



ACCAF

A UNCDF LoCAL
Framework for
Climate Change
Adaptation
Monitoring and Evaluation

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Framework for Climate
Change Adaptation
Monitoring and Evaluation

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contents

acronyms.....	v
glossary.....	vi

purpose and overview1

setting the stage for success 3

Theory of change.....	3
Basic monitoring data.....	4

steps and building blocks 6

Step 1: Conduct/review climate risk assessment.....	6
BB1: Climate risk assessment guidance.....	6
Step 2: Integrate adaptation into local development plans and budgets	8
BB2: Climate risk-informed investment menu	8
BB3: Local authority adaptation priorities	10
Step 3: Select and implement interventions	11
BB4: Intervention adaptation rationale	11
BB5: Intervention outcome indicators	14
BB6: Intervention primary output indicators.....	15



Step 4: Appraise local authorities' performance	16
BB7: Adaptation-specific performance measures	16
Step 5: Capacity building	17
BB8: Adaptation sub-score	18
Additional building block	18
BB9: Evaluations	18
Monitoring data	22

conclusion **23**

annexes **25**

Annex 1: ACCAF development methodology	26
Annex 2: Green Climate Fund impact areas	28
Annex 3: Types of adaptation actions worksheet	29
Annex 4: Guidance on developing good indicators	31
Annex 5: Sample output indicators by sector	33
Annex 6: Sample scopes of work for evaluations	35
Annex 7: Data Tracker guide	39
Tab 1: Intervention Identifier Codes	39
Tab 2: Direct & Indirect Beneficiaries	40
Tab 3: BB1 Climate Risk Assessment	40
Tab 4: BB2 Investment Menu	41
Tab 5: BB3 LALAPs	42
Tab 6: BB4 Adaptation Rationale	42
Tab 7: BB5 Outcome Indicators	43
Tab 8: BB6 Primary Output Indicators	44
Tab 9: BB7 Adaptation-Specific PMs	45
Tab 10: BB8: Adaptation Sub-score	46
Tab 11: BB9 Evaluation	47

references **48**

acronyms

ACCAF	Assessing Climate Change Adaptation Framework
BB	building block
CCA	climate change adaptation
LoCAL	Local Climate Adaptive Living Facility
M&E	monitoring and evaluation
PBCRG	performance-based climate resilience grant
UNCDF	United Nations Capital Development Fund
WRI	World Resources Institute

glossary

Adaptation: The process of adjustment to actual or expected climate and its effects. In human systems, adaptation seeks to moderate or avoid harm or exploit beneficial opportunities. In some natural systems, human intervention may facilitate adjustment to expected climate and its effects (IPCC, 2014).

Climate change: A change in the state of the climate which can be identified (e.g. through statistical tests) by changes in the mean and/or variability of its properties, and which persists for an extended period, typically decades or longer. Climate change may be due to natural internal processes or external forces such as modulations of the solar cycles, volcanic eruptions and persistent anthropogenic changes in the composition of the atmosphere or in land use. The United Nations Framework Convention on Climate Change (UNFCCC) defines climate change as 'a change of climate which is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and which is in addition to natural climate variability observed over comparable time periods'. The UNFCCC thus makes a distinction between climate change attributable to human activities altering the atmospheric composition and climate variability attributable to natural causes (IPCC, 2014).

Evaluation: An assessment, as systematic and objective as possible, of an ongoing or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors (IFRC, 2011).

Indicator: A unit of measurement that helps determine what progress is being made towards the achievement of an intended result (objective) (IFRC, 2011).

Investment menu: A list of common types of interventions or measures within the purview of local authorities which can promote climate resilience and are eligible for UNCDF LoCAL financing. The menu informs the planning process and ensures that proposed measures are relevant to adaptation (LoCAL-UNCDF 2018).

Maladaptation: Refers to actions which were intended to contribute to climate change adaptation, but instead 'may lead to increased risk of adverse climate-related outcomes,

increased vulnerability to climate change, or diminished welfare, now or in the future' (IPCC, 2014).

Monitoring: The routine collection and analysis of information to track programmes against set plans and check compliance with established standards (IFRC, 2011).

Minimum conditions: The basic requirements with which local authorities have to comply to access UNCDF LoCAL grants. These are formulated to ensure that a minimum absorptive capacity is in place to handle the funds. The entire set of minimum conditions needs to be met before local authorities can access their grants. In general, the minimum conditions involve good governance and public financial management (LoCAL-UNCDF, 2018).

Outcome: The primary results that lead to achievement of the goal (most commonly in terms of the knowledge, attitudes or practices of the target group) (IFRC, 2011).

Outcome indicator. An outcome indicator is used to demonstrate that an objective of an intervention has been achieved – and, potentially, so has its wider impact (Spearman and McGray, 2011).

Output: The tangible products, goods and services and other immediate results that lead to achievement of outcomes (IFRC 2011).

Performance measures: The set of indicators against which local authorities are assessed on an annual basis. These are used to adjust the level of funds made available to local authorities the following year in accordance with their compliance with the minimum conditions (LoCAL-UNCDF, 2018).

Performance-based climate resilience grants (PBCRGs): Provide a financial top-up to cover the additional costs of making investments climate resilient. PBCRGs complement regular allocations made by the central level to local governments through the intergovernmental fiscal transfer system. Their technical features include a set of minimum conditions, performance measures and investment menu (LoCAL-UNCDF, 2018).

Vulnerability: The propensity or predisposition to be adversely affected. Vulnerability encompasses a variety of concepts and elements, including sensitivity or susceptibility to harm and lack of capacity to cope and adapt (IPCC, 2014).

purpose and overview

The Assessing Climate Change Adaptation Framework (ACCAF) was created by a team from the World Resources Institute (WRI) to help ensure that the adaptation aims of the Local Climate Adaptive Living Facility (LoCAL) of the United Nations Capital Development Fund (UNCDF) are being achieved. The ACCAF is a monitoring and evaluation (M&E) framework which focuses on the adaptation aspects of the LoCAL mechanism. This document is a guidance manual describing the ACCAF and how to use it to achieve this adaptation goal.

The ACCAF is intended for use by the global LoCAL team and its country and government programme staff and partners, including those within or involved with central government and local authorities. Using the ACCAF will help these audiences better integrate and strengthen LoCAL's existing assessment system from an adaptation perspective. By using the ACCAF, LoCAL will be better poised to document and demonstrate its contributions to adaptation through its performance-based climate resilience grant (PBCRG) funding.

The ACCAF is organized in line with the LoCAL PBCRG process and consists of nine building blocks (BBs) of an adaptation M&E system. Figure 1 shows how these nine ACCAF elements

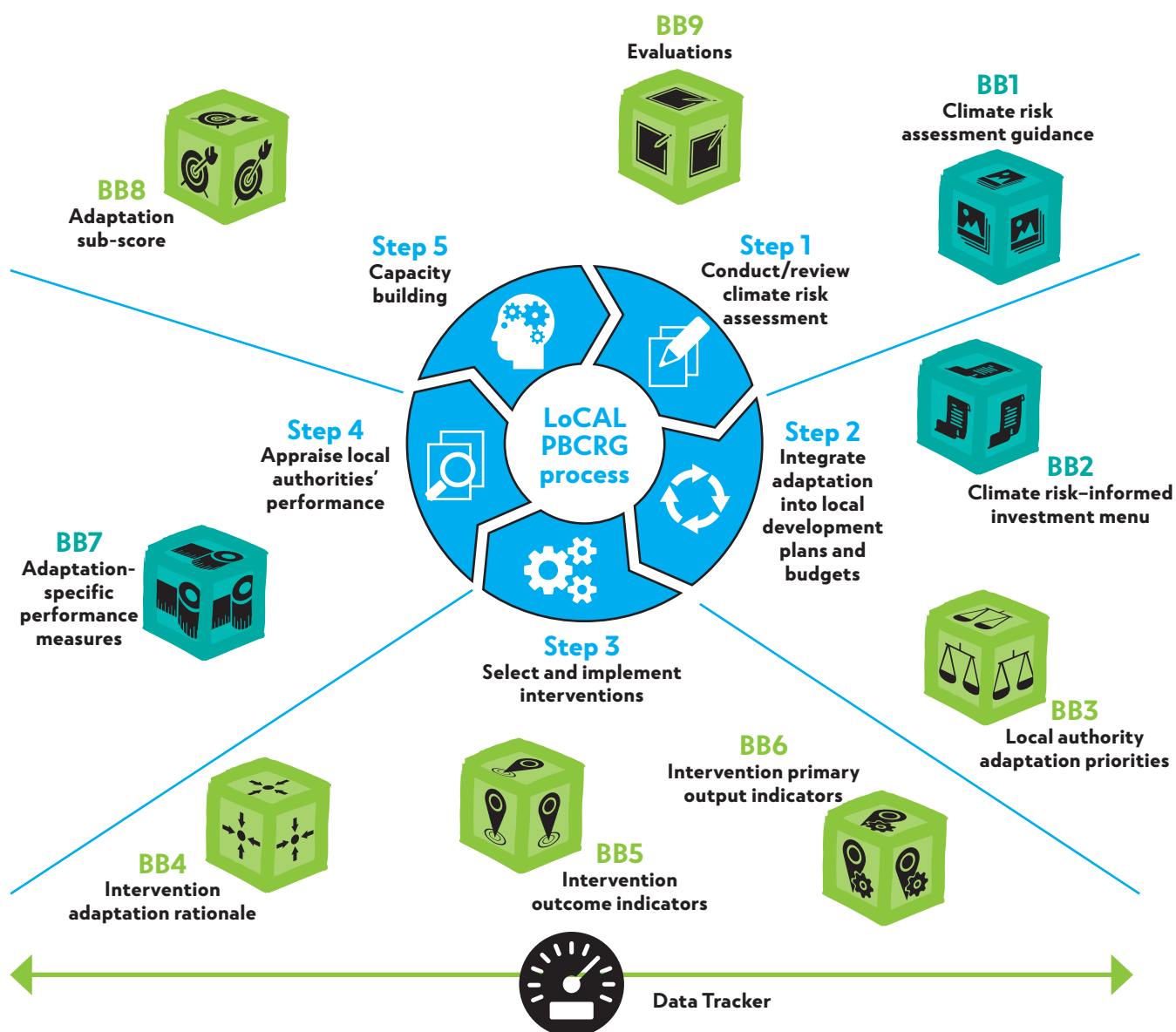
support the five steps of the PBCRG process. The turquoise (■) blocks relate to the design of LoCAL PBCRG systems, while the green (■) blocks relate to implementation of LoCAL initiatives. Each of these blocks is described in further detail beginning on [page 6](#).

This framework was developed over three years of discussions with LoCAL; it was designed to balance needs and perspectives expressed by the global team and country-level stakeholders. WRI especially thanks the teams from Bhutan, Cambodia and Lesotho, where the ACCAF was pilot tested. For more information on how the ACCAF was developed, see [Annex 1](#).

This manual is accompanied by a spreadsheet called the ACCAF Data Tracker, which has a tab for each block described in this document and the data required for it. The ACCAF Data Tracker will enable country programme staff to input all the information suggested in this framework in one place and submit it to LoCAL. Step-by-step instructions for using the ACCAF Data Tracker are in [Annex 7](#). The Data Tracker was designed for easy integration into LoCAL's database of interventions.

This ACCAF manual aims to strike a balance between specificity and flexibility, so that it can apply to diverse LoCAL country initiatives

Figure 1: How the ACCAF aligns with the LoCAL PBCRG process



Note: ■ = design; ■ = implementation.

while also supporting the LoCAL Facility in global portfolio management. In an effort to keep this guidance document succinct and readable some material has been included in the annexes. Readers are encouraged to refer to these annexes for additional or more detailed information.

The ACCAF structure reinforces and supports LoCAL's existing systems and contributions to

adaptation. Successfully applying it, however, depends on much more than simply written guidelines. Strong management support is needed, both among the global team and country programme staff. Building capacity and ownership at all levels is key.

setting the stage for success

Theory of change

Climate change adaptation (CCA) is challenging to measure, as it entails an assortment of thorny methodological issues. Best M&E practice for CCA is served by an approach that is multi-dimensional, contextual and strategy driven. One pathway is to articulate a comprehensible theory of change, supported by a logic model which clearly places CCA as an overarching priority.

