Adaptation Fund Board
Ethics and Finance Committee
Thirty-sixth Meeting
Bonn, Germany

Evaluation Policy
Implementation Progress Report

Strategic Issues

- Monitoring of the Evaluation Policy implementation is mandated by the Evaluation Policy. This is the first time such a report has been presented following the policy coming into force in October 2023.

- One of the key findings is that Implementing Entities (IEs) demonstrate strong compliance with planning for mid-term reviews (where required) and final evaluations.

- At the same time, application documents available to IEs require updates to align with the new EP. Notably, some still reference the previous Evaluation Framework and do not explicitly identify all mandatory evaluations, such as Baseline Data Reports. Compliance with the evaluation budget requirements is also mixed.

- Moving forward, clarifications are needed regarding evaluation budget requirements for project applications as mandated in Decision B.41/30, as well as alignment of EP provisions and the current version of the OPG.

Purpose

This progress report serves as the first formal update on the implementation of the Adaptation Fund's Evaluation Policy (EP) since its adoption in April 2022 and entry into force in October 2023. It outlines the initial steps taken to operationalize the EP, providing a structured overview of progress made from October 2023 to September 2025. The report also identifies key learnings and areas for adjustment, helping to inform ongoing improvements and guide future implementation of the policy.

Recommended Decision

The Ethics and Finance Committee (EFC) Adaption Fund Board, having considered document AFB/EFC.36/.8), recommends to the Board the following decision:

1. To take note of the evaluation policy implementation progress report.
2. Request the Secretariat to review and, where appropriate, update the proposal submission templates and guidance documents to include references to the evaluation policy, mandatory project/programme evaluations, and evaluation budget allocation. The Secretariat should report back to the Board on these updates through its activity report by B.47.
3. Request the Secretariat in coordination with the AF-TERG to propose revisions to relevant documents by B,47 to further clarify:
   a) Provisions for conducting final evaluations of different projects and programmes of different sizes and funding windows, in line with the interpretation that final evaluations are not necessary for readiness and small grants (learning and innovation).
   b) Mid-term Review requirements for projects that were initially less than four years in duration but have since been extended beyond the four-year mark.
4. Requests the AF-TERG in collaboration with the Secretariat to develop an evaluation policy guidance document on baseline data reports by B47.
5. Clarify whether Decision B.41/30, which allocates 1 to 5 per cent of the total project budget for evaluations, applies exclusively to mid-term reviews and final evaluations, or includes baseline data reports as well.

Background

The Adaptation Fund's Evaluation Policy (EP) was adopted in April 2022 through Decision B.38/48. In accordance with paragraph 44, the policy stipulates that, "as of 1.5 years after the Board's approval of this policy, all Fund evaluations must adhere to this policy's requirements and good practices", making the policy effective as of October 2023. The EP (para 46) also mandates annual reporting on the policy implementation, stating: "The AF-TERG will collaborate with the secretariat to monitor and report on the implementation of the EP, reporting annually to the Board on progress."

At its 41st meeting, the Board also requested Implementing Entities (IEs) to allocate an overall evaluation budget of 1 to 5 per cent of the project/programme budget, to be included within the implementing entity fee, effective from the 42nd Board meeting (Decision B.41/30).

In line with the EP's annual reporting requirement, the first progress report – presented in Annex 1 of this document - has been prepared by the Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG) in collaboration with the Adaptation Fund Board Secretariat (Secretariat). The report outlines the progress under the policy until September 2025 and provides recommendations for further improvement of the policy implementation process, based on the findings of the review.

Annex 1.

EVALUATION POLICY IMPLEMENTATION PROGRESS REPORT

Reporting period: October 2023 - September 2025

Table of Contents

I. Background / Introduction

1. This progress report marks the first formal update on the implementation of the Adaptation Fund's Evaluation Policy (EP) since its adoption by the Board in April 2022[1] and entry into force in October 2023[2]. The EP introduced a comprehensive and integrated approach to evaluation across the Fund, establishing a "whole-of-Fund" vision aimed at strengthening evidence generation, learning, and adaptive decision-making across Fund operations.

2. In line with the Evaluation Policy requirement for annual reporting on its implementation progress (see para. 46 of the EP)[3], this first progress report is jointly prepared by the Technical Evaluation Reference Group of the Adaptation Fund (AF-TERG) and the Adaptation Fund Board Secretariat (Secretariat). It draws on inputs from ongoing and completed evaluations, internal documentation, and relevant portfolio data, among others.

3. The progress report aims to provide a structured overview of how the Fund has started operationalizing the core requirements of the EP. It contributes to the Fund's broader performance and learning activities, complementing other key documents such as the Secretariat's Annual Performance Report, the AF-TERG Work Programme Progress Report, and the Synthesis of Evaluations. Ultimately, it is designed to facilitate learning and adjustments, serving as a vital input for the upcoming review of the evaluation policy, scheduled for FY28[4].

II. Scope of progress reporting

4. This first progress report covers the period from October 2023 to September 2025 and establishes a baseline for the early efforts to operationalize the EP. It is not intended to assess the performance or impact of the policy itself but rather to document and reflect on progress in implementing its provisions to date.

5. As the first in a series of annual progress updates, this document outlines the framework for the gradual implementation and monitoring of the EP's full scope. Recognizing that it is not feasible to assess all aspects of the policy at once, the report focuses on early areas of uptake — those that are foundational, actionable, and already visible across the Fund's evaluation activities. The assessment is organized around the roles and responsibilities of various Fund entities as defined in the policy. These roles and responsibilities have been mapped in a matrix, included in Appendix 1.

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[1] Decision B.38/48 available at AFB.B.38.12-Report-of-the-38th-meeting-of-the-AFB.pdf
[2] The evaluation policy, para. 44, states that "(…) As of 1.5 years after the Board's approval of this policy, all Fund evaluations must adhere to this policy's requirements and good practices".
[3] The evaluation policy, para. 46, indicates that "the AF-TERG will collaborate with the secretariat to monitor and report on the implementation of the EP, reporting annually to the Board on progress (…)."
[4] The evaluation policy, para. 47, states that "this policy is to be reviewed and updated no later than five years from its approval date. The Board reserves the right to request a review of the policy earlier, based on advice from the AF-TERG or the secretariat (…)."

6. **Roles, Responsibilities, and Collaboration:** The EP defines responsibilities for the Board, Implementing Entities (IEs), Designated Authorities (DAs), the Secretariat, AF-TERG, and others. This report considers how these roles are beginning to materialize in practice across the Fund, and how collaboration is evolving under the EP's "whole-of-Fund" vision.

7. The EP outlines how each entity contributes to the evaluation function in relation to three overarching roles: generation of evaluations, utilization of evaluations and evaluation capacity development.[5]

   A. **Generation of evaluation** entails generating new evidence and recommendations to inform the design, implementation, and adaptative management of projects and programmes, or Fund-wide strategy.
   B. **Utilization of evaluations** includes identifying and assessing innovative and promising CCA actions and how they may be scaled, accelerated, and strengthened, while enhancing accountability to front-line adapters (intended beneficiaries), the Board, contributors, and ecosystems.
   C. **Evaluation capacity development** includes training, provision of resource materials and advice, practice-based learning, and learning from the experience of others.

8. This report also looks into these roles and responsibilities across three evaluation levels and types defined in the EP:

   - Fund-level evaluations (e.g., strategies, policies, institutional performance)
   - Strategic-level evaluations (e.g., thematic or cross-cutting learning exercises)
   - Operational-level evaluations (e.g., project- or programme-level mid-term and final evaluations)

Figure 1. Evaluation categories at the Adaptation Fund

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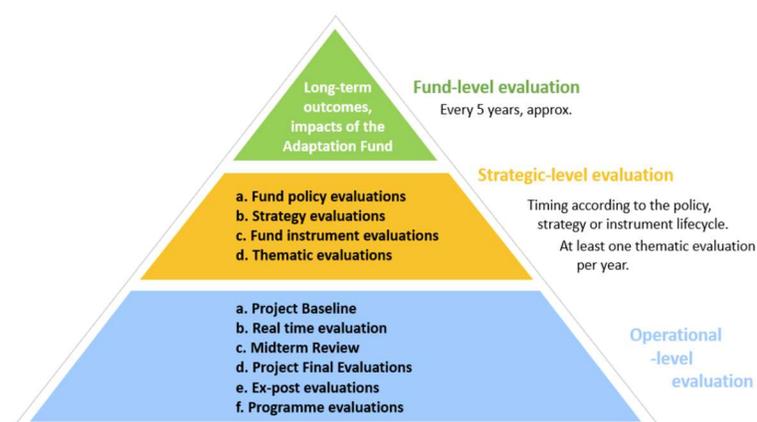
[5] Evaluation policy, § 27.

III. Progress reporting

<u>Key Areas for Attention Identified in this Report</u>

- **Application documents** require updates to align with the new EP. Notably, the application documents still reference the previous Evaluation Framework and do not explicitly identify Baseline Data Reports as a mandatory evaluation requirement.

