



Technical Evaluation
Reference Group
ADAPTATION FUND

Adaptation Fund Evaluation Policy and Guidance Notes

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Background - AF-TERG

- ✓ Technical Evaluation Reference Group of the Adaptation Fund (**AF-TERG**) - **independent evaluation function of the Adaptation Fund**
- ✓ **AF-TERG operational since 2019.** Model based on TORs approved by the Board
- ✓ **Priorities framed in multi-year work programme and budget approved by the Board** (Currently runs to FY24, i.e., up to June 2024)
- ✓ **Functions:**
 - ✓ Generation of Evaluations
 - ✓ Utilization of Evaluation
 - ✓ Evaluation Capacity Development
- ✓ **Structure:** Chair + 4 Members + supported by the AF-TERG Secretariat

The journey so far

Year 0: (2019-2020):



Establishment of AF-TERG

- Foundational work
- Synthesis study on final evaluations

Year 1: (2020-2021):

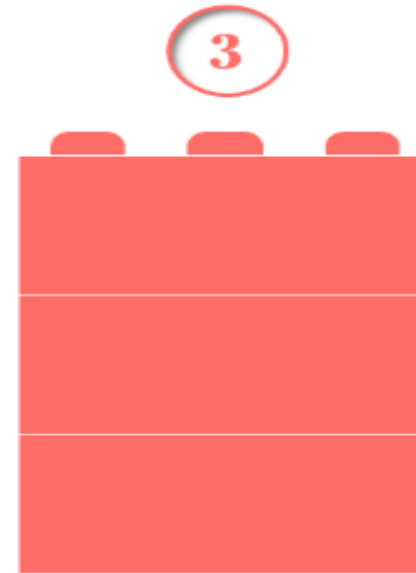


Developed new approaches

- ex-post methodologies
- Review of Evaluation Framework

Consultations with Fund stakeholders

Year 2: (2021-2022)



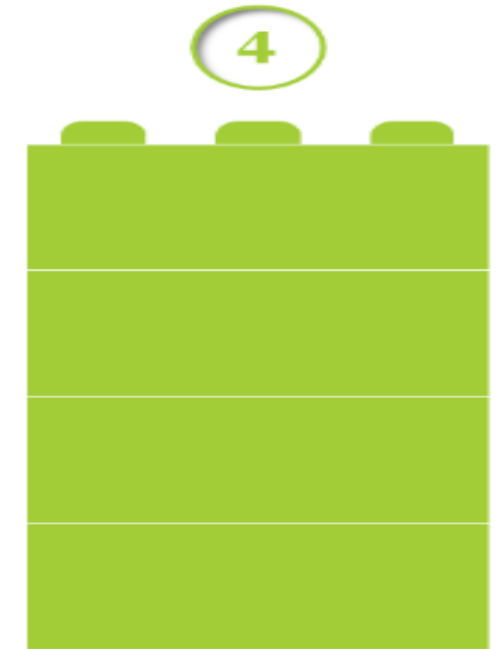
Results of evaluations

(expost pilots, MTR of MTS, initial findings from innovation thematic)

New Evaluation Policy

Deepen engagement with AF stakeholders

Year 3 : (2022-)



Deepen evidence and use

- (expost findings, three thematics, Overall Evaluation)

