Guidance in Support of the Operationalization of the Evaluation Policy

Evaluation in Project Design

Technical Evaluation Reference Group
ADAPTATION FUND

This guidance note is part of a series of technical guidance from the Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG) supporting reliable, useful, and ethical evaluations aligned with the Adaptation Fund's Evaluation Policy. The author of this guidance note is Eunica Aure (independent consultant). The focal point for this work was AF-TERG member Susan Legro. Special thanks are also extended to all the members of the AF-TERG, Aneesh Kotru (Evaluation Analyst, AF-TERG Secretariat), Vladislav Arnaoudov (AF-TERG Secretariat Coordinator), Adaptation Fund Board Secretariat, and other stakeholders who provided support in the delivery and finalization of this guidance note.

AF-TERG guidance documents are intended to be succinct, but with sufficient information to practically guide users, pointing to additional resources when appropriate. Additional AF-TERG evaluation resources on various topics can be accessed at the online AF-TERG Evaluation Resource Webpage. Feedback is welcome and can be sent to AF-TERG-SEC@adaptation-fund.org.

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 the Katowice Climate Conference 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

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, which will be succeeded by the new evaluation policy from October 2023 onwards. 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 full-time secretariat provides support for the implementation of evaluative and advisory activities as part of the 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/

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Acronyms

AF	Adaptation Fund
AF-TERG	Technical Evaluation Reference Group of the Adaptation Fund
ESP	Adaptation Fund Environmental and Social Policy
GP	Adaptation Fund Gender Policy
IE	Implementing Entity
M&E	Monitoring and evaluation
MIS	Management Information System
OECD-DAC	Organisation for Economic Co-operation and Development – Development Assistance Committee
OPG	Operational Policies and Guidelines for Parties to Access Resources from the Adaptation Fund

1. What is this guidance note?

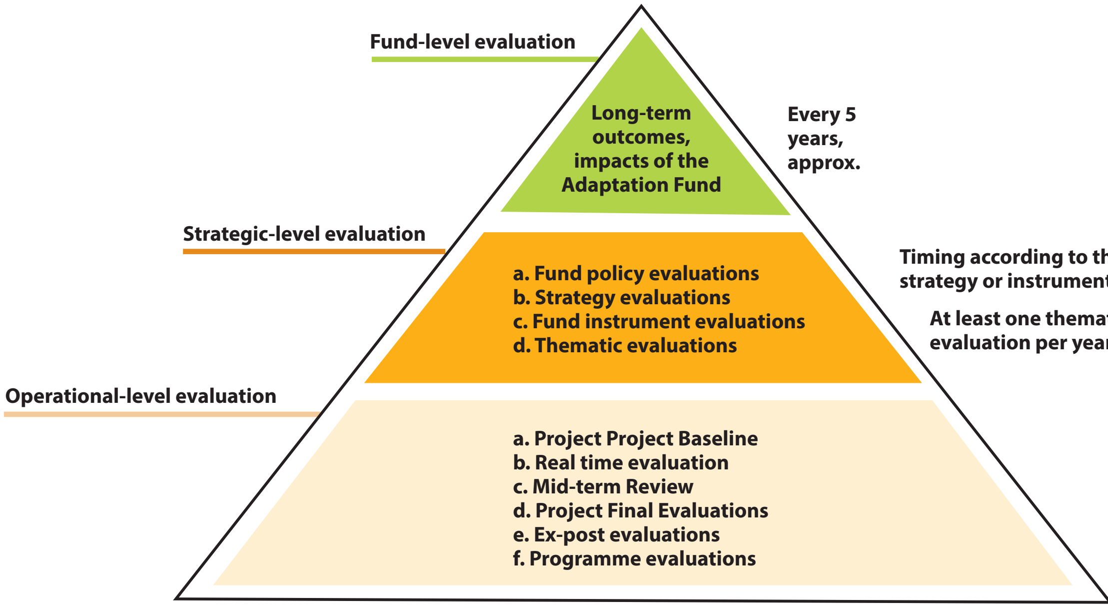
The purpose of this guidance note is to support planning for evaluations[i] during the project/programme design phase. Early consideration of evaluation requirements will enable Implementing Entities (IEs) to produce evaluations that are in accordance with the Adaptation Fund's Evaluation Policy.[ii] The intended audience for this guidance note are the IEs, project preparation consultants, the secretariat, and the Board. This guidance note may also be useful to organizations and institutions considering becoming an IE for the Adaptation Fund. Additionally, it may be of interest to other multilateral climate funds that aim to learn how the Adaptation Fund is mainstreaming its Evaluation Policy in its project proposal documents.