- Project documents indicate that IEs are **highly compliant with planning for mid-term reviews (if required) and final evaluations, but do not explicitly reference baseline data reports.**

- Specific areas between the EP and the OPG required further clarification to enhance effective policy implementation.

- **Project compliance with setting minimum evaluation budget at 1 per cent of the project budget is mixed.** Since Decision B.41/30 became effective, 33 new projects have been approved, with only two lacking a clearly specified evaluation budget. Among the 31 projects that specify an evaluation budget, the average allocation is 1.1 per cent of the project budget, and about 60 percent of the projects fall below the 1 per cent minimum requirement.

- Clarification is needed regarding **evaluation budget requirements** for project applications as mandated in Decision B.41/30. It remains unclear if the budget for the mandatory baseline data report should be included in the set evaluation range.

9. The following section summarizes how each entity has contributed to the Adaptation Fund evaluation function in relation to selected roles and responsibilities across three overarching roles: generation of evaluations, utilization of evaluations and evaluation capacity development.

1. Generation of evaluations

The Board (EP, para 28a).

10. The Board, through the EFC, has maintained oversight of the Fund's evaluation function and continues to foster a culture of accountability and applied learning across the Fund, grounded in evaluative evidence. Key activities in this regard include:

- In line with its mandate to commission Fund-level and strategic-level evaluations, the Board approved the AF-TERG's draft second multiyear work program and budget for the period 2025–2027 (Decision B.42/46), as well as its annual work plan and administrative budget for the fiscal years 2025 and 2026.

- The Board has consistently provided high-level guidance to AF entities on the implementation of the Evaluation Policy (EP), including Decision B.41/30, which addresses budgeting for evaluations in project and program implementation.

- The Board approved the revised terms of reference for the AF-TERG and requested that it undertake functions related to evaluation utilization (knowledge management) and evaluation capacity development in collaboration with the Secretariat, ensuring synergies and coordinated outreach to the Fund's stakeholders (Decision B.42/47).

- Through the PPRC, The Board has continued to review and approve proposals from IEs. Since the EP came into effect in October 2023, a total of 40 projects and programmes were approved[6].

- As part of its mandate to approve projects and programmes, the Board has continued to approve monitoring and evaluation plans and budgets across all three levels and types of evaluations through approval of annual administrative budgets and project and programme budgets.

The Secretariat (EP para 29a)

11. The Secretariat has contributed to the generation of evaluations through several pathways, among others:

- The Secretariat has actively contributed input and insights to ongoing Fund-level and strategic-level evaluations, such as the semi-independent evaluation of the Adaptation Fund Readiness Programme, Evaluation of the Processes and Systems supporting Governance for enhanced performance of the Adaptation Fund, Mid-term Review of the Second Medium-Term Strategy, Comprehensive Evaluation of the AF, among others. This involvement includes providing insights to terms of reference, reviewing evaluation outputs, providing and verifying information and data, participating in interviews with independent evaluators, facilitating engagement with other Fund entities (such as IEs), and providing feedback on utilization-oriented and capacity building activities in writing and during meetings.

- The Secretariat has continued to provide the necessary guidance to IEs to plan and conduct mandatory project-level evaluations. However, some application documents available to IEs via the Fund's website require updates to align with the new EP. The detailed list of documents is included in Appendix 2.

- In terms of utilization of findings, the Secretariat has developed management responses to evaluations, liaised with the Board to approve these responses, and

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[6] Includes projects approved from October 2023 (41st AFB Meeting) through April 2025 (42nd AFB Meeting). Analysis excludes Learning Grants, Readiness Grants, Innovation Small Grants and Project formulation grant (PFG).

collaborated with the AF-TERG in the development of the management response tracking system.

- The Secretariat may undertake evaluations at strategic level, if directed by the Board. None were initiated during the monitoring period.

Implementing Entities (EP para 30a)

12. The EP introduced the requirement for IEs, with input from Designated Authorities (DAs) to budget for and commission mandatory evaluations throughout each project's lifecycle. These include baseline data reports (BDR), mid-term reviews (MTR) for projects with four or more years of implementation, and final project/programme evaluations (FE). Additionally, at its 41st meeting, the Board requested IEs to establish the overall evaluation budget for proposed projects and programmes at 1 to 5 per cent of the project or programme budget, to be included in the implementing entity fee, starting from the 42nd Board meeting (Decision B.41/30)[7]. Progress in this area includes:

- Compliance with the EP at project approval: Since the policy's implementation, 40 projects/programmes have been approved. The project documents of these approved projects show strong compliance in planning and budgeting for MTRs (if required) and FEs. However, most approved projects do not explicitly reference BDRs, despite mentioning activities or studies for establishing baselines.

- Allocation of evaluation budget for approved projects beginning with the 42nd Board meeting: Since the 42nd AFB meeting, 33 new projects have been approved[8]. Of these, only two did not specify an evaluation budget. Among the remaining 31 projects, compliance varies, with the average evaluation budget per project at 1.1 per cent of the project budget. About 60 per cent (18) of the projects have budgets below 1 per cent. It is important to note that evaluation budgets currently count against the implementing entity's fee, which is capped at 8.5 per cent of the total project cost for single-country projects and 10 per cent for regional projects. While this practice may discourage IEs from allocating sufficient funds for evaluations, as it reduces the resources available for project management and oversight, it is guidance that was provided in the EP and has been mainstreamed with IEs through significant effort making it difficult to reverse or change mid application.

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[7] Available at: https://www.adaptation-fund.org/wp-content/uploads/2023/11/AFB.B.41-decision-document_final.pdf
[8] Analysis excludes Learning Grants, Readiness Grants, Innovation Small Grants and Project formulation grant (PFG).

Figure 2. Allocation of evaluation budget for approved projects beginning with the 42ⁿᵈ Board meeting

% of project budget
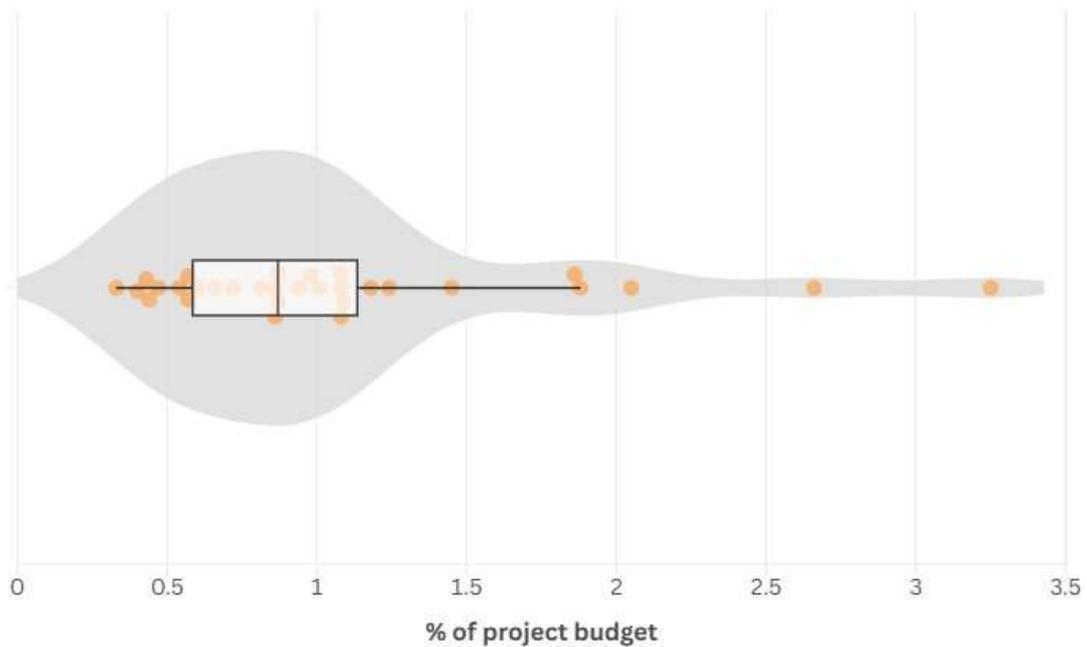
- Implementation of mandatory project evaluations: Since the entry into force of the EP and throughout the reporting period, a total of 28 projects were required to present a MTR or FE. Figure 3 shows that 9 out of 21 projects have submitted their MTRs and all projects (7) have submitted their FEs. Further analysis is included in Appendix 3.

  The EP states that, as of October 2023, all projects and programmes—including those already under implementation—should comply with the EP, including the requirement for baseline data reports. However, both the Secretariat and the AF-TERG agree that this is not feasible for projects approved before the policy came into effect, as no budget was allocated for these reports at the time of their approval. Therefore, it is not possible to retroactively conduct baseline assessments for these projects.

  Regarding Mid-Term Reviews (MTRs), there is a need to clarify the requirements for projects that were initially less than four years in duration but have since been extended beyond the four-year mark.

