2018. Evaluation Manual. United Nations Industrial Development Organization
- UNFPA. 2019. Evaluation Handbook. How to Design and Conduct a Country Programme Evaluation at UNFPA
- United Nations Joint Inspection Unit. 2014. Analysis of the Evaluation Function in the United Nations System
- UNODC. 2021. UNODC Toolkit for Evaluating Interventions on Preventing and Countering Crime and Terrorism
- UNODC. 2017. Evaluation Handbook Guidance for designing, conducting and using independent evaluation at UNODC
- UNODC. Undated. Evaluation Briefs Template
- WFP. 2022. Country Strategic Plan Evaluations: Guidance for Process and Content. Centralized Evaluation Quality Assurance System
- WFP. 2021. WFP evaluation policy 2022. World Food Programme: Rome.
- World Bank Group. 2019. World Bank Group Evaluation Principles. International Bank for Reconstruction and Development / The World Bank

## Annex C: EPG Key Stakeholder Summary

Key Stakeholder Groups	Conducting evaluations	Evaluation management & oversight	Evaluation learning and use	Evaluation capacity development
1. Implementing Entities (NIEs, MIEs, RIEs)	√	√	√	√
2. Designated Authorities (DAs)		√	√	TBD
3. Entities seeking accreditation	TBD	√	√	√
4. External, independent evaluators	√			
5. Internal (IE) evaluation team	√	√	√	√
6. Recipient governments		√	√	√
7. Contributor governments		√	√	√
8. Adaptation Fund CSO Network	√	√	√	√
9. Climate adaptation field-industry			√	√
10. Fund Board		√	√	√
11. Fund ECF				
12. Fund PPRC		√	√	√
13. Fund Accreditation Panel		√	√	√
14. Fund secretariat		√	√	√
15. AF-TERG	√	√	√	√

## Annex D: Key informant interviewees

Name	Role/Title
<b>Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG)</b>	
1. Debbie Menezes	AF-TERG Chair
2. Carroll Patterson	AF-TERG Member
3. Claudio Volonte	AF-TERG Member
4. Mutizwa Mukute	AF-TERG Member
5. Susan Legro	AF-TERG Member
6. Dennis Bours	AF-TERG secretariat
7. Beryl Akoth Onyango	AF-TERG secretariat
8. Caroline Holo	Data Analyst
9. Mariana Vidal Merino	Data Analyst/Innovation
10. Peter Weston	EP Development STC
<b>Evaluation Policy Advisory Group</b>	
11. Marselino Djeer	M&E Specialist, Kemitraan
12. Ezra Christopher	M&E Consultant, Department of Environment, Antigua
13. Serge Nsengimana	Executive Director, Conservation Action Practitioners (CAP)
14. Grace Igweta	Senior Evaluation officer, WFP Office of Evaluation
<b>Adaptation Fund Board Secretariat</b>	
15. Mahamat Abakar Assouyouti	Senior Climate Change Specialist, <b>EP Advisory Group</b>
16. Cristina Dengel	Knowledge Management Officer

## **Annex E: KII semi-structured interview guide**

**This questionnaire is semi-structured and should be adapted according to respondents' input**, supporting the expression of opinions, concrete examples, and emergent learning. Therefore, not all questions may be asked, nor may questions be in the presented order below, and additional unplanned questions may be asked. In short, the questionnaire should not be a straitjacket but rather support information gathering and learning. **Consultations are expected to be between 30 minutes to 1 hour in length.**

### **Overall Assignment**

1. What do you identify as important for the success of this assignment?
2. What cautions or "threats" do you identify for the assignment to avoid or be prepared to mitigate?

### **Users**

3. Are there any key considerations you would like to identify regarding the users and their needs in relation to the EPG?

### **Existing Relevant Guidance/Resources**

4. Are there any existing guidelines or resources within or external to the Fund you think should be considered in the development of the EPG?

### **EPG Scope/Topics**

5. Are there priorities or more urgent areas/topics that need guidelines than others?
6. What are your thoughts on the relationship between guidance for evaluation and RBM at the AF?

### **EPG Format**

7. Are there any lessons from the preparation of other guidelines in the past and what worked "best"?

### **Capacity Development**

8. What are your thoughts on capacity development that goes beyond printed (PDF) resources to include other media and outlets for capacity development?

### **IEs and Peer Organizations**

9. Are there any particular peer organizations or IEs that you recommend I consult with for this assignment?

### **Miscellaneous**

10. Are there any other questions you think I should be asking key informants I consult with for this assignment?
11. Is there anyone else not already identified who you recommend we interview?

## Annex F: EPG Survey

**EPG Survey Background:** The survey was sent to 102 IE contact details, 12 CSO network contact details, 32 Board members, 21 Fund staff members, and 124 DA contact details, (mindful that some countries or IEs have several contact points, i.e. there are 56 IEs but 102 people were contacted, as per the total number of contact points). Given this, the response rate among the IE sample frame was 48%, and that of the Board was 34%. Note that the survey was not sent to AF-TERG.

### EPG Survey Questions

#### **Respondent Information**

1. Please select the role that best describes your involvement with the Adaptation Fund (AF):
  - a. Adaptation Fund Board Member
  - b. AFB Secretariat staff
  - c. National Designated Authority
  - d. Staff of Implementing Entity
  - e. Civil Society member (e.g. AF NGO Network)
  - f. Climate Fund
  - g. Other (Please specify) \_\_\_\_\_
2. (Conditional on 1.d) Please specify the type of Implementing Entity:
  - a. National
  - b. Regional
  - c. Multilateral
3. (Conditional on 1.d) Please select any options below that describe your organization's circumstance [multiple choice].
  - a. We are working on a Fund project proposal, to be approved
  - b. We are readying an approved project proposal to start implementation
  - c. We are currently implementing an Adaptation Fund project
  - d. We have implemented and completed a Fund project
  - e. Other (Please specify) \_\_\_\_\_
4. What role(s) would you personally play in the implementation of evaluations in your organization [Select all that apply]?
  - a. Develop TORs and contracting consultants to conduct evaluations
  - b. Coordinating evaluations
  - c. Introducing evaluation concepts in the project design and implementation
  - d. Conducting evaluations
  - e. Developing tools, methods, and/or guidance to conduct evaluations
  - f. Evaluation follow-up and use
  - g. I have no engagement with evaluations or their findings in my day-to-day work
  - h. Other: \_\_\_\_\_
5. How would you self-assess your own evaluation knowledge?
  - a. I am not exactly sure what evaluation is or what I would use it for
  - b. I have some basic knowledge on evaluation  
(e.g. I feel comfortable reading and understanding an evaluation approach paper or TOR)
  - c. I understand evaluation concepts and principles  
(e.g. I feel comfortable providing comments on an evaluation approach paper or TOR)
  - d. I took a course in evaluation  
(e.g. I feel comfortable developing an evaluation approach paper or TOR)

