



ADAPTATION FUND

AFB/EFC.32/Inf.5  
8 October 2023

---

Ethics and Finance Committee  
Thirty-second Meeting  
Bonn, Germany, 10-11 October 2023

Agenda item 5 d)

**GUIDANCE IN SUPPORT OF THE  
OPERATIONALIZATION OF THE EVALUATION POLICY:  
FINAL EVALUATIONS**



# Overarching Guidance Notes

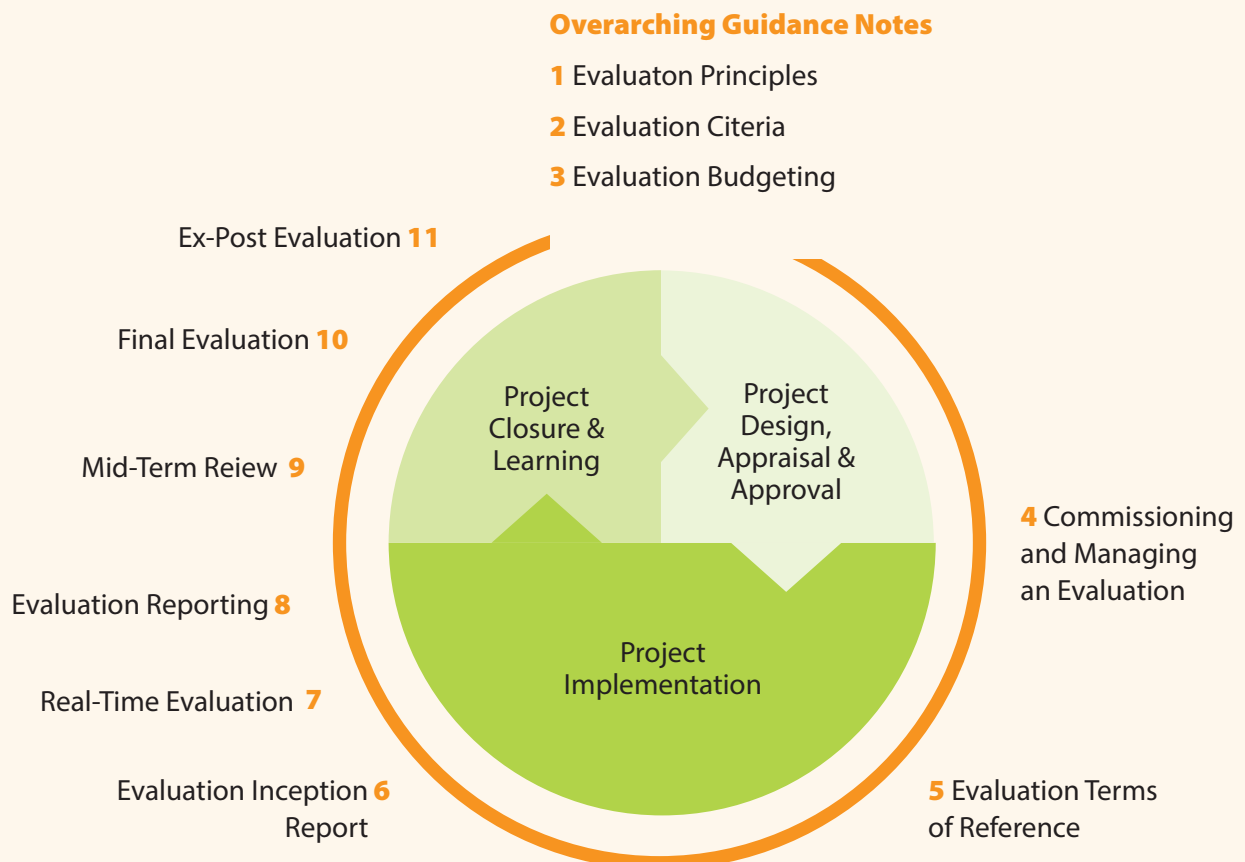


## Evaluation Policy of the Adaptation Fund

The Evaluation Policy of the Adaptation Fund is a stand-alone document that frames the Fund's evaluation function by providing high-level strategic guidance. The purpose of this Evaluation Policy is to identify the fundamental expectations, processes, and protocol to support a reliable, useful, and ethical evaluation function that contributes to learning, decision-making, and accountability for the Adaptation Fund (the Fund) to pursue its mission, goal, and vision effectively.

It comes into effect in October 2023, superseding the Fund's 2012 Evaluation Framework. This EP outlines the evaluation function for the Fund and its entities, and lays out the evaluation function's goals, criteria, and principles. It also proposes to bring a more consolidated approach to stakeholder roles and responsibilities in relation to evaluation.

## Guidance Notes throughout the project cycle



## Over-arching guidance notes

- **Evaluation Principles:** This guidance note elaborates the seven evaluation principles introduced in the Fund's Evaluation Policy. It explains when to use the Fund's evaluation principles, and then examines each principle individually, and provides a checklist to help with their operationalisation.
- **Evaluation Criteria:** This guidance note elaborates the nine evaluation criteria introduced in the Fund's Evaluation Policy. It explains when to use the evaluation criteria, then examines each criterion individually, and provides guidance for their operationalisation.

## Evaluation process-specific guidance notes

Evaluation Budgeting	Commissioning and Managing an Evaluation	Terms of Reference	Inception Report	Evaluation Reporting
This guidance note supports the preparation and implementation of evaluation budgets that are realistic and fit-for-purpose to finance reliable, useful, and ethical evaluations in accordance with the Fund's Evaluation Policy.	The purpose of this guidance note is to support the commissioning and managing of an evaluation of a Fund-funded operation in accordance with the Fund's Evaluation Policy	This guidance note aids the preparation of an evaluation terms of reference (ToR). It may also be useful to those who are developing ToRs for other evaluative activities that fall broadly within climate change adaptation and related areas of work.	This guidance note provides an overview of inception reports to inform and be tailored to all levels and types of evaluations outlined in the Fund's Evaluation Policy. It also includes a sample annotated inception report outline and a checklist for quality assessment.	This guidance note supports the preparation of evaluation reports. It provides a foundation for reporting for all levels and types of evaluations outlined in the Fund's Evaluation Policy, including baseline studies and mid-term reviews.

## Evaluation type-specific guidance notes

- **Mid-term Review:** This guidance notes outlines what is an MTR, when does it occur, who is involved, and how to plan and implement project MTRs. The accompanying annexes provide a general checklist for planning, implementing, and using MTRs and common analytical approaches.
- **Final Evaluation:** This guidance note outlines what is a final evaluation at the Fund, when it occurs, who is involved, and how to plan and implement final evaluations in accordance with the Fund's Evaluation Policy. The accompanying annexes provide a general checklist for planning, common analytical approaches, and the evaluation criteria rating scales.
- **Ex-post evaluation:** This guidance note explains how ex post evaluations at the Fund work in terms of approach and practical logistics. Additional information on the roles and responsibilities of stakeholders are also provided.