Figure 3. Number of mid-term reviews and final evaluations required vs submitted during the review period (October 2023 to August 2025)
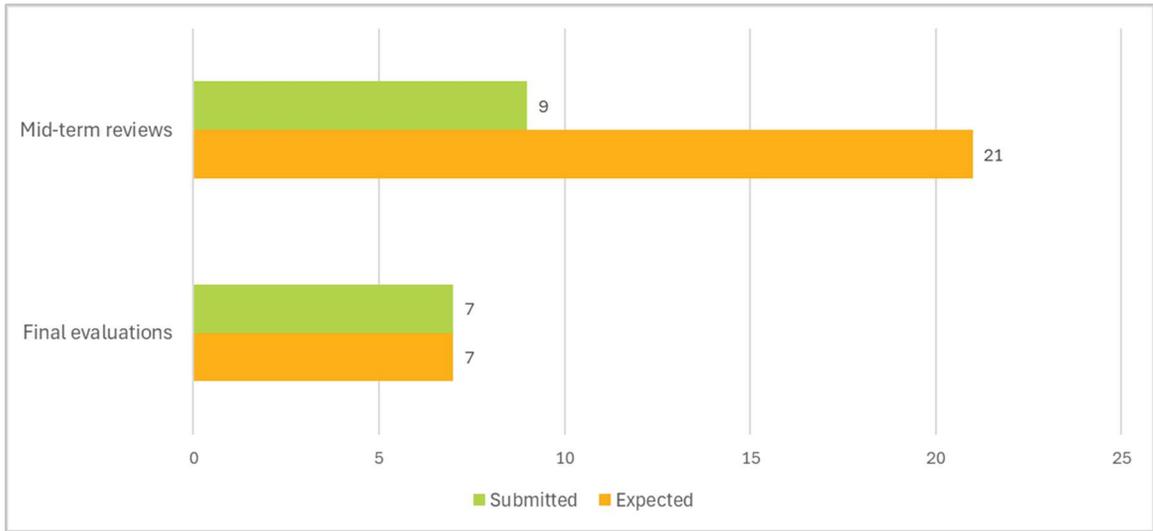
The submitted MTRs and FE reports demonstrate variable adherence to the evaluation principles. Some reports did not reference any principles, while others followed the principles outlined in the Evaluation Framework (now superseded by the EP) or were guided by alternative principles, such as the UNEG "Ethical Guidelines for Evaluations.

The AF-TERG (EP para 33a)

13. Evaluation management responsibility. The AF-TERG has continued to independently manage, commission, and conduct evaluations following the Board-approved work programme at the Fund and strategic levels as well as ex post evaluations of selected projects. It has consistently reported to the Board on lessons, findings, conclusions, and recommendations from concluded evaluations.

   - Fund-level evaluations: The AF-TERG is preparing the second phase of the Fund's Comprehensive Evaluation (CE), as mandated by the Adaptation Fund Board (AFB) in decision B.39/57. The CE began in February 2025 and is scheduled for completion by August 2026. The CE is not only bound to comply with the evaluation principles and criteria specified in the EP but also aims to assess the implementation of the EP and its impact on enhancing the Fund's learning and accountability.

   - Strategic-level evaluations: Since the EP came into effect two strategic-level evaluations—the MTR of the MTS2 and the readiness evaluation, started and are currently ongoing. These evaluations incorporate the evaluation principles and criteria of the Fund as specified in the EP both in the ToRs developed by the AF-TERG, as well as in the inception reports prepared by the evaluators. Additionally, two thematic evaluations—one focusing on the accreditation process and the other on scalability — have been completed and corresponding reports presented to the Ethics and Finance Committee (EFC) at its 33rd and 34th meetings respectively.

   - Ex post evaluations #3, #4 have been completed and summary reports were presented to the EFC at its 34th meeting. Additionally, ex post evaluations #5 for a project in Mauritania has finalized and #6 for a project in Eritrea" is underway. Summary reports for both evaluations are scheduled to be presented to the EFC at its 37th meeting.

2. Utilization of evaluations

Fund-level and strategic-level evaluations

14. In line with the EP, the Board determines the best ways to consider and incorporate lessons and recommendations from all Fund-level and strategic-level evaluations, as well as evaluation syntheses by the AF-TERG, along with the corresponding management response from the Secretariat, to enhance Fund operations. The Secretariat prepares management responses for the Board in conjunction with or no later than one EFC meeting after a Fund-level or strategic-level evaluation is submitted. On the other hand, the AF-TERG reports to the Board on how it incorporates lessons and recommendations from strategic-level evaluations in relation to its functions.

   - In line with that mandate, the AF-TERG, in collaboration with the AFB Secretariat, have developed a Management Action Tracker (MAT). This tool is intended to support

utilization of evaluations by tracking management responses and actions on recommendations emerging from independent evaluations conducted by the AF-TERG at Fund and strategic levels, thus supporting transparency, accountability, and organizational learning. The MAT will be a public document presented to the EFC annually at its October meeting and will be managed by the AF-TERG with inputs from the Secretariat and the Board The first MAT is presented as part of this document in Appendix 4.

Operational level evaluations

15. Insights from individual evaluations are shared by several Fund entities, including the Secretariat and the AF-TERG. The Secretariat's knowledge management function ensures that knowledge, evidence, and lessons from operational-level evaluations are stored, accessible, and useful to IEs, DAs, Civil Society Network partners, and other partner institutions. On the other hand, the AF-TERG makes available evaluative evidence of projects and programmes through ex post evaluations, evaluation synthesis reports, and knowledge products, among others.

- The Secretariat has continued to utilize evaluation findings and evidence to share lessons with IEs and more broadly.

- The AF-TERG prepared and presented the second evaluation synthesis of final evaluations to the EFC at its 34th meeting. The document, covering 12 completed projects submitted to the Fund between July 2020 and August 2023, aims to foster learning, accountability, and oversight.

- The AF-TERG has further shared evaluative evidence from ex post evaluations of selected Fund-supported projects. In addition to the evaluation report, a summary report and a visual are prepared for each completed ex post evaluation. The target audiences for these products are the Board and AF entities, and the broader community, respectively.

3. **Evaluation capacity development**

The Secretariat (EP para 29c)

16. During the reporting period, the Secretariat's activities to develop IEs' monitoring and evaluation capacity include:

- The Secretariat has consistently included monitoring, evaluation and learning sessions in capacity development workshops for IEs both virtually and in-person. These workshops aim to enhance IEs capacity to undertake MEL work. As part of its Readiness Program, capacity on MEL is an important strategic pillar.

- The Secretariat is currently updating its Strategic Results Framework and will be rolling out the new framework upon approval by the Board. As part of this roll out, the Secretariat will also conduct MEL capacity building workshops for the IEs.

The AF-TERG (EP para 33c).

17. The AF-TERG is responsible for continuously enhancing the Fund's evaluation knowledge and capacity to position it as a leader in evaluation innovation and climate adaptation. It collaborates with the Secretariat and IEs to develop relevant, user-friendly evaluation guidance that promotes local institution-building and accountability. Some of the resources recently developed by the AF-TERG include:

- To support the implementation of the EP, the AF-TERG has developed a total of 13 guidance notes, the most recent of which was published in June 2025. These notes are available in English, Spanish, and French on the AF website.

- The AF-TERG and the AFB Secretariat are developing a comprehensive e-learning training to support the implementation of the new EP. This training aims to systematically build capacity for IEs, executing entities (EE) and evaluators in conducting project evaluations. Developed with input from the IEs, the training will consist of several modules and is expected to be accessible to IEs through World Bank Group platforms by August 2025.

- The AF-TERG published in 2025 a "Toolkit for the Ex Post Evaluation of Adaptation Interventions," in English, French and Spanish. It is intended as a guide to assist Implementing Entities and evaluation contractors in understanding the requirements for conducting ex post evaluations of Adaptation Fund projects and programmes;

- The AF-TERG actively participates in networks and opportunities for South-South evaluation sharing of evaluation outcomes and evaluation techniques, and evaluation capacity exchange with other organizations with CCA interests.

4. Other policy-related issues

18. This section outlines emerging issues that relate to the implementation of the EP.

- Evaluation Policy. There is a lack of consistency in the description of the requirements for the implementation of mid-term reviews within the Evaluation Policy. In particular, paragraph 13(a)(ii) states:

   Mid-term Review (MTR). **IEs are required to conduct MTRs of any project with four or more years of implementation,** *and to submit the MTR report to the Secretariat no later than six months after the project midpoint. MTRs are formative evaluations to assess project performance and context to inform project management*

decision-making and course correction during the remaining implementation period. The IE is to submit a management response to the MTR report to the Secretariat within six months of receiving the MTR report, describing what, why, and how MTR learning will be utilized. The MTR may be conducted independently or semi-independently. **MTRs are optional for projects less than three years in duration***; these may be self-conducted.*

Note that the first and last sentences are contradictory and may lead to misinterpretations. To enhance the policy's effectiveness and ensure compliance, the following amendment is suggested:

Mid-term Review (MTR). IEs are required to conduct MTRs of any project with four or more years of implementation, and to submit the MTR report to the secretariat no later than six months after the project midpoint. MTRs are formative evaluations to assess project performance and context to inform project management decision-making and course correction during the remaining implementation period. The IE is to submit a management response to the MTR report to the secretariat within six months of receiving the MTR report, describing what, why, and how MTR learning will be utilized. The MTR may be conducted independently or semi-independently. MTRs are optional for projects with a duration of less than four ~~three~~ years in duration; these may be self-conducted.