- e. I did enough evaluation courses and practice for a university certificate or diploma on the topic  
(e.g. I feel comfortable leading evaluations and presenting the results)

### General learning style questions

6. Please respond to the following statements on learning styles for evaluation concepts and best practices, indicating your level of agreement:
  - a) I learn best from examples and case studies from climate adaptation projects and related interventions (i.e. an actual evaluation TOR or final report)
  - b) I learn best from theory and models of concepts and good practice for evaluation
  - c) I learn best when a subject matter expert (professor) presents recommend practice (directed learning)
  - d) I learn best when I figure out myself what applies to me and how to use it (self-directed learning)
  - e) I learn best on-the-job through trial and error
  - f) I learn best through coaching or mentoring
  - g) I learn best when learning content is live and I can immediately ask questions and get answers
  - h) I learn best when learning content is recorded and I can stop or pause and resume learning according to my own schedule
7. Please consider the following formats and media for providing evaluation guidance, indicating the suitability for how people best learn in your context:
  - a) Reading written guidelines, (e.g. a PDF guidance note)
  - b) Receiving and reading regular short e-mail learning briefs or links to blogs
  - c) Watching a recorded video on a topic, (e.g. a slide presentation or a webinar)
  - d) Completing an online self-directed tutorial or course
  - e) Participating in a live online (remote) training workshop or webinar
  - f) Participating in a live, in-person training/workshopOther: \_\_\_\_\_

### General evaluation guidance questions

8. Beyond the Adaptation Fund's Evaluation Policy, does your organization have its own Evaluation Policy?  
Yes / No and Under development
9. (Conditional on previous question) Does your organization make use of this policy in the evaluation of Adaptation Fund activities? Yes / No
10. Beyond the Adaptation Fund's Evaluation Guidance, does your organization have its own Evaluation Guidance? Yes / No
11. (Conditional on previous question) Does your organization make use of this guidance in the evaluation of Adaptation Fund activities? Yes / No
12. Does your organization have internal evaluation training or other evaluation capacity-development tools? Yes / No Please elaborate:

### Evaluation Guidance Topic Prioritization

13. General Evaluation Topics: Please rate the following evaluation topics based on how useful you think it would be for the Fund to provide guidance.
  - 1) The AF's definition of the evaluation function
  - 2) Working with the AF's new evaluation criteria
  - 3) Working with the AF's new evaluation principles
  - 4) Ethical guidelines for evaluation
  - 5) Evaluation competencies



- 6) Glossary of evaluation-relevant terms
- 7) Assessment of the quality of Evaluations
- 8) New methods and tools for evaluating climate change adaptation projects, (including the use of data science, i.e. Big Data and social media analysis)
- 9) Guidance for providing evaluation capacity development to others
- 10) Evaluation as part of knowledge management

Other: Optional Comment:

**14. Evaluation Types:** Please rate the following topics on evaluation types based on how useful you think it would be for the Adaptation Fund to provide guidance.

- 1) Ex ante Evaluations
- 2) Baseline Studies (and reports)
- 3) Mid-term Evaluations
- 4) Real-time Evaluations
- 5) Final Evaluations
- 6) Ex post Evaluations (3–5 years after project completion)

Other: Optional Comment:

**15. Topics by Evaluation Phase:** Please rate the following topics organized by evaluation phase based on how useful you think it would be for the Adaptation Fund to provide guidance.

***Evaluation Preparation Phase***

- 1) Proposal evaluation screening criteria/checklist
- 2) Evaluation budget guidelines
- 3) Evaluability assessment (to determine if an intervention is ready to be evaluated)

***Evaluation Commissioning Phase***

- 4) TOR development guidelines/template
- 5) Recruiting/assembling an evaluation team (whether internal or external)
- 6) Evaluation roles, responsibilities, and management

***Evaluation Implementation Phase***

- 7) Supervising and managing the implementation of an evaluation
- 8) Evaluation Design – incorporating Fund© Environmental and Social Policy
- 9) Evaluation Design – incorporating Fund© Gender Equality
- 10) Evaluation Design – for contexts of fragility, conflict, and/or violence, or amid disruption (e.g. a pandemic, natural disaster, conflict, etc).
- 11) Good practice techniques for evaluating performance related to Fund core indicators
- 12) Evaluation data collection methods and management
- 13) Evaluation data management methods, (especially long-term data management and archiving)
- 14) Evaluation Reporting Guidance/Template

***Evaluation follow-up and utilization phase***

- 15) Management response and action plans to evaluation reports
- 16) Dissemination and communications of evaluation findings/learning
- 17) Post-evaluation evaluator assessment
- 18) South-South evaluation learning exchange opportunities

Other: Optional Comment:

**Open-ended Questions**

- 16.** Are there any other learning practices you have observed by other Funds, multilateral organizations or public entities that would like to see offered by the AF?
- 17.** Are there any examples of evaluation guidance that you highly recommend are reviewed to inform the development of the AF's evaluation guidance resources?

- 18.** Is there anything else you would like to share that you think is important for the development of guidance documents and related resources to support the implementation of the new Evaluation Policy?