This guidance note provides recommendations on how to strengthen some monitoring-related[iii] elements that contribute to a robust evaluation. As such, it does not set out guidance as to how to directly apply the requirements of the Fund's Evaluation Policy to a particular level of evaluation or type of evaluation activity. The guidance note would most notably be relevant to mandatory, operational-level evaluations[iv] (mostly midterm reviews and/or final evaluations[1]), outlined in the Fund's Evaluation Policy – see **Figure 1**.

The recommendations presented herein are consistent with or complementary to the requirements contained in the Fund's Operational Policies and Guidelines for Parties to Access Resources from the Adaptation Fund (OPG).[v] These requirements are subject to change as the secretariat update them from time to time.

1. This document refers to the end-of-project evaluations as Final Evaluations, as per the AF Evaluation Policy. Some document of the AF may refer to them as Terminal Evaluations. For the purposes of this guidance note, these two terms have been equalized.

Figure 1: Fund evaluation levels and indicative types to be pursue



2. How to plan for evaluations in the project proposal?

Planning for evaluations as part of project proposal preparation entails thinking through various considerations that would contribute to high quality evaluations further down the line. At this stage, where planning is far in advance of the actual evaluations, it is best to focus on the elements of the proposal that will facilitate good quality evaluations and on how evaluation results will be utilized.

2.1 Understanding project/programme evaluability

Evaluability is generally understood as the extent to which an intervention can be evaluated in a reliable and credible fashion. - OECD-DAC, 2010

Evaluability looks at the nature of the **project design** (evaluability in principle) and the **availability of relevant data, and systems and capacities** that allow for such data availability (evaluability in practice). - Davies, 2013

There are elements of the project/programme design that significantly contribute to its 'evaluability'. Hence, at the project/programme design stage, the focus should be on how to specify them with adequate and accurate details so they can be useful for the planned evaluations.

The following elements are mandatory requirements in the project design as per the Adaptation Fund's OPG.

(i) **The narrative description of the project's contribution to resilience (also considered a project/programme theory of change)** that explains how an intervention or set of interventions is expected to lead to a change in response to a specific problem.[vi] It clarifies the result pathways and sets out the assumptions upon which these pathways rest. The narrative description is ideally based on available evidence with varying levels of strength.

(ii) **The results framework,** including the selected project/programme indicators, AF core indicators, AF-level outcomes from the Fund's Strategic Results Framework[vii], and cross-cutting issues, that articulates the different levels of results expected from an intervention or set of interventions.[viii]

(iii) **The monitoring and evaluation (M&E) Plan** that describes the roadmap for how the project/programme will be monitored and evaluated.[ix]

The plan describes the relevant M&E reporting cycle and products and their use, and what systems and resourcing are required to support them.

2.2. Embedding learning in the project/programme

Building learning mechanisms into operations and thinking how evaluations can contribute to this learning process also inform evaluation planning in the project/programme proposal. The findings, lessons, and recommendations from the evaluations should directly feed into and strengthen evidence-based decision-making and continuous improvement during implementation. Creating that link between M&E and learning activities will help IEs uphold one of its roles and responsibilities as per the Fund's Evaluation Policy, which is to utilize operational-level evaluation evidence to improve ongoing projects and future project proposals.[x]

2.3. Responding to the relevant sections of the project proposal template

The primary mechanism through which IEs can plan for evaluations of an AF-funded project/programme during the design stage is the project proposal template.[xi] Responding to the template's relevant sections with a view of evaluability and continuous learning is a good first step to evaluation planning during the design stage. IEs should refer to specific AF policies[xii] when completing the project proposal template.