The recommended change will enhance clarity regarding which projects require a mid-term review.

- Baseline data reports (BDR). BDRs are mandatory evaluations under the new EP, whereas they were not included in the previous Evaluation Framework. Therefore, additional guidance is needed regarding the purpose of these reports, the required delivery format, and main requirements and best practices for their preparation. Additionally, any distinctions between BDRs for projects (including small versus regular-size concrete projects) and programmes should be further clarified to provide clear guidance.

- There are certain discrepancies between the Operational Policies and Guidelines for Parties to Access Resources from the Adaptation Fund (OPG)[9] and the Evaluation Policy (EP) concerning the provisions for conducting final evaluations of projects and programs. These discrepancies warrant further clarification. Specifically, the OPG indicates that small-scale concrete projects and programs, as well as readiness grant projects, are not necessarily required to undergo a final evaluation. In contrast, the EP stipulates that all Fund-supported projects and programs that have completed implementation should conduct a final evaluation.

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[9] Available at: https://www.adaptation-fund.org/document/operational-policies-guidelines-parties-access-resources-adaptation-fund/

The OPG, para 66, reads:

All regular size concrete projects and programmes that complete implementation will be subject to terminal evaluation by an independent evaluator selected by the implementing entity. All small size concrete projects and programmes, as well as readiness grant projects, shall be subject to terminal evaluation if deemed appropriate by the Board and shall follow an evaluation process as decided by the Board using templates approved by the Board. Terminal evaluation reports will be submitted to the Board as stipulated in the project agreement.

The EP, para 23(a)(iii) reads:

All Fund-supported projects and programmes that complete implementation should conduct a final evaluation to assess project/programme performance and impact to support learning and accountability, and inform future CCA interventions. The audience for final evaluation is broad, including the IE and the Fund, the intended beneficiaries and project participants, Fund partners, and other relevant stakeholders.

To ensure consistent interpretation of the IEs requirements in terms of budgeting for and commissioning final evaluations, which is crucial for effective implementation, the Board should clarify whether small size concrete projects and programmes require final evaluations. The view of the Secretariat is that this should not be required.

- Aligning the OPG and the EP. The OPG currently refers to the Guidelines for Project/Programme Final Evaluations that have been now superseded by the Fund's EP.

  Specifically, the OPG, para 66, reads:

  The Board has approved Guidelines for project/programme final evaluations. [23] *These guidelines describe how final evaluations should be conducted for all projects/programmes funded by the Adaptation Fund, as a minimum, to ensure sufficient accountability and learning in the Fund. They should be complementary to the implementing entities' own guidelines on final evaluation.*

  [23] *https://www.adaptation-fund.org/document/guidelines-for-projectprogramme-final-evaluations/*

  This section of the OPG should be updated to align with the Fund's current EP, ensuring clarity regarding the evaluation roles and responsibilities of different Fund entities.

- Clarification needed on evaluation budget requirements for project applications. Decision B.41/30[10] mandates that implementing entities allocate an overall evaluation

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[10] Available at: https://www.adaptation-fund.org/wp-content/uploads/2023/11/AFB.B.41-decision-document_final.pdf

budget between 1 to 5 per cent of the project/programme budget for proposed projects and programs, effective from the forty-second Board meeting. This directive is informed by the report on budget implications and options for implementing the evaluation policy, as detailed in document AFB/EFC.32/10. Notably, this report defines the evaluation budget as applicable only to mid-term reviews and final evaluations. Consequently, it remains unclear whether the budget for the baseline data report—also a mandatory component of project evaluation—must be specified in the project application and whether it is included within the evaluation budget range of 1 to 5 per cent of the total project budget.

IV. Findings and Recommendations

19. As this is the first progress report, its focus is on establishing clarity on roles and responsibilities of different entities to the Fund's evaluation function as specified in the evaluation policy. It further reports on areas where there is sufficient evidence. Subsequent progress reports will build on this foundation, allowing the Fund to monitor how implementation deepens and evolves.

Findings	Recommendations
1. **Alignment with the EP.** The EP aligns with and reinforces the objectives of other Fund policies and the Strategic Results Framework. However, there are instances where further alignment of the EP with other policies and guidance documents is needed, specifically: • Some project and programme **application documents** are yet to be updated to align with the Fund's evaluation policy. Notably, some application documents still reference the previous Evaluation Framework and do not explicitly identify Baseline Data Reports as a mandatory evaluation requirement, which could be a way to facilitate better compliance with the updated EP. • The **OPG** (para 66) currently references the Guidelines for Project/Programme Final Evaluations. • There are **discrepancies between the OPG and EP concerning the provisions for conducting final evaluations** of projects and programmes. This may result in IEs having inconsistent interpretations of the Fund's evaluation requirements. The Secretariat's position is that final evaluations should not be necessary for readiness and small grants (learning and innovation) in line with the existing provisions of the OPG.	**R1.** Request the Secretariat to review and, where appropriate, update the proposal submission templates and guidance documents to include references to the evaluation policy, mandatory project/programme evaluations, and evaluation budget allocation. The Secretariat should report back to the Board on these updates through its activity report by B47. **R2.** Request the Secretariat in coordination with the AF-TERG **to propose revisions to relevant documents** by B47 to further clarify: • Provisions for conducting final evaluations of different projects and programmes of different sizes and funding windows, in line with the interpretation that final evaluations are not necessary for readiness and small grants (learning and innovation). • Mid-term Review requirements for projects that were initially less than four years in duration but have since been extended beyond the four-year mark.

• Mid-term Review requirements for projects that were initially less than four years in duration but have since been extended beyond the four-year mark are unclear.	
2. **Baseline Data Reports (BDRs).** • Further guidance is needed on BDRs requirements and delivery formats, including any distinctions between small versus regular-sized concrete projects as well as programmes (e.g. aggregators like AFCIA).	See **R1.** **R3.** Requests the AF-TERG in collaboration with the Secretariat to **develop an evaluation policy guidance document** on Baseline Data Reports by B.47.
3. **Evaluation Budget.** • Project compliance in evaluation budget allocation is mixed. Since Decision B.41/30 became effective, 33 new projects have been approved, with two lacking a clearly specified evaluation budget. Among the 31 projects that specified a budget, the average allocation is 1.1 per cent, and about 60 per cent (18 projects) fall below this minimum requirement.	See **R1.**
4. **Areas for further clarification** • **Decision B.41/30** mandates that implementing entities allocate 1 to 5 per cent of the project budget for evaluations, effective from the forty-second Board meeting. This requirement, based on document AFB/EFC.32/109, applies only to mid-term reviews and final evaluations. **It remains unclear if the budget for the mandatory baseline data report should be included in project in this evaluation budget range.**	**R4.** Clarify whether Decision B.41/30, which allocates 1 to 5 per cent of the total project budget for evaluations, applies exclusively to mid-term reviews and final evaluations, or includes BDR as well.

Appendix 1. Matrix for tracking Entities' contribution to the evaluation function of the Adaptation Fund as stated in the Evaluation Policy

Entity	Function	Description (Quote from EP)	Level of influence	Indicators and verification means (VM)	Included in 1st EP progress report
The Board	*Generation of evaluations (PE §28a).*	- Through the EFC, **oversees** the evaluation function of the Fund and will continue to encourage a culture of accountability and applied learning across the Fund based on evaluative evidence.	Fund-level	- *Provision of high level guidance to AF entities on the implementation of the EP, e.g., evaluation budget decision.* - *[Revision/review/approval] of the **AF-TERG annual progress report**(s) for the reporting period.* - *[Revision/review/approval] of the **annual work plan and administrative budget** for fiscal year for the reporting period.*	✓
		- **Approves** and **oversees** implementation of all Fund policies, including the EP, with updates from the AF-TERG on policy implementation.	Fund-level	- *[Revision/review/approval] the **Evaluation Policy implementation progress report** in [current/previous] reporting period.* - ***Board decisions** related to generation of evaluations VM: AFB meeting reports.*	✓
		- **May commission** Fund-level and strategic-level evaluations as it sees fit.	Fund- and strategic-level evaluations	- *Number and type of Fund-level and strategic-level evaluations commissioned within reporting period. VM: AF-TERG work programme and other documents and decisions.*	
		- **Approves** monitoring and evaluation budgets across all three levels and types of evaluation.	Fund- strategic- and operational-level evaluations	- *Multi-year work programme of the AF-TERG approved* - *MTR and FE budget decision* - *MEL budget of the secretariat*	partially
	Utilization of evaluations (PE §28b).	- **Decides** how best to consider and incorporate lessons and recommendations from all Fund-level and strategic-level evaluations, as well as evaluation syntheses by the AF-TERG, including the corresponding secretariat management response, for improvement of Fund operations.	Fund- and strategic-level evaluations	- *Board decisions on lessons and recommendations from Fund-level and strategic-level evaluations, as well as evaluation syntheses by the AF-TERG, including the corresponding secretariat management response. VM: Management Action Tracker*	✓
		- **Encourages** the use of evaluation-generated evidence in global discussions related to CCA, and to promote the Fund's CCA expertise, lessons, and achievements.	Fund-level	- *Not systematically tracked, as it is not mandatory. The EP Implementation Progress Report may include references to instances where the Board encouraged the use of evaluation-generated evidence in global discussions related to CCA, as*	

