



## **Terms of Reference**

### **Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG)**

**Ex post evaluation of Adaptation Fund project MTN/MIE/Food/2011/1/PD  
"Enhancing Resilience of Communities to the Adverse Effects of Climate Change  
on Food Security in Mauritania"**

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## **1 BACKGROUND**

The Adaptation 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 COP24 in December 2018, the Parties to the Paris Agreement decided that the Adaptation 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)

### **1.1 Adaptation Fund governance**

The Fund provides climate finance to developing countries who are Parties to the Kyoto Protocol.

The Fund is supervised and managed by the Adaptation Fund Board (the Board), which is accountable to the Conference of the Parties Serving as the Meeting of the Parties to the Kyoto Protocol (CMP) [and Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA)]. The majority of Board members are from developing countries. The Board has two committees, namely, the Ethics and Finance Committee (EFC), and the Project and Programme Review Committee (PPRC). The EFC is responsible for advising the Board on issues of conflict of interest, ethics, finance, fund and portfolio monitoring, evaluation and audit. The PPRC is responsible for assisting the Board with assessing project and programme proposals submitted to the Board and review project and programme performance reports. An Accreditation Panel (AP) has been established to ensure that organizations receiving funding from the Adaptation Fund meet the fiduciary standards. The AP provides recommendations to the Board regarding the accreditation of new Implementing Entities (IEs) and the suspension, cancellation or re-accreditation of entities already accredited.

The World Bank serves as an interim trustee of the Fund. The Global Environment Facility (GEF), through a team of dedicated officials, referred to as Adaptation Fund Board Secretariat (the Secretariat), provides secretariat services to the Board. The Secretariat manages the day-to-day operations of the Adaptation Fund such as research, advisory and administrative services.

### **1.2 Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG)**

The AF-TERG is an independent evaluation advisory group accountable to the Board, established in 2018 to ensure the independent implementation of the Fund's evaluation framework. Following the replacement of the Evaluation Framework with the Evaluation Policy and the policy coming into force in October 2023, as well as the amendment of Terms of Reference (ToR) of the AF-TERG in April 2024, the AF-TERG is responsible for the implementation of the new Evaluation Policy (EP) of the Adaptation Fund.

The AF-TERG, which is headed by a chair, provides an evaluative advisory role through performing evaluation generation, evaluation utilization and evaluation capacity building functions. The group is comprised of five independent experts in evaluation, called the AF-TERG members. A secretariat (AF-TERG Secretariat) led by a Coordinator/Senior Evaluation Officer provides day-to-day support to the implementation of work programme.

While independent of the operations of the Adaptation Fund, the aim of the AF-TERG is 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/)

### 1.3 **Ex post evaluation background**

Ex post evaluations have been integral to the work of the Adaptation Fund Technical Evaluation Reference Group (AF-TERG), since its initial Strategy and Work Programme, covering fiscal years 2021 to 2023.

The rationale for conducting ex post evaluations stems from the Adaptation Fund's interest in assessing the intended impact of its projects and programmes, recognizing that the effects of adaptation efforts may take time to materialize and may only become apparent years after project completion. In pursuit of the Adaptation Fund's overarching objective, the focus of ex post evaluations is on understanding how sustained outcomes contribute to enhancing adaptive capacity, bolstering resilience, and reducing the vulnerability of individuals, livelihoods, and ecosystems to climate change.

Given the relatively recent development of the Adaptation Fund's climate change portfolio and the scarcity of ex-post evaluation studies in the field of adaptation, the AF-TERG has adopted a multiphase approach for developing and implementing ex post evaluations of adaptation interventions:

- Phase 1 – Methodology [completed]: to develop a framework for ex post evaluations and a shortlist of up to five completed projects as pilots for ex post evaluation.
- Phase 2 – Piloting [ongoing]: to train evaluators and main project stakeholders on methods, and test guidance and methods from Phase 1 in at least two pilots.
- Phase 3 – Implementation and Learning [planned]: to continue ex post evaluations over time, informing approaches, methods, and systems within the Fund.

Phase 1 and Phase 2 of the ex post evaluation work were implemented as part of the TERG first Strategy and Work Programme between FY22-FY24. Among others, it included the ex post evaluations of the following Adaptation Fund projects<sup>1</sup>:

Project name	Country	Implementing entity	Year of evaluation / Phase
Enhancing Resilience of Samoa's Coastal Communities to Climate Change	Samoa	UNDP	2022 [Phase 1]

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<sup>1</sup> Available at: <https://www.adaptation-fund.org/about/evaluation/publications/evaluations-and-studies/ex-post-evaluations/>

Enhancing resilience of communities to the adverse effects of climate change on food security, in Pichincha Province and the Jubones River basin	Ecuador	WFP	2022 [Phase 1]
Increasing Climate Resilience and Enhancing Sustainable Land Management in the Southwest of The Buenos Aires Province	Argentina	World Bank	2023 [Phase 2]
Enhancing the Adaptive Capacity and Increasing Resilience of Small-Size Agriculture Producers in Northeast Argentina	Argentina	Ministry of Agriculture, Livestock and Fishery	2023 [Phase 2]