## Annex G: Comparing Key Peer Organizations' Evaluation Functions

Key Peer Funding Organizations Evaluation Function Snapshot
<p><b><u>Global Environment Facility (GEF) Independent Evaluation Office (IEO)</u></b></p> <ul style="list-style-type: none"> <li>➤ <b>Evaluation Annual Budget:</b> \$6,046,000 (2021)</li> <li>➤ <b>Evaluation Strategy:</b> <a href="#">Work Program and Budget of the Independent Evaluation Office: June 2021</a></li> <li>➤ <b>Evaluation Policy:</b> <a href="#">The GEF Evaluation Policy</a> (2019)</li> <li>➤ <b>Evaluation Guidance:</b> <a href="#">Guidelines for Conducting Program Evaluation</a> (2022), <a href="#">Guidelines for GEF Agencies in Conducting Terminal Evaluation for Full-sized Projects</a> (2017), <a href="#">GEF Monitoring and Evaluation (M&amp;E) in the LDCF/SCCF</a> (2014), <a href="#">Guidelines for GEF Agencies in Conducting Terminal Evaluations</a> (2008)</li> </ul>
<p><b><u>Green Climate Fund (GCF) Independent Evaluation Unit (IEU)</u></b></p> <ul style="list-style-type: none"> <li>➤ <b>Evaluation Annual Budget:</b> \$6,487,012</li> <li>➤ <b>Evaluation Strategy:</b> <a href="#">Independent Evaluation Unit 2022 Work Plan and Budget and Update of its Three-year Objectives and Work Plan</a></li> <li>➤ <b>Evaluation Policy:</b> <a href="#">Evaluation Policy for the GCF</a> (2021)</li> <li>➤ <b>Evaluation Guidance:</b> <a href="#">Green Climate Fund Evaluation Standards</a> (2021), <a href="#">Learning-Oriented Real-Time Impact Assessment (LORTA)</a> (webpage, different resources and dates), <a href="#">Integrated Results Management Framework (IRMF): Results Handbook</a> (2022)</li> </ul>
<p><b><u>Climate Investment Funds (CIF) Evaluation and Learning Initiative (ELI)</u></b></p> <ul style="list-style-type: none"> <li>➤ <b>Evaluation Annual Budget:</b> \$6 million for 3 years (2020–2022)</li> <li>➤ <b>Evaluation Strategy:</b> <a href="#">Evaluation and Learning Special Initiative: FY20 Annual Report and FY21 Work Plan</a></li> <li>➤ <b>Evaluation Policy:</b> <a href="#">CIF Monitoring, Evaluation, and Learning (MEL) Policy and Guidance</a> (2022)</li> <li>➤ <b>Evaluation Guidance:</b> see above</li> </ul>
<p><b><u>International Fund for Agricultural Development (IFAD) Independent Office of Evaluation (IOE)</u></b></p> <ul style="list-style-type: none"> <li>➤ <b>Evaluation Annual Budget:</b> \$5,848,338</li> <li>➤ <b>Evaluation Strategy:</b> <a href="#">IFAD's Annual Work Plan and Budget</a></li> <li>➤ <b>Evaluation Policy:</b> <a href="#">Revised IFAD Evaluation Policy</a> (2021)</li> <li>➤ <b>Evaluation Guidance:</b> <a href="#">2022 IFAD Evaluation Manual Part 1</a> (with accompanying online training)</li> </ul>

## Annex H: Organizational Evaluation Maturity Model

Based on the concept of *organizational lifecycle modelling*,<sup>44</sup> the model is organized around four stages that organizations commonly encounter in their development journey: Initiate, Stabilize, Grow, and Amplify. Using these stages, the purpose of the model is to summarize the Fund's evaluation status relative to the degree its evaluation systems, processes, culture, and practice support evaluation that contributes to evaluative learning that is used to inform and help achieve the Fund's strategic goals. **The model rates the Fund at Stage 3 (Growth).** This rating, and for that matter the overall model, is not absolute, objective, or authoritative. Instead, the rubrics have been co-created and the rating arrived at collectively by the AF-TERG and relevant stakeholders to support accuracy and ownership.<sup>45</sup>

Organizational Evaluation Maturity Model: Fund's state	
Stage	Description
<b>Stage 1</b> <b>Initiate</b>	<b>Evaluation systems and process are largely absent, and the evaluation function is primarily ad hoc in response to accountability reporting requirements and with relatively limited internal utility.</b> There is no formal evaluation policy, protocol, or strategy and the evaluation culture and appetite are low if non-existent. Evaluation quality assurance, budgeting, roles and responsibilities, and capacity development are largely absent. Overall, the evaluation function is viewed as a managerial compliance, and leadership support is lacking.
<b>Stage 2</b> <b>Stabilize</b>	<b>"Evaluation systems and process are established, but Evaluation primarily functions to meet external reporting and accountability requirements."</b> Evaluation policy, protocols, and roles and responsibilities exist but can be enhanced and are not consistently followed. Linkages beyond compliance evaluation with organizational learning and related processes (e.g. context analysis, design, and reporting) is emergent but limited, and the evaluation function remains largely siloed as a specific workstream rather than crosscutting. Evaluation quality assurance, budgeting, and capacity development remain limited or non-existent relative to other organizational functions. However, there is increasing awareness and acknowledgement of evaluation capacity gaps and an evaluation culture is coalescing with the introduction of basic evaluation guidance, protocol, and capacity development. Leadership support for evaluation is limited, primarily through select champions. An evaluation strategy is typically absent.
<b>Stage 3</b> <b>Grow</b>	<b>Evaluation systems and process exist and are used to support programme expansion and impact, but capacity and performance gaps remain.</b> Evaluation policy, strategy, and protocol are becoming mainstreamed, and an evaluation culture exists with roles, responsibilities, and quality assurance present, but it needs improvement.

<sup>44</sup> For further information see: Management Library 2021, and DARSA 2019.

<sup>45</sup> The value of using such a rubrics tool is in the process versus the product; rather than fixating on the "score" (as with a report card), the process of discussing and sensemaking to consider and arrive at a rating is the desired added value. The model can also be used as a baseline to capture, monitor, and communicate the Fund's evaluation status to support ECD over time, place, and stakeholder groups.