				- *well as the promotion of the Fund's CCA expertise, lessons, and achievements*	
	(PE §28c)	- Through the PPRC, **reviews and approves** proposals from Ies, which should include a dedicated monitoring and evaluation budget aligned with the OPG.	Operational-level evaluations	- *Percentage/number of proposals reviewed and approved by the PPRC during the current reporting period that include a dedicated M&E budget aligned with the OPG and relevant Board decisions. VM: project documents* *[reported under Generation of Evaluations / Implementing Entities]*	✓
	(PE §28d)	- The Board's Accreditation Panel will **consider** evaluation findings in its accreditation or reaccreditation of IE7 based on the performance of the entity's previous projects. This includes IE's management response and corrective actions to evaluation recommendations in cases where substantive concerns have been raised.	Accreditation/ reaccreditation	- *Participation of AF-TERG in AP meetings to provide updates on related evaluations. VM: AF-TERG Annual Progress Report(s) for current reporting period. Alt. The EP implementation progress report itself.*	
The secretariat	*Generation of evaluations (PE §29a).*	- **Provides** necessary guidance to IEs to plan and conduct operational-level evaluations.	Operational-level evaluations	- *Webinar sessions or in-person proposal development workshops: VM: When webinars are conducted* - *Project proposal materials are aligned with the EP. VM: review of project proposal materials available to IEs on the AF website* - *Project review materials are aligned with the EP.*	✓
		- It **may advise** the Board in relation to the needs and opportunities for strategic-level evaluations, and it **may also undertake** self-conducted evaluations at the strategic level.	Strategic-level evaluations	- *Not systematically tracked, as it is not mandatory. The EP Implementation Progress Report may include references to instances where the secretariat advised the Board on the needs and opportunities for strategic-level evaluations, and/or undertook self-conducted evaluations at the strategic level.*	
		- **Contributes** insights to Fund-level and strategic-level evaluations when called upon	Fund- and strategic-level evaluations	- *Number of Fund-level and strategic-level evaluations in which the secretariat provides input (in writing or through meetings) within reporting period. VM: Final evaluation reports.*	
	Utilization of evaluations (PE §29b).	- The secretariat's knowledge management function **ensures** that knowledge, evidence, and lessons from operational-level evaluations are stored, accessible, and useful to IEs, DAs, Civil Society Network partners, and other partner institutions.	Operational-level evaluations	- *Project level evaluations are timely uploaded to and accessible via the project pages (AF website). VM: project pages in AF website*	

		- The secretariat **will draft** a management response for the Board within a reasonable time.	Fund- and strategic-level evaluations	- *Draft management responses from the secretariat submitted to the Board together with or no later than one EFC meeting after the evaluation was completed. VM: Management responses submitted as meeting documents.*	✓
		- It will then **institutionalize and report** on incorporation of lessons and recommendations from Fund-level and strategic-level evaluations as they relate to the secretariat's functions.	Fund- and strategic-level evaluations	- *Draft management response(s) from the secretariat submitted to the Board together with or no later than one EFC meeting after the evaluation was completed. VM: Management response(s) submitted as meeting documents; Relevant information contained in the report on activities of the secretariat submitted as meeting document.*	✓
		- In its work with other organizations, the secretariat will also **highlight** relevant evaluative evidence and lessons from Fund operations	Fund-level	- *Not systematically tracked, as it is not mandatory. The EP Implementation Progress Report may include references to instances where the secretariat highlighted relevant evaluative evidence and lessons from Fund operations, such as reference to AF-TERG evidence in presentations, knowledge products or strategic documents.*	
	Evaluation capacity development *(PE §29c).*	- Will periodically **engage** with the AF-TERG to continuously improve the monitoring and evaluation capacity of its relevant personnel.	Fund-level (Secretariat)	- *Number and type of capacity building activities related to M&E held between the secretariat and the TERG.* *VM: Relevant information contained in the report on activities of the secretariat and the work programme update report of the TERG submitted as meeting documents to the Board/EFC in the current reporting period.*	
		- The secretariat and the AF-TERG will **consult** with each other in the development of their evaluation work programme and on possible capacity-building activities related to the evaluation function.	Fund-level (Secretariat & TERG)	- *Number and type of consultations formats between the secretariat and TERG on the development of their evaluation work programmes.* - *Number and type of capacity-building activities related to the evaluation function held.* *VM: Relevant information contained in the report on activities of the secretariat and the work programme update report of the TERG submitted as meeting documents to the Board/EFC in the current reporting period.*	
		- Will **ensure** that its readiness programme, particularly with Ies, includes aspects related to evaluation capacity and evaluative evidence	Fund-level (Readiness)	- *Number and type of events, meetings, trainings, and similar activities related to the readiness program during the reporting period that incorporate aspects of evaluation capacity and evaluative evidence derived from evaluations conducted at the Fund.*	

		coming from the evaluations conducted at the Fund.		*- Number of readiness capacity building documents and materials available to IEs that incorporate aspects of evaluation capacity and evaluative evidence derived from evaluations conducted at the Fund.* *VM: Relevant information contained in the report on activities of the secretariat and the work programme update report of the TERG submitted as meeting documents to the Board/EFC in the current reporting period.*	
Implemen ting entities	*Generation of evaluations* *(PE §30a).*	- **Will commission or conduct** evaluations for each project/programme according to this EP.	Operational-level evaluations	*- Compliance with the EP at project approval, incl. Planning and budgeting for mandatory evaluations. VM: project documents* *- Implementation of mandatory project evaluations. VM: evaluation report accessible on project site (AF website).* *- Application of the seven evaluation principles. VM: evaluation reports.* *- Use of the evaluation criteria to guide the focus of evaluations.VM: evaluation reports.*	✓
		- IEs **may seek guidance** from the secretariat on operational-level evaluation responsibilities that are required in proposals and during project implementation	Operational-level evaluations	*Provision of guidance and support though exchange of emails, webinar sessions and in-person technical capacity development as well as workshops on proposal development.*	
	Utilization of evaluations (EP §30b).	- Will **utilize** operational-level evaluation evidence to improve ongoing projects and future project proposals.	Operational-level evaluations	*- Management response of IEs following a MTR, RTE, FE. VM: management responses received and reviewed.* *- Ex post evaluations conducted by the TERG with support of IEs. VM: evaluation reports and materials*	
		- They will **incorporate** evaluation insights, as appropriate, into their communication activities, reflections, and evolutions of their CCA-related strategies and plans.	Operational-level evaluations	*- Not systematically tracked, as it falls outside the control and information managed by the secretariat and TERG.* *The EP Implementation Progress Report may include references to instances where IEs incorporate evaluation insights into their communication activities, reflections, and evolutions of their CCA-related strategies and plans.*	
		- Are **strongly encouraged** to share learning and knowledge, such as promising practices, with relevant partners through peer, national, and	Operational-level evaluations	*- Not systematically tracked, as it falls outside the control and information managed by the secretariat and TERG.*	