An information update to the 29 meeting of EFC (March 2022) reported progress on phase 2 processes and emerging lessons from testing the methodology in Samoa.<sup>2</sup> An information update to the 30<sup>th</sup> meeting of EFC (October 2022) provided key findings for the Adaptation Fund and implementers of phase 2, including evaluation summaries of the ex post pilots in Samoa and Ecuador.<sup>3</sup>

At its forty-second meeting, the Board approved the second multi-year work programme of the AF-TERG<sup>4</sup> covering the period FY25-FY27 (July 2024 – June 2027). Under the new work programme, the AF-TERG plans to commission two new ex post evaluations in FY25 and FY26, and four in FY27, of strategically selected projects that have completed implementation 3-5 years before the start of the ex post evaluation, that would provide learning on climate change actions and accountability of results financed by the Fund. These evaluations are part of Phase 3, conducting ex post evaluations over time and related capacity building of evaluators, which builds on the work conducted by the AF-TERG regarding the review of ex post evaluations methods and the piloting of methods in FY22-FY24.

#### 1.4 **Project Overview**

This terms of reference (ToR) relates to the ex post evaluation of the Adaptation Fund project MTN/MIE/Food/2011/1/PD "Enhancing Resilience of Communities to the Adverse Effects of Climate Change on Food Security in Mauritania", to be implemented as part of Phase 3 in FY25.

The project has been chosen for ex post evaluation following a rigorous evaluability assessment process and the project's Implementing Entity has been duly informed and has consented to the assessment.

##### Brief Overview of the Project Being Evaluated

Project ID:	MTN/MIE/Food/2011/1/PD
Project category:	Regular
Region:	Africa
Country(ies):	Mauritania
Project Title:	Enhancing Resilience of Communities to the Adverse Effects of Climate Change on Food Security in Mauritania
Implementing Entity:	UN World Food Programme

<sup>2</sup> AF-TERG, 2022. [Progress Update on Ex Post Evaluations and Emerging Lessons from Phase 2 \(On-Going\) \(AF-TERG\)](#).

<sup>3</sup> AF-TERG, 2022. [Information update on phase 2 of the ex post project sustainability evaluations \(AF-TERG\)](#).

<sup>4</sup> Available at: <https://www.adaptation-fund.org/wp-content/uploads/2024/04/AFB-EFC.33-6-Rev-1-AF-TERG-Second-multiyear-work-programme-2.pdf>

Executing Entity(ies):	Ministry of Environment and Sustainable Development (MDEDD)
Focal Area(s):	Food Security
Project URL	<a href="https://www.adaptation-fund.org/project/enhancing-resilience-of-communities-to-the-adverse-effects-of-climate-change-on-food-security-in-mauritania/">https://www.adaptation-fund.org/project/enhancing-resilience-of-communities-to-the-adverse-effects-of-climate-change-on-food-security-in-mauritania/</a>

Grant amount (USD)	7,803,605
Amount disbursed at completion (USD)	7,803,605
Approval date:	06/28/2012
Project start date:	08/14/2014
Expected project duration (at start)	48 months
Actual date of project completion:	September 2019
Date of Final Evaluation	17 July to 27 September 2019
Planned date of ex post evaluation	The second half of calendar year 2024

## 2 EVALUATION PURPOSE AND SCOPE

### 2.1 Objective of the evaluation

In line with the Evaluation Policy of the Adaptation Fund<sup>5</sup>, the ex-post evaluations of selected Fund-financed projects are conducted three to five years after project closure with the aim of assessing and learning from longer-term impact and sustainability.

The evaluation has three primary purposes:

- (1) To assess changes in the project impacts from the time of the final evaluation to the time of the evaluation ex post, that is, 3 to 5 years after the project's administrative closure.
- (2) To identify conditions that contributed to sustain the project's adaptation outcomes over time.
- (3) To analyze ways through which the sustained outcomes are contributing to the system's resilience and adaptive capacity.

### 2.2 Key strategic questions

The high-level questions that the ex post evaluation is designed to answer are the following:

- (1) Have the project outcomes been sustained since completion?
- (2) Which factors have contributed to sustain the project's adaptation outcomes over time?
- (3) How do the sustained outcome characteristics contribute to the system's resilience and adaptive capacity?

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<sup>5</sup> Available at: <https://www.adaptation-fund.org/document/evaluation-policy-of-the-adaptation-fund-graphically-edited/>

## 2.3 Scope of the work

The consultant is expected to conduct / participate in the following activities:

**Training of the evaluation team.** The consultant will undergo training facilitated by the AF-TERG, focusing on the ex-post evaluation process, the ExPost-EAI framework, and potential methods and tools for the assessment. This training may be conducted through virtual workshops or via training materials, such as video recordings.

**Kick-off meeting.** The consultant will participate in a kick-off meeting organized by the AF-TERG focal point to introduce the consultant to the Implementing Entity representatives and other relevant stakeholders. This will be part of an orientation process to define the scope and anticipated outputs of the evaluation and clarify key concepts.

**Deskwork.** Should include project documentation review; Interviews with key stakeholders; Assess available outcome data; Revise the project's Theory of Change; Develop the project's Theory of Sustainability; Define the evaluation questions.