The LoCAL theory of change does just this. Figure 2 presents the LoCAL overarching goal, outcomes and outputs at the base of its theory of change. The ACCAF supports LoCAL's aims by helping to demonstrate its effectiveness from a climate change perspective. At every step, the ACCAF relates LoCAL action to adaptation itself in a way which reflects international best practice in adaptation M&E. This in turn helps LoCAL demonstrate the effectiveness of the mechanism nationally, and positions LoCAL partners to secure international global climate finance.





As LoCAL develops results frameworks which are supported by the theory of change for each of its country programmes, these frameworks should align with the global results frameworks,

Theories of change and logic models

A **theory of change** shows the big, often messy, 'real-world' picture with all possible pathways that can lead to change and why they might lead to change. A **logic model** focuses on a specific pathway for the given programme and provides an orderly structure for how change can occur. Both are tools that describe how the programme will lead to results, but a theory of change may better suit the complexity of CCA (Bours, McGinn and Pringle, 2014). Above all, a theory of change is a **strategic planning process** – not simply a diagram.

and also integrate the key ACCAF elements. When the time comes to prepare or update country programme logical frameworks, LoCAL will ensure that the various ACCAF building blocks are fully integrated.

Figure 2: LoCAL impact, outcomes and outputs

IMPACT	Promote climate change–resilient communities and local economies by increasing investments in CCA at the local level in target countries, thereby contributing to the achievement of the Paris Agreement and the Sustainable Development Goals (SDGs), particularly the specific goals of poverty eradication (SDG1) and climate action (SDG13)		
OUTCOME	<ul style="list-style-type: none">● Increased local government access to (international) climate finance to implement CCA investments in target countries● Establishment of a standard and internationally recognized country-based mechanism to channel climate finance and increase local resilience through PBCRGs		
OUTPUTS			
	Awareness and capacities to respond to climate change adaptation at the local level are increased	Climate change adaptation is mainstreamed into government's planning and budgeting systems and investments are implemented in line with the PBCRG mechanism	
	The PBCRG system is effectively and sustainably established in participating countries and leads to an increased amount of climate change adaptation finance available to local government and local economy	The role of local authorities and of the PBCRGs in addressing climate change are increasingly recognized at international level, through outreach, learning and quality assurance	

Basic monitoring data

Propping up – and ensuring the achievement of – a programme's theory of change or logic model are **data and information**. But data are only powerful if they are collected correctly, managed efficiently and analysed in a way which effectively informs policy and practice. Too often, agencies collect lots of different information, but it is never collated or organized – much less harnessed to advance learning. It is no wonder, then, that some field workers consider M&E to be a drain on resources. Unfortunately, this can soon turn into a self-perpetuating cycle: when M&E is under-resourced, it becomes more of a burden, rather than less. However, easy-to-use templates and guidance, paired with smooth systems to facilitate information flows, can lead to more effective programming.

A common pitfall is a lack of trained local staff with a solid grasp of what they are doing and why, or knowledge of how to interpret or apply data to inform decision-making. For this reason, it will be critical for LoCAL country programme staff to be trained and to have the resources they need to work with local authorities and effectively collect, manage and analyse data.

To support data collection and management, an Excel worksheet has been created for the ACCAF, the Data Tracker. This summary spreadsheet captures and tracks key data on all LoCAL interventions to facilitate easy tracking and analysis. The spreadsheet can also be used by the LoCAL global team to collate information from various country programmes. [Annex 7](#) provides step-by-step instructions for filling out the Data Tracker.

Compiling and organizing basic data and information enable routine programme supervision, including M&E. To ensure that the ACCAF builds upon the existing reporting done by each country for LoCAL implementation and PBCRG processing, [Tab 1](#) on the Data Tracker captures basic data about each intervention undertaken by a local authority, enabling it to be tracked across the Data Tracker and ultimately directly linked to the LoCAL Project Database.

[Tab 2](#) of the Data Tracker captures an important aspect of an intervention's scope and intent: the numbers of its direct and indirect beneficiaries.¹ The beneficiary population for each PBCRG intervention needs to be categorized in terms of whether it is targeted or not; the intensity of support provided per person; and whether it is a direct or indirect beneficiary, or should be excluded from the count altogether. In case of uncertainty as to how to categorize a population, the local authority should contact LoCAL for guidance.

Targeted beneficiaries are people or households receiving direct support or benefits, can be counted individually, and are aware they are receiving support in some form. The **intensity of support** each beneficiary receives can be categorized as low, medium or high, as these examples illustrate:

■ **Examples of low-intensity support:** People falling within the administrative area of an institution such as a local authority who receive climate adaptation capacity-building support, or people within a catchment area of a river basin who benefit from a water resources management plan

■ **Examples of medium-intensity support:** People receiving information services such as climate-modelled early flood warning or

extreme weather forecast by text, or people within a catchment area with structural flood defences

■ **Examples of high-intensity support:** People benefiting from adaptive housing raised on plinths, project cash transfers, trainees (not demonstration) supported by agricultural extension services, or training of individuals in communities tasked to develop climate risk management plans

Direct beneficiaries are classified as both targeted and high intensity.

Indirect beneficiaries are classified as either targeted and medium intensity, or not targeted and medium intensity.

Those classified as not targeted and low intensity should not be counted at all.

Ideally, LoCAL collects detailed data about the individuals reached. This may not always be feasible, however. If only household-level data are available, the total number of beneficiaries is estimated based on typical household size in the target area. If local-level data are not available, regional or national-level data on household size can be used to estimate the total number of beneficiaries.

In some cases, there may be little direct interaction with a population – for example, when an intervention includes institutional strengthening in climate risk management or extreme weather forecasts broadcast on radios. In such cases, estimate the beneficiary population in the target area using whatever data source is recognized to be most accurate.

Refer to the Data Tracker guide [Tab 1: Intervention Identifier Codes](#) on page 39 in Annex 7 for more information on entering each intervention.

Refer to the Data Tracker guide [Tab 2: Direct & Indirect Beneficiaries](#) on page 40 in Annex 7 for information on entering beneficiaries for each intervention.

¹The methodology presented here is from Climate Change Compass (2018) modified to fit LoCAL.

steps and building blocks

This section details how the Assessing Climate Change Adaptation Framework matches up with the steps in the LoCAL performance-based grant process. The nine ACCAF building blocks support design and implementation of the five steps in the LoCAL PBCRG process – (1) conduct/review climate risk assessment; (2) integrate

adaptation into local development plans and budgets; (3) select and implement interventions; (4) appraise local authorities' performance; and (5) use performance results to inform next PBCRG allocation – and ensures alignment of LoCAL with adaptation M&E best practices.



Step 1: Conduct/review climate risk assessment

The first LoCAL step or process relates to the conduct or review of local **climate risk assessments** to inform adaptation planning

and mainstreaming by assessing on-the-ground needs and capacities.

BB1: Climate risk assessment guidance

A climate risk assessment makes clear the potential climate risks for a given area (Figure 3), answering questions such as the following:

- What are the climate hazards and impacts the area is currently facing and will face in the future?
- Who are the most vulnerable people and why?

- How are these people exposed to the hazards?

It is best if this assessment considers the community's strengths as well as its weaknesses. It may also be an opportunity to collect baseline data and information in each participating local area. Climate risk assessments are conducted regularly but not annually, and are used to inform local planning for several subsequent



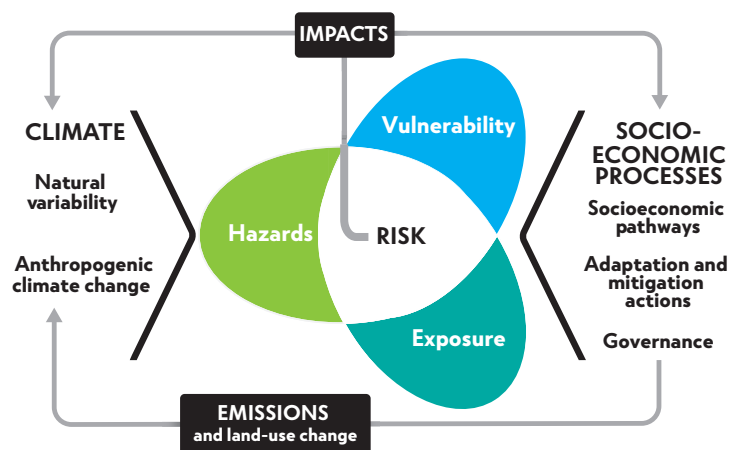
years. Different LoCAL country programmes can and should use different methodologies and approaches. It is best to use a toolkit that is tailored to the local context, if available. If not, there are a number of global manuals that may be helpful. Regardless of the methodology chosen, LoCAL does expect that it should enable users to do the following:

- Think through climate hazards that are based on scientific data and projections, while also being sensitive to local knowledge.
- Recognize non-climate drivers of climate vulnerability. Climate change does not affect everyone in the same way, even within a single village. Those who are already disadvantaged are likely to be affected the most. Social, political, economic and other factors are *non-climate drivers* of vulnerability to climate risk.
- Identify adaptive capacities (how local people can and do cope effectively) for climate risks.
- Understand the spatial dimension of risks and exposure to climate hazards – for example, through a mapping exercise.
- Collect baseline data and information so achievements can be fully documented.

The outcome of the assessment exercise should help to:

- Paint a clear picture of how climate change is affecting or will affect the area and the people in it.
- Understand who is most vulnerable, with special attention to women, the poor, or others who lead especially difficult lives.

Figure 3: Climate risks and impacts model



Source: IPCC, 2014.

Note: Risk of climate-related impacts results from the interaction of climate-related hazards (including hazardous events and trends) with the vulnerability and exposure of human and natural systems. Changes in both the climate system (left) and socioeconomic processes including adaptation and mitigation (right) are drivers of hazards, exposure and vulnerability.

- Recognize and build on the strengths and opportunities in the area and communities.
- Identify a short list of adaptation priorities (see [BB3](#)).
- Generate a list of possible adaptation interventions to finance with a LoCAL grant.

Refer to the Data Tracker guide [Tab 3: BBI Climate Risk Assessment](#) on page 40 in [Annex 7](#) for more information.

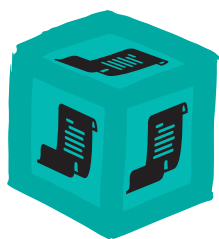
Further details on conducting and interpreting climate risk assessments are provided elsewhere (e.g. see Chapter 4 of LoCAL-UNCDF, 2018). Findings from the assessment are used to support subsequent ACCAF building blocks, as discussed below.



Step 2: Integrate adaptation into local development plans and budgets

LoCAL Step 2 is about **integrating adaptation** in local development planning and budgeting processes in a participatory and gender-sensitive manner; as well as costing and

selecting adaptation measures, and developing local adaptation programmes to be financed through PBCRGs within the limits of the investment menu.



An investment menu is 'the set of areas of interventions or measures within local authorities' remit that can promote climate resilience' and 'lists common types of activities eligible for financing and are used to both, inform the planning process and act as safeguard (LoCAL-UNCDF, 2018).

Maladaptation refers to actions which were intended to contribute to CCA, but instead 'may lead to increased risk of adverse climate-related outcomes, increased vulnerability to climate change, or diminished welfare, now or in the future' (IPCC, 2014).

BB2: Climate risk-informed investment menu

The investment menu is an indicative list of interventions that can be financed with LoCAL funds; it frames what can be funded by PBCRGs. Each country has its own investment menu because climate change poses different risks in different countries, and the roles and responsibilities of local authorities vary from country to country. Thus, the interventions or sectors which make the most sense for a given country also depend on how the local authority is structured relative to the central government.