	<p>Evaluation guidance resources and capacity development are present but need to be better coordinated and streamlined as part of a coherent ECD strategy. Evaluation budgeting remains largely implicit relative to other organizational functions, and formal protocol and guidance is required. Linkages are actively pursued between evaluation and other organizational processes (e.g. context analysis, design, monitoring, and reporting), but limitations remain. There is understanding and genuine appreciation for evaluation to extend beyond reporting for accountability to provide evaluative learning that is useful and used. However, this understanding is primarily conceptual and ECD is required for its transfer into practice. Leadership support is present, although evaluative understanding and capacities are inconsistent.</p>
<p><b>Stage 4</b></p> <p><b>Amplify</b></p>	<p><b>Evaluation systems and process are well-established with an emphasis on supporting global systems transformation versus assessing discrete interventions and pre-determined results.</b> Rather than a focus on compliance, there is an emphasis on adapting evaluation to the stakeholder's needs, contextual changes, and the pursuit of longer-term strategic vision. A strong evaluation culture supports an exemplary evaluation function serving as a model for similar organizations. Evaluation policy and strategy is operationalized with a coherent quality assurance system and guidance resources. Adequate to ample evaluation leadership, financial, human, and capacity-development resources are present. Evaluation is crosscutting, well-integrated into intervention designs, implementation, and reporting, and is used and useful, informing decision making, and balancing organizational learning and change with accountability requirements.</p>

## Annex I: Checklist of requirements for the Fund's entities

Entity	Requirements
Implementing Entities	<p><b><i>Adaptation Fund-financed Projects</i></b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure the process for preparing and conducting each evaluation respects the Fund's seven evaluation <b>principles</b>, and 10 evaluation <b>criteria</b>, plus any Fund <b>"Strategic Results Framework" outcome indicators</b> incorporated in the project's design.</li> <li><input type="checkbox"/> Budget, conduct, and submit to the Fund a <b>baseline data report</b> for every project that directly measures every high-level indicator of the project's M&amp;E plan – that may be an independent, semi-independent, or self-conducted study.</li> <li><input type="checkbox"/> Budget, conduct, and submit to the Fund (with a management response) a <b>final evaluation</b> for every project – which is conducted independently.</li> <li><input type="checkbox"/> For projects of 3+ years' duration, budget, conduct, and submit to the Fund (with a management response) a <b>Mid-term Review</b> – which may be an independent or semi-independent review. Alternatively, projects of 3+ years' duration may incorporate near real-time evaluation in place of an MTR that may be conducted independently or semi-independently, or self-conducted.</li> <li><input type="checkbox"/> Projects of duration less than 3 years are encouraged but not obliged to budget and conduct an MTR or near real-time evaluation that may be conducted independently or semi-independently, or self-conducted.</li> <li><input type="checkbox"/> If requested by the Adaptation Fund, participate in an ex post and/or programme evaluation conducted and financed by the Fund.</li> </ul> <p><b><i>Internal policies and capacities</i></b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Demonstrate an intent to utilize evaluations to improve the performance and effectiveness of the IE, including conducting a management response to incorporate recommendations of each evaluation.</li> <li><input type="checkbox"/> Ensure proposals include itemized budgets for evaluation and monitoring activities.</li> <li><input type="checkbox"/> Make available project-related documents, materials, and personnel to AF-TERG in a timely manner and facilitate field visits for evaluators to support the Fund- and Strategic-level evaluations.</li> <li><input type="checkbox"/> Demonstrate a willingness to share evaluative findings of promising practices, learnings, and knowledge with relevant partners through peer, national, and international platforms.</li> <li><input type="checkbox"/> Periodically review the IE's internal evaluation capacity and identify means (with and without the Fund) to improve capacity to generate and utilize evaluations.</li> <li><input type="checkbox"/> Demonstrate a willingness to contribute to the Fund's development of new evaluation techniques and guidance that support application of the policy's evaluation criteria and principles.</li> </ul>
Designated Authorities	<ul style="list-style-type: none"> <li><input type="checkbox"/> Demonstrate a willingness to contribute to the Fund's development of new evaluation techniques and guidance that support application of the policy's evaluation criteria and principles.</li> <li><input type="checkbox"/> Cooperate with IEs that are facilitating an Operational-level evaluation, including facilitating timely access to information and personnel that directly or indirectly relate to the project.</li> <li><input type="checkbox"/> Participate in evaluation design and data interpretation discussions, and site visits.</li> <li><input type="checkbox"/> Cooperate with Fund entities and consultants if a Fund-level or Strategic-level evaluation relates to their country or country context (e.g. geographic, economic, or cultural).</li> </ul>

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	<ul style="list-style-type: none"> <li><input type="checkbox"/> DAs are encouraged to incorporate evaluative evidence and lessons from evaluation reports related to their country, geographic, or socioeconomic context into the country's own CCA intelligence, strategies, and plans.</li> <li><input type="checkbox"/> DAs are encouraged to access and apply AF-TERG evaluation guidance documents and events to support DAs in national evaluation capacity development.</li> </ul>
<b>Civil Society Organization (CSO) Network</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Collaborate with Fund entities and consultants if an Operational-, Fund-, or Strategic-level evaluation is related to their sectoral interests or operational contexts (e.g. geographic, economic, or cultural).</li> <li><input type="checkbox"/> Consider the application of the Fund's evolving evaluation guidance as it engages in monitoring and evaluation of Fund-supported projects.</li> <li><input type="checkbox"/> Consider the application of lessons and recommendations from Fund evaluations relevant to their own programming sectors.</li> <li><input type="checkbox"/> Access and utilize AF-TERG evaluation guidance documents for its own capacity development.</li> <li><input type="checkbox"/> Contribute to the Fund's development of new evaluation techniques and guidance.</li> </ul>
<b>EFC</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Encourage a culture of applied learning across the Fund based on evaluative evidence.</li> <li><input type="checkbox"/> Oversee the evaluation function of the Fund. This includes: <ul style="list-style-type: none"> <li>i. reviewing the performance of the Fund and its accredited IEs, making use of both internal and external evaluations and reports from IEs and other sources, as appropriate</li> <li>ii. addressing issues concerning monitoring and evaluation at the Fund level</li> <li>iii. overseeing performance of the AF-TERG</li> <li>iv. maintaining an AF-TERG Recruitment Working Group</li> <li>v. referring AF-TERG's workplan and budget to the Board.</li> </ul> </li> </ul>
<b>PPRC</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Encourage a culture of applied learning across the Fund based on evaluative evidence.</li> <li><input type="checkbox"/> Ensure every proposal includes a dedicated evaluation budget that itemizes baseline, MTR or near real time (for projects of 3+ years), and final evaluations.</li> <li><input type="checkbox"/> Supported by the AF-TERG, consider in assessment of proposals: <ul style="list-style-type: none"> <li>i. the capacity of the applying entity to implement the project's proposed sector and approach, based on findings of past evaluation reports and, especially, the entity's management response to the recommendations</li> <li>ii. evaluation evidence to support or refute the sectoral approach outlined in the proposal.</li> </ul> </li> <li><input type="checkbox"/> Institutionalize and report on incorporation of lessons and recommendations from Strategic-level evaluations as they relate to its functions.</li> </ul>
<b>AP</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Encourage a culture of applied learning across the Fund based on evaluative evidence.</li> <li><input type="checkbox"/> Receive support from the AF-TERG and/or secretariat to consider in assessment of entities' accreditation or reaccreditation applications: <ul style="list-style-type: none"> <li>i. Performance of the entity's previous projects, based on findings of its evaluation reports and, especially, the entity's management response and corrective actions to the recommendations</li> <li>ii. Entity's demonstration of how its evaluation capacity is consistent with the requirements of the Evaluation Policy (as per IE's internal policy requirements in the checklist above).</li> </ul> </li> <li><input type="checkbox"/> Institutionalize and report on incorporation of lessons and recommendations from Strategic-level evaluations as they relate to its functions.</li> </ul>