Table 1 sets out the relevant sections of the Fund's fully developed proposal template that have a bearing on evaluability and learning. A detailed look into these sections follow.

Table 1: Summary table

Template section	Key points	Page # (template)
Part I, Projected Calendar	Dates of key milestones	p. 4
Part II, Section A	Theory of change[2]	p. 5
Part II, Section I	Learning and knowledge management	p. 5
Part II, Sections H and K	Cross-cutting issues (e.g., gender, social, environmental)	p. 6
Part III, Section D	M&E plan and resources	p. 7
Part III, Section E	Results framework	p. 7
Part III, Section F	Links with and contributions to the AF's Core indicators	p. 7

2. Although a ToC is not explicitly mentioned in the OPG (Part II, Section A), developing a ToC would be the ideal way to see how results will be achieved and how the activities will help with adaptation to climate change and improved climate resilience.

It is important to note that there is a difference between the requirements in the Concept Proposal and the Full Proposal stages. In the Concept Proposal, Part III Section D (M&E plan and resources) and Section E (Results framework) are not required as per the OPG.

2.3.1. Part I Project/programme information

(i) Projected calendar

In Part I of the proposal template, the **Projected Calendar** requires information for milestones and expected dates including for the delivery of the planned midterm review (only required in cases where project duration is four years or more) and final evaluation.

Milestones	Expected Dates
Start of Project/Programme Implementation	
Mid-Term Review (if planned)	
Project/Programme Closing	
Terminal Evaluation	

Knowing exactly when the midterm review and terminal evaluation reports are due will allow for the planning of timely evaluative activities such as the commissioning of evaluators, data collection and analysis, field visits (if any), consultations, and reporting. This information will be useful inputs to the **M&E Plan** when specifying the time and budgetary requirements of delivering evaluation activities (see also Annex 3 M&E Plan checklist). Note that a project/programme with four or more years of an implementation period is required to undertake a midterm review.

2.3.2. Part II Project/programme justification

Under Part II of the proposal template, four sections are of relevance: **Sections A, I, H, and K.**

(i) Part II, Section A

A. Describe the project / programme components, particularly focusing on the concrete adaptation activities, and how these activities would contribute to climate resilience. For regional projects describe also how they would build added value through the regional approach, compared to implementing similar activities in each country individually. For the case of a programme, show how the combination of individual projects would contribute to the overall increase in resilience.

Part II, Section A requires the specification and establishment of the link between adaptation activities and climate resilience. To create this linkage, the response should systematically go through the entire project/programme logic from activities to outputs to outcomes. A theory of change (narrative) is highly recommended and is a useful tool to present this project/programme logic clearly. Annex 1 provides a checklist for formulating a theory of change and Annex 1.1 contains a sample theory of change diagram.

When populating this section, ensure that:

✓ Activities to be specified are clearly linked to achieve each output, with at least one deliverable for every output. The outputs then should lead to substantial tangible outcomes.

✓ Adaptation activities respond to threats posed by the likely climate scenarios as detailed in the background and context section and quantified in terms of magnitude and uncertainty. It is important to ensure that climate risks are not underestimated, and adaptation activities identified are commensurate with the risks to which they were designed to respond.

✓ The theory of change demonstrates the linkages among activities, outputs, and outcomes, and identifies the long-term goals, along with the pre-conditions and/or interventions necessary for the impact to materialize.

✓ The theory of change includes assumptions for each outcome, output, and activities, as well as the barriers that could prevent the realization of the project outcomes. The risks associated with the barriers should be included in the proposals risk section.

(ii) Part II, Section I

I. Describe the learning and knowledge management component to capture and disseminate lessons learned.

Part II, Section I asks for a description of how the project/programme will capture and disseminate lessons learned. Monitoring and evaluative activities are an important part of how project/programme teams and IEs learn, particularly as it relates to the achievement (or non-achievement) of results.