**Fieldwork design.** Based on the information obtained via deskwork, the consultant will propose the sites to visit and population/communities/organizations to engage with in order to gather relevant information for the evaluation. The consultant will select data collection methods and tools, design the field mission plan and define logistics and schedule the field work.

**Preparation of the inception report,** summarizing the work scope, evidence gathered via deskwork, and detailing the field work design.

**Fieldwork.** The consultant will conduct fieldwork to gather additional data and make firsthand observations to inform the ex post analysis and strengthen the remote co-creation process that has already started with the project's stakeholders. The field visits will be planned by the consultant in coordination with the AF-TERG focal point, the Implementing Entity (IE), and (former) project staff. Fieldwork is typically conducted by national evaluators familiar with the country's political, social and environmental conditions.

**Preparing the evaluation report and evaluation summary.** Based on the evidence gathered through the deskwork and in-country site visits and following the ExPost-EAI framework, the consultant will prepare a draft evaluation report. The report will be shared with the AF-TERG and the Implementing Entity. Each party can provide feedback, document questions, or provide comments on the draft evaluation report. The consultant will incorporate comments and will prepare the final evaluation report. The consultant will submit a final evaluation report in Word and PDF format, including a separate document highlighting where/how comments were incorporated.

Based on the approved evaluation report, the consultant will prepare a 10-15-page document summary. The consultant will submit the evaluation summary in Word and PDF format.

**Presentation of key findings.** The AF-TERG will organize a meeting for the consultant to present the evaluation results, recommendations, and lessons learned to the Implementing Entity. This meeting should follow a reflective process conducive to learning from the evaluation exercise. The consultant will submit the presentation to the AF-TERG in a PowerPoint or similar format.

### 3 EVALUATION OUTPUTS

The consultant will provide four deliverables:

- **Draft and final inception report**, containing the assessment of available outcome data, a draft reconstructed Theory of Change of the project, a draft of the Theory of sustainability, project stakeholder analysis, project-specific evaluation questions, and the fieldwork design (including data collection methods and tools, plan and logistics, tentative review schedule). See Annex A for the structure of the inception report.
- **Final evaluation report**, containing the consolidated findings from the desk- and fieldwork organized following the ExPost-EAI framework and supported with evidence; lessons learned and recommendations.

The evaluation team will draft the evaluation report, adhering to the report structure outlined in Annex B.

- **Evaluation summary.** An accompanying brief (10-15 pages) for disseminating key findings among participants / local counterparts, translated to local language(s). Annex C provides the details of the minimum evidence to be featured in the final evaluation summary reports.
- **Presentation of findings.** Typically, in the form of a PowerPoint presentation, it will summarize the key findings, recommendations and lessons learned.

Any other material generated or produced (field notes, survey results, interview transcripts, site photos, etc.) during this consultancy will be delivered to the AF-TERG.

The intellectual property of all deliverables belongs to the World Bank and Adaptation Fund and may be made public at the discretion of the Adaptation Fund and the World Bank.

### 4 EVALUATION APPROACH AND METHODS

#### 4.1 Evaluation principles:

See the Evaluation Principles Guidance Note<sup>6</sup> for more details.

#### 4.2 Evaluation framework

The consultant will use the Sustainability Framework for the Ex Post Evaluation of Adaptation Interventions (ExPost-EAI framework) developed by the AF-TER based on the experience in Phases 1 and 2.

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<sup>6</sup> Available at: <https://www.adaptation-fund.org/document/evaluation-principles/>



Using the ExPost-EAI framework, the consultant will identify changes in project outcomes from the implementation phase - **intended adaptation outcomes** and **observed adaptation outcomes** -, to the time of the ex post evaluation - **sustained** and **emerging outcomes**, as well as potential **maladaptation**.

The consultant will explain why project outcomes (or some of them) were sustained over time based on the following key aspects:

- A. **Context:** characteristics of the human-natural systems where the project was implemented, including changes in conditions since project closure. It encompasses climate-related risks and their impacts on human systems that directly or indirectly informed the sustainability of project outcomes.
- B. **Project strategy:** including the project's underlying theory of change and relevant changes during project implementation. It also evaluates project performance and assumptions regarding the sustainability of outcomes at the final evaluation, which are then tested against evidence gathered during the ex post evaluation.
- C. **Conditions driving sustainability:** conditions that uphold the adaptation benefits generated by the project and changes from the anticipated conditions (at the final evaluation). These can be classified into the following categories:
  - a) Stakeholders' **ownership** of project outcomes and interventions.
  - b) Development and maintenance of **capacities**
  - c) Development and maintenance of **partnerships**.
  - d) Availability of tangible and intangible **resources**.

Once the outcomes are characterized ex post, the framework further helps describe how they influence the system:

- D. **System's resilience:** The pathways through which the sustained adaptation outcomes contribute to the system's resilience are described in terms of scale, redundancy, diversity & inclusion, flexibility, and connectedness & feedback loops. This analysis helps in understanding how the project's lasting effects influence the system's ability to withstand and respond to changes over time.

The analysis of the key aspects mentioned above enables the identification of factors that may have enhanced or diminished the project's long-term impacts. It also offers insights into how the adaptation benefits attributed to the project contribute to the system's resilience and adaptive capacity. Based on this analysis, the consultant will assess the relevance of the project impacts to the Adaptation Fund's strategic objectives.