		international platforms and other knowledge-sharing mediums and outlets.		*The EP Implementation Progress Report may include references to instances where IEs shared learning and knowledge, such as promising practices, with relevant partners through peer, national, and international platforms and other knowledge- sharing mediums and outlets.*	
		- They will also **provide** updates to the DAs on implementation progress based on findings from MTR, RTE, and final evaluations	Operational-level evaluations	*[TBD]*	
	Evaluation capacity development (EP §30c).	- Will **periodically review** their own evaluative capacity relative to the requirements of this EP.	Operational-level evaluations	*Have adequate in-house capacity to support IEs to comply with EP requirements*	
		- IEs will **collaborate** with the secretariat and the AF-TERG to identify relevant opportunities for their profession evaluation and learning capacity development.	Operational-level evaluations	- *Not systematically track as it is not compulsory.* *EP Implementation Progress Report might include mentions to instances where IEs collaborated with the secretariat and the AF-TERG to identify relevant opportunities for their profession evaluation and learning capacity development.*	
		- They will also **contribute** to the Fund's development of new evaluation techniques and guidance that support the application of this policy in pursuit of the Fund's mission and vision.	Operational-level evaluations	- *Not systematically track as it is not compulsory.* *EP Implementation Progress Report might include mentions to instances where IEs contributed to the Fund's development of new evaluation techniques and guidance that support the application of this policy in pursuit of the Fund's mission and vision.*	
Designated authorities (DAs)	*Generation of evaluations (PE §31a).*	- Are **encouraged** to cooperate with Ies that are conducting operational-level evaluations, including facilitating timely access to information and personnel directly or indirectly related to the project.	Operational-level evaluations	- *Not systematically tracked, a it falls outside the control and information managed by the secretariat and TERG.*	
		- They are **expected to participate** in evaluation design and data interpretation discussions, and site visits, as relevant, appropriate and possible.	Operational-level evaluations	- *Not systematically tracked, a it falls outside the control and information managed by the secretariat and TERG.*	
		- Are **encouraged** to input into evaluations to inform the extent to which a project is relevant to the country's Nationally Determined Contributions (NDCs), National Adaptation Plans (NAPs), National Adaptation Programme of	Operational-level evaluations	- *Not systematically tracked, as it falls outside the control and information managed by the secretariat and TERG.*	

		Action (NAPAs), Adaptation Communications (ADCOMs) or other relevant climate change-related strategies and plans.		
		- **Should** cooperate with Fund entities and consultants if a Fund-level or strategic-level evaluation relates to their country or country context (e.g., geographic, economic, or cultural)	Fund- and strategic-level evaluations	- *Not systematically tracked, as it falls outside the control and information managed by the secretariat and TERG. EP Implementation Progress Report might include mentions to instances where IEs cooperated with Fund entities and consultants as part of Fund-level or strategic-level evaluations*
	Utilization of evaluations (EP §31b).	- Are **encouraged** to incorporate evaluative evidence and lessons from evaluation reports related to their country, geographic, or socioeconomic context into the country's own CCA intelligence, strategies, and plans, including Biennial Transparency Reports (BTRs)	Strategic- and operational-level evaluations	- *Not systematically tracked, as it falls outside the control and information managed by the secretariat and TERG.*
	Evaluation capacity development (EP §31c).	- Are **encouraged** to use evaluation guidance documents and participate in evaluation events to support national evaluation capacity development, in alignment with the United Nations General Assembly Resolution for Building Capacity for the Evaluation of Development Activities at the Country Level (UNGA, 2015)	Operational-level evaluations	- *Not systematically tracked, as it falls outside the control and information managed by the secretariat and TERG.*
The AF Civil Society Organizati on (CSO) Network partners	*Generation of evaluations (PE §32a).*	- Will **collaborate** with Fund entities and consultants hired by the entity if an operational-, Fund-, or strategic-level evaluation is related to their sectoral interests or operational contexts (e.g., geographic, economic, or cultural)	Fund- and strategic-level evaluations	- *Not systematically tracked, as it falls outside the control and information managed by the secretariat and TERG.* *EP Implementation Progress Report might include mentions to instances where CSOs and Network Partners collaborated with Fund entities and consultants hired by the entity for operational-, Fund-, or strategic-level evaluations.*
	Utilization of evaluations (EP §32b).	- Are **encouraged** to consider the application of the Fund's evolving evaluation guidance as they engage in monitoring and evaluation of Fund-supported projects.	Operational-level evaluations	- *Not systematically tracked, as not compulsory. It also falls outside the control and information managed by the secretariat and TERG.*
		- Network Partners **may** also consider the application of lessons and recommendations from Fund evaluations relevant to their own programming sectors.	Strategic- and operational-level evaluations	- *Not systematically tracked, as not compulsory. It also falls outside the control and information managed by the secretariat and TERG.*

	Evaluation capacity development (EP §32c).	- **May** access and utilize AF-TERG evaluation guidance documents for their own capacity development. Network partners are encouraged to contribute to the Fund's development of new evaluation techniques and guidance that support application of the policy's evaluation criteria and principles	Fund-level	- *Not systematically tracked, as not compulsory. It also falls outside the control and information managed by the secretariat and TERG.*	
The AF-TERG	*Generation of evaluations* *(PE §33a).* AF-TERG will **facilitate** the generation of quality, useful evaluations via three responsibilities:	(i) Management responsibility: Independently **manage, commission, and/or conduct** evaluations in the Board- approved work programme at the Fund and strategic levels.	Fund- and strategic-level evaluations	- *Application of the evaluation principles. VM: ToRs and evaluation report.* - *Use of the evaluation criteria to guide the focus of evaluations. VM: ToRs, evaluation report.*	✓
		(i) Management responsibility: It will also **report** to the Board on lessons, findings, conclusions, and recommendations from relevant evaluation reports	Fund- strategic- and operational-level evaluations	*VM:* - *TERG Progress Reports presented to the [EFC/Board] in the reporting period* - *Fund-level and strategic-level evaluation reports/briefs/summary reports presented to the [EFC/Board] in reporting period* - *EP Implementation Progress Report for the reporting period.* - *Management action tracker*	✓
		(ii) Advisory responsibility: **Develop** draft guidance, templates, and other evaluation resources for Board approval to support and operationalize this EP and upholds a reliable, timely, and useful evaluation function that contributes to the Fund's mission and vision.	Fund-level (EP implementation)	- *Number of guidance, templates, and other evaluation resources to support and operationalize the EP* *[to be reported under 'Evaluation capacity development']*	✓
		(ii) Advisory responsibility: It will also **conduct** evaluation capacity development to support evaluation and learning across the Fund	Fund-level	- *Number of evaluation activities and endeavors to support evaluation and learning across the Fund in the reporting period. VM: AF-TERG Annual Progress Report(s) for current reporting period.* *[to be reported under 'Evaluation capacity development']*	✓
		(iii) Oversight responsibility: **Provide** quality assurance over the evaluation function at the Fund, and track implementation of Board decisions related to evaluation recommendations. This includes advising the Board in its efforts to incorporate evaluation findings and	Fund- strategic- and operational-level evaluations	- *EP Implementation Progress Report submitted to the [EFC/Board] in reporting period* - *Management action tracker* *[to be reported under 'Utilization of Evaluations']*	✓

		recommendations into policies, strategies, and procedures			
	Utilization of evaluations (EP §33b).	- Will **support** relevant knowledge management functions of the Fund to ensure that evaluative evidence is available and encouraged across the Fund (Adaptation Fund, 2018, para 18a).	Fund-level	- *Number of guidance notes, training materials and other knowledge resources developed based on conducted evaluations.* *[reported under evaluation capacity development]*	✓
		- In addition to sharing insights from individual evaluations, the AF-TERG will **synthesize and present** to the Board any key lessons from strategic evaluations and targeted evaluation syntheses for the improvement of the Fund's performance (Adaptation Fund, 2018, para 24) and the CCA capacities of its partners.	Strategic- and operational-level evaluations	- *Evaluation synthesis reports presented to the Board* - *Number of reports and documents including key lessons from strategic evaluations presented to the Board.* *VM: reports presented to the Board*	✓
		- It will also **report** to the Board on incorporation of lessons and recommendations from strategic-level evaluations as they relate to the AF-TERG's functions.	Strategic-level evaluations (TERG)	- *Number of recommendations focused on AF-TERG that have been implemented. VM: Management action tracker*	✓
	Evaluation capacity development (EP §33c).	- **Responsible** for continuously updating the Fund's evaluation knowledge, capacity development, and utilization to position the Fund at the forefront of evaluation innovation and adaptation practice. Such positioning is to optimize the Fund's effectiveness via continuous improvement in learning and reinforce the Fund's reputation and relevance as a thought leader in global climate adaptation efforts.	Fund-level	- *Number of updates to the Fund's evaluation knowledge, capacity development, and utilization documents, guidance notes, toolkits or similar.*	✓
		- Will consult with the secretariat and IEs to **develop** Fund evaluation guidance that is relevant and user-friendly, and pursue local institution-building, decision-making, learning, and accountability.	Fund-strategic- and operational-level evaluations	- *Number and type of guidance notes available to AF entities developed in consultation with the secretariat and IEs. VM: AF website* - *Number and type of evaluation related learning resources available to different AF entities developed in consultation with the secretariat and IEs. VM: AF website*	✓
		- Is **responsible for ensuring** evaluation guidance options for IEs' continuous adaptive management learning via near RTE, through to long-term project and operational learning demands.	Operational-level evaluations	- *Number and type of guidance notes developed by the TERG that are available to IEs.VM: AF website* - *Number and type of evaluation related learning resources developed by the TERG that are available to IEs. VM: AF website.*	

| | | - It is **responsible for nurturing** networks and opportunities for South-South evaluation sharing of evaluation outcomes and evaluation techniques, and evaluation capacity exchange with other organizations with CCA interests. | Networks | - *Number and type of events and networks in which the TERG has participated within the reporting period for nurturing networks and opportunities for South-South evaluation, sharing of evaluation outcomes and evaluation techniques, or/and evaluation capacity exchange with other organizations with CCA interests. VM: AF-TERG Annual Progress Report(s) for current reporting period.* | ✓ |
| | | - To realize its responsibilities under this policy and its terms of reference, the AF-TERG **will** develop and submit to the Board its revised workplans and budgets, including options to appropriately resource the AF-TERG secretariat. | TERG and Board | - Submission of the draft work programme of the TERG for approval.