EP Guidance

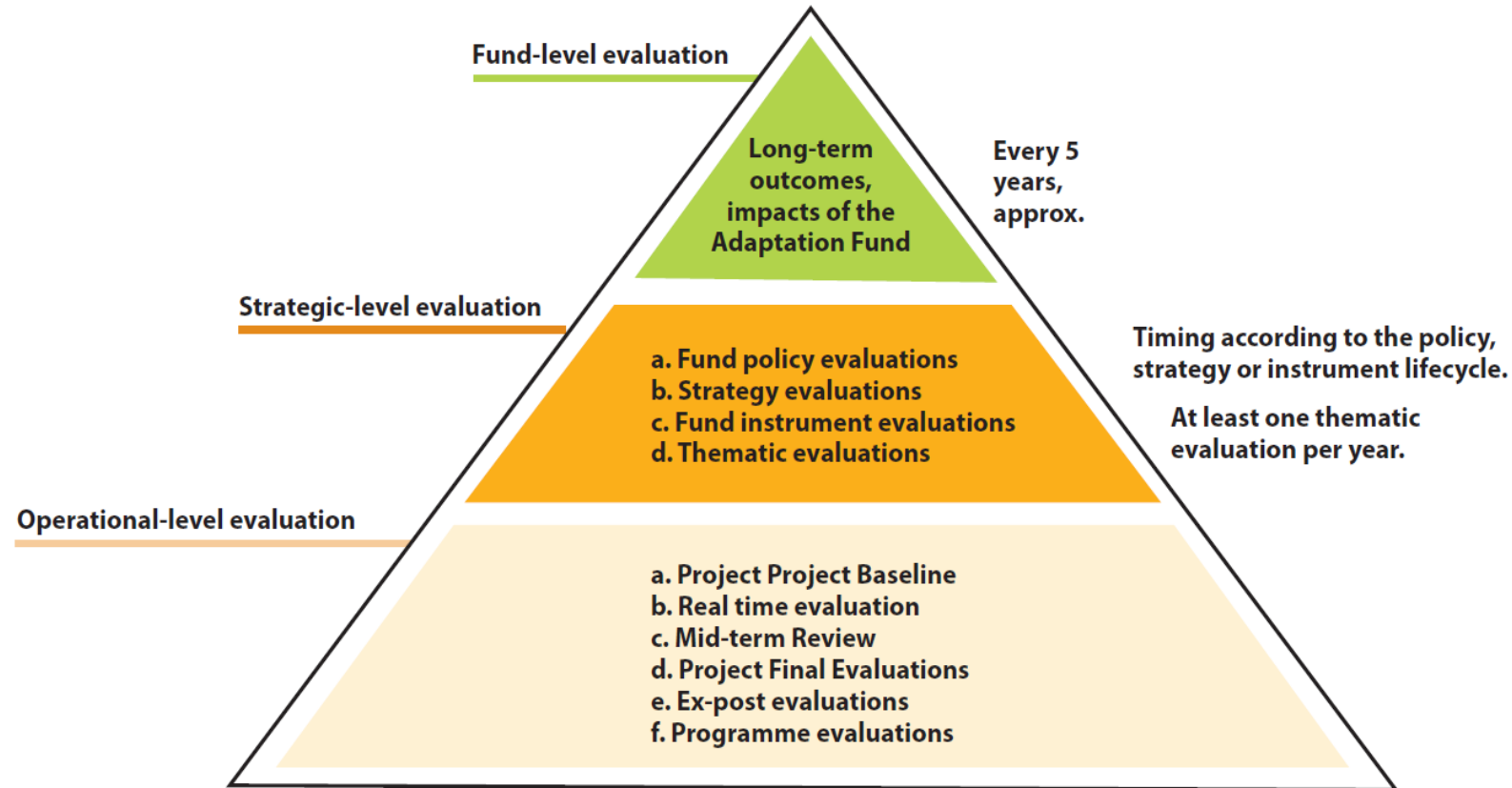
Deepen engagement with AF stakeholders and peers

Evaluation Policy



A stand-alone document that frames the Fund's evaluation function by providing high-level strategic guidance. The purpose of this Evaluation Policy is to identify 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 Adaptation Fund to pursue its mission, goal, and vision effectively.

Evaluation levels



Background: main changes with the new Evaluation Policy

Broadens and deepens the EF

- ➔ Elevates the evaluation function to a **policy level**
- ➔ Connects evaluation to the **Fund's strategies, policies, goal, mission, and niche;**
- ➔ Adds **evaluation principles and criteria** that are linked to the Fund's uniqueness;
- ➔ Encourages **utilization of evaluation evidence and lessons,**
- ➔ Encourages **evaluation capacity development** and adaptive management;
- ➔ **Expands types of evaluation,** which now includes non-mandatory evaluations;
- ➔ Suggests **evaluation function budget guidelines.**

Approach to guidance development: IE benefits

- GNs are designed to help further provide clarity on EP Implementation, NOT introduce new requirements
- Support for high-quality evaluation while avoiding undue burden
- Designed to help project learning, country learning and country reporting on evidence
- Emphasis on IEs, but relevant to a variety of Fund stakeholders

Guidance notes: Current status

- First suite of 10 EP guidance notes approved at the March 2023 Board meeting
 - three cross-cutting notes
 - four phase-specific guidance notes
 - three guidance notes for conducting different types of evaluations
- Other guidance notes will be developed prior to the October 2023 launch of the EP
 - real-time evaluation
 - overarching EP guidance

Guidance Notes throughout the project cycle



Where to consider guidance?

- 1. Results Framework**
- 2. Theory of Change**
- 3. Use of indicators**
- 4. Cross-cutting issues**
- 5. M&E Plan and Budgeting**

1. Results framework



Baseline & targets

Baseline and target measures clearly show how outcomes will be measured and achieved. Changes needed to achieve them are clearly described for each outcome.



Quality of outputs and outcomes

AF Strategic Outcomes are relevant, and outputs and outcomes are clearly linked to deliverables and goals.



Activities' link to results and deliverables

Activities are clearly linked to achieve each output. At least one specific deliverable can be inferred for each output (e.g. technical assessment, action plan, workshop report, communication materials, information system, training materials, etc.).

2. Theory of change (narrative or figure)



Quality of the goal / development objective statement

The goal clearly explains IF...THEN... BECAUSE clarifying how the grant contributes to a greater goal It describes how the goal is aligned with the Fund objectives.



Logical link to outputs/outcomes and reflects same as Logical Framework

There is a Theory of Change (ToC) diagram that clearly shows how the multiple pathways and linkages between outcomes, outputs and activities by identifying the desired long-term goals with preconditions and/or interventions that are necessary for change to occur in achieving the desired goal, including assumptions.