LoCAL provides guidance which supports keeping the investment menu flexible, as well as helping to weed out interventions which do not have a clear CCA justification. The ACCAF suggests that those involved in designing or revising LoCAL investment menus consider the following questions and recommendations, as appropriate, to ensure that the investment menu is adequately adaptation focused:

- Do the interventions reflect findings from the climate risk assessment and/or other climate information (either documented observations or sound scientific projections) and/or any feasibility studies?
- Do the interventions align with the country's national adaptation plan and nationally determined contribution?

- Do the interventions address a specific climate change risk?
- Do the interventions reduce the community's vulnerability to climate change and/or improve its capacity to adapt? How so?
- Are the interventions distinct from development business as usual? If they are climate-proofing development investments, do they specifically advance adaptation priorities?
- Do the interventions directly benefit women or other especially vulnerable groups in the area?

Investment menus should exclude the following:

- **Development interventions** which – while valuable – do not really address any specific climate change risk or build adaptation to climate change specifically. For example, general poverty reduction and miscellaneous infrastructure maintenance should not be permitted unless there is a clear and coherent climate change justification.
- **Environment interventions** which do not demonstrably advance adaptation aims. This includes climate change mitigation, i.e. efforts which seek to reduce greenhouse gas emissions – although interventions which overlap the two are welcome, such as fuel-efficient cook stoves or local solar energy grids

Table 1: Sample investment menu

Sector	Sample interventions
Disaster risk reduction	<ul style="list-style-type: none"> ■ Early warning systems to monitor and communicate weather ■ Climate-proof or otherwise upgrade existing infrastructure (e.g. roads, bridges) to better withstand extreme weather ■ Install new infrastructure (e.g. new drainage systems for roads that are vulnerable to being flooded or washed away) to help the community withstand extreme weather ■ Mainstream climate change into local disaster management planning ■ Improve local systems and plans to manage water to better prepare for extreme or uncertain weather ■ Commission risk maps to support disaster management and land use plans ■ Educate local authority and people about climate change extreme events and what to do about them
Household water and sanitation	<ul style="list-style-type: none"> ■ Protect sources of drinking water in areas vulnerable to increasing drought ■ Extend sewer systems to under-served areas vulnerable to increased flooding
Farming and food security	<ul style="list-style-type: none"> ■ Climate-smart agriculture (e.g. test or promote more drought-resistant seeds or farming techniques) ■ Repair, improve or install irrigation canals, water gates, etc. ■ Install drainage systems to prevent farmlands from being flooded ■ Measures to control pest infestations linked to climate change (e.g. insects which thrive in wetter weather) ■ Promote raising more diverse kinds of foods (e.g. chickens or beans where fish is the main protein source) ■ Improve/install storage facilities for seeds, grains, crops, etc., so they are not spoiled by extreme weather ■ Activities and infrastructure to prevent soil erosion
Education	<ul style="list-style-type: none"> ■ Improve school buildings and facilities so they are better able to withstand extreme weather (e.g. drainage so school yards do not flood; storm proofing; installing facilities for year-round piped water and toilets) ■ Introduce a programme to keep disaster-affected kids in school. ■ Teach kids swimming, first aid, and other survival skills which can help in a disaster. ■ Mainstream education and schools into local disaster management planning.
Ecosystem based adaptation	<ul style="list-style-type: none"> ■ Plant trees to stabilize slopes or protect against heavy storms ■ Protect coastal mangrove forests (and therefore coastal communities) ■ Hatchling nurseries for baby fish where climate change is affecting freshwater fish supply ■ Community-based management of the natural resources on which people depend, and which are being harmed by climate change
Health	<ul style="list-style-type: none"> ■ Public health campaigns to better prevent or treat diseases linked to climate change (e.g. parasitic diseases such as dengue fever are more frequent in wetter conditions) ■ Train health workers and villagers in first aid and how to treat injuries which can be caused by disasters ■ Improve local disaster management plan to ensure that health workers and disaster volunteers are trained to manage health impacts of disaster ■ Health promotion to prevent and manage drought-related health problems (e.g. diarrhoea)
Energy security	<ul style="list-style-type: none"> ■ Distribute and promote fuel-efficient cook stoves ■ Install non-grid sources to supply local renewable energy ■ Protect or optimize local hydropower sources and systems
Transportation infrastructure	<ul style="list-style-type: none"> ■ Climate proof roads ■ Build or improve bridges ■ Install road drainage systems (e.g. culverts) ■ Stabilize hillsides to prevent rock slides and landslides

Note: List is illustrative and non-exhaustive, and categories are included simply to illustrate options. Some of the sectors are cross-cutting, so there is overlap. It is also possible for a single intervention to fit more than one category (e.g. disaster risk reduction and household water/sanitation).

Refer to the Data Tracker guide [Tab 4: BB2 Investment Menu](#) on page 41 in [Annex 7](#) for more information.

which serve both adaptation and mitigation purposes. Similarly, general environmental interventions should be excluded if there is no adaptation justification, such as solid waste management if not linked to increased risks of vector-borne diseases.

■ **Potentially maladaptive interventions.** For example, insurance policies can promote

maladaptation if they support ongoing risky behaviour such as rebuilding in dangerous locations, or if they promote replacement rather than redesign. For more information and examples, see UNEP (2019).

Table 1 presents an example of an investment menu; it draws from several existing LoCAL investment menus.



BB3: Local authority adaptation priorities

This building block builds on the climate risk assessment findings and, in conjunction with the investment menu, helps ensure that the interventions selected are linked with broader adaptation aims.

Using the findings from the climate risk assessment, the ACCAF suggests that each local authority articulates a few (three to five) local authority-level adaptation priority statements. These priorities may be updated whenever the climate risk assessment exercise is repeated (normally once every several years, but the exact time frame varies from country to country). The local authority adaptation priorities are themes or topics that reflect the most critical aspects of climate change for the local authority and the adaptation priorities that will address these concerns.

Establishing adaptation priorities will help local authorities distil climate risk assessment findings into a handful of manageable priorities which reflect its development context and needs. In addition to being used alongside the investment menus to ensure that the interventions selected for PBCRG funding reflect their key adaptation priorities, local authorities can integrate these priorities into their existing or future adaptation and/or development plans. This mainstreaming of climate priorities into broader plans and

processes will help ensure the success of individual PBCRG-funded interventions.

Once the local authority adaptation priorities are decided upon, they should be entered into the ACCAF Data Tracker. After they are listed there, each priority needs to be tagged to categories derived from the Green Climate Fund (GCF, 2018; see [Annex 2](#)). The Data Tracker also has columns with which these priorities can be linked to a country's national adaptation plan and nationally determined contribution. Tagging the local authority adaptation priorities to these global investment priorities enables LoCAL to organize and analyse information globally and link individual PBCRGs with larger-scale investment priorities. It also helps position LoCAL for partnership with the Green Climate Fund and other climate finance sources. The categories are as follows.

- **Livelihoods:** Increased resilience and enhanced livelihoods of the most vulnerable people, communities and regions
- **Health:** Increased resilience of health and well-being, and food and water security
- **Infrastructure:** Increased resilience of infrastructure and the built environment to climate change threats
- **Ecosystems:** Improved resilience of ecosystems and ecosystem services

- **Institutions:** Strengthened institutional and regulatory systems for climate-responsive planning and development
- **Information (knowledge):** Increased generation and use of climate information in decision-making
- **Tools:** Strengthened adaptive capacity and reduced exposure to climate risks
- **Information (awareness):** Strengthened awareness of climate threats and risk-reduction processes

After the local authority adaptation priorities have been decided upon and tagged, they are ready to be used. When it comes time to choose an intervention to finance via a LoCAL PBCRG, it needs to address one of these priorities. This can be ensured when an investment is checked against the investment menu. Local authority adaptation priorities may need to be updated periodically, especially if the climate risk assessment is updated.

Refer to the [Data Tracker guide](#)
[Tab 5: BB3 LALAPs](#)
[on page 42](#) in
[Annex 7](#) for more
information.

Step 3: Select and implement interventions

LoCAL Step 3 relates to the disbursement of the **grants** in the context of local authorities’

annual planning and budgeting cycles, and implementation of selected adaptation measures.

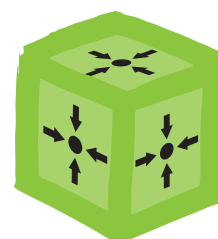
BB4: Intervention adaptation rationale

Once an intervention has been selected, the task is to articulate an adaptation rationale for it. Developing an adaptation rationale is a process, and the result is an adaptation outcome statement – a short, ideally measurable, statement of what is to be achieved by the adaptation intervention. The statement should justify the intervention from a climate change standpoint.

A brief adaptation rationale should be written for all the interventions LoCAL is financing with a PBCRG, including soft interventions at the local level (such as building the capacity of local authority representatives or community members about climate change). This rationale would not apply to components of the programme which do not specifically concern CCA (e.g. trainings to improve contracting, procurement or accounting processes).

Why is it necessary to develop an adaptation rationale for each intervention? While there is overlap between CCA and other sustainable development aims, they are not interchangeable, and CCA can easily become lost among other sustainable development priorities. As Spearman and McGray (2011: 11) assert, ‘Not all development is adaptation and not all adaptation leads to development’. If it can be clearly explained why the initiative or intervention addresses adaptation separately from development – or if it can be clearly identified what the adaptation ‘value added’ is from the grant – it is much easier to select suitable indicators and show how the intervention contributes to CCA.

Many LoCAL country programmes already craft climate change rationales (see Tuvalu example in box below). The following steps systematize this existing good practice for all LoCAL-funded



interventions and should be followed in creating an adaptation rationale.

1. Briefly describe the development context in the location.

This description can include information about poverty, gender, farming, livelihoods, environment, decentralization, local authority capacity, etc. It helps paint a picture of the overall context. Ideally, this paragraph should highlight who in the area is especially vulnerable. The reasons some people will be harmed by climate risks more than others are *drivers of climate vulnerability*. Examples of these drivers include gender and economic inequality. They may have nothing to do with climate change, but help explain why some people are affected or exposed more than others.

Example 1: *A remote community has very poor access to water. Women in the village spend a lot of time and effort carrying water to the home for household garden use. Limited access to water often means home gardens are not as*

productive as they could be, and households often do not have enough vegetables to eat.

Example 2: *The country's government is actively decentralizing; local authorities have increasing levels of responsibility and decision-making about priorities, investments and financial management.*

2. Enter a development statement of benefits. What will the intervention achieve in general, not specifically with regard to CCA?

There is usually significant overlap between adaptation and general development. That is what makes adaptation full of win-win opportunities. These are sometimes called co-benefits: when an intervention contributes to both adaptation aims and something else.

For this section, the local authority should enter a short, clear statement of how its intervention will contribute to *development in general*. This statement should not be about CCA at all. It could, however, include climate change mitigation or other environmental matters.

Example 1: *Local people want an intervention to pipe water to a village. This will greatly help the people in the village. Right now, villagers (especially women) spend a lot of time carrying water every day. If there is piped water, they can spend that time doing other things such as earning money. Everyone will be cleaner and healthier if there is piped water. The water will also benefit small gardens near the houses, so vegetables and other foods can be grown.*

Example 2: *Department of Local Governance officials have more responsibilities because of decentralization, but sometimes do not have the knowledge and skills to do them all. Providing training and skills-building opportunities will help the officials fulfil their responsibilities.*

Good Practice Example

In Tuvalu, the LoCAL programme prepares adaptation briefs for each of its interventions, following a similar logic and format. An example of such climate change justification (eligibility) text follows.

With the impacts of climate change today, rainfall is becoming increasingly erratic and unpredictable, as well as increasingly concentrated in extreme rainfall events. This causes more prolonged periods of drought and a need to increase and strengthen existing rooftop rainwater harvesting systems on public buildings to harvest larger quantities of rainwater in a much shorter period of time. The existing guttering systems are inadequate to capture and guide such large quantities of rainfall and are not strong enough to withstand the increased pressure from extreme weather events. It is estimated that with the present quality of the gutter systems on institutional buildings only about 50 per cent of rainwater is harvested, while the rest is wasted.

Full briefs are available from LoCAL.

