Adaptation Fund
Evaluation Policy and Guidance Notes

Presented by: Debbie Menezes, Chair AF-TERG
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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.

Effective: April 2022
Operational: October 2023
Key messages

1. **Rationale for policy – linked to impetus of climate crisis** – need for more agility, real-time learning, responsive to evolving contexts

2. **Fit for purpose - Organizational Performance Enhanced** (Fund operations)

3. **Moving from ‘Compliance’ to ‘Value’**
   - Streamline processes and provide guidance to help bring consistency, high quality
   - Designed to help project learning, country learning, and country reporting on evidence

4. **Incremental (not radical) changes** – for quality improvement, utilization, learning and accountability

5. **Whole of Fund approach:**
   - Applicable at all stages of the Project Cycle
   - Relevant to all Fund stakeholders; emphasis on IEs

6. **Focus on Evaluation** – but intended to strengthen synergies of Monitoring-Evaluation-Learning (MEL)
Common challenges

- Lack of consistency in quality and robustness of reporting
- Lack of a Theory of Change; robust indicators
- Limited availability and quality of data
- Limited evaluation capacity at local levels (personnel, systems, budgets)
- Need for flexibility to changing conditions on the ground
- Level of ambition is out of sync with actual reporting
- What to measure? How to measure qualitative indicators
- How to approach it? Which methodology to use?
- Usefulness and utility of the data and findings, and lessons?
1. Elevates the evaluation function to **Policy** (connects evaluation to Fund mission and policies, engages all stakeholders, relevant across all project stages)

2. Encourages utilization of evaluative evidence and learning – organizational performance, effective planning, adaptive management, real time learning; scaling up and replication

3. Expands levels and types of evaluation – strengthen Fund performance and learning; includes non-mandatory evaluations, coherence

4. Seven Evaluation Principles and nine Criteria – add to the Fund’s uniqueness and niche, standards

5. Country-driven and Systems thinking approach
   opportunity to synchronize MEL with national systems

6. Encourages evaluation capacity development for all

7. Contribution to Paris Agreement and GGA (promote Fund expertise / visibility, inform national, regional, global discussions)

8. Guidance Notes and suggestions for evaluation function budget

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**EP: Quality improvements - from Compliance to Value**
Understanding the Role of the Evaluation Policy (EP)
Three Levels of Evaluation

Fund-level evaluation

Long-term outcomes, impacts of the Adaptation Fund
Every 5 years, approx.

Strategic-level evaluation

a. Fund policy evaluations
b. Strategy evaluations
c. Fund instrument evaluations
d. Thematic evaluations
Timing according to the policy, strategy or instrument lifecycle.
At least one thematic evaluation per year.

Operational-level evaluation

a. Project Baseline
b. Real time evaluation
c. Mid-term Review
d. Project Final Evaluations
e. Ex-post evaluations
f. Programme evaluations
Three Core Functions for all

**Generation of Evaluations**
1. Conduct *mid-term evaluations* (for project of 4 or more years)
   - Management response
2. Conduct *final evaluation*
   - All IEs.
   - Management response

**Utilization of Evaluations**
1. *On-going projects*: Use of evidence for learning and adaptive management
2. *New proposals*, evolution of CCA-related strategies and plans
3. Use of evidence in *communication products*
4. *Share insights* with relevant partners and peers (national, international)

**Evaluation Capacity Development**
1. Review own capacity and learning *needs*
2. Identify relevant *opportunities* for professional learning and development
3. Contribute to *Fund development* of new evaluation techniques
Mandatory – for IEs

**Baseline data**
- Purpose: Design, Targets, Monitoring
- Required for all projects
- No later than submission of the 1st PPR
- Independent, semi-independent, self-conducted

**Mid-Term Review**
- Purpose: Adaptive management, learning, decision-making
- Required for Projects ≥ 4 years
- No later than 6 months after the project mid-point
- Management response within 6 months of MTR report
- Independent or semi-independent

**Final Evaluation**
- Purpose: Assess impact, learning and accountability
- Required for all completed projects and programmes
- Within 9 months of completion (to the Sec and DA)
- Management response within 6 months of final report
- Conducted as Independent
## 7 EVALUATION PRINCIPLES – represent Fund’s Values and Niche

How to conduct evaluations

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<th>Principle</th>
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<td>Relevance and Utility</td>
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<td>Credibility and Robustness</td>
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<td>Transparency</td>
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<td>Impartiality and Objectivity</td>
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<td>Equitable and gender-sensitive inclusivity</td>
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<td>Complementarity</td>
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<td>Complexity</td>
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Remember: These apply at all stages of evaluation processes
### 9 EVALUATION CRITERIA – guide the focus of evaluations

The basis on which evaluative judgements are made

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<tr>
<th>Relevance</th>
<th>OECD DAC</th>
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<tr>
<td>Coherence</td>
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<td>Effectiveness</td>
<td>Fund-specific: Learning, Accountability, Utilisation</td>
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<td>Efficiency</td>
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<td>Adaptive Management</td>
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<td>Scalability</td>
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Remember: There is guidance on how to select and apply criteria!
Relevance of Evaluation throughout the project cycle
Thank you

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