When populating this section, ensure that:

✓ The plan incorporates concrete learning activities that relate to evaluations. An example of a specific activity is a post-evaluation sensemaking workshop[xiii] with the project/programme management and implementation team, aimed at improving implementation.

Part II, Section H and Section K

H. Describe the consultative process, including the list of stakeholders consulted, undertaken during project / programme preparation, with particular reference to vulnerable groups, including gender considerations, in compliance with the Environmental and Social Policy of the Adaptation Fund. K. Provide an overview of the environmental and social impacts and risks identified as being relevant to the project / programme (see also Checklist table in the proposal template). [**Note:** Also relevant is **Section C, Part III Implementation arrangements:** Describe the measures for environmental and social risk management, in line with the Environmental and Social Policy of the Adaptation Fund.]

Part II, Sections H and K speak to the requirements of the Fund's Gender Policy[xiv] and Environmental and Social Policy[xv]. These sections matter for evaluation planning because the outcome of the consultations in terms of the environmental and social impacts and risks identified, as well as who have been consulted, may affect:

(i) what adaptation benefits/results and environmental and social impacts and risks will have to be monitored and evaluated during implementation

(ii) which stakeholders should be consulted again to track these relevant impacts and risks

(iii) how to manage adaptively to mitigate risks and achieve desired results

For evaluation planning purposes:

✓ Understand the complexity of environmental and social contexts and the breadth of impacts, risks, and relevant stakeholders vis-à-vis the required methods to consult and collect relevant data and information during implementation.

✓ Identify and budget for fit-for-purpose data collection approaches and frequency as well as appropriate gender, environmental and social expertise in the M&E Plan (see Annex 3).

2.3.3. Part III Implementation arrangements

(i) Part III, Section D

D. Describe the monitoring and evaluation arrangements and provide a budgeted M&E Plan.

Part III, Section D requires that the M&E Plan contains the M&E products such as inception workshop/report, baseline report, annual monitoring and Project Performance Reports (PPRs), MTR (if applicable), and final evaluation that the project/programme will deliver. An appropriate budget must be specified for each of these products.

Ideally, the M&E Plan will be sufficiently detailed to properly serve as a roadmap for M&E resourcing, activities, and outputs. It will contain the following (see also checklist in Annex 3):

✓ M&E-related staffing and roles and responsibilities

✓ the management information system or monitoring database that the project/programme will maintain to manage, store, and archive both quantitative and qualitative data

✓ monitoring quality assurance systems for data collection, analysis, and reporting

✓ potential additional data collection required within the evaluations (i.e., what the monitoring system will not collect but will be important for the evaluations)

✓ how M&E will inform ongoing implementation and decision-making processes

✓ how to address the environmental and social risks identified (see also Part II, Sections K and N and Part III, Section C of the template and earlier discussion in this guidance note).

Guidance for budgeting for midterm and final evaluations has been set out in the relevant guidance note.[xvi]

(i) Part III, Section E

E. Include a results framework for the project / programme proposal, including milestones, targets, and indicators.

Part III, Section E requires a results framework that contains the milestones, targets, and indicators. A results framework is the backbone of progress tracking, assessment, and reporting. It is also a critical basis for evaluations; therefore, it is important to spend time to get it right. Note that the AF utilizes OECD-DAC terminology for its results framework. Project proponents may use different terminology, but the overall principle should still apply.

A checklist for a results framework is in Annex 2. A separate checklist for gender and environmental and social aspects is in Annex 2.1.

When populating this section, ensure that:

✓ There are realistic, quantified expected results with SMAART (specific, measurable, manageable, achievable/attributable, relevant, time-based) indicators, baselines, and targets.

✓ The indicators, baselines, and targets should be gender responsive[xvii] and disaggregated by sex as appropriate.