3. Describe the adaptation context and explain how current or expected climatic changes will affect the area. Explain the climate change situation being faced.

The local authority should cite climate risk assessment findings and climate information, such as scientific data about weather or climate, local observations, risk maps, etc. to ground this response in the climate context as much as possible. Most of this information should be available from climate risk assessments as they are undertaken or rolled out.

Example 1: Climate data and projections show that the community's water source is in an area where rainfall is expected to become more and more uncertain and unpredictable. This is a major climate risk locally. Villagers already report that dry spells are more severe than ever before, and that they run out of water. Although the rainy season is very rainy, the reservoir is not deep enough to store sufficient water to last through droughts.

Example 2: Civil servants and elected local authority officials are aware that weather is becoming less predictable and have heard of climate change, but their knowledge is superficial, and they know little or nothing about adaptation per se.

4. Enter an adaptation statement of benefits for the intervention.

This should be a short, clear, concise explanation of how the intervention will contribute to CCA. The statement should clearly justify why the selected intervention is a priority from a climate change perspective and how it addresses climate risks. Ways to do this include using climate information – either local observations or scientific data/projections – and explain how this intervention reduces risks to climate change in the location.

Example 1: Older villagers confirm that the weather is already changing; for example, rain is more unpredictable. Climatologists predict that there will be less water in the future here [cite a study]. We already are struggling because there is not enough water in the dry season anymore. This intervention will protect and improve the source of our water through fencing and tree planting, and we will add one more reservoir to our pipe system so we can store more water to help us get through the dry season. We are more able to cope with less rain if we can better protect and store water.

Example 2: Our local authority officials (both elected and civil servants) do not know much about CCA. Training from LoCAL will help them understand what it is and how they can take action in local authority planning.

5. Classify the selected intervention using the Types of Adaptation Actions Worksheet.

Each LoCAL-funded intervention should be classified according to the worksheet in [Annex 3](#) as only one of the following categories: climate specific, climate smart, climate strategic or climate complementary. If the intervention also includes significant components on training, education or capacity building, or in promoting public awareness about climate change or CCA, it should additionally be counted as 'climate change capacity and awareness raising'. Once the category is chosen, the local authority should provide a very brief explanation of the categorization (a few sentences or bullet points). Questions and notes in the worksheet can help guide what should be included in this explanation.

Note that the worksheet is a tool to help stakeholders determine how CCA-focused LoCAL-funded interventions are, and to provide more nuance about the ways in which the LoCAL

Refer to the Data Tracker guide [Tab 6: BB4 Adaptation Rationale on page 42 in Annex 7](#) for more information.

An outcome refers to the primary results that lead to achievement of a goal, most commonly in terms of the knowledge, attitudes or practices of the target group (IFRC, 2011).



Outcome indicators are used to demonstrate that an objective of the intervention has been achieved – and, potentially, its wider impact (Spearman and McGray, 2011).

portfolio is working towards adaptation aims. It is not intended to guide decision-making or to rank interventions as ‘better’ or ‘worse’. However, it will enable the country programme and global team to see if interventions skew towards one or another category, and if there are gaps in certain categories.

6. Define an adaptation outcome for the intervention.

The local authority should identify and write an adaptation **outcome**. The adaptation outcome should be clearly distinct from any other non-CCA outcomes associated with the intervention. It should be expressed in a phrase

or sentence, two at the most. Once developed, the adaptation outcome statement should be recorded in the Data Tracker.

Example 1: *Water security for households in three villages improved by protecting water source and upgrading infrastructure.*

Example 2: *Participating local authorities effectively mainstream CCA into local planning.*

Based on these adaptation outcome statements, LoCAL authorities and partners will decide on specific adaptation outcome indicators relevant to the intervention (see [BB5](#)).

BB5: Intervention outcome indicators

Once stakeholders have agreed upon specific outcomes of a given intervention (following the guidance laid out in [BB4](#)), **outcome indicators** are chosen to measure the effectiveness of the intervention. Note that outcome indicators do not show what has been *done*; instead they show the extent to which the end goals of an intervention have been *achieved*.

Since adaptation is contextual, it is necessary to determine what is to be achieved with the intervention and identify indicators that fit with that. Although this takes more effort than choosing items from a list, there are many advantages to having custom-made indicators. Most importantly, they will more accurately and meaningfully reflect the specific intervention and properly measure its success. Indicators that do not fit an intervention or programme will be clumsy and will not measure achievements accurately. Because outcome indicators are different for each intervention, they will not be aggregated across LoCAL (see [Annex 4](#)).

Adaptation outcomes often have more than one aspect or dimension. This means that it may

be best to have several different indicators for an outcome. However, many indicators may be difficult to manage because it takes time and resources to collect data. The ideal number of indicators is enough to supply meaningful information, but not so many that M&E crowds out other priorities. Usually, two or three indicators are appropriate, and typically fewer than five per intervention. Importantly, these can include qualitative indicators. *Measurable* does not mean countable; in fact, it is more accurate to think in terms of *verifiable*.

Table 2 provides examples of outcome indicators. It is important to note that indicators which simply measure activities, such as ‘number of farmers trained to use drip-irrigation techniques’, are not outcome indicators, but output indicators (see [BB6](#)). Rather, indicators that measure changes in the ‘big picture’ are outcome indicators. ‘Improved agricultural productivity’ might be an outcome indicator associated with the output indicator of training farmers.

Table 2: Sample outcome indicators for interventions financed by a PBCRG

Adaptation outcome	Indicator
Improved and diversified livelihoods of households in target area	<ul style="list-style-type: none"> ■ Per cent increase in annual household income ■ Per cent increase in households earning more than 20% of annual income from non-farm sources ■ Per cent change in average monthly household income ■ Per cent of farming households raising non-staple crops ■ Per cent change in rate of adults out-migrating from target villages
Residents in targeted flood plain have improved capacity to prevent and cope with flooding	<ul style="list-style-type: none"> ■ Per cent reduction in damage/losses due to flooding in community (over 5 years) ■ Per cent decrease in diarrhoea among children under age 5 during rainy season ■ Per cent decrease in dengue fever in target area ■ Per cent decrease in crop loss due to flooding
Improved capacity of farmers to manage drought	<ul style="list-style-type: none"> ■ Per cent change in average annual household income ■ Per cent of households consuming fresh fruit/vegetables at least 3 times/week during dry season ■ Per cent of households with access to potable water source within 50 meters throughout dry season ■ Per cent change in number of litres/person of water usable daily during dry season ■ Per cent change in number of hectares of farmland with access to irrigated water year round

Note: Indicators are illustrative examples for consideration. They are not standardized, in that they might vary on a case-by-case basis and should be tailored to the specific context/intervention. The source of verification for all of these examples is comparison of baseline and endline data.

Ideally, baseline data are collected at the start and end of the intervention. The best-case scenario is where data are collected as part of routine monitoring. In some cases, this may not be feasible: for example, when a household survey is required. The implementing team should determine how to collect and monitor data, and clearly identify appropriate methodology and resources. Data sources and collection options and methodologies follow:

- Baseline and endline data to be compared to determine achievement of qualitative outcome indicator

- Baseline and endline data to be compared to determine achievement of quantitative outcome indicator

- Baseline (pre-intervention) data to be compared with follow-up (post-intervention) data (see [BB9](#)) for quantitative outcome indicator

- Retrospective assessment (e.g. most significant change methodology) conducted during country programme evaluation (see [BB9](#)) for qualitative outcome indicator

- Qualitative and/or quantitative data collected through normal project monitoring processes

[Refer to the Data Tracker guide Tab 7: BB5 Outcome Indicators on page 43 in Annex 7 for more information.](#)

BB6: Intervention primary output indicators

Output indicators measure changes that are directly related to the programme's own activities (e.g. meters of irrigation channel

rehabilitated, number of people trained). These indicators tend to be simple and straightforward, and to show what the intervention is actually



Output indicators measure the tangible products, goods and services and other immediate results that lead to the achievement of outcomes (IFRC, 2011)

doing. **Output indicators** should always be SMART (see [Annex 4](#)). [Annex 5](#) provides sample output indicators, organized by sector.

Every intervention is encouraged to have a *primary* output, and each primary output should be measured by one – or at the most, two – output indicators which confirm the main aim has been achieved. Primary output indicators are not comprehensive, and therefore do not measure everything that has been done across the intervention. Instead, primary output indicators serve a specific, narrower purpose: they capture *only* the intervention's chief activity, and do so in a way that can be aggregated across LoCAL's global portfolio. They are standardized and are intended to capture the main activities, such as what has been built and who has been trained. Using the same primary output indicators globally across LoCAL will help paint a picture of what LoCAL is accomplishing worldwide.

Refer to the Data Tracker guide
Tab 8: BB6 Primary Output Indicators
on page 44 in
Annex 7 for more information.

The ACCAF Data Tracker (see [Annex 7](#), Tab 8) includes a drop-down menu listing standardized primary outputs. Once the primary output for an intervention has been selected, options for type, actions and relevant indicator units will appear. For instance, if the primary output is

'road', the next column over displays either paved or unpaved, and the next column after that presents several actions from which to choose: new construction, maintenance or improvement. Once a given intervention has been categorized, specific indicators will appear – e.g. number of meters of road – and specific data for the given intervention can be entered into the Data Tracker.

The primary output indicators are meant to measure the *chief* activity of the PBCRG-funded intervention. For example, many (or most) interventions include a capacity-building component, but 'capacity building' is a primary output only if that is the central aim and purpose of the intervention.

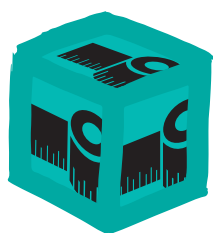
These standardized output indicators were developed in partnership with the pilot test countries during the pilot testing period. LoCAL will periodically review and update the list of standardized indicators to reflect new or different types of investments it is financing. Using this database will enable LoCAL to aggregate information about similar interventions across its global portfolio and have a clearer sense of how funding is flowing to build adaptive capacity and resilience.



Step 4: Appraise local authorities' performance

Step 4 entails **appraisal of performance** to determine how additional resources have been used to build resilience and promote adaptation,

and conduct audits as part of a regular national process. These performance results inform the next year's PBCRG allocations.



BB7: Adaptation-specific performance measures

PBCRG implementation includes an annual performance assessment (APA) of each local authority participating in the mechanism. These assessments review indicators called

performance measures. The ACCAF pertains only to *adaptation-specific performance measures*. The purpose of this building block is not to substitute or replace UNCDF or

LoCAL guidance about annual performance assessments, but rather to help ensure that adaptation perspectives are included are include sufficiently in intervention design. The adaptation-specific performance measures should follow whatever format and point system is in use as per the PBCRG system (design document) and related annual performance assessment manual.

Adaptation-specific performance measures should be clearly linked to adaptation. An example of an adaptation-specific performance measure would be 'Local climate risk assessments are undertaken or updated', which is linked with [Step 1 and BB1](#). Another example would be 'CCA investments/interventions are integrated/ mainstreamed into local development plans'; this relates to LoCAL Step 2 on integrating adaptation in local development plans and budgets, and is associated with [BB3](#) on local authority adaptation priorities.

LoCAL has embraced two cross-cutting themes: *gender* and *environmental sustainability*. These themes can also be included or reflected in adaptation-specific performance measures. However, it is critical that adaptation not be conflated with either *mitigation* or *general environmental protection* – both of which are important, but are not the same as adaptation.

After identifying the adaptation-specific performance measures in a given PBCRG system, they should be posted to the Data Tracker and tagged to a category and sub-category from the set developed by the LoCAL global team. (The functional categories for adaptation-specific performance measures are listed in Columns E and F of Tab 9 of the Data Tracker.) Tagging and clustering all local authority performance measures will enable LoCAL to see if there are any categories/ sub-categories without adaptation-specific performance measures. While not every category has to have one or more adaptation-specific performance measures, it is useful to confirm that this is by design and not by omission.