- Submission of the AF-TERG Annual Progress Report in current reporting period.

- Submission of the Evaluation Policy Implementation Progress Report in the current reporting period. | |

Appendix 2. Alignment of project proposal materials with the EP

The Secretariat is required by the EP to "provide necessary guidance to IEs to plan and conduct operational-level evaluations". Compliance with this requirement was assessed by reviewing the application documents currently available to IEs on the Adaptation Fund website. The review indicates that several documents require updates to align with the new Evaluation Policy, primarily those that still reference compliance with the previous Evaluation Framework. The table below provides an overview of the documents that require updates.

	Document	Aligned with Evaluation Policy
I	**GENERAL PROJECT PROPOSAL MATERIALS**	
	Instructions for Preparing a Request for Project/Programme Funding	✗
	Approval and Operations Procedures	✓
	Review-Criteria-5.12.pdf	✓
	Adaptation Fund Project/Programme Review Criteria	✓
	Government Endorsement Letter Template (Submitted through NIEs/RIEs/MIEs)	✓
	Guidance document for Implementing Entities on compliance with the Adaptation Fund Environmental and Social Policy - Adaptation Fund	✗
	Guidance Document for Project/Programme with Unidentified Sub-Projects - Adaptation Fund	✗
	Gender Guidance Document for Implementing Entities on Compliance with the Adaptation Fund Gender Policy (Updated in 2022) - Adaptation Fund	✗
	Results Framework Alignment Table (Amended in March 2019)	✓
	Disbursement Schedule Template (For fully-developed proposals)	✓
	Methodologies for reporting Adaptation Fund core impact indicators (For fully-developed proposals)	✓
	Methodologies for reporting Adaptation Fund core impact indicators (For fully-developed proposals)	✓
	IE and EE Fees Calculator (EXCEL)	✓
	For Submissions for Single Country "Regular" projects (Country cap financed)	
	Submission Instruction Guide (Amended in Oct 2017)	✗
	Template for Concept Note Project Proposals	*
	Template for fully developed single country proposal - Adaptation Fund Recommended to add BDR to the Project calendar	✗
	Fully Developed Regional Project Proposal Template - Adaptation Fund Recommended to add BDR to Milestones	✗
	For Submissions for Regional Projects (Funded under annual regional allocations)	
	Regional Concept Note Proposal Template - Adaptation Fund	*
	Template for Regional Project Pre-Concept Note - Adaptation Fund	✓
II	FOR SUBMISSIONS FOR LOCALLY-LED ADAPTATION	
	LLA single country concept note proposal template	*
	LLA single country fully-developed proposal template	✗
	LLA single country pre-concept template	✓
	LLA Regional programme pre-concept template	✓
	LLA Regional programme concept note template	*
	LLA Regional programme fully-developed proposal template	✗
III	FOR SUBMISSIONS FOR INNOVATION GRANTS	
	Innovation Small Grant Application Form	*

	Adaptation Fund Innovation Small Grant Application Sample	✗
	Instructions for preparing a request for an innovation small grant	✗
	Innovation and learning bundled proposal template	✗
	Instructions for preparing Innovation and Learning bundled proposal	✗
	Funding Proposal Template – Application Template for Fully-developed and Concept Proposal | PROGRAMME ON INNOVATION: LARGE GRANTS PROJECTS	✗
	Funding Proposal Template – Application Template for Pre-concept proposal | PROGRAMME ON INNOVATION: LARGE GRANTS PROJECTS	✓

'* It is suggested that baseline data reports are added as one of the compulsory evaluation reports under the milestone section of the document

Appendix 3. Implementation of mandatory project evaluations

FINAL EVALUATIONS								

[COMPULSORY]

Final project and programme evaluation. All Fund-supported projects and programmes that complete implementation should conduct a final evaluation to assess project/programme performance and impact to support learning and accountability, and inform future CCA interventions. The audience for final evaluation is broad, including the IE and the Fund, the intended beneficiariesand project participants, Fund partners, and other relevant stakeholders.

Projects: All IEs are required to commission an independent final evaluation of their projects, submitted to the secretariat and the DA within nine months of project completion.

Programmes: Programme evaluations approved and implemented under a single IE agreement are to be planned and budgeted as final project evaluations. Programme evaluations for projects involving multiple IEs are to be selected, planned, budgeted, and managed as thematic evaluations. Programme evaluations seek to generate lessons and insights across projects, countries, regions, and/or IEs. For the programme evaluations, IEs will be notified within three months of approval of the Fund's evaluation budget whether their project has been selected for the programme evaluation. IEs are to submit to the secretariat and the DA or DAs a management response to the final evaluation report within six months of receiving the evaluation report. This should describe what, why, and how final evaluation learning will be incorporated into current or future AF Fund work (EP, p,9).

	projecttitle	ie	ietype	country	fy_approval	fy_start	duration	FE required [YES/NO]	FE expected submission date [MM/DD/YYYY]	status
1	Enhancing Climate Resilience in San Cristóbal province, Dominican Republic Integrated Water Resources Management and Rural Development Programme	Dominican Institute of Integral Development of Dominican Republic	NIE	Dominican Republic	3/15/2019	7/17/2019	4 years	YES	12/17/2024	July-25
2	Integrating Flood and Drought Management and Early Warning for Climate Change Adaptation in the Volta Basin (Benin, Burkina Faso, Côte d'Ivoire, Ghana, Mali, Togo)	World Meteorological Organization	MIE	Regional	10/12/2018	6/25/2019	4 years	YES	3/25/2025	December-24
3	Artik city closed stonepit wastes and flood management pilot project	Environmental Project Implementation Unit	NIE	Armenia	10/12/2018	7/26/2019	4 years	YES	4/26/2024	2023
4	Flood Resilience in Ulaanbaatar Ger Areas – Climate Change Adaptation through community-driven small-scale protective and basic-services interventions	UN-Habitat	MIE	Mongolia	7/16/2018	2/28/2019	4 years	YES	9/28/2024	September-24
5	Building adaptive capacity through food and nutrition security and peacebuilding actions in vulnerable Afro and indigenous communities in the Colombia-Ecuador border area (Colombia, Ecuador)	UN World Food Programme	MIE	Regional	7/5/2017	5/3/2018	5 years	YES	8/3/2025	December-24
6	Ecosystem-Based Adaptation at Communities of the Central Forest Corridor in Tegucigalpa	UN Development Programme	MIE	Honduras	3/17/2017	3/4/2019	5 years	YES	12/4/2024	December-23

MID TERM REVIEWS

[COMPULSORY PROJECTS ≥ 4 YEAS]

Mid-term Review (MTR). IEs are required to conduct MTRs of any project with four or more years of implementation, and to submit the MTR report to the secretariat no later than six months after the project midpoint. MTRs are formative evaluations to assess project performance and context to inform project management decision-making and course correction during the remaining implementation period. The IE is to submit a management response to the MTR report to the secretariat within six months of receiving the MTR report, describing what, why, and how MTR learning will be utilized. The MTR may be conducted independently or semi-independently. MTRs are optional for projects less than three years in duration; these may be self-conducted (EP, pp.8-9).