(i) Part III, Section F

F.	Demonstrate how the project / programme aligns with the results framework of the Adaptation Fund

Part III, Section F requires the demonstration of the linkage between the project/programme and the Fund results framework.[xviii]

When populating this section, ensure that:

✓ The project proposal includes a table (below) showing the clear linkage between project objectives and outcomes to the relevant Fund-level outcome and outputs.

✓ The results framework includes at least the core impact indicator "Number of beneficiaries," including estimations for direct and indirect beneficiaries.

✓ A second core indicator is added if the project activities targeting the areas identified in the AF results framework, namely: (i) early warning system; (ii) assets produced, developed, improved, or strengthened; (iii) increased income or avoided decrease in income; or (iv) natural assets protected or rehabilitated.

Project Objective(s)	Project Objective Indicator(s)	Fund Outcome	Fund Outcome Indicator	Grant Amount (USD)
Project Objective(s)	**Project Objective Indicator(s)**	**Fund Outcome**	**Fund Outcome Indicator**	**Grant Amount (USD)**

3. What are the benefits of planning for an evaluation during project design?

Thinking ahead and planning for evaluations as early as the design stage present benefits not only to the quality of future evaluations but also to the implementation, monitoring, and learning activities of a project/programme.

✓ A well-articulated theory of change at entry is useful for revisiting the project/programme design and testing the assumptions that underpin the achievement of results during the course of the implementation.

✓ A coherent project logic embodied in the theory of change and logical framework can guide implementation teams to manage, adapt, and learn based on the intended results of the project/programme. As such, it is instrumental to establishing positive feedback loops that will enable timely adaptive management during the course of the project implementation.

✓ Accurate baseline information will allow for the definition of realistic targets and the measurement of progress through time.

✓ Clear linkages between project-specific objectives and outcomes and Fund-level outputs and outcomes will enable both the IEs and the Fund to trace and tell a narrative for the contributions of the project/programme to the Fund's adaptation impact.

✓ A properly costed M&E Plan will ensure that all data collection, analytical, and reporting activities are adequately provided for early on. This approach will most likely avoid uncomfortable budget reallocations. It will also prevent the commissioning of low-cost and sub-optimal evaluation arrangements.

✓ Early evaluation planning should consider how evaluation findings will be utilized. For example, envisioning and budgeting for learning activities can help IEs reflect on evaluative insights, incorporate them into their climate change adaptation strategies and plans. Evidence can importantly support project scaling when they demonstrate what works and what does not. These insights can also be shared with the wider climate change adaptation community.

ANNEX 1. Theory of change checklist

Key considerations/elements	
Problem statement • The climate-related problem to be addressed is clearly articulated. • The consequences of the problem and who the stakeholders it affects have been identified.	
Results chain [Activities > Outputs > Outcomes > Goal] (with links and connections between the steps in the chain) • Changes have been defined at, and aligned with the different levels (impact, outcome, output) of the results chain. • Defines realistic results (taking into account context, time frame, resources, comparative advantage, etc.) • There are no leaps of logic, and the sequence of changes is plausible in light of the context and global evidence of what works. • There are identifiable causal links between the events. • Timeline of the causal chain is clear.	
Assumptions (see also box below) and risks • Assumptions and critical risks, including gender-related assumptions or risks, that will affect the delivery and achievement of results are identified at each level of the results chain.	
Gender and environmental and social considerations • The activities, outputs, outcome, goal and any assumptions that relate to vulnerable or marginalized groups, and women as distinct from men, have been specified. • The theory of change demonstrates awareness of gender dynamics and different needs and risks for women and men. • Unintentional gender biases (e.g., barriers to access, etc.) within the project/programme design have been considered. • Specifies environmental and social assumptions that could impact on project/programme implementation and results including but not limited to weather conditions, local culture and traditions, potential sources of community resistance to the project, and others.	
Justifications and evidence supporting choice of activities • Project logic reflects lessons learned and evidence from previous or ongoing projects/ programmes.	