In this context, it is helpful to explain why LoCAL does not standardize performance measures. The reason is that LoCAL operates in diverse countries and contexts, and the strength of unstandardized performance measures is their flexibility and sensitivity to different situations. Also, in some countries with LoCAL programmes, there are national M&E systems – and indicators – with which these programmes must align. Therefore, country programmes must have *unique* performance measures, but they should be tagged to standardized categories.

Performance measures are the set of indicators against which local authorities are assessed on an annual basis. These are used to adjust the level of funds made available to local authorities the following year in accordance with their compliance with the minimum conditions (LoCAL-UNCDF, 2018).

Refer to the Data Tracker guide [Tab 9: BB7 Adaptation-Specific PMs on page 45](#) in Annex 7 for more information.



Step 5: Capacity building

LoCAL's Step 5 encompasses **capacity-building activities** to be undertaken when and as appropriate to identified needs, targeting the policy, institutional and individual levels – and strengthening local authorities' incentives for

continuous performance improvement and focusing on the most-needed adaptation interventions.

BB8: Adaptation sub-score

While PBCRG bonuses are awarded based on the total number of points across all sections of the annual performance assessment (and are not directly associated with the *number* of adaptation-specific performance measures) adaptation-specific performance measures should account for at least 50 per cent of the total score to ensure that there is adequate emphasis on adaptation in the specific LoCAL programme. If PBCRG design review shows that adaptation-specific performance measures make up much less than 50 per cent of the total

score, this should be addressed – for example, as the country moves across phases of the LoCAL programme.

Although it is not necessary, grouping all adaptation-specific performance measures together in one section of the annual performance assessment will make it easier to tally the total number of points for adaptation separately from the total score and report it in the ACCAF Data Tracker.

Refer to the Data Tracker guide
Tab 10: BB8
Adaptation
Sub-score on
page 46 in
Annex 7 for more
information.

Additional building block

BB9: Evaluations

Although monitoring and evaluation are usually lumped together as a single unit, they encompass quite distinct and specific activities.

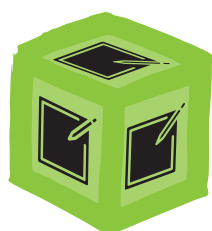
Monitoring represents the everyday gathering and reporting of critical information, together with a snapshot analysis of immediate and practical matters at hand. Much of monitoring consists of updates about key tangible information: money spent, meters of irrigation canal laid, number of wells dug. It confirms whether an intervention is (or is not) on track, its finances are (or are not) in order, etc. Monitoring is also an opportunity to flag issues or problems – whether internal or external – that may be affecting smooth implementation or highlight that changes in strategy, targets or personnel may be necessary.

An **evaluation** is an opportunity to step back from day-to-day nuts-and-bolts programme management and take a hard look at larger questions of strategy and effectiveness. When done well, evaluations present thoughtful

reflection and learning which can benefit others. An evaluation is a good vehicle for exploring how LoCAL is making an impact in its efforts to finance CCA at the local level.

There are different kinds of evaluations, each of which serves different purposes. The two most important distinctions are between *accountability-oriented* evaluations and *learning-oriented* ones. Pringle (2011) suggests two overarching questions to answer in deciding which type of evaluation to undertake:

■ **Are we doing things right?** Is implementation going smoothly, are targets being met, is money being managed appropriately, etc.? These questions demonstrate accountability – that the programme is doing what it is expected to do – and can, at least in part, be answered with results from monitoring. Annual performance assessments are an example of accountability-oriented evaluation.



Monitoring is 'the routine collection and analysis of information to track programs against set plans and check compliance to established standards' (IFRC, 2011: 11)

■ **Are we doing the right things?** Is this initiative really making a difference? Is the underlying strategy strong and sound? How is this intervention effectively addressing adaptation? What have we learned from this programme which can be useful to others? A learning-oriented evaluation tackles these bigger questions and generates useful evidence which is well beyond the scope of monitoring.

Under the rubric of BB9, country-level learning-oriented evaluations which specifically focus on adaptation could be conducted to determine whether and how LoCAL is effectively addressing adaptation through its PBCRG programming around the world. While the evaluations can and should be used to advance LoCAL's commitment to continuously improve its own programmes, they will also find an audience among senior and global policymakers, researchers and practitioners.

While country evaluations will complement both the regular monitoring described above and the annual performance assessments, they will not be part of the PBCRG incentive system and will not focus on accountability or activities. Instead, they should:

- Demonstrate how and why local authorities effectively address adaptation through PBCRGs
- Generate evidence and learning (including about missteps) that can be used by LoCAL and others to contribute to adaptation
- Identify opportunities for LoCAL to improve its strategy and programming
- Tell the LoCAL adaptation story to a global audience

BB5 explains how outcome and impact indicators need to be identified for each LoCAL PBCRG. In some cases, LoCAL country programmes can

Good Practice Example

Some LoCAL countries have already undertaken country-level evaluations. LoCAL-Cambodia commissioned a broader evaluation of its work – and hired LoCAL-Bhutan's national technical advisor to do the job. This facilitated learning and exchange between the two country programmes. The same has been done in Bangladesh, Ghana, Mali and Niger and has informed the preparation or transition to Phase II in these countries.

collect data about these indicators as part of their routine monitoring processes; however, in most cases, this will be too cumbersome and resource intensive. Collecting PBCRG outcome and impact indicator data should be included in the mandate and budget of the independent evaluation.

The adaptation evaluations will take place at the country programme level. Because the LoCAL country programmes are at different levels of maturity, expectations for these evaluations will vary. For example, a programme which has been operational for only a year in Phase I will not be in a position to generate the same kinds of evidence and learning as a programme in Phase III which has been operational for many years.

For each country programme evaluation, evaluators should provide an overall rating from 0–4 points (0 = not at all satisfactory; 1 = less than satisfactory; 2 = somewhat satisfactory; 3 = highly satisfactory; and 4 = outstanding) on how the programme is performing *from an adaptation perspective* along the following evaluation themes taken from the Organisation for Economic Co-operation and Development (OECD):

- Relevance to CCA
- Effectiveness
- Efficiency
- Sustainability
- Adaptation impact

An evaluation is an assessment, as systematic and objective as possible, of an ongoing or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors (IFRC, 2011).

Evaluators should also rate country programmes on Special Project Implementation Review Exercise (SPIRE) questions. Table 3 presents these questions adjusted to focus on CCA.

Evaluators should assign a score/rating according to their analysis of the total evidence – both qualitative and quantitative – available. These points will be entered into the Data Tracker. Evaluators will assign points based on their professional judgement, taking into account the maturity level of a given programme, as noted below.

Refer to the Data Tracker guide Tab 11: BB9 Evaluation on page 47 in Annex 7 for more information.

Phase I Country Programmes

These programmes need time to establish themselves. To set them up for success, and resources permitting, LoCAL should send an external expert on adaptation to the country to review the programme each year beginning in Year 2 and verify it is on track from an adaptation perspective. The expert can participate in the yearly annual performance assessment and look at other elements of the ACCAF. It is likely the expert will need to have meetings and conduct interviews as well.

The expert will confirm that the programme is following the ACCAF building blocks and otherwise verify LoCAL's adaptation focus. The review would emphasize quality and effectiveness. The expert should conduct a fairly 'light touch' but thoughtful, qualitative review and find opportunities to support the country programme in strengthening its focus on adaptation. This review would serve to ensure fidelity to adaptation aims and purposes and would be largely aimed at an internal audience.

Phase II Country Programmes

The Phase I annual reviews described above would continue during Phase II. In addition, once every three years (on a rolling basis globally and contingent on funding), LoCAL should conduct regular adaptation evaluations of its country programmes. Detailed evaluations would not be conducted on individual interventions; instead, the evaluations would look at the work of the country programme as a whole. Their focus could include contributions to CCA aims, country programme-level outcomes and linking these with the LoCAL global theory of change, building the capacity of local authorities on

Table 3: SPIRE questions for evaluation

<p>Question 1: To what extent is the programme relevant and well-designed to address adaptation?</p> <p>Question 2: To what extent has the programme contributed to increased capacities and improved systems to address CCA at the local and national government levels?</p> <p>Question 3: To what extent has the programme contributed to improved CCA planning of local development?</p> <p>Question 4: To what extent have LoCAL-funded investments contributed to enhancing opportunities for CCA?</p> <p>Question 5: To what extent are programme results likely to be sustainable in the longer term?</p> <p>Question 6: How effective has programme management been at the national and local levels?</p> <p>Question 7: To what extent did piloted approaches lead to up-scaling and replication as well as to policy developments in the CCA arena?</p> <p>Question 8: To what extent did the programme enhance the partnership with the government and other donors at the national and regional levels?</p>	<p>4 points = to a great extent</p> <p>3 points = to a satisfactory extent</p> <p>2 points = somewhat</p> <p>1 point = very little</p> <p>0 points = not at all</p>
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climate change, mainstreaming climate change into local authority planning, and integrating subnational government climate change policies and programming into the national level.

The external evaluators – who must have expertise in adaptation – would prepare an internal evaluation report and a short briefing paper (or other knowledge product) to present key learnings which could be publicly shared. Commissioning these adaptation evaluations would better prepare countries to enter Phase III and secure climate finance because they will confirm countries' track records and credibility in contributing to CCA. Donors routinely conduct these sorts of evaluations, so doing them in the early stages of implementation of the PBCRG system/LoCAL will prepare countries to perform well on them.

Phase III Country Programmes

As country programmes enter Phase III, they should be encouraged to additionally conduct at least one targeted, specialized evaluation once every three years to address specific learning questions. These might include in-depth explorations of specific sectors or ecosystems, and/or cost-benefit studies. These studies would not seek to assess performance of broad country programmes or of specific interventions, but instead explore how local authorities can most effectively contribute to CCA based on experiences within LoCAL. These evaluations are expected to be especially appealing to a broader international audience and climate finance donors, insofar as they would identify and disseminate broader lessons learned and models of effective adaptation interventions. As another example of good practice within LoCAL, the Cambodia programme is including targeted studies on these themes within its Green Climate Fund proposal.

A potential schedule for the roll-out of adaptation reviews and evaluations for LoCAL could be:

Year N

- Phase I countries that have been disbursing PBCRGs prior to 1 January of N-2
- 33 per cent of Phase II Interventions, beginning with those that have been in Phase II for the longest time
- Phase III countries

From N+1 onwards (or the year following the first year of evaluations)

- All Phase I countries
- 33 per cent every year, adding new countries to the rotation as they enter Phase II
- 33 per cent every year, adding new countries to the rotation as they enter Phase III

Because these reviews and evaluations are intended to strengthen LoCAL from an adaptation perspective, it is essential that the evaluators and experts who conduct the reviews and evaluations be well-versed in CCA itself. The co-benefits between adaptation and development open the door for many opportunities – but not without risk of losing adaptation priorities in the process. Experts in the environment or engineering, e.g., may not be well-equipped to advance LoCAL from an adaptation perspective per se. This in turn could lead to lost opportunities in advancing the global evidence base on CCA.

[Annex 6](#) includes sample scopes of work for Phase I and II country programmes. These can be amended or modified as needed. There is no sample scope of work for Phase III country programmes, as there is so much more diversity in the directions in which these might go.

Monitoring data

Updates on the various ACCAF building blocks should be submitted to the global LoCAL M&E focal person according to the following schedule:

- **BB1:** Climate risk assessment methodological guidance – design phase (and when/if design documents are updated)
- **BB2:** Climate risk-informed investment menu – design phase (and when/if design documents are updated)
- **BB3:** Local government adaptation priority statements – whenever the climate risk assessment is updated, the local authority adaptation priorities should be reviewed and updated, if required
- **BB4:** Intervention adaptation rationale – annually for each intervention
- **BB5:** Intervention outcome indicators – annually for each intervention
- **BB6:** Intervention primary tangible output indicators – annually for each intervention
- **BB7:** Adaptation-specific performance measures – design phase (and when/if design documents are updated)
- **BB8:** Adaptation sub-score under the annual performance assessment – annually, as part of the annual performance assessment
- **BB9:** Periodic adaptation-specific country-level reviews or evaluations:
 - Phase I countries: Every year (from Year 2 of implementation)
 - Phase II countries: Every third year
 - Phase III countries: Every third year

conclusion

Climate change is global, but adaptation is fundamentally local and contextual, and priority interventions will vary greatly from place to place. While this is broadly recognized, too often climate finance is not directed towards the local level, and local authorities – who are best positioned to identify and act to address climate risks – lack the training and resources to fully address climate change adaptation on their own. UNCDF created the LoCAL mechanism to fill this gap. To ensure that its M&E systems were fine-tuned to the specificities of adaptation, LoCAL commissioned the World Resources Institute to craft a framework which reflects international best practice in M&E for CCA. This is a notoriously tricky: adaptation is an exceptionally diverse body of practice, and there is no straightforward metric to precisely measure achievement. Moreover, UNCDF is a global pioneer in performance-based grant mechanisms, and it was essential to embrace this very different body of best M&E practice.