The consultant may prioritize specific elements of the framework based on project objectives, characteristics, resource availability, and evidence to inform the evaluation process. The consultant may also propose additional methods, such as geospatial analysis or other techniques, for the evaluation.

The Sustainability Framework for the Ex Post Evaluation of Adaptation Interventions (ExPost-EAI) is provided in Annex D.

#### 4.3 Methods

The consultant should strive to engage project stakeholders at every stage of the evaluative process, from the initial preparation and design, e.g., by collaboratively shaping the evaluation questions and validating or reconstructing the theory of change, to jointly executing field validation activities, and finally, sharing learnings.

The findings of the evaluation will be based on the following methods and tools:

**Project documentation review:** should include the project document and the final (terminal) evaluation. Further documentation may include baseline reports, annual reports, mid-term review (MTR), project board / steering committee membership and meeting notes, participant lists for trainings, project-related social media archives, press releases, and engineering documentation and permits for any project-supported infrastructure as well as sampling frames, theory of change and any exit strategy documentation, among others.

**Interviews with stakeholders:** will be conducted remotely and/or in-person. The main purpose of these interviews will be to inform about the ongoing evaluation purpose and scope, gather data and information on the different elements of the ExPost-EAI framework, and inquire about new sources of information and stakeholders for potential interviews. In preparation for the interviews with key stakeholders, a questionnaire should be prepared by the consultant.

**Field visits:** The consultant will be expected to conduct at least one site visit for the purpose of data collection and interview of stakeholders. Fieldwork is typically conducted by a national evaluator who is familiar with the country's political, social and environmental conditions. The details of the site visit will be agreed with the AF-TERG focal point and the Implementing Entity prior to commencing it.

**Other data collection and tools.** Additional methods and tools can enhance the robustness of findings and ensure data quality, especially when dealing with qualitative data. Therefore, it is recommended that the consultant incorporates supplementary tools and data sources, such as GIS analysis and surveys, to facilitate triangulation of information and gather input from diverse stakeholders.

## 5 EVALUATION TIMELINE

The deliverables are expected to be developed within four months as shown in the table below. Payments will be made according to the delivery of the expected products, which will be considered accepted as soon as the AF-TERG's comments are effectively incorporated and approved by the AF-TERG Chair. The reports will be delivered in English.

The order of deliveries may be discussed and eventually amended according to necessary adaptations and in agreement with the contractor(s) and involved.

Deliverable	Quantity	Planned Delivery Date	Payment (% of contract value)
Inception report	1	1 month from contract start	20
Desk work reports	1	2 months after contract start	10

Draft Final Evaluation report	1	3 months after contract start	30
Final Evaluation Report	1	3.5 months after contract start	30
Evaluation Summary and PPT presentation	1	4 months after contract start	10

All payments will be made following a review and acceptance of the deliverables by the AF-TERG and confirmation that they meet the quality standards of the Adaptation Fund.

## **6 EVALUATOR(S) COMPETENCIES**

### **6.1 Specific requirements for the firm**

- At least 10 years in the design and execution of project evaluations
- Track record with climate change evaluations with a focus on climate change adaptation
- Experience working in Africa
- Ability to work in English and Arabic; additional local languages for local consultants would be an asset
- Availability of locally based team member(s) (evaluator(s))

### **6.2 Requirements for the team leader**

- Master level degree in evaluation, international development, economics, environmental sciences or other field of applied social sciences with a strong research component – or Bachelor level degree in these fields with an equivalent combination of education and experience.
- At least six years of relevant experience in evaluation and evaluation related research, with a focus on final completion evaluations, ex-post evaluations, longer term impact, sustainability and learning. Preferably with experience in ex-post evaluations taking place three to five years after project completion and focusing both on the human and natural systems.
- Experience of working in Africa. Experience working in the project host country (Mauritania) is a plus.
- Experience of evaluating food, nutrition security, and gender in multiple geographic locations.
- Experience with flexibly piloting new methods, adapting to opportunities and barriers during fieldwork, and consulting with clients during the evaluation.
- Deep knowledge of theory of change, evaluation design and evaluation methodologies, including the measurement of causal change in the different sectors relevant to the Fund.

- Proven analytical and problem-solving skills, and proven ability to apply these skills in a practical setting, including the ability to identify issues, present findings / recommendations and contribute to resolution of evaluative challenges.
- Experience with data collection, the development of data collection protocols, data entry, and data analysis, with experience in applying mixed statistical, data analysis and triangulation methods.
- Ability to lead smaller teams such as quantitative enumerators or review their work.
- Ability to work with teams consisting of members in different geographic locations.
- Experience with reporting on the results of data analysis and triangulation, with demonstrated analytical and organizational skills, and capable to work under strict timelines.
- Strong interpersonal skills and ability to work effectively with partners and promote collaboration in a multi-cultural environment.
- Excellent command of English and Spanish written as well as spoken fluency, and literacy in the predominant local language of the project site(s) or ability to work well with local language interpreters.

Desirable qualifications are:

- Experience of or exposure to climate change adaptation and climate resilience related projects, portfolios / work streams, especially in multiple Latin American countries
- Knowledge of and/or experience with projects funded by the Adaptation Fund or other environmental / climate change funds.
- Knowledge of and/or experience with the use of online meeting tools (like Webex) and survey tools (like SurveyMonkey).