	projecttitle	ie	ietype	country	fy_approval	fy_start	duration	MTR required [YES/NO]	MTR expected submission date [MM/DD/YYYY]	status
1	Integrated Water and Soil Resources Management Project (Projet de gestion intégrée des ressources en eau et des sols PROGIRES)	International Fund Agricultural Dev	MIE	Djibouti	7/26/2021	3/29/2022	5.5 years	YES	6/29/2025	submitted
2	Resilience building as climate change adaptation in drought-struck South-western African communities (Angola, Namibia)	Sahara and Sahel Observatory	RIE	Regional	7/26/2021	3/15/2022	5.5 years	YES	6/15/2025	not yet submitted
3	Rural Integrated Climate Adaptation and Resilience Building Project (RICAR)	UN World Food Programme	MIE	Gambia	3/11/2021	3/21/2022	5 years	YES	3/21/2025	submitted
4	Increasing the resilience of both displaced persons and host communities to climate change-related water challenges in Jordan and Lebanon	UN-Habitat	MIE	Regional	3/11/2021	10/20/2021	4 years	YES	4/20/2024	not yet submitted
5	Climate Change Adaptation through Protective Small-scale Infrastructure Interventions in Coastal Settlements of Cambodia	UN-Habitat	MIE	Cambodia	1/26/2021	8/26/2021	4 years	YES	2/26/2024	submitted
6	Reducing vulnerabilities of populations in the Central Asia region from glacier lake outburst floods in a changing climate (Kazakhstan, Kyrgyzstan, Tajikistan, Uzbekistan)	United Nations Educational, Scientific and Cultural Organization	MIE	Regional	10/15/2020	4/29/2021	5 years	YES	4/29/2024	submitted
7	Building Climate Resilience in Liberia’s Cocoa and Rice Sectors	International Fund Agricultural Dev	MIE	Liberia	9/23/2020	4/14/2022	5 years	YES	4/14/2025	not yet submitted
8	Strategic Water Harvesting Technologies for Enhancing Resilience to Climate Change in Rural Communities in Semi-Arid Areas of Tanzania (SWAHAT)	National Environment Management Council	NIE	Tanzania, United Republic of	9/23/2020	10/13/2021	4 years	YES	4/13/2024	not yet submitted
9	Enhancing Climate Change Adaptation for Agro-Pastoral Communities in Kongwa District	National Environment Management Council	NIE	Tanzania, United Republic of	6/1/2020	10/12/2021	4 years	YES	4/12/2024	not yet submitted
10	Economic, Social and Solidarity Insertion for Resilience in the Governorate of Kairouan (IESS Adapt)	International Fund Agricultural Dev	MIE	Tunisia	6/1/2020	9/2/2021	5 years	YES	9/2/2024	not yet submitted
11	Adaptation Fund- UN Environment Special Financing Window in Support of Innovation for Adaptation	UN Environment Programme	MIE	Regional	10/11/2019	10/28/2020	5 years	YES	10/28/2023	not yet submitted
12	Adaptation Fund-UNDP Innovation Small Grant Aggregator Platform (ISGAP)	UN Development Programme	MIE	Regional	10/11/2019	10/28/2020	5 years	YES	10/28/2023	submitted
13	Building adaptive capacity to climate change in vulnerable communities living in the Congo River Basin	UN World Food Programme	MIE	Congo	10/11/2019	2/22/2022	5 years	YES	2/22/2025	not yet submitted
14	Enhancing climate resilience of rural communities and ecosystems in Ahuachapán-Sur, El Salvador	UN Development Programme	MIE	El Salvador	10/11/2019	6/16/2021	4 years	YES	12/16/2023	submitted
15	Dairy Modernization and Market Access: Adaptation Component (DiMMAdapt)	International Fund Agricultural Dev	MIE	Georgia	10/11/2019	4/16/2021	4 years	YES	10/16/2023	submitted
16	Climate Change adaptation in vulnerable coastal cities and ecosystems of the Uruguay River (Argentina, Uruguay)	Development Bank of Latin America	RIE	Regional	7/15/2019	8/4/2021	4 years	YES	2/4/2024	submitted
17	An integrated landscape approach to enhancing the climate resilience of small-scale farmers and pastoralists in Tajikistan	UN Development Programme	MIE	Tajikistan	7/8/2019	8/28/2021	4 years	YES	8/28/2024	submitted
18	Promoting Climate Resilience in the Cocoa and Rice Sectors as an Adaptation Strategy in Sierra Leone	International Fund Agricultural Dev	MIE	Sierra Leone	7/8/2019	5/6/2020	6 years	YES	11/6/2023	not yet submitted
19	Building resilience for adaptation to climate change and climate vulnernabilities in agriculture in Saint Lucia	Caribbean Development Bank	RIE	Saint Lucia	7/8/2019	9/3/2021	4 years	YES	3/3/2024	not yet submitted
20	Adaptation Initiative for Climate Vulnerable Offshore Small Islands and Riverine Charland in Bangladesh	UN Development Programme	MIE	Bangladesh	3/15/2019	6/29/2021	5 years	YES	9/29/2024	not yet submitted
21	Restoring marine ecosystem services by rehabilitating coral reefs to meet a changing climate future (Mauritius, Seychelles)	UN Development Programme	MIE	Regional	10/12/2018	11/26/2020	6 years	YES	5/26/2024	not yet submitted

Appendix 4. Management Action Tracker

Management Response Tracking Process Sheet

A. Purpose

The Management Action Tracker (MAT) is a requirement of the Evaluation Policy of the Adaptation Fund (2023) and in line with the oversight responsibility of the AF-TERG as per its Terms of Reference. The MAT is intended to support utilisation of evaluations. The tool will do this by tracking management responses and actions on recommendations emerging from independent evaluations conducted by the AF-TERG at fund and strategic levels, thus supporting transparency, accountability, and organizational learning. The MAT will a maintained as a public document, will be updated annually and presented to the EFC at its October meeting. The MAT will be managed by the AF-TERG with inputs collated from the AFB secretariat and other stakeholders.

B. Process Steps

1. **Entry of Recommendations and Responses**

   - Each evaluation is finalized along with a set of recommendations. The AFB secretariat and other relevant stakeholders are consulted during this process. The AF-TERG will attempt to limit recommendations from evaluations to 5 per evaluation.

   - The evaluation recommendations and the associated management response are presented to the Board.

   - Agreed and partially agreed evaluation recommendations, along with the management's response, are entered by the AF-TERG into the MAT within one month following the EFC meeting. For ease of organisation, individual color codes will be used for each group of AF stakeholders to which any particular recommended actions apply or are relevant. For example, recommendations specific to AFB secretariat will be highlighted in <mark>yellow</mark>.

   Responsibility: AF-TERG.

2. **Reporting & Update Requests**

   - AF-TERG shall reach out to the AFB secretariat at the beginning of June every calendar year and enquire about a status update on actions taken on the recommendations relevant to the AFB secretariat and the Board.

   - At the same time, AF-TERG shall also reach out to other relevant AF stakeholders targeted by specific recommendations for action updates.

   Responsibility: Overall responsibility with AF-TERG. Inputs to be provided by the AFB secretariat on recommendations targeted at the AFB secretariat and the Board.

3. **Updating the Tracker**

   - Information received from the AFB secretariat and other stakeholders shall be updated in the Management Action Tracker, in advance of the October EFC meeting every year.

   Responsibility: AF-TERG

4. **Board Presentation**

   - The updated Management Action Tracker shall be presented at the EFC meeting for review and discussion every year at the October Board meeting.

   Responsibility: AF-TERG

5. **Retirement of Recommendations**

- Recommendations are retired once they have been considered addressed, or after four years from the date of presentation of the evaluation and its management response to the EFC.

- *Responsibility*: AF-TERG

C. Quick Overview of the MAT Process

Step	Action	Who	When
Recommendations Entry	Enter recommendations & responses into tracker. Fill miscellaneous evaluation information	AF-TERG	After evaluation finalized.
Updates on Actions	Request update from AFB secretariat & other stakeholders	AF-TERG Inputs to be provided by the AFB secretariat on matters related to the AFB secretariat, and by other stakeholders.	At the beginning of August every year.
Updating Tracker	Update tracker with action on recommendations status information	AF-TERG	Upon receiving responses from AFB Secretariat and others.
Board Review	Present updated tracker for review by AF Board.	AF-TERG	Every October EFC meeting
Retire Recommendations	Retire recommendations	AF-TERG	Once addressed but not later than 4 years after evaluation presentation at the EFC meeting.

ADAPTATION FUND MANAGEMENT RESPONSE TRACKING SHEET

Evaluation Title:			
Evaluation Type:		Evaluation ID (AF):	
Evaluation Start Date:		Date Received for Response:	
Evaluation Completion Date:		Date of management response approval by the Board:	
Focal Point (s):		Person(s)/ Unit Responsible to Track/ Manage the Follow-up:	

Overall response to the evaluation:	*Please provide an assessment of the process and outcomes of the evaluation, the adequacy of the evidence and concurrence with findings. Were there limitations in the process or outcomes? Are there additional insights that are not reflected in the recommendations?*
Planned use of evaluation:	*Please describe how the evaluation is intended to be used, focusing on how the findings will be considered in future plans and contribute to evidence-based decision making.*

Management Response / Response Tracking

No.	Recommendation	Management Response	Intended Result	Actions Planned	Timeframe	Responsible Parties	2025 Q1-2	2025 Q3-4	Comments
	List the recommendations from the Evaluation Report	** Accepted* ** Partially Accepted (please indicate reasons)* ** Not Accepted (please indicate reasons)*	*Intended result of the recommendation*	*Indicate the concrete actions planned by partners to implement the recommendations*	*Please indicate a completion date*	*Please be specific and indicate who (Staff or Unit/office) is responsible for the actions. If it is a joint response it should list who these are specifically*	*Please indicate status of implementation and actions taken. If an action is no longer relevant due to a changed context, please provide a justification and indicate if it should be cancelled or reformulated.*	*Please indicate status of implementation and actions taken*	*Any additional comments regarding the recommendation, decision*