<p><b>The secretariat</b></p>	<p><i>Internally:</i></p> <ul style="list-style-type: none"> <li>❑ Encourage a culture of applied learning across the Fund based on evaluative evidence.</li> <li>❑ Collaborate annually with the AF-TERG to identify evaluative learning priorities and opportunities, and review and update the rolling workplan and budget of the evaluation function.</li> <li>❑ Make available documents, materials, and personnel to the AF-TERG in a timely manner and liaise with external partners to facilitate field visits for evaluators as required to support the Fund's Fund- and Strategic-level evaluations.</li> <li>❑ Analyse and incorporate Fund and strategic evaluation recommendations and provide a management response for the Board for how recommendations will be addressed.</li> <li>❑ As the AF-TERG researches viable approaches for IEs to pilot/adopt near real-time evaluation approaches, collaborate with the AF-TERG on how such approaches align with monitoring practices.</li> <li>❑ Support the AF-TERG's development of evaluation guidance and templates with advice, review, and facilitation of external stakeholder input.</li> <li>❑ Collaborate with the AF-TERG to develop knowledge management processes and platforms that make evaluation data and lessons accessible and aggregable internally and externally.</li> <li>❑ Self-assess secretariat staff competencies for evaluation and request capacity-building support from the AF-TERG for relevant secretariat staff.</li> </ul> <p><i>Externally:</i></p> <ul style="list-style-type: none"> <li>❑ Monitor IEs' project evaluation plans and mediate evaluation advice for IEs with the AF-TERG.</li> <li>❑ As required, provide advisory support and guidance for the development of management responses to project evaluations and institutionalize management responses into their operations.</li> <li>❑ Assist IEs, CSO Network partners, and DAs to identify and use evaluation capacity-building resources available to them.</li> <li>❑ Collaborate with the AF-TERG so that evaluation-generated lessons and evidence are packaged and externally shared to suit various audiences (e.g. general interest, policymakers, and other CCA actors).</li> </ul>
<p><b>AF-TERG</b></p>	<p><i>Internally:</i></p> <ul style="list-style-type: none"> <li>❑ Encourage a culture of applied learning across the Fund based on evaluative evidence.</li> <li>❑ Through consultation with internal and external stakeholders, monitor the utility and quality of application of the Evaluation Policy, to periodically report to the Board on the contribution of the evaluation function.</li> <li>❑ Collaborate annually with the secretariat to identify evaluative learning priorities and opportunities, and review and update the rolling workplan and budget of the evaluation function.</li> <li>❑ Synthesize and communicate to the Board individual and cumulative evaluation lessons that will contribute to the improvement of the Fund's performance and other CCA actors.</li> <li>❑ Each year, conduct Strategic-level evaluations including at least one thematic evaluation, according to the rolling workplan and budget.</li> <li>❑ At the request of the Board, conduct a Fund-level evaluation approximately every five years.</li> <li>❑ Track Fund-wise implementation of Board-approved evaluation recommendations.</li> </ul>



	<ul style="list-style-type: none"> <li>□ Provide evaluation-related capacity building by request from Board Committees and secretariat.</li> <li>□ Provide the PPRC with evidence from past evaluations about (i) advice on the policy alignment of a proposal's evaluation plans and budget, (ii) the credibility of the applying IE and the appropriateness of management response corrective actions it has made to recommendations, and (iii) the evaluation evidence to support or refute the sectoral approach outlined in the proposal.</li> <li>□ Collaborate with the secretariat to develop knowledge management processes and platforms that make evaluation data and lessons accessible and aggregable internally and externally.</li> <li>□ Maintain processes for continuously updating the Fund's evaluation knowledge, capacity development, and utilization to position the Fund at forefront of evaluation innovation and adaptation practice.</li> <li>□ Collaboratively develop Fund EPG that is relevant and implementer-friendly, and address structural inequalities, local institution-building, decision making, learning, and accountability.</li> <li>□ Collaboratively develop viable approaches for IEs to pilot/adopt near real-time evaluation approaches and collaborate and negotiate with the secretariat on how such approaches integrate with monitoring practices.</li> <li>□ Collaboratively develop mandatory Fund, Strategic, and Operational evaluation reporting templates that are practical and useful, and create consistency and comparability between reports.</li> <li>□ Advise the Board on the timing, process, and resource requirements for reviewing and updating the Evaluation Policy.</li> </ul> <p><i>Externally:</i></p> <ul style="list-style-type: none"> <li>□ Provide guidance and capacity-building support for evaluations as requested by national and regional IEs in consultation with the secretariat.</li> <li>□ In collaboration with the secretariat, assist IEs, CSO Network partners, and DAs to identify evaluation capacity-building resources – on demand, or proactively to roll out information and training about Evaluation Policy alignment and subsequent guidance.</li> <li>□ Represent the evaluation function of the Fund in joint evaluations and joint learning activities with other CCA actors.</li> </ul>
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## Annex J: Addendum – EPG primary delivery medium