The size of the team shall be proposed as part of the technical proposal and should include at least a Mauritania-based evaluator or the team leader. The team size should be adequate to deliver the work under this assignment.

## **Annex A. Inception report outline**

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### ACRONYMS AND ABBREVIATIONS

### PROJECT GENERAL INFORMATION

- Project summary table
- Summary of project justification
- Summary of project strategy
  - Project objectives and components
  - Project intended impact (inc. contribution to AF results framework)
  - Theory of change
  - List of relevant sustainability ratings

### OBJECTIVE AND SCOPE OF THE EVALUATION

### FINDINGS BASED ON DESKWORK

- Sustainability assessment
  - Context analysis
  - Strategy
  - Conditions driving sustainability.
  - Gender considerations
- Resilience analysis
  - Resilience characteristics
  - RRT scale

### FIELD WORK DESIGN

- Key data sources that will be selected to inform the answer to each evaluation question.
- Methods and tools to be used to answer each evaluation question and their limitations.
- Sampling approach, inc. area and population to be represented, rationale for selection, and limitations.
- Timeline showing the key evaluation phases.

### DATA ANALYSIS STRATEGY

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

### ANNEXES

- Stakeholder analysis
- List of interviewed stakeholders
- Results Framework
- Analysis of data quality for each project outcome/ outputs
- List of project documents and M&E data available

- Evaluation matrix<sup>7</sup>

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<sup>7</sup> Find an illustrative Evaluation Matrix in Annex 2 of the Inception report Guidance. Available at: <https://www.adaptation-fund.org/wp-content/uploads/2024/02/AFBEFC.318Add.6-02.13.24.pdf>

## **Annex B. Final evaluation report outline**

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ACRONYMS AND ABBREVIATIONS

REPORT SUMMARY

PROJECT GENERAL INFORMATION

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- Evaluation Process
- Evaluation Scope

EVALUATION METHODS AND LIMITATIONS

FINDINGS [BASED ON DESKWORK AND FIELDWORK]

- Sustainability
  - Site 1: ...
  - Site 2: ...
  - Site X: ...
- Resilience
- Impact
  - Emerging Project impact
  - Adaptation Fund impact

CONCLUSIONS

LESSONS LEARNED AND CORRESPONDING RECOMMENDATIONS

- For Implementing Entities
- For the Adaptation Fund and funders
- For projects designed with [relevant technical field(s)] components
- For improvements in M&E to capture data on sustained results after project completion
- For the AF-TERG on methods

ANNEXES

- List of interviewed stakeholders
- Results Framework
- Analysis of data quality for each project outcome/ outputs
- List of documents consulted
- Evaluation matrix<sup>8</sup>

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<sup>8</sup> Find an illustrative Evaluation Matrix in Annex 2 of the Inception report Guidance. Available at: <https://www.adaptation-fund.org/wp-content/uploads/2024/02/AFBEFC.318Add.6-02.13.24.pdf>

## **Annex C. Evaluation Summary Outline**

The outline for the evaluation summary can be found below. The ex post evaluation summaries produced by the AF-TERG are available at: [Ex post evaluations - Adaptation Fund \(adaptation-fund.org\)](http://adaptation-fund.org)

OVERVIEW (Project summary table)

EVALUATION QUESTIONS AND METHODS

POSITIVE OUTCOMES

NEGATIVE OUTCOMES

UNEXPECTED RESULTS/ MALADAPTATION:

