

Annex B: Methodology

Theory of change

Up until 2014, no overall theory of change had been developed explicitly for Danish support to climate change adaptation. However, as part of the 2015 evaluation of Denmark's climate change funding to developing countries, a theory of change was developed for the Climate Envelope to provide a framework against which intervention outcomes could be evaluated at the portfolio level. The 2016 theory of change only covers Danish climate change support delivered through the Climate Envelope, whereas the bilateral funding was covered by the individual theory of change for the respective country programmes). This theory of change was first presented at a joint MFA/Ministry of Climate, Energy and Utilities (MCEU) workshop in September 2014. Following the completion of the 2015 Evaluation, the theory of change was subsequently developed and then published in the Guiding Principles for the Danish Climate Envelope in February 2016. This theory of change has since acted as a guide for the selection, design and implementation of activities to be funded by the Climate Envelope (Figure 0.1). It has not been subject to any revision.

The 2016 Guiding Principles lists six principles of project effectiveness that projects funded through the Climate Envelope should exhibit:

- National strengths: a potential to build on Denmark's national strengths, including in water management, land management and agriculture.
- Leverage: a potential to leverage private finance and innovation, particularly in agriculture and water management.
- Transformation: a potential to transform existing systems and structures, bringing about change at a scale that is sustainable.
- Linkages: alignment with existing Danish programmes.
- Poverty orientation: possession of a poverty reduction orientation.
- Added value post COP21: potential to deliver the most added value to the international climate architecture.

These principles underpin the Climate Envelope theory of change, which identifies an impact of "increased climate resilience, particularly vulnerable and marginalised groups". This impact is delivered through three outcomes:

- (i) Strengthened national and community-level climate change policies, planning frameworks and information systems.
- (ii) Scaled up climate-relevant technologies, infrastructure and markets; and
- (iii) A more consolidated, effective and ambitious international climate architecture.

The outcomes represent three complementary result areas. Overall, the logical sequence between activities/outputs, outcomes, impact and goal appears robust, with adaptation priorities explicitly highlighted as water planning and management, infrastructure protection, land-use and agriculture. As a programme logframe, it provides a coherent strategy for action under the Climate Envelope. As a theory of change, however, it is somewhat lacking in its treatment of the underlying assumptions upon which the logical sequence rests. Nonetheless, the theory of change does highlight assumptions (Table 0.1). However, the assumptions are all 'Danida-centric' and thus fully, or at least largely, within the control of Danida, being expressed in terms of "*Danish climate assistance...*". Assumptions in a theory of change should speak to the broader context within which interventions take place, and key factors that need to be in place (and are expected to be in place) in moving from outputs to outcomes, and then to impact. In addition,

there is no risk matrix that highlights the vulnerabilities that programme (and project) actions would need to monitor, and if necessary, mitigate.

Table B.1 Climate envelope theory of change assumptions

theory of change outputs to outcomes assumptions: Danish climate assistance....	theory of change outcomes to impact assumptions: Danish climate assistance...
Is demand-driven and engages (inter-) national priorities, strategies and structures to ensure buy-in	Focuses on innovative business models and policy approaches that have replication potential
Maximises synergies with Danish ODA and other programmes and institutions to maximise effectiveness	Influences policies, markets and institutions to create sustainable and wide-reaching impacts
Builds upon areas where Danish expertise, skills and competencies can provide added value	Uses diplomacy to influence the wider policy and finance debate among donors, IFIs and governments
Seeks financial and other resource leverage to maximise returns on limited financial resources	Builds the evidence base for demonstrating the potential and returns on effective action
Economic and political conditions are favourable for climate-orientated development	Global agreement on climate change achieved supported by more robust policy and finance response