This guide presents the ACCAF for global use by LoCAL. It focuses on the adaptation aspects of the LoCAL mechanism, and feeds into LoCAL's general M&E systems. It is intended to be used by both the LoCAL global team and its country programmes. The ACCAF particularly aims to:

- Enable UNCDF and others to better document, interpret and disseminate the adaptation gains made by the LoCAL programme
- Contribute to the global evidence base on adaptation programming and success
- Better position LoCAL to secure international climate finance

This guide presents a series of building blocks aligned with key steps in LoCAL's PBCRG process to enable LoCAL to define, measure, monitor and evaluate its work from an adaptation perspective – i.e. one that focuses on adaptation itself in a way that complements but is distinct from sustainable development or public administration in general. The LoCAL steps, complementary ACCAF building blocks and the purpose of each block are listed in Table 4.

The ACCAF builds on LoCAL's existing grant processing cycle and M&E systems, infusing them with standardized processes to identify and articulate adaptation interventions, measure and document its achievements, and facilitate good practice globally. Ultimately, the ACCAF will help LoCAL do its good work even better, and help it demonstrate the effectiveness of its model worldwide.

Table 4: Linkages between LoCAL steps and ACCAF building blocks

LoCAL PBCRG step		ACCAF building block		Purpose of the BB
	1: Conduct/ review climate risk assessment		BB1: Climate risk assessment guidance	Even though LoCAL does and should use different manuals/methods in different places, guidance ensures that they all cover the same essential common ground
	2: Integrate adaptation into local development plans and budgets		BB2: Climate risk-informed investment menu	Ensure the investment menus are fully climate-informed
			BB3: Local authority adaptation priorities	Articulate local adaptation priorities to anchor project selection
	3: Select and implement interventions		BB4: Intervention adaptation rationale	Although there is overlap between adaptation and development, they are not interchangeable. A climate rationale explains how an intervention specifically addresses climate change in a way which complements but is not conflated with development
			BB5: Intervention outcome indicators	Enable measurement of each intervention's contribution to adaptation
			BB6: Intervention primary output indicators	Describe the reach of LoCAL's portfolio with fully standardized, aggregable indicators
	4: Appraise local authorities' performance		BB7: Adaptation-specific performance measures	Preserve best practice in PBCRG and M&E while identifying which performance measures are adaptation-related
	5: Capacity building		BB8: Adaptation sub-score	Preserve best practice in PBCRG and M&E while calculating a sub-score specific to adaptation
LoCAL data collection and monitoring system			BB9: Evaluation	Organize information and data systematically Evaluate country programmes from an adaptation perspective to advance organizational learning and contribute to global evidence base on adaptation best practice

annexes

- 1 ACCAF development methodology
- 2 Green Climate Fund impact areas
- 3 Types of adaptation actions worksheet
- 4 Guidance on developing good indicators
- 5 Sample output indicators by sector
- 6 Sample scopes of work for evaluations
- 7 Data Tracker guide

Annex 1: ACCAF development methodology

The Assessing Climate Change Adaptation Framework was designed by the World Resources Institute team in an iterative fashion, progressing through a series of systematic, consultative steps. The manual is organized by building blocks, each one supporting steps in the LoCAL performance-based grant process. The WRI team prepared a set of three options for each building block. Once UNCDF LoCAL chose their preferred options, WRI laid out the various elements and made adjustments to ensure they worked as a cohesive framework. WRI then created a proposal for each building block which was vetted, discussed and ultimately approved by UNCDF LoCAL staff. Each building block is also represented in the Data Tracker, an Excel spreadsheet. The team then proceeded to prepare a full draft of the ACCAF manual, which was reviewed by UNCDF management before being pilot tested.

Three countries were selected for pilot testing, which was conducted between May 2018 and April 2019. The three countries – Bhutan, Cambodia and Lesotho – were chosen by LoCAL to reflect differing levels of programme maturity and geographic diversity. The WRI team travelled to each pilot test country in May and June 2018 to present a three-day training on the ACCAF. The training included technical material (e.g. an overview of methodological challenges surrounding adaptation monitoring and evaluation); a review of existing LoCAL approaches to design, monitor and evaluate the adaptation interventions funded by the performance-based grants; and the draft ACCAF manual and Data Tracker.

Following the training, the WRI team worked closely with a LoCAL staff point person from each of the three countries to familiarize them

with the manual and fill in the Data Tracker. The purpose was twofold: (i) to use the guidance and Data Tracker with real examples to see if they were appropriate and determine any needed modifications, and (ii) to build the familiarity and capacity of in-country representatives who will be responsible for implementing and deploying the ACCAF in the coming years. The WRI team systematically documented insights from their interactions with counterparts, together with counterparts' own suggestions and requests. Following conclusion of the pilot testing, the WRI team revised the ACCAF manual and Data Tracker.

Foundational research and consultations

Prior to designing the ACCAF itself, the WRI team prepared a series of foundational deliverables, which were vetted by LoCAL staff and stakeholders, to establish the baseline, scope and agenda for the framework:

- **Performance Assessment for CCA: Current Status and Ways Forward for UNCDF's LoCAL Programme.** The WRI team prepared an overview of methodological challenges in M&E for adaptation, international good practice in M&E for adaptation, and the status of LoCAL's performance assessment system – specifically in regard to how effectively its contributions to adaptation are captured by its long-standing performance-based grant assessment mechanisms. The paper included preliminary recommendations and outlined next steps for the UNCDF-WRI partnership.
- **Design questions memo.** This deliverable presented key questions to LoCAL's

leadership about their priorities going forward, and highlighted options on how to navigate trade-offs around key choices.

■ **Feedback on LoCAL minimum conditions and performance assessment criteria.** The WRI team reviewed the minimum conditions and performance assessment criteria from eight LoCAL countries to assess whether and how adaptation perspectives were included.

■ **Evaluation of CCA: A Framework for UNCDF LoCAL.** This major deliverable presented findings from an in-depth exploration of current practice, needs and priorities for LoCAL's M&E system, based largely on an in-depth desk review, field missions to three country programmes and consultations with LoCAL staff. This document outlined what would ultimately become the ACCAF building blocks and options for achieving each one. It was circulated widely across LoCAL and presented in a global webinar. The authors compiled and consolidated written and verbal feedback on the paper and presented a recommended way forward to LoCAL senior management. When this proposal was approved, the WRI team proceeded with designing the ACCAF.

Methodological limitations

As described above, the ACCAF was developed in an iterative, participatory fashion that relied heavily on an in-depth case study approach paired with intensive consultation and team expertise on adaptation M&E. A survey or other quantitative investigation was deemed impractical for several reasons, including the global reach of stakeholders, the multiple languages spoken, and the unlikelihood of sustaining engagement remotely on a series of technical deliverables with national staff – the primary audience for the ACCAF manual.

Despite its good fit for the process, the qualitative case study approach had inherent limitations, including inconsistent and/or delayed feedback, input that was sometimes dominated by a few voices, and a frame of reference reflecting the case study countries and/or LoCAL past experience. Additionally, the selection of the case studies was challenging. An intended balance across several factors was compromised by delays in starting up the Lesotho programme, which meant that it was not yet fully operational during the pilot test period.

Annex 2: Green Climate Fund impact areas

The Green Climate Fund Adaptation Logic Model underpinning its results management framework includes the following Fund-level impacts (GCF 2018).

Increasing climate-resilient sustainable development for:

1. Enhanced livelihoods of the most vulnerable people, communities, and regions
2. Increased health and well-being, and food and water security
3. Resilient infrastructure and built environment to climate change threats
4. Resilient ecosystems

As well as project/programme outcomes:

5. Strengthened institutional and regulatory systems for climate-responsive planning and development
6. Increased generation and use of climate information in decision-making
7. Strengthened adaptive capacity and reduced exposure to climate risks
8. Strengthened awareness of climate threats and risk-reduction processes

These impacts have been used to categorize the local authority adaptation priorities to help make the connection between LoCAL investments and broader global adaptation aims.

Annex 3: Types of adaptation actions worksheet

With the exception of 'climate complementary', none of these categories is necessarily better than the others. LoCAL funding is intended to contribute to adaptation itself. While the occasional 'complementary intervention

may be appropriate – especially in start-up countries – if there are more than that, it is likely that there is opportunity to improve the climate risk assessment, investment menu and/or intervention selection processes and criteria.

Category	Definition	Examples	Questions to ask	Notes
Climate specific	Interventions that focus specifically and almost exclusively on addressing impacts of climate change and would be largely irrelevant or unnecessary without climate change	<ul style="list-style-type: none"> ■ Protect coasts against rising sea levels ■ Drainage system for mountain lakes which might overflow their banks because of glacier melts 	<ul style="list-style-type: none"> ■ Has this intervention been chosen primarily because of specific negative impacts of climate change? <p>AND</p> <ul style="list-style-type: none"> ■ Would this intervention be useful only if faced with this negative impact of climate change? 	Only a few LoCAL interventions will likely fall into this category, as these tend to be large scale and rare
Climate smart	Climate-smart approaches that pursue development goals, but whose actions need to be modified, changed or adjusted to account for climate change – e.g. 'climate proofing'	<ul style="list-style-type: none"> ■ Promote crops which are flood-resistant ■ Introduce drip agriculture ■ Change infrastructure or land-use plans to better account for climate change – e.g. re-route future roads away from areas vulnerable to floods 	<ul style="list-style-type: none"> ■ Is this intervention one which would be necessary in any case, but is being done differently to adapt to climate change? ■ Is infrastructure (or other development) being added on or upgraded so that it is more sustainable despite climate change? 	<ul style="list-style-type: none"> ■ LoCAL funds are often used to top up other local authority investments ■ Top-up funds very often serve to climate-proof an infrastructure intervention which is already in the pipeline; this is highly cost-effective ■ 'Modern' or 'new' is not always climate smart; e.g. new rice varieties often promise higher total yields, but traditional ones may be harder

Category	Definition	Examples	Questions to ask	Notes
Climate strategic	Actions or interventions which are not particularly distinct from development business as usual, but which may be of greater priority because of climate change	<ul style="list-style-type: none"> Public health campaigns to prevent or treat diseases linked to wetter weather, such as dengue fever or foot rot. Medical treatment and behaviour change campaigns would not be any different because of climate change, but climate change might make them a greater public health priority. Microfinance programme to support start-up of new, small, non-traditional businesses in the community, which will diversify livelihoods. 	<ul style="list-style-type: none"> Does the intervention differ from business as usual in the community? Does climate change make this intervention a higher priority than it would otherwise be? 	
CCA capacity and awareness building	Efforts to educate, train and/or promote behaviour change with regard to climate change	<ul style="list-style-type: none"> Train ministry officials to use scientific data about weather and climate change and apply it to government planning processes Introduce CCA themes, concepts and solutions into vocational training in agriculture 	<ul style="list-style-type: none"> Does this intervention focus on, or include elements of, increasing awareness of and/or capacity to adapt to climate change? Does this intervention focus on behaviour change for the beneficiaries? 	Capacity and awareness building is a cross-cutting theme which can be selected alongside another category. This is the only category on this worksheet that can be chosen together with another one.
Climate complementary	Actions or interventions which are not specific to climate change, but loosely relate to underlying drivers of climate vulnerability	<ul style="list-style-type: none"> Poverty reduction, broadly Building or maintaining general infrastructure interventions (e.g. repairing leaky roofs in municipal buildings, or fencing pasture lands) School lunch programme (which may contribute to school retention and food security but does not really target CCA) 	Is this a general development intervention or need which might be affected by weather conditions but does not meaningfully target adaptation per se?	Climate-complementary interventions might be of a lower rank/priority than other interventions from an adaptation perspective

Annex 4: Guidance on developing good indicators

Indicators are benchmarks to gauge an intervention's progress and demonstrate its achievements. They measure progress (or the lack of it) and provide essential information to managers and other stakeholders about how well a programme is performing, and what it is achieving. Indicators also tie the elements of an intervention together, identifying potential 'weak links' which need attention. In these ways, they show whether an intervention is on track.