While printed evaluation guidance is a norm among Fund peer organizations, the level of sophistication and that of the online platforms where they are located varies greatly. First, some organizations provide core evaluation guidance through single PDF resource titled as a guideline or manual. To a large extent, the Fund's 2011 [Guidelines for Project/Programme Final Evaluations](#) (28 pp.) illustrates this approach, which is accessed among other evaluation resources (fourth of five) on the AF-TERG's Foundational Documents webpage.<sup>46</sup>

The [2022 IFAD Evaluation Manual – Part 1](#) (88 pp.) is a particularly valuable example of a single PDF evaluation guidance resource given that, similar to this assignment, it was developed to support the operationalization of IFAD's recently revised EP in 2021. The manual is accessible on a designated webpage with a description and links to related resources, including 11 evaluation manual videos and three other publications (two being prior editions of its evaluation manual). An important distinction for IFAD's manual is that its primary users are its staff and consultants, versus the Fund, which has a wider primary user base, notably IEs. Part 1 of the manual contains common references and standards for the Independent Office of Evaluation of IFAD (IOE) and Management, whereas part 2 will include guidance on the methodology, format, and process for specific evaluation products. Notably, the new IFAD manual has an assortment of additional resources hyperlinked as footnotes, and as noted above, it begins with acknowledging the probability of being updated and revised.

Both WFP and UNDP provide instructive examples of more elaborate evaluation guidance provided through a primary PDF document including sections organized temporally by evaluation stage – see **Figure 8**. WFP's [Strategic Evaluations. Guidance for Process and Content](#) is part of its Centralized Evaluation Quality Assurance System. It provides a useful example of a coherently organized resource structured completely into five primary evaluation phases from preparation and inception to data collection, reporting, and follow-up/dissemination. Although it is only 32 pages, it is heavily supplemented with links to templates, quality checklists, technical notes, and other reference material.

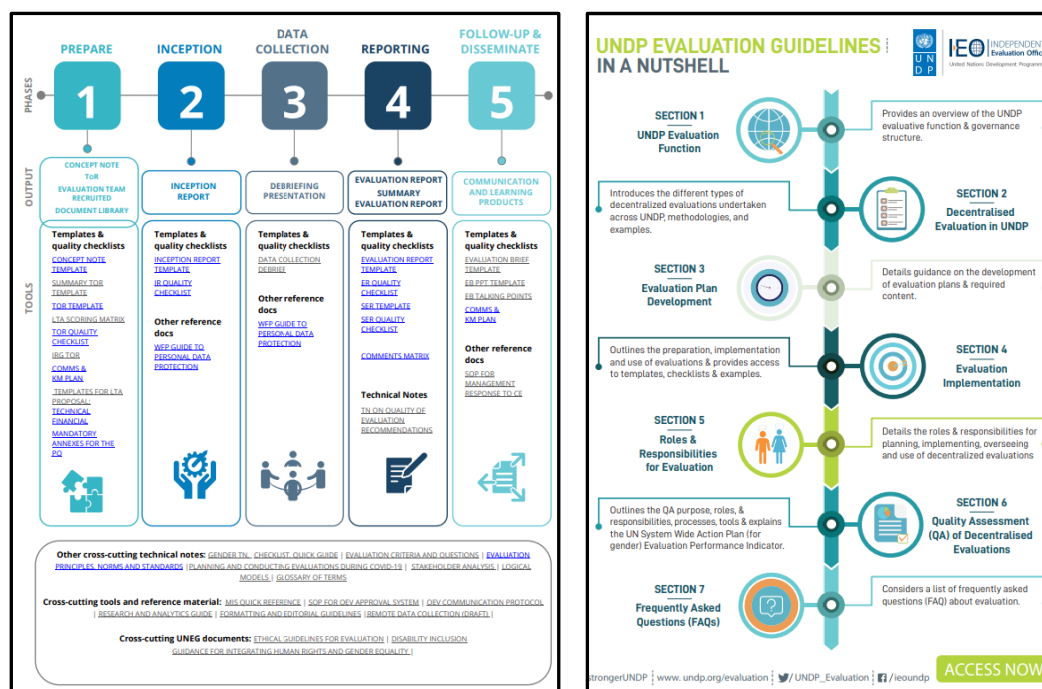
UNDP's [Evaluation Guidelines](#) is one of the only reviewed that is available in multiple languages (six).<sup>47</sup> It is accessible through a webpage or an infographic (see Figure 9), with links to download the complete guide or one of its seven sections as a stand-alone resource. The webpage also has a two-minute overview video of the guidelines, a 40-minute webinar on the Evaluation Quality Assessment Process, and over 20 other related documents (including its EP). Unlike the WFP guidance, the UNDP guidance is only partially organized temporally (with sections for evaluation planning and implementation), with other thematic sections for overall topic areas.

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<sup>46</sup> The Guideline has only one additional resource hyperlinked within the narrative. Other Fund evaluation-related resources, such as its [training material for ex post pilots](#), are available on separate webpages.

<sup>47</sup> IFAD's 2015 Evaluation Manual is offered in three languages, but its 2022 manual is only in English.

**Figure 8: WFP's evaluation guidance format (left) and the UNDP's (right)**



Another variation in the structure and delivery of evaluation guidance is ILO webpage for [Evaluation Guidance](#), which is delivered through a variety of separate resources rather than a primary evaluation guideline. Instead links are provided to five separate pillars that lead to one-page PDF resources that contain further hyperlinked topics to relevant GNs, checklists, templates, protocols, and/or workflows. Similarly, CDC's webpage for its [Program Performance and Evaluation Office](#) has 16 hyperlinked topic areas, which lead to respective webpages with an assortment of relevant hyperlinked resources accompanied by short descriptions.

Yet another example to consider is UNODC's evaluation webpage for its [Evaluation Norms, Tools, Templates and Guidelines](#). It has an [Evaluation Handbook](#) (2017, 164 pp.) as well as a [Toolkit for Evaluating](#) (81 pp.) in one category (General Guidance) of six categories that collectively provide over two dozen evaluation-related resources. Additionally, UNODC has an Evaluation Step by Step webpage with resources organized into four temporal steps. Also, there is a Unite Evaluations login website with a User Manual for Programme Managers.<sup>48</sup>

The GCF provides a final example. It decided not to develop evaluation guidelines on methodologies because they are so diverse and sector-specific. Instead, the GCF recently published its 2022 [Green Climate Fund Evaluation Standards](#) (32 pp.) to complement its EP to support and enable "state-of-the-art evaluations with high-quality evidence and recommendations." It consists of 15 standards, many interrelated, that partly overlap with the Fund's evaluation principles.