Figure B.1 2016 Theory of Change for the Climate Envelope

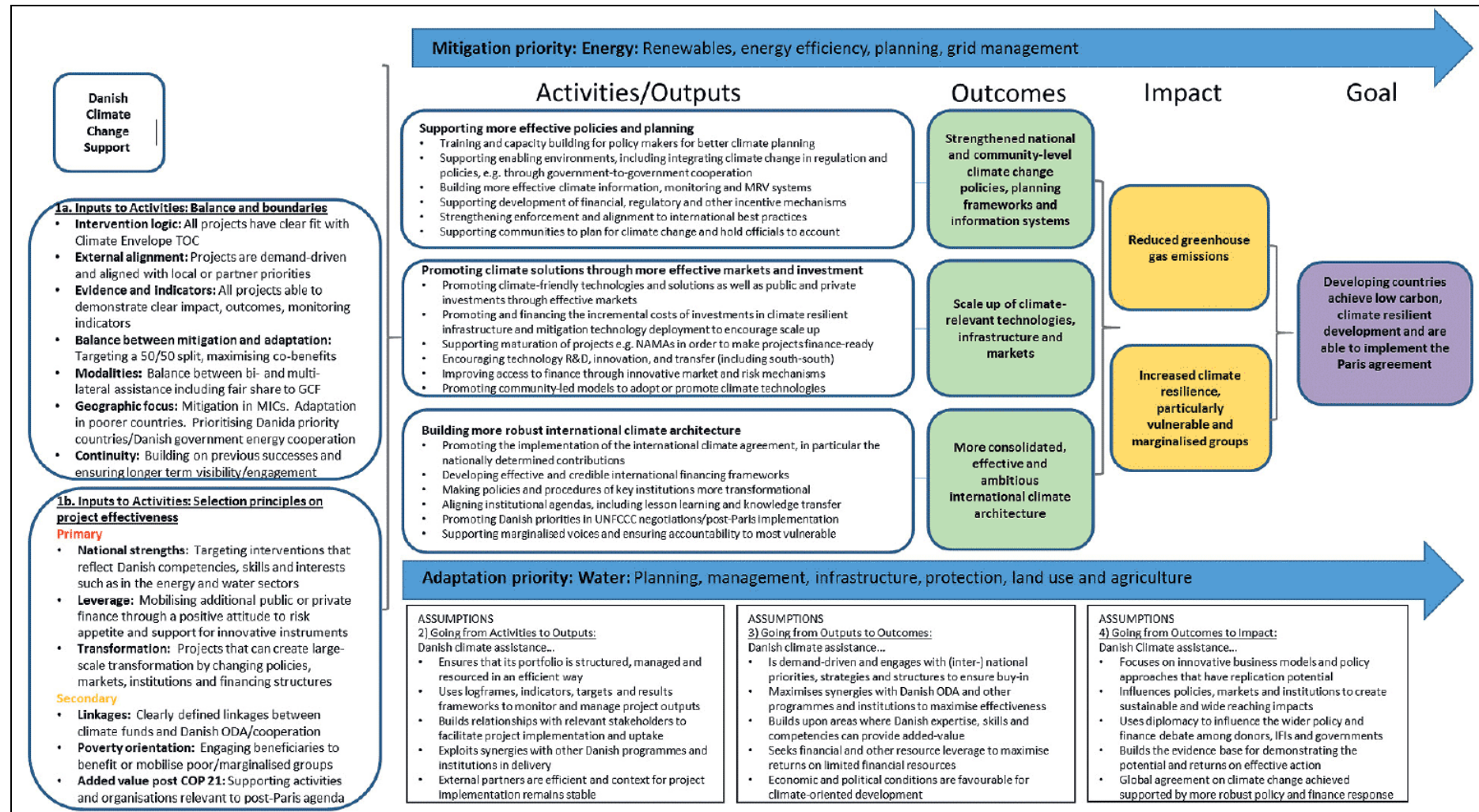


Table B.2 Assessment of adherence to the Climate Envelope Guiding Principles

Guiding principle	Assessment of adherence
National strengths: a potential to build on Denmark's national strengths, including in water management, land management and agriculture	Danish national strengths were mainly mobilised for mitigation, e.g. wind energy, but only to a lesser extent for adaptation. An example of the use of Danish strengths in adaptation is the support for the meteorological services in Burkina Faso.
Leverage: a potential to leverage private finance and innovation, particularly in agriculture and water management	Private finance was only leveraged to a modest degree, and mainly comprised farmers' own contributions. Scope for mobilising the private sector more significantly was more limited, e.g. in the poor and often remote arid and semi-arid lands (Kenya). The most prominent example of innovation found is ALP, where Care promoted an integrated, participatory and collaborative approach to adaptation involving local authorities, meteorological services civil society and communities.
Transformation: a potential to transform existing systems and structures, bringing about change at a scale that is sustainable	Uneven, but mostly limited – uneven application of a robust understanding of, and approach to, adaptation, uneven sustainability. Denmark often did not aim at transformation and in general did not have the scale of resources, sufficient technical insight and the entry point and mandate (although in some cases this was in place for example in Kenya with the support to the office of Prime Minister). Transformation also required considerable insight into the political economy and institutional issues at the country level. Some transformation in terms of behaviour change of communities was noted especially in relation to the use of meteorological information and collective action strategies where these were linked to income streams.
Linkages: alignment with existing Danish programmes	Overall good alignment with bilateral interventions (e.g. funding different phases).
Poverty orientation: possession of a poverty reduction orientation	Strong poverty targeting, but it was sometimes difficult to reach the "poorest of the poor".
Added value post COP 21: potential to deliver the most added value to the international climate architecture	As noted in the analysis of the global landscape, there was a significant contribution at policy level to the international climate funds.

Table B.3 Assessment of the delivery of intended Climate Envelope outcomes

Outcome	Assessment of delivery