Choosing the right indicators is critical: the indicators need to send and receive the right information and signals. A poor selection of indicators often cascades into a series of problems for managers, including misattribution of failure or success, confusion among stakeholders, and resources wasted in collecting information which is inadequate or difficult to interpret. Although indicators are not substitutes for seasoned analysis, they are the skeleton upon which such analysis is framed.

Many interventions which contribute to achieving adaptation aims – including the kinds LoCAL usually funds (e.g., agriculture, water/sanitation, infrastructure) – have one or more standard indicators which are straightforward and easily measured. Examples of these standard indicators include crop yield per hectare, litres of potable water or meters of paved road.

But how do we measure adaptation itself? Unfortunately, it is very difficult to measure CCA. There is no obvious indicator that works well for every intervention, because adaptation is complex and contextual. Good practice in CCA M&E is to identify a *suite* of indicators

which effectively frames and measures achievements.

There are different ways to ensure that the indicators chosen are appropriate, that the information they require can be gathered and that they will help understand the progress being made. One way to do all this is to ensure each indicator selected is SMART¹:

- **Specific:** it needs to be able to be translated into operational terms and outline who is doing what, where and how
- **Measurable:** it needs to have the capacity to be observed, counted, analysed and tested
- **Achievable:** it needs to be able to assess the degree to which the target has been met, and should be achievable both in terms of the intervention and the reality of the situation
- **Relevant:** it needs to be a valid measure of the result, as determined by research and professional experience
- **Time-bound:** it needs to be attached to a time frame and state when it will be measured

In this context, it is helpful to consider standards for indicators developed by another United Nations programme (UNAIDS, 2010):

- **Standard 1:** The indicator is needed and useful.

¹ Many organizations have definitions for SMART indicators. These are drawn from Save the Children (<https://sites.google.com/site/savethechildrendme/Home/smart-indicators>).

- Q1: Is there evidence that this indicator is needed at the appropriate level?
- Q2: Which stakeholders need and would use the information collected by this indicator?
- Q3: How would information from this indicator be used?
- Q4: What effect would this information have on planning and decision-making?
- Q5: Is this information available from other indicators and/or other sources?
- Q6: Is this indicator harmonized with other indicators?

■ **Standard 2:** The indicator has technical merit.

- Q1: Does the indicator have substantive merit?
- Q2: Is the indicator reliable and valid?
- Q3: Has the indicator been peer reviewed?

■ **Standard 3:** The indicator is fully defined. Required information includes:

- Title and definition
- Purpose and rationale
- Method of measurement
- Data collection methodology
- Data collection frequency
- Data disaggregation
- Guidelines to interpret and use data
- Strengths and weaknesses
- Challenges
- Relevant sources of additional information

■ **Standard 4:** Is it feasible to measure the indicator?

- Q1: How well are the systems, tools and mechanisms that are required to collect, interpret and use data for this indicator functioning?
- Q2: How would this indicator be integrated into a national monitoring and evaluation framework and system?
- Q3: To what extent are the financial and human resources needed to measure this indicator available?
- Q4: What evidence exists that measuring this indicator is worth the cost?

■ **Standard 5:** The indicator has been field tested or used operationally.

- Q1: To what extent has the indicator been field tested or used operationally?
- Q2: Is this indicator part of a system to review its performance in ongoing use?

■ **Standard 6:** The indicator set is coherent and well balanced.

- Q1: Does the indicator set give an overall picture of the adequacy or otherwise of the response being measured?
- Q2: Does the indicator set have an appropriate balance of indicators across the elements of the response?
- Q3: Does the indicator set cover different monitoring and evaluation levels appropriately?
- Q4: Does the set contain an appropriate number of indicators?

Annex 5: Sample output indicators by sector

Sector	Output indicator
Agriculture	Number of farmers trained in drought/flood/etc. techniques
	Hectares planted with drought-/flood-resistant seeds
	Number of households raising vegetables with drip irrigation technique
	Number of households raising [crop promoted with LoCAL funding] in their home gardens
	Meters of irrigation channel rehabilitated
	Number of water gates installed
	Hectares in target area which are irrigated
	Number of people trained to raise XYZ animals
	Number of households raising poultry/pigs/goats/etc.
	Number of animals vaccinated
Construction	Meters of road climate proofed
	Number of sturdy bridges installed
	Meters of drainage pipe installed
	Number of culverts installed
Disaster prevention and preparedness	Number of people in target area reached by weather forecasts
	Number of villages with operational disaster management committee
	Number of village health workers trained in emergency first aid
	Number of houses with sturdy roofing
	Number of animals with access to weather-proof stable
Education	Number of schoolteachers trained to deliver climate change lessons
	Number of school buildings improved to be more weather proof
	Retention rate of disaster-affected schoolchildren
Energy	Number of households connected to electrical grid
	Number of households with solar panel installed
	Number of households using green cook stoves
	Number of households which use firewood as primary cooking fuel
Fishing	Number of fish farming tanks constructed
	Number of fishers using sustainable fishing techniques
	Number of households raising shellfish
	Number and type of marine fish caught

Sector	Output indicator
Forestry	Number of mangroves planted
	Number of households participating in non-timber forest product programme
	Number of households protected by wind-breaker trees
	Number of households which consume wild fruits
Government and civil society	Per cent of women participating in LoCAL project committee
	Number of elected community representatives trained in CCA
	Number of consultations between government and civil society organizations regarding climate change
Health	Number of people reached by dengue/malaria prevention behaviour change communication messages
	Number of health workers trained in emergency first aid
	Per cent of boys/girls who can swim
	Number of households consuming fresh fruit/vegetables daily
Industry	Number of households keeping bees
	Number of rice mills operational in target area
Reconstruction, relief and rehabilitation	Number of typhoon-affected households with roofs repaired/replaced
	Number of disaster-affected people participating in cash-for-work activities
	Number of children receiving free school lunches
	Hectares of rice terrace rehabilitated
Tourism	Number of international tourists who visit target areas
	Number and amount of income from tourist-related industries
Transportation and storage	Number of granaries installed
	Number of households with root cellar to store produce
	Number of warehouses climate proofed
	Number of market posts reached by agricultural transport/trucking company
Water and sanitation	Per cent of population with access to safe drinking water from site within 25 meters of house during dry season
	Number of wells/pumps installed in target area
	Number of water sources protected
	Underground water storage tanks installed holding number of litres
	Number of people reached by hygiene promotion messages
	Number of boreholes dug
	Number of community ponds meeting XYZ standards built in target area

Annex 6: Sample scopes of work for evaluations

Phase I evaluations

Background on LoCAL

The Local Climate Adaptive Living Facility (LoCAL) of the United Nations Capital Development Fund serves as a mechanism to integrate climate change adaptation into local authorities' planning and budgeting systems, increase awareness of and response to climate change at the local level, and increase the amount of finance available to local authorities for climate change adaptation.

Local authorities of least developed countries (LDCs) are uniquely positioned to identify the climate change adaptation (CCA) responses that best meet local needs. Further, they typically have the mandate to undertake the small- to medium-sized adaptation investments needed to build climate resilience. Yet they frequently lack the resources to do so, especially in a way that is aligned with established decision-making processes and public planning and budgeting cycles.

LoCAL combines performance-based climate resilience grants (PBCRGs), which ensure programming and verification of climate change expenditures at the local level, with technical and capacity-building support. It is designed to re-enforce existing national and subnational financial and fiscal delivery systems, and it uses the demonstration effect to trigger further flows for local adaptation – including national fiscal transfers and global climate finance for local authorities – through their central governments.

LoCAL aims to promote climate change-resilient communities and economies by

increasing financing for and investment in CCA at the local level in LDCs.

Background on country and its CCA context

Brief description of country, touching on governance, development and environmental contexts

Summary of local governance/decentralization context

Summary of anticipated climate changes and adaptation context

Objective of the assignment

The purpose of the consultancy¹ is to conduct a review of the LoCAL country programme's contributions towards adaptation aims. The individual or team shall analyse whether or not the programme has achieved, or is on track to achieve, its set of adaptation aims, and the processes to achieve those aims. The consultant(s) should provide concrete input on how to improve these processes and achieve these aims.

¹ This sample scope of work assumes an external international consultant will conduct the review. However, this is not required. In fact, a qualified local consultant may be more effective, because he or she will know the local language and context. The review might also be conducted by someone affiliated with LoCAL's regional or international offices – in which case it should be reframed as a mission terms of reference, rather than a separately contracted consultancy. The key point is that the review be conducted by someone outside the country programme.

Scope of work

The aim of the consultancy is to ensure that the interventions and local authority partners funded by LoCAL are on track to achieve adaptation aims and to ensure that specified processes which are in place to do so are being followed in a quality way.

Activities include:

- Review relevant programme documents from the country programme level, as well as individual interventions which are funded by LoCAL
- Conduct interviews and/or focal group discussions with key stakeholders from the local intervention, the national country programme and the global team
- Review relevant external literature, as appropriate

Deliverables include:

- A report (for an internal LoCAL audience) which:
 - Confirms whether and how the funded interventions are following the processes and steps outlined in LoCAL's Assessing Climate Change Adaptation Framework (ACCAF) in a quality and adaptation-focused way; these include:
 - Climate risk assessment
 - Investment menu
 - Local government-level adaptation priority statements
 - Intervention-level adaptation rationales
 - Adaptation outcomes
 - Primary outputs and adaptation output indicators

- Appropriate application of adaptation within annual performance assessments
- Training/capacity building in CCA
- Explores how successfully the country programme and its funded PBCRGs are contributing to CCA
- Makes concrete, 'action-able' recommendations for how to strengthen the programme's contributions to CCA

- A briefing paper (≈7 pages) suitable for and of interest to a global audience which identifies one or more topics, good practice examples and/or lessons learned from LoCAL's experience in that country

Required profile of the consultant

The consultant(s) should have at least 10 years of relevant professional experience, including specialist knowledge in CCA, and demonstrate significant experience in monitoring and evaluation in development programme contexts. Experience working in decentralization, local governance, community development, United Nations programming and/or public administration are strongly desired.

The consultant(s) shall have experience working in the region (and preferably the country), since it is important to have a sound understanding and knowledge of the political, social, development and cultural context. The consultant(s) shall be fluent in the LoCAL country programme's working language (English or French); knowledge of local language is a strong advantage. Good verbal, written and cross-cultural communication skills are a must.

Phase II evaluations

Background on LoCAL

The Local Climate Adaptive Living Facility (LoCAL) of the United Nations Capital Development Fund serves as a mechanism to integrate climate change adaptation into local authorities' planning and budgeting systems, increase awareness of and response to climate change at the local level, and increase the amount of finance available to local authorities for climate change adaptation.

Local authorities of least developed countries (LDCs) are uniquely positioned to identify the climate change adaptation (CCA) responses that best meet local needs. Further, they typically have the mandate to undertake the small- to medium-sized adaptation investments needed to build climate resilience. Yet they frequently lack the resources to do so, especially in a way that is aligned with established decision-making processes and public planning and budgeting cycles.

LoCAL combines performance-based climate resilience grants (PBCRGs), which ensure programming and verification of climate change expenditures at the local level, with technical and capacity-building support. It is designed to re-enforce existing national and subnational financial and fiscal delivery systems, and it uses the demonstration effect to trigger further flows for local adaptation – including national fiscal transfers and global climate finance for local authorities – through their central governments.