CONTRIBUTION TO SYSTEM RESILIENCE

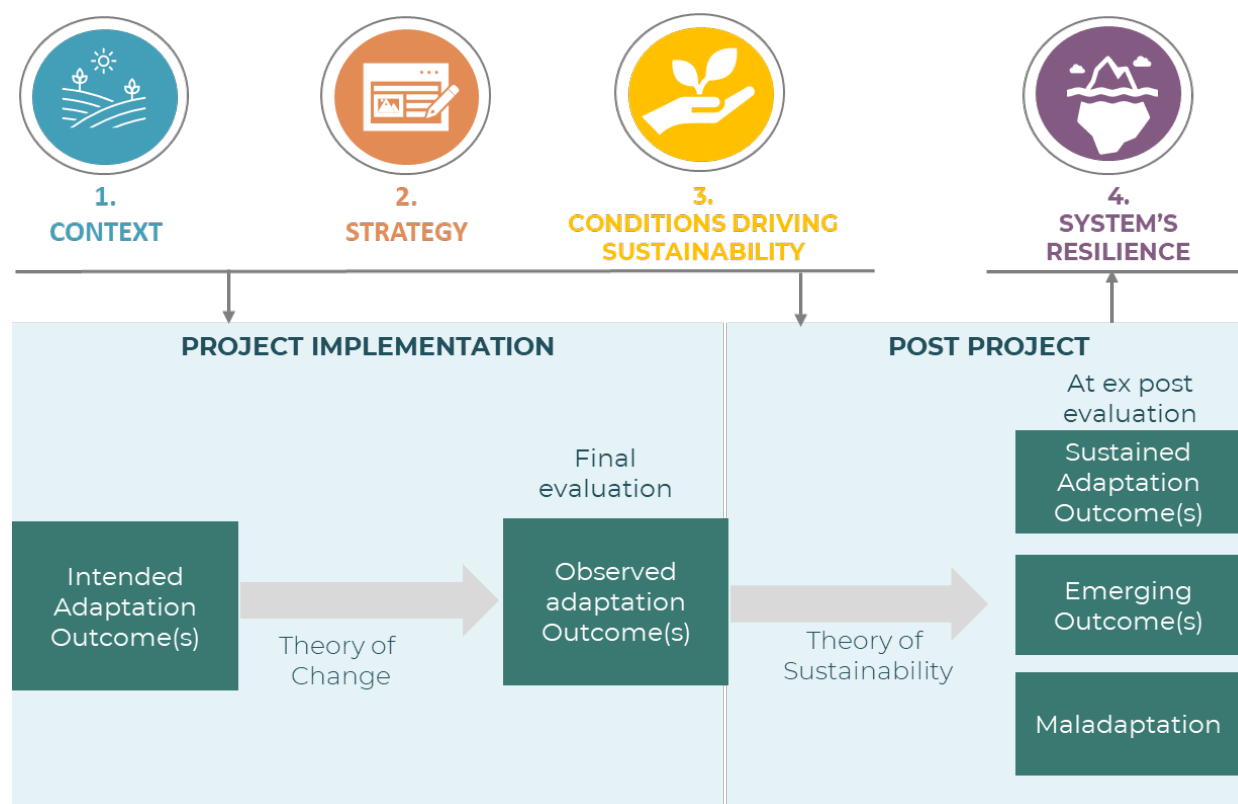
ADAPTATION FUND IMPACT



## Annex D. Evaluation Framework

The Sustainability Framework for the Ex Post Evaluation of Adaptation Interventions (ExPost-EAI) is a structured method for evaluating the sustainability of adaptation interventions, crucial for improving future projects and programs and ensuring they contribute positively to long-term climate resilience.

Figure 1. The Sustainability Framework for the Ex Post Evaluation of Adaptation Interventions (ExPost-EAI)



An ex post evaluation is usually conducted three to five years after the project's final evaluation, during which changes are anticipated to have taken place. Over time, certain project outcomes may have disseminated or ceased, while others may have expanded. Some outcomes could have resulted in unintended consequences or maladaptation. Furthermore, the evaluation may uncover instances where new outcomes have emerged, resulting in positive impacts. The framework involves evaluating changes in the project outcomes from the implementation phase - **intended adaptation outcomes** and **observed adaptation outcomes** -, to the time of the ex post evaluation - **sustained** and **emerging outcomes**, as well as potential **maladaptation** (see Box 1).

The framework looks at project outcomes and explains why these (or some of them) were sustained over time based on the following key aspects:

- A. **Context:** characteristics of the human-natural systems where the project was implemented, including changes in conditions since project closure. It encompasses climate-related risks and their impacts on human systems that directly or indirectly informed the sustainability of project outcomes.

- B. **Project strategy:** including the project's underlying theory of change and relevant changes during project implementation. It also evaluates project performance and assumptions regarding the sustainability of outcomes at the final evaluation, which are then tested against evidence gathered during the ex post evaluation.
- C. **Conditions driving sustainability:** conditions that uphold the adaptation benefits generated by the project and changes from the anticipated conditions (at the final evaluation). These can be classified into the following categories:
  - a) Stakeholders' **ownership** of project outcomes and interventions.
  - b) Development and maintenance of **capacities**
  - c) Development and maintenance of **partnerships**.
  - d) Availability of tangible and intangible **resources**.

Once the outcomes are characterized ex post, the framework further helps describe how they influence the system:

- a) **System's resilience:** The pathways through which the sustained adaptation outcomes contribute to the system's resilience are described in terms of the following characteristics:
- b) **Scale.** Impact on the temporal or spatial scale needed for human-natural systems to maintain or change their functions and structures in the face of climate disturbances.
- c) **Redundancy.** Impact on the availability of resources, means, or options to support climate resilience.
- d) **Diversity & inclusion.** Impact on the variety of actors and inputs working/interacting towards common goals and the extent to which the project outcomes support equity and inclusiveness.
- e) **Flexibility.** Impact on the system's agility in responding to uncertainty, effectively tackling challenges and seizing opportunities that may arise from change.
- f) **Connectedness & feedback loops:** Impact on communication lines, access to information or partnerships to respond or adapt to shocks or stressors.

This analysis helps in understanding how the project's lasting effects influence the system's ability to withstand and respond to changes over time.

Evaluators should prioritize specific elements of the framework based on project objectives, characteristics, resource availability, and evidence to inform the evaluation process.