Assumptions are what is accepted as necessary for the programme/project's success. They occur at all levels of the theory of change, from activities through to the goal. They should be based on knowledge and evidence wherever possible.

Some assumptions are significant enough that they may need to be monitored and reconsidered over time. A review process for the theory of change within the project/programme monitoring and the requisite evaluations will allow project/programme teams to test whether, and why, assumptions hold (or not).

Examples of assumptions between **activities and outputs:**

(1) The right people can attend training in required frequency

(2) Buy-in from local communities on the activities

(3) Enough safety for women to participate in and benefit from the activities

Examples of assumptions between **outputs and outcomes:**

(1) Training will change attitudes and will lead to behavioural changes

(2) Extreme weather does not hamper implementation

(3) Stakeholders can access other required resources (time, finance, transport)

Examples of assumptions between **outcomes and goal:**

(1) Catalytic and demonstration effects of the interventions have been achieved

(2) Political actors sufficiently supportive

ANNEX 1.1 Theory of change diagram example[3]

Brief project description: Data demonstrate that country x suffers from variable, often heavy precipitation due to climate change in the last 25 years. The western part of the country, characterized by steep terrain, particularly suffers from heavy rainfalls that cause flooding and landslides, endangering the livelihoods, assets, and lives of the people in the area. In response to this problem, an NIE proposes a project that combines the building of small infrastructure to manage flood risks, landscape restoration and catchment management, and livelihood restoration and improvement. The project aims to improve the resilience of communities and livelihoods to the impacts of climate change.

GOAL	**Beneficiaries supported by the project that have improved adaptive capacity to respond to climate change impacts in the western part of the country x**		
OUTCOMES	Catchments are restored and put under improved management	Increased income of households from adopting and implementing climate resilient livelihood strategies	Communities are able to withstand flood risks and the effects of flooding
OUTPUTS	Degraded areas terraced and reforested	New climate resilient livelihood strategies fully introduced to the communities and integrated to their existing livelihood strategies.	Construction of the small flood risk infrastructure completed
ACTIVITIES	Terracing of sub-catchments Planting of plant and tree species that are appropriate to the soil quality and weather conditions	Farmers Field Schools organized to train communities Climate resilient seeds distributed to communities Livestock provided to communities	Critical infrastructure identified with the communities Investments to small flood risk reduction infrastructure made O&M manual completed and owned by communities

Assumptions

1. There is community buy-in on project activities.
2. Both men and women are able to participate in the project activities equally.
3. There is a political will and support.
4. Sufficient capacity of local communities to implement strategies.
5. No adverse climate shocks that derail the implementation of project.

AF Core Indicators

3. The example presented in this annex is a simple and basic theory of change. The main objective is to demonstrate clarity of logic and pathways to change, and completeness of elements that a theory of change diagram typically includes. Theories of change can be more complex and extensive. Additional guidance is available in sources listed in Annex 4.

ANNEX 2. Results framework checklist

Key considerations/elements	
Framing of the results statements • The changes are framed as results (e.g., using terms such as: "Improved", "Increased", "Strengthened", "Reduced", "Enhanced", etc.). • The changes identified relate to what has been set out in the theory of change. • Outputs are specified as tangible products delivered or changes in intangible (knowledge, skills) capacities of stakeholders because of project/programme activities. • Outputs are within the control of the project/programme.	
Indicators are: • SMAART (specific, measurable, manageable, achievable/attributable, relevant, timebound). • Relevant to the change projects want to measure (aligned with outcomes and outputs). • Neutrally defined in terms of direction (i.e., not "% increase" or "% decrease"). • NOT measuring multiple changes within a single indicator. • Includes Core Impact Indicator "number of beneficiaries," including estimations for direct and indirect beneficiaries. • Includes a second core indicator identified in the AF results framework.	
Baselines • Have been specified for all indicators. • Supported by evidence – primary or secondary sources of information.	
Targets • Have been specified for all indicators. • Realistic, based on the availability of resources, capacity, and the context.	
Sources of data, means of verification • Sources are a mix of quantitative and qualitative data. • Data will come from multiple sources. • Data sources are reliable.	