LoCAL aims to promote climate change-resilient communities and economies by increasing financing for and investment in CCA at the local level in LDCs.

Background on country and its CCA context

Brief description of country, touching on governance, development and environmental contexts

Summary of local governance/decentralization context

Summary of anticipated climate changes and adaptation context

Objective of the assignment

The purpose of the consultancy² is to conduct an adaptation outcome evaluation of the LoCAL country programme. The individual or team shall assess whether and how the programme has achieved or is on track to achieve its set of adaptation aims, and the processes to achieve those aims. The consultant(s) should provide concrete input on how to improve the country programme's relevance, effectiveness, efficiency and sustainability towards adaptation (components of the programme which do not directly address adaptation – for example, strengthening local authority partners' accounting systems – are excluded from the evaluation).

² This sample scope of work assumes an external international consultant will conduct the review. However, this is not required. In fact, a qualified local consultant may be more effective, because he or she will know the local language and context. The review might also be conducted by someone affiliated with LoCAL's regional or international offices – in which case it should be reframed as a mission terms of reference, rather than a separately contracted consultancy. The key point is that the review be conducted by someone outside the country programme.

Scope of work

The aim of the consultancy is to ensure that the interventions and local authority partners are achieving stated adaptation outcomes.

Activities will include:

- Review relevant national- and local-level programme documents
- Conduct interviews and/or focal group discussions with key stakeholders at the local, country programme and global levels
- Collect or review field-level data, including outcome indicators for various interventions
- Review relevant external literature, as appropriate

Deliverables will include:

- An outcome evaluation report (for an internal LoCAL audience) which follows the UNDP/UNCDF standard format, guidelines and procedures as a standard template for evaluation reports. These materials can be found at <http://web.undp.org/evaluation/>.
- A briefing paper (≈10 pages) suitable for and of interest to a global audience which identifies one or more topics, good practice examples and/or lessons learned from LoCAL's experience in that country.

Required profile of the consultant

The consultant(s) should have at least 10 years of relevant professional experience, including specialist knowledge in CCA, and demonstrate significant experience in monitoring and evaluation in development programme contexts. Experience working in decentralization, local governance, community development, United Nations programming and/or public administration are strongly desired.

The consultant shall have experience working in the region (and preferably the country), since it is important to have a sound understanding and knowledge of the political, social, development and cultural context. The consultant shall be fluent in the LoCAL country programme's working language (English or French); knowledge of local language is a strong advantage. Good verbal, written and cross-cultural communication skills are a must.

Annex 7: Data Tracker guide

This annex provides step-by-step instructions for filling in the ACCAF Data Tracker, which is available from LoCAL as a separate Excel file.

Tab 1: Intervention Identifier Codes

[illegible]

The purpose of this tab is to give each LoCAL PBCRG intervention a unique code which is then used to identify the intervention across the ACCAF Data Tracker.

1. Open Data Tracker Tab 1.
2. In Column A, select your country's ISO (International Organization for Standardization) code from the drop-down menu.
3. In Column B, enter the number for the PBCRG in a four-digit format (0001, 0002, 0003, etc.).
4. In Column C, add alphabetic code qualifiers to the number of the PBCRG if there are sub-components of the intervention or more than one intervention funded by a given grant. If a PBCRG funds only one intervention with no sub-components, the designation is 'a' – e.g. 0001a. If there are multiple components, use multiple letters, e.g. 0001a, 0001b, 0001c. If there are multiple interventions, then 0002a, etc.

5. In Column D, compile the information from Columns A, B and C to create a unique identifier for each intervention funded by all LoCAL PBCRGs. This intervention code is comprised of:

- The country ISO code (e.g. KH for Cambodia)
- The four-digit PBCRG number (e.g. 0025)
- The alphabetic code qualifier (e.g. 'a' for a single intervention with no sub-components; 'b' etc. for multiple sub-components)

The result – e.g. KH-0025-b – is the intervention code used across the ACCAF Data Tracker.

6. In Column E, enter the official name or title of the PBCRG. Multiple intervention codes may have the same name assigned to them if they are part of the same grant.
7. In Column F, enter the name of the sub-intervention, if applicable.

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Tab 2: Direct & Indirect Beneficiaries

[illegible]

1. Read [Basic monitoring data on page 4](#) in the ACCAF manual.
2. In Column A, enter the intervention code for each intervention (see Tab 1, Column D).
3. In Column B, enter the number of direct beneficiaries for the given intervention using the methodology presented in the ACCAF manual.
4. In Column C, enter the number of indirect beneficiaries for the given intervention using the methodology presented in the ACCAF manual.

Tab 3: BB1 Climate Risk Assessment

[illegible]

1. Read [BB1: Climate risk assessment guidance on page 6](#) in the ACCAF manual.
2. In Column A, choose the country ISO code from the drop-down menu.
3. In Column B, identify the location covered by the climate risk assessment within the country, or the name of the country if it is a national assessment.

4. In Column C, provide basic information about the methodology used for the climate risk assessment: the name of the manual, the agency which published it, the date it was published, and the URL for the website where the manual can be accessed. If the assessment was done using a tailored methodology not available online, provide as much information as possible.
5. In Column D, enter the year the climate risk assessment was done.
6. Column E summarizes the climate risk assessment guidelines presented in the ACCAF manual. For each item, answer 'yes', 'no' or 'unsure' in Column F to indicate whether the assessment did or did not meet these guidelines.
7. In Column G, note any actions taken to improve the climate risk assessment to address items marked as 'no' or 'unsure' in Column F.

Tab 4: BB2 Investment Menu

BB2 Investment Menu				
Country ISO Code	Year that Investment Menu was created or updated	Does the IM adhere to the guidelines in the ACCAF?	Response	Actions taken for improvement (if appropriate)
		Do the interventions reflect findings from the CRA, and/or other climate information (either documented observations or sound scientific projections) and/or any feasibility studies?		
		Do the interventions align with the country NAP?		
		Do the interventions align with the country NDC?		
		Do the interventions address a specific climate change risk?		
		Do the interventions reduce the local area's vulnerability to climate change and/or improve local capacities to adapt to climate risks?		
		Are these interventions different from development business-as-usual? If they are climate-proofing development investments, then do they specifically advance adaptation priorities?		
		Do the interventions directly benefit women or other especially vulnerable people in the area?		
		Are there environment-sector interventions which do not demonstrably advance adaptation aims?		
		Are there potential maladaptive interventions (i.e., those which may inadvertently cause harm to people or the environment)?		

1. Read [BB2: Climate risk-informed investment menu on page 8](#) in the ACCAF manual.
2. In Column A, choose the country ISO code from the drop-down menu.
3. In Column B, enter the year the investment menu was created or last updated.
4. Column C summarizes the investment menu guidelines presented in the ACCAF manual. For each item, answer 'yes', 'no' or 'unsure' in Column D to indicate whether the investment menu does or does not meet these guidelines.
5. In Column E, note any actions to improve the investment menu (if applicable) based on answers in Column D.

- LALAPs = local authority-level adaptation priorities

1. Read [BB4: Intervention adaptation rationale on page 11](#) in the ACCAF manual.
2. In Column A, enter the intervention code (Tab 1, Column D).
3. In Column B, paste in the adaptation benefit statement developed in [Item 4 of BB4](#) in the ACCAF manual.
4. In Column C, using the Types of Adaptation Actions worksheet ([Annex 3](#)) as discussed in [Item 5 of BB4](#) in the ACCAF manual, select the type of adaptation action from the drop-down menu for the given intervention.
5. In Column D, using the same worksheet and information, answer yes or no for whether the intervention has a significant capacity-building component as well.
6. In Column E, as discussed in [Item 6 of BB4](#) in the ACCAF manual, enter the outcome for the given intervention.
7. Repeat this process in a separate row for each intervention to be funded by PBCRGs in a given year.

Tab 7: BB5 Outcome Indicators

1. Read [BB5: Intervention outcome indicators on page 14](#) in the ACCAF manual.
2. In Column A, enter the intervention code (Tab 1, Column D).
3. In Column B, list the outcome indicators identified for the given intervention, each in a separate row.
4. In Columns C and D, enter baseline data and the date data collection was conducted, if applicable.
5. In Columns E and F, enter endline data and the dates data collection was conducted, if applicable.

44

- ## ACCAF: A UNCDF LoCAL Framework for Climate Change Adaptation Monitoring and Evaluation

Tab 9: BB7 Adaptation-Specific PMs

[illegible]

1. Read [BB7: Adaptation-specific performance measures on page 16](#) in the ACCAF manual.
2. In Column A, select the appropriate country ISO code from the drop-down menu.
3. In Column B, enter the date the annual performance assessment was designed (or most recently updated, if applicable).
4. In Column C, list all the adaptation-specific performance measures in the annual performance assessment.
5. In Column D, enter the maximum number of possible points for each adaptation-specific performance measure in the annual performance assessment.
6. In Column E, for each performance measure, choose the category that best fits it from the drop-down menu of categories.
7. In Column F, for each performance measure, choose one sub-category that best fits it from the drop-down menu of sub-categories.

46

- Because the subsequent columns will require several rows of data, it may be easiest to complete data entry for one local authority before listing the next. Use the merge cells function so all data pertaining to a single annual performance assessment is displayed appropriately.

Tab 11: BB9 Evaluation

[illegible]

1. Read [BB9: Evaluations on page 18](#) in the ACCAF manual.
2. In Column A, select the country ISO code from the drop-down menu.
3. In Column B, enter the year the country evaluation was completed.
4. In Column C, enter the name of the individual or agency which conducted the evaluation.
5. In Columns D–H, choose the score from the drop-down menu for the five Organisation for Economic Co-operation and Development (OECD) criteria of relevance to CCA, effectiveness, efficiency, sustainability and adaptation impact. This score is based on the 0–4 scale described in [BB9](#) of the ACCAF. If it is not possible to provide a score for some reason, N/A may be chosen.
6. In Columns I–P, choose the score from the drop-down menu for the eight UNCDF Special Project Implementation Review Exercise (SPIRE) evaluation questions which have been modified to be more adaptation-oriented in the ACCAF manual. This score is based on the 0–4 scale described in [BB9](#) of the ACCAF. If it is not possible to provide a score for some reason, N/A may be chosen.

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UNCDF makes public and private finance work for the poor in the world's 47 least developed countries. With its capital mandate and instruments, UNCDF offers "last mile" finance models that unlock public and private resources, especially at the domestic level, to reduce poverty and support local economic development. UNCDF's financing models work through two channels: **financial inclusion** that expands the opportunities for individuals, households, and small businesses to participate in the local economy, providing them with the tools they need to climb out of poverty and manage their financial lives; and by showing how **localized investments** – through fiscal decentralization, innovative municipal finance, and structured project finance – can drive public and private funding that underpins local economic expansion and sustainable development. By strengthening how finance works for poor people at the household, small enterprise, and local infrastructure levels, UNCDF contributes to SDG 1 on eradicating poverty and SDG 17 on the means of implementation. By identifying those market segments where innovative financing models can have transformational impact in helping to reach the last mile and address exclusion and inequalities of access, UNCDF contributes to a number of different SDGs.

UNCDF's **Local Climate Adaptive Living (LoCAL)** facility was designed to promote climate change-resilient communities and local economies by establishing a standard, internationally recognized country-based mechanism to channel climate finance to local government authorities in least developed countries. It thus aims to contribute through the local level to country achievement of the Paris Agreement and the Sustainable Development Goals – particularly poverty eradication (SDG 1), sustainable cities and communities (SDG 11) and climate action (SDG 13). LoCAL increases local-level climate change awareness and capacities, integrates climate change adaptation into local government planning and budgeting in a participatory and gender-sensitive manner, and increases the financing available to local governments for climate change adaptation. LoCAL combines performance-based climate resilience grants – which ensure programming and verification of climate change expenditures at the local level while offering strong incentives for performance improvements in enhanced resilience – with technical and capacity-building support.



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