Elements of the Sustainability Framework for the Ex Post Evaluation of Adaptation Interventions (ExPost-EAI)

Project outcomes		
Framework topic	Subtopic	Description
<b>Outcomes at project design</b>	Intended adaptation outcomes	Refers to the adaptation targets as defined during project/programme design.
<b>Outcomes at project closure</b>	Observed adaptation outcomes	Outcomes identified in the project's final evaluation. The analysis should include the assessment of whether the outcome achievements were commensurate with the ex-ante targets and the level of contribution of the project to its set adaptation objectives (project effectiveness). The observed adaptation outcomes are used as a benchmark for assessing the sustained outcomes.
<b>Outcomes ex post</b>	Sustained adaptation outcomes	Outcomes identified during the ex post evaluation. Outcomes that the project contributed to generate and that are sustained by assets (tangible gains, benefits) and capacities (resources, capabilities) that can be evaluated for sustainability.
	Emerging outcomes	Unexpected or new results that stem from the project intervention, which may extend beyond the scope of adaptation. This includes looking at ways in which participants utilized their resources to continue the project's efforts. Such findings can provide valuable insights into how to motivate sustainable practices in future interventions.
	Maladaptation	Unintended negative results that emerged as a consequence of the project/program interventions that lead to increased risk of adverse climate-related outcomes in natural or human systems, including via increased GHG emissions, increased vulnerability to climate change, or diminished welfare.
Sustainability		

Framework topic	Subtopic	Description
<b>Context</b>  The evaluators will review and summarize relevant characteristics of the human-natural systems where the project was implemented including changes in conditions since project closure.	Human systems	Positive and negative social, economic, and political conditions and dynamics that influenced the projected sustainability of the adaptation outcome(s).
	Natural systems	Any relevant environmental/ natural conditions, dynamics and interactions, including between living species, natural resources, and climate, and their impacts on human systems that directly or indirectly affected the sustainability of the adaptation outcomes.  It should include the identification of climate-related risks and their impacts on the system that motivated the project strategic adaptation and resilience objectives and that directly or indirectly informed the sustainability of project outcomes.
<b>Strategy</b>  The evaluators will review and summarize the project design and strategy, relevant changes during project implementation as well as project performance and sustainability projections at final evaluation.	Adaptation objectives	The project objectives, the expected adaptation and resilience benefits of the project and the expected contribution to the Fund's Strategic Results Framework (programming relevance).  The project's Results Framework should be signposted in an Annex.
	Theory of Change	Summarize the project's ToC, encompassing its outputs, outcomes, intermediate states, and intended long-term adaptation impacts; the causal pathways leading to the long-term impacts; and highlight both implicit and explicit assumptions, including the ones related to sustainability trajectories, system thresholds and climate projections. The project's objective(s) and type of climate risk that the project aimed to reduce should also be included within the ToC.  While some projects may already have a defined ToC, evaluators may refine it through consultations with stakeholders. In cases where no explicit ToC exists in project documents, evaluators will construct one using information gleaned from project documents and stakeholder consultations.
	Adaptive management	Reported adjustments to the project strategies and actions in response to unexpected conditions and shocks - including climate risks – that affected the achievement of the project outcomes during project implementation.
	Risk management strategies	Any strategies and plans developed by the project, e.g. sustainability plan and exit strategy, to manage potential or emerging risks, including climate risks, to the sustainability of the adaptation benefits.
	Project performance	The project's effectiveness and sustainability scores as well as outcome rating provided at final evaluation will serve to better understand the sustainability projections. The rating justification will offer additional insights into the conditions expected to contribute to sustain the project results and the potential risks that could hinder the continuation of its benefits beyond the project's conclusion.

<p><b>Conditions driving sustainability</b></p> <p>The evaluator will assess the system's conditions that were expected to contribute to maintaining the adaptation benefits generated by the project - i.e. by increasing climate resilience and reducing climate related risk through reduced vulnerability, exposure, and/or increase of the system's adaptive capacity. These conditions can be described according to the following categories:</p> <p>The evaluator will assess the system's conditions observed (verified?) ex post, that contribute to maintaining the adaptation benefits generated by the project such as increasing climate resilience and reducing climate related risk, e.g. through reduced vulnerability, exposure, and/or increase of the system's adaptive capacity.</p>	Local ownership	<p>The extent to which individuals and organizations adopted and took ownership of the project activities and results up to the final evaluation, thus contributing to sustaining the adaptation benefits beyond project completion.</p> <p>The extent to which individuals and organizations adopted and kept ownership of the project activities and results since the final evaluation, thus contributing to sustaining the adaptation benefits beyond project completion.</p>
	Capacities	<p>People, groups and/or organizations that obtained, improved or retained skills and knowledge that support adaptation benefits derived from the project. This may include improving the strength and effectiveness of governance structures, laws, and institutions at the local, regional, national, transnational, and international levels.</p> <p>There are different modes of capacity building, including education (e.g. through schools, universities, other education service providers); training (e.g. courses, seminars, webinars, e-learning); networking (e.g. conferences, workshops, sharing platforms, communities of practice, networks of excellence); technical assistance (e.g. expert missions, twinning); among others.</p>
	Partnerships	<p>Collaboration among and between different stakeholders (government, private sector, new donors, communities), incl. through resources and information exchange, that contributes to sustaining adaptation benefits.</p>
	Resources	<p>Resources may include:</p> <ul style="list-style-type: none"> <li>(i) Tangible resources or physical capital, such as infrastructure, properties, equipment, and inventory,</li> <li>(ii) Intangible resources, such as climate information and early warning systems (CI/EWS), knowledge products, patents, trademarks, computer programs, etc.</li> <li>(iii) Financial resources: such as implemented policies to help ensure sustained funding, funding sources available to support the continuation of interventions, development of new or supporting the expansion of financial market products, such as weather derivatives or catastrophe bonds, insurance for climate-related risks.</li> </ul>
<b>Resilience</b>		
Framework topic	Subtopic	Description