<sup>48</sup> The multiplicity of UNODC's resource access points can be overwhelming from the user's perspective.

## Annex L: Comparing three major ECD delivery options

Comparing three major ECD delivery options			
Aspects	Distance Delivery – Asynchronous	Distance Delivery – Synchronous	Face-to-Face Delivery
<b>Interaction</b>	No real-time interaction – delayed questions and discussion	Real-time communication for questions and discussion	In-person, immediate, interaction, with visual and linguistic cues
<b>Hands-on learning</b>	Low potential for hands-on, experiential learning	Higher potential for interactive and experiential learning	Most potential for hands-on, interactive, and experiential learning
<b>Peer-collaborative learning</b>	Lower potential for peer learning, building trust, rapport, and teamwork	Higher potential for peer learning, building trust, rapport, and teamwork	Highest potential for peer collaboration, building trust, rapport, and teamwork
<b>Learning style</b>	Greater appeal to people accustomed to and with access to technology interface	Greater appeal to people accustomed to and with access to technology interface	Greater appeal to people without familiarity or access to technology
<b>Independent learning</b>	Self-directed and self-motivated with participation not guaranteed	Instructor led, engaging, and higher potential to monitor participation	Instructor led, engaging, and highest potential to monitor participation
<b>Convenience</b>	Participation at any time, place, and pace	Participation at any place, but restricted to schedules time	Participation restricted in place and time
<b>Cost</b>	Cost includes delivery technology, which varies from low to high	Cost includes delivery technology, which varies from low to high	Cost includes travel, facility, and time away from one's job
<b>Outreach</b>	Greatest potential for outreach, access, and mobility	Greater potential for outreach, access, and mobility	Outreach and access limited to capacity of physical setting
<b>Adaptability</b>	Delivery is set in content, structure, and format	Delivery somewhat adaptable – for example, last minute changes	Delivery most adaptable –for example, last minute changes or on-the-spot
<b>Duration</b>	Typically delivered in shorter sessions or modules, for example, 10 to 60 minutes	Typically delivered in shorter sessions or modules, for example, 60 to 90 minutes	Typically longer in duration, for example, several hours to days
<b>Blended Delivery—Combinations of the Above Delivery Options</b>			

**Source:** Chaplowe, S., and B. Cousins. 2016. **Monitoring and Evaluation Training: A Systematic Approach.** Sage Publications: p. 34.

## Annex M: Illustrative underlying causes for task underperformance

Causes Analysis – Illustrative underlying causes for task underperformance	
Causes	Considerations
<b>Inadequate Knowledge/Skills</b>	Due to unfamiliarity with task, neglect, or forgetfulness, lack of motivation (see below), absence of learning/practice opportunities, etc.?
<b>Inadequate Motivation</b>	Why are people not compelled to learn or apply skills for task, i.e. is it perceived as a bureaucratic burden? What incentives can improve attitudes towards task and its capacity development? For example, linkages to professional enhancement, performance and advancement, as well as institutional motivation to excel in a task among peers (simple competition).
<b>Inadequate Expectations</b>	Is there a shared understanding of expected task standards, practices, and responsibilities? Is the task incorporated into job descriptions and appraisal processes?
<b>Inadequate Feedback</b>	Is there timely and constructive feedback on the task, incorporated into regular performance reviews? Is there mentoring or coaching that includes the task?
<b>Inadequate Labour Supply (Time)</b>	People may have adequate KSA (knowledge, skills, attitudes), but their numbers or allotted time may be inadequate to meet task demands, (i.e. due to staff turnover or insufficient HR resourcing).
<b>Unqualified Personnel Selection</b>	Is there a problem with the recruitment, appointment, or promotion of people with appropriate task skills? Is it necessary to discharge or transfer personnel and/or reconsider HR processes?
<b>Inadequate Physical Resources</b>	Insufficient equipment or technologies can hinder task – e.g., poor Internet access, insufficient software, or hardware for information management, etc.
<b>Inadequate Management-Leadership</b>	Poor decision making, strategic direction, and unsupportive leadership can have a multiplier effect on all the above factors.

**Source:** Chaplowe, S., and B. Cousins. 2016. **Monitoring and Evaluation Training: A Systematic Approach**. Sage Publications: p. 172.

## Annex N: Illustrative detailed EPG development timeline

The following table is illustrative, summarizing the timing for the development of the 11 priority EPG documents recommended for this assignment in Section 6, Table 5. The table presents a scenario sequence for their development accompanied by a summary of the justification/rationale for their suggested order and timing. Relevant Fund milestones and deadlines are also noted to help contextualize the timeframe. Acknowledging the adaptive principle, this illustrative timeline should be tailored according to input using the prioritization criteria summarized in Box 4 (Section 6), and emergent learning during the development process itself.

One crosscutting consideration throughout the EPG development process is the time for participatory review and input on drafted documents. This should not be underestimated, and therefore between five to six weeks seemed appropriate to allocate to the development period for GNs. Exceptionally, the core EPG document is expected to take longer due to its length. However, the indicated periods do not equate with the estimated days for each GN provided in Table 4; instead, the development period is meant to represent all activities encompassing the work time relative to the time for review and revision of EPG documents.