ANNEX 2.1 Cross-cutting issues indicators

Key considerations/elements	
Disaggregation • Data can be disaggregated by sex at a minimum, and have considered other dimensions as appropriate (e.g., age, disability).	
Indicators are: • Indicators can track project-specific gender and environmental and social issues/dimensions. • Indicators measure women's and men's (as well as more specific, vulnerable groups among them) changes in perceptions, attitudes, and behaviors. • Indicators measure the quantity and quality of participation in the adaptation projects/ programme. • Indicators measure if various groups are getting a fair share of the benefits at the activity, output, outcome, and goal levels.	

The changes that could happen as a result of interventions to change social norms, attitudes, and customs take a long time and thus unlikely to change within the implementation period. **Proxy indicators** with a focus on the quality of processes may be needed, with plans for ex post follow ups.

ANNEX 2.2 Results statement and indicator examples

When specifying/selecting indicators, remember that their appropriateness and adequacy must be judged in relation to the result (also called 'result statement') that these indicators must measure.

Result	Comment	Indicator	Comment
Outcome level			
15 district governments manage identified ecosystems and implement nature-based solutions, increasing the resilience of households, communities, livelihoods, and local food security.	The result statement needs to be simplified: • There is no need to include the number of targeted district governments.[4] • The statement includes multiple results that will require different indicators. For example: management (or enhanced management) of ecosystems; implementation of solutions • Unclear if the increased resilience is yet another result within the same statement. Increased resilience could be measured at the impact level (depending on the results chain of the proposal). The result statement can be revised: • By breaking the statement into two separate outcomes: Enhanced management of identified ecosystems; and Nature-based solutions adopted AND implemented. • For the two results, the responsible party, in this case for the management and implementation, needs to be specified. For example, they may be communities or individuals or district governments.	Hectares of land covered by selected interventions implemented with community support.	• **The indicator is inappropriate and inadequate.** It does not measure the result. • If the outcome statement will be revised as indicated in the second column (comment), then alternative indicators include: 1. Hectares of land under enhanced management as a result of project/programme interventions. 2. Number of natural resource assets made more resilient to climate change through the implementation of nature-based solutions.

(continued)

4. This example is for regular projects. Different approaches may be selected for the other funding windows.

Result	Comment	Indicator	Comment
Outcome level			
Enhanced capacity of vulnerable communities to build resilience to climate change impacts.	The result statement is appropriate.	Number of people reporting reduction in climate change vulnerabilities (disaggregated by sex)	**The outcome indicator is appropriate and adequate.**
Strengthened institutional capacity to monitor and detect climate related hazards, thereby contributing to protect lives and livelihoods.	The result statement is appropriate.	Percentage of monitoring systems fully equipped and operational Number of operational and maintenance mechanisms in place	**The outcome indicator is appropriate and adequate.**
Output level			
Individual and community livelihood strategies incorporate climate information.	The output statement is appropriate and adequate. However, to be gender-responsive, it will be ideal to also have an output statement that captures participation, for example, "increased number of individuals actively using climate-smart livelihood strategies".	Number of individual and community strategies incorporating climate information being actively used and implemented by individuals and communities.	**The output indicator is appropriate and adequate.** However, to be gender-responsive, it will be ideal to also have an output indicator that will measure participation, for example, **"number of individuals actively using climate-smart livelihood strategies, disaggregated by sex".**