<p><b>Resilience characteristics<sup>9</sup></b></p> <p>The evaluator will describe and document the pathways through which the sustained adaptation outcomes and the emerging outcomes (including maladaptation), are influencing the human and natural system's resilience.</p> <p>This assessment is done by linking the sustained project outcomes to the resilience observed ex post.</p>	Scale	<p>How the sustained project adaptation outcomes have an impact on the temporal or spatial scale needed for natural and/or human systems to maintain or change their functions and/or structures in the face of climate disturbances.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>• Temporal scale: Implementation of an early warning system increases the speed of (human) responsiveness to climate disturbances.</li> <li>• Temporal scale: Savings, credit and insurance mechanisms to ensure rapid access to the financial resources to respond to shocks (e.g. shelter and food needs).</li> <li>• Spatial: The area of a restored landscape is large enough to support ecosystem services.</li> <li>• Spatial scale: hard infrastructure effectively provides a physical buffer from a targeted climate disturbance.</li> </ul> <p>Exemplary questions:</p> <ul style="list-style-type: none"> <li>• Temporal scale: e.g., did sufficient time pass to see desired results (especially for natural systems)? In what way(s) did the outcome change the speed of responsiveness to climate disturbances at the project site?</li> <li>• Spatial scale: is there a cluster of sites that together comprise of a substantial benefit at a regional or national scale? Did the project results change the impact of the climate disturbance?</li> </ul>
	Redundancy	<p>How the sustained adaptation outcomes of the project contribute to increasing the availability of resources, means, or options, or create new ones, to support resilience to climate risks.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>• The availability of multiple livelihoods or sources of income (e.g., remittances, cash crops, paid labor) creates a financial surplus or additionality that can be used to respond to climatic events.</li> <li>• Use of more than one evacuation route in case one is closed off or damaged.</li> <li>• Installed cisterns give redundancy to the water system by adding rainwater from cisterns as a new water source, in addition to wells and water brought from the municipality.</li> </ul> <p>Exemplary questions:</p> <ul style="list-style-type: none"> <li>• Are there duplicate systems or backup systems involved in responding to a specific climate disturbance at this project site?</li> <li>• If one path, approach, or strategy fails, what are the other options available?</li> </ul>

<sup>9</sup> Adapted from Ospina & Kumari Rigaud, 2021.

	Diversity & inclusion	<p>How the sustained adaptation outcomes have widened/deepened the variety of actors and inputs working/interacting towards common goals. These also include the extent to which the project outcomes support equity and inclusiveness.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>• Engagement of marginalized groups in decision-making: people who are historically left out of decision-making positions now actively participate.</li> <li>• Gender equity in leadership: women and girls, non-binary and/or trans people have leadership roles.</li> <li>• Access to different sources of scientific research and/or information, as well as to traditional/indigenous knowledge, to inform responses to shocks.</li> <li>• Shift from monoculture to diversified farming methods.</li> </ul> <p>Exemplary questions:</p> <ul style="list-style-type: none"> <li>• Human systems: e.g. Does the project site show inclusion for women and girls, disabled, poor, and/or other marginalized groups? Does the site reflect diversity or diversification in other ways?</li> <li>• How are different sources of scientific research and/or information, incl. traditional/indigenous knowledge integrated in decision-making systems to inform responses to shocks?</li> <li>• Natural systems: e.g. Is ecological biodiversity a factor in sustaining results?</li> </ul>
	Flexibility	<p>How the sustained project adaptation outcomes contribute to the system's agility in responding to uncertainty, effectively tackling challenges, and seizing opportunities that may arise from change.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>• Availability of flexible institutions that support alternative pathways of action to climatic impacts.</li> <li>• Active cooperation facilitates complex decision-making around common goals in relation to addressing climate risk.</li> <li>• Ability to inform decisions with new information that becomes available, adopt new tools or agricultural inputs that can improve productivity and make crops more resistant to climatic impacts.</li> </ul> <p>Exemplary questions:</p> <ul style="list-style-type: none"> <li>• What kinds of flexibility and adaptability are illustrated at this project site? How were these capacities demonstrated?</li> <li>• If one path/ strategy/ approach did not work, was another tried? Why or what triggered the change? By whom?</li> </ul>
	Connectedness/feedback loops	<p>How the sustained project adaptation outcomes support communication lines, access to information or partnerships to respond or adapt to shocks or stressors.</p>

		<p>Examples:</p> <ul style="list-style-type: none"> <li>• Established partnerships for the maintenance of key infrastructure maintained.</li> <li>• Information and Early Warning System reports with recommendations are regularly disseminated to producers, who use them to support their decisions on land use management.</li> </ul> <p>Exemplary questions:</p> <ul style="list-style-type: none"> <li>• What kinds of communication and/or coordination was developed at this project site to sustain results?</li> <li>• Does information get to whomever needs it to respond to climate risk at this project site? Is it done in a new or different way because of the project?</li> </ul>
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