Illustrative detailed EPG development timeline								
Task/Deliverable	Explanation / Rationale	Aug 29 – Sept 2	Sept 5 – Sept 9	Sept 12 – Sept 16	Sept 19 – Sept 23	Sept 26 – Sept 30	Oct 3 – Oct 7	Oct 10 – Oct 14
Fund Milestones-Deadlines								Board meeting
Evaluation Budget GN	— Already drafted but needs to be reviewed.							
Principles and Criteria	<ul style="list-style-type: none"> <li>— Already identified as priority topics given that they are new through the EP; identification of STC started.</li> <li>— Planned as part of core EPG document but will be initially developed as a separate GN. Consideration will be given to whether to keep as a separate GN or merge as part of core EPG document.</li> </ul>							
Baselines studies GN	<ul style="list-style-type: none"> <li>— Urgent need expressed, and strategic to do early on to inform Final Eval GN.</li> <li>— Need to develop with careful coordination with RBM guidance development workstream.</li> </ul>							

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	<ul style="list-style-type: none"> <li>Five or potentially more weeks because it is an involved topic that needs to consider indicator sets for GP, ESP, Core Indicators, and other programme areas.</li> <li>Fund can start to locate exemplary/shareable examples of baselines (and formats) to include with the GN.</li> <li>Fund can start to collate relevant indicator sets, and to identify key resource people to consult, with attention to RBM coordination.</li> </ul>							
Final Evaluation GN	<ul style="list-style-type: none"> <li>Identified as urgent priority.</li> <li>Existing example resources out there and issue will be to navigate through them all and not get lost.</li> <li>Given that baseline data are typically compared with endline data to access impact (when appropriate) as part of a final evaluation.</li> <li>Fund can start to locate exemplary/shareable example final evaluations to include with the GN for different evaluation types.</li> </ul>							
Task / Deliverable	Explanation / Rationale	Oct 17 – Oct 21	Oct 24 – Oct 28	Oct 31 – Nov 4	Nov 7 – Nov 11	Nov 14 – Nov 18	Oct 17 – Oct 21	Oct 24 – Oct 28
Insert Fund Milestones-Deadlines								
Final Evaluation GN								
Commissioning Eval GN	<ul style="list-style-type: none"> <li>Identified as urgent, and in the temporal sequence of GN, this is early.</li> <li>TOR GN can be wrapped into this GN.</li> </ul>							
TOR Development GN	<ul style="list-style-type: none"> <li>Can be wrapped into the Commissioning Eval GN, or maybe better as a stand-alone resource – for this reason, the Commissioning Eval GN is identified first to develop, which will help determine whether to combine; very feasible with example guidance to draw upon.</li> <li>Fund can start to locate exemplary/shareable example TORs to include with the GN for different evaluation types.</li> <li>Very feasible with example guidance to draw upon.</li> </ul>							
Inception report GN	<ul style="list-style-type: none"> <li>Identified as a priority; very feasible with example guidance to draw upon.</li> <li>Fund can start to locate exemplary/shareable example IRs to include with the GN for different evaluation types.</li> <li>Very feasible with example guidance to draw upon.</li> </ul>							

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Evaluation reporting GN	<ul style="list-style-type: none"> <li>— Prioritize, given that mandatory evaluation report templates are one of the key points called-out in the EP's "Provision for the evaluation guidance document" (EP, Section 8).</li> <li>— Very feasible with example guidance to draw upon.</li> <li>— Fund can start to locate exemplary/shareable example evaluation reports to include with the GN for different evaluation types.</li> </ul>							
Mid-term Review GN	<ul style="list-style-type: none"> <li>— Can build upon/draw from Final Eval GN but is very much distinct.</li> <li>— Can stress the self-conducted evaluation type.</li> <li>— Fund can start to locate exemplary/shareable example evaluation reports to include with the GN for different evaluation types.</li> </ul>							
<b>Core EPG Document</b>	<ul style="list-style-type: none"> <li>— Developed later in the sequence so that it can draw upon the relevant content from other developed/drafted GNs.</li> <li>— Decision could be made to reduce this to a basic GN on evaluation at the Fund, providing key definitions, concepts, and the temporal phases of evaluation.</li> <li>— Contents and length need to be vetted. For instance, whether GP, ESP, and Core Indicators be covered in this document or in separate GN.</li> </ul>							
<b>Task / Deliverable</b>	<b>Explanation / Rationale</b>	<b>Oct 31 – Nov 4</b>	<b>Nov 7 – Nov 11</b>	<b>Nov 14 – Nov 18</b>	<b>Nov 21 – Nov 25</b>	<b>Nov 28 – Dec 2</b>	<b>Dec 5 – Dec 9</b>	<b>Dec 12 – Dec 16</b>
<b>Fund Milestones-Deadlines</b>								
<b>Core EPG Document</b>								
Real-time evaluation GN	<ul style="list-style-type: none"> <li>— Current STC has specialization in this area and resources already collated from professional training he offers on this topic.</li> <li>— Fund can start to locate any example RTE evaluation reports to include with the GN for different evaluation types.</li> </ul>							
Ex post evaluation GN	<ul style="list-style-type: none"> <li>— Fund can start to locate any example evaluation reports to include with the GN for different evaluation types.</li> <li>— Given the Fund's work on the ex post pilot training, 1) this may not be a high priority if the training can meet immediate ECD needs; 2) GN development may take less time given the material (and conceptualization) from the ex post eval training development.</li> </ul>							



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Task / Deliverable	Explanation / Rationale	Dec 19 – Dec 23	Dec 26 – Dec 30	Jan 2 – Jan 6	Jan 9 – Jan 13	Jan 16 – Jan 20	Jan 23 – Jan 27	Jan 30 – Feb 3
Fund Milestones-Deadlines				EPG deadline for review				
Review process	Address review comments on submitted draft EPG documents to ready for March deadline to submit to the Board.							
Development of EPG online platform / webpage	Into which EPG and eventual online ECD resources can be located and accessible to users.							
Preparation of EPG communication plan	With the purpose to strategically communicate/socialize the new EPG and platform.							
Task	Explanation / Rationale	Feb 6 – Feb 10	Feb 13 – Feb 17	Feb 20 – Feb 24	Feb 27 – Mar 3	Mar 6 – Mar 10	Mar 13 – Mar 17	Mar 20 – Mar 24
Fund Milestones-Deadlines								Board meeting
Review process	Address review comments on submitted draft EPG documents to ready for March deadline to submit to the Board.							
Development of EPG online platform / webpage	Into which EPG and eventual online ECD resources can be located and accessible to users.							
Preparation of EPG communication plan	With the purpose to strategically communicate/socialize the new EPG and platform.							
Execution of EPG communication plan	With the purpose to strategically communicate/socialize the new EPG and platform.							
ECD strategic planning and pursuit	Planning, development, and delivery of ECD to support operationalization of learning and good practice contained in EPG documents.							
Medium Priority GNs	Depending on time, budget, availability of STCs, and other factors, the AF-TERG can pursue preparation of other GN documents.							