ANNEX 3. M&E Plan checklist

Key considerations/elements	
Reporting requirements • Contains all required M&E products such as inception workshop/report, baseline report, annual monitoring and PPRs, MTR (if applicable), and terminal evaluation. • Appropriate budget is specified for each of these products.	
Data management and storage • The management information system or monitoring database that the project/programme will maintain has been identified and budgeted for both the system and the appropriate staffing.	
Quality assurance • The plan incorporates monitoring quality assurance systems that provide for staffing and quality checks during data collection, analysis, and reporting.	
Learning and feedback loops • Builds in activities and processes on how M&E will inform ongoing implementation and decision-making processes.	
M&E-related staffing and roles and responsibilities • Equal balance of women and men in the M&E team carrying out the data collection (as much as possible). • Staffing with the required diversity in terms of ethnicity, age and other "identity markers" among the team, based on the particular context (and any local norms which may influence the notion of "acceptable" engagement in communities). • Includes gender, environmental, and social expertise. • Data collection and analysis training for all team members and counterparts have been programmed and budgeted for.	
Data collection methodology • Aims to collect qualitative and quantitative data and information. • Aims to collect diverse perspectives. • Data collection methods ensure that gender and other differences are taken into account to ensure full participation and to reduce any risks of harm. • Sample groups for data collection and interviews ensure that as much as possible the stakeholders consulted are representative of different groups. • Additional data collection required for the evaluations have been identified.	
Risk management • Gender and environmental and social risks are monitored.	
Learning • There is a plan for findings from analysis and reporting – including on progress, challenges, and emerging opportunities – to be meaningfully fed back to operations. • There is space for learning, sharing and adaptation regarding gender and environmental and social impacts.	

ANNEX 4. Resources

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Endnotes

i. The Fund adopts the UN Evaluation Group (UNEG) definition of evaluation, which in essence encompasses exercises that judge the merit and worth of an intervention.

ii. AF Evaluation Policy: Evaluation Policy of the Adaptation Fund - Adaptation Fund (adaptation-fund.org).

iii. 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.

iv. Para. 23 (a)(i) to (a)(iii), pp. 8-9, Adaptation Fund Evaluation Policy.

v. OPG and relevant annexes: Amended-OPG_Oct-2022_2.pdf (adaptation-fund.org).

vi. See for example, Microsoft Word - UNDG-UNDAF-Companion-Pieces-7-Theory-of-Change.docx

vii. Adaptation-Fund-Strategic-Results-Framework-Amended-in-March-2019.pdf

viii. See for example, World Bank Document

ix. See for example, Monitoring and evaluation (M&E) plan template - tools4dev.

x. Section 29(b), p. 13. Adaptation Fund Evaluation Policy.

xi. The OPG (para. 47 (a)) requires that 'The project/programme proponent submits a concept/fully-developed project document based on a template approved by the Board: Funding Proposal Template - Application Template for Fully-developed and Concept Proposal - Adaptation Fund (adaptation-fund.org).

xii. Such as the OPG and annexes, the AF Strategic Results Framework, AF Evaluation Policy, AF Environment and Social Policy, and AF Gender Policy. Additionally, the full suite of Evaluation Guidance Notes could provide useful steer.

xiii. See for example, Sensemaking Workshop Preparation Guide and Facilitator Guide and Sensemaking Training | United Nations Development Programme (undp.org).

xiv. Gender Policy and Action Plan of the Adaptation Fund (amended in March 2021) - Adaptation Fund (adaptation-fund.org) and Gender Guidance Document for Implementing Entities on Compliance with the Adaptation Fund Gender Policy (Updated in 2022) - Adaptation Fund (adaptation-fund.org)

xv. OPG ANNEX 3: Environmental and Social Policy (Amended in March 2016) - Adaptation Fund (adaptation-fund.org) and Guidance document for Implementing Entities on compliance with the Adaptation Fund Environmental and Social Policy - Adaptation Fund (adaptation-fund.org)

xvi. Evaluation Budgeting - Adaptation Fund (adaptation-fund.org)

xvii. Gender responsive- refers to the consideration of gender norms, roles and relations and to addressing inequality generated by unequal norms, roles and relations through changes within a given social setting through remedial action (p.43, Updated Gender Guidance Document for Implementing Entities on Compliance with the Adaptation Fund Gender Policy accessed from AF-gender-guidance_Sep-2022.pdf (adaptation-fund.org)).

xviii. Adaptation-Fund-Strategic-Results-Framework-Amended-in-March-2019-2.pdf