Assumptions and Risks

Assumptions for each of the outcomes, outputs and underlying activities are clearly described. Also, the barriers that prevent the realization of the project outcomes are identified and clearly aligned with the assumptions and the outputs. Risks are included and aligned with the risk table.



Overall narrative quality

Overall Theory of Change narrative is clear and complete.

3. Use of Indicators



SMAART Indicators

Almost all or all indicators are SMAART. ('specific', 'measurable/ 'manageable', 'achievable',/ 'attributable' 'relevant' and 'time-based')



AF Core Indicators

All applicable core indicators are present and estimates are consistent with guidance

4. Cross-cutting issues



Gender Equality and Indigenous Rights

- ✓ Most or all indicators of how both gender's concerns and indigenous rights are included in design and as relevant to the sectoral work and are clear in the Logframe.
- ✓ Most indicators have data that are disaggregated by gender or status as a vulnerable group or indigenous group, with support for gathering, monitoring/ retention/ analysis.
- ✓ It is clear is how data gathering, monitoring, data retention and analysis are embedded in the operations and decision-making processes of national institutions or between institutions.



Sustainability (stakeholder engagement, post-exit and knowledge)

The proposal clearly describes how project participants are consulted or engaged in implementation & monitoring and how it builds into project activities a framework for the sustainability of support beyond the life of the proposed readiness/adaptation planning intervention as well as retaining knowledge. This includes defining an adaptation planning and a sustainability strategy of how relevant adaptation planning activities will be sustained after the AF funds are spent, including the updating of datasets, retention of knowledge, complementarity with existing web-based platforms, and actors trained through the process.

5. M&E Plan and Budgeting



M&E Plan and Budgeting

- ✓ M&E plan contains all required M&E products (inception workshop/report, baseline report, annual monitoring and PPRs, MTR (if applicable), and terminal evaluation,
- ✓ M&E plan includes an itemized budget that specifies the source of funding (project activity budget, project support costs, IE fee) for each item.
- ✓ Budget sufficient for types of M&E products proposed
- ✓ Budget reflects project characteristics (size, complexity, operating environment)

Overview of Guidance Notes: Cross-Cutting Guidance

Topic	Summary
Evaluation Principles	This guidance note elaborates the seven evaluation principles introduced in the Fund's Evaluation Policy . The guidance note first looks at what are and when to use the Fund's evaluation principles, and then examines each principle individually with guidance for its operationalization provided in the annexed checklist.
Evaluation Criteria	This guidance note elaborates the nine evaluation criteria introduced in the Adaptation Fund's Evaluation Policy . The guidance note first examines what are and when to use the Fund's evaluation criteria, and then examines each criterion individually with guidance for its operationalization.
Commissioning and Managing an Evaluation	The purpose of this guidance note is to support the commissioning and managing of an evaluation of a Fund funded operation in accordance with the Adaptation Fund's Evaluation Policy . The note covers guidance related to commissioning and managing an evaluative activity at all levels included in the Fund's Evaluation Policy.

Overview of Guidance Notes: Phase-Specific Guidance

Topic	Summary
Evaluation Budgeting	This note supports the preparation and implementation of evaluation budgets that are realistic and fit-for-purpose to finance reliable, useful, and ethical evaluations in accordance with the Adaptation Fund's Evaluation Policy , covering budgeting guidance for all levels and types of evaluation activity outlined in the EP.
Evaluation Terms of Reference	This note supports the preparation of an evaluation terms of reference (ToR) for an evaluation of the Adaptation Fund's work. This guidance note covers ToR guidance for all levels and types of evaluation outlined in the Fund's Evaluation Policy , including mid-term reviews and final evaluations.
Evaluation Inception Report	This note supports the development of a project or programme evaluation inception report in accordance with the Adaptation Fund's Evaluation Policy . It provides an overview of inception reports for all levels and types of evaluations outlined in the EP and includes sample annotated inception report outline and a checklist of quality assessment criteria to guide inception report development.
Evaluation Reporting	This note supports the preparation of evaluation reports in accordance with the Adaptation Fund's Evaluation Policy . It provides a foundation for reporting for all levels and types of evaluations outlined in the Fund's EP.

Overview of Guidance Notes: Types of Evaluations

Topic	Summary
Mid-Term Review	The purpose of this guidance note is to support the planning and implementation of fit-for purpose project mid-term reviews in accordance with the Adaptation Fund's Evaluation Policy . This guidance notes outlines what is an MTR, when it takes place, who is involved, and how to plan and implement project MTRs, including a general checklist for planning, implementing, and using MTRs and common analytical approaches.
Final Evaluations	This note supports the planning and implementation of project and programme final evaluations in accordance with the Adaptation Fund's Evaluation Policy . This guidance note outlines what final evaluations are at the Fund, when they occur, who is involved, and how to plan and implement them, including a general checklist for planning, common analytical approaches, and the evaluation criteria rating scales.
Ex Post Evaluation	This note supports the preparation of ex post evaluations in accordance with the Adaptation Fund's Evaluation Policy . It explains how ex post evaluations at the Fund work in terms of approach and practical logistics. Additional information on the roles and responsibilities of stakeholders are also provided.

Thank you

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