Strengthened national and community-level climate change policies, planning frameworks and information systems	Policies were often not a major area of engagement, but some projects (ALP) influenced policy – but the focus was often more on supporting policy implementation rather than formulation. Local level planning frameworks were influenced (ALP, Kenya, SDUP, Bangladesh). Knowledge and information was a major area of engagement in some countries, and climate and meteorological forecasts were improved or made more accessible in Kenya and Burkina Faso.
Scaled up climate-relevant technologies, infrastructure and markets	There was often a limited upscaling of technology and markets, the market opportunities were sometimes limited e.g. in the arid and semi-arid lands (Kenya). Infrastructure was upscaled in Bangladesh. Better climate information and adaptation planning frameworks by ALP were upscaled by other projects.
A more consolidated, effective and ambitious international climate architecture	Especially the support to the World Bank Group through the Nordic-Baltic Office led to more ambitious targets (and achievement) in climate lending and co-benefits.

Table B.4 Assessment of the assumptions in the 2016 Climate Envelope theory of change

Assumptions		Assessment
Danish climate assistance....		
Output to outcome	Is demand-driven and engages (inter-) national priorities, strategies and structures to ensure buy-in	In general, good alignment with national policies and strategies but the assessment of how relevant and credible those policies and strategies where was less strong. Good engagement at the global landscape level given the resource constraints.
	Maximises synergies with Danish ODA and other programmes and institutions to maximise effectiveness	Overall good alignment with bilateral interventions, e.g. funding different phases. Supportive of the Danish country strategy.
	Builds upon areas where Danish expertise, skills and competencies can provide added value	Danish national strengths were mainly mobilised for mitigation, e.g. wind energy, but only to a lesser extent for adaptation.
	Seeks financial and other resource leverage to maximise returns on limited financial resources	Funding was provided to international climate funds (GCS, LDCE, CIFs) as well as to regional, national and sub-national projects/programmes co-funded by other donors.
	Economic and political conditions are favourable for climate-orientated development	The conditions varied among the partner countries, but overall, the political attention and priority given to adaptation increased at global (e.g. Paris Agreement) and national levels.
Outcome to impact	Focuses on innovative business models and policy approaches that have replication potential	Innovative business solutions are more challenging for adaptation than mitigation, but communities were supported in income diversification and value addition. Innovative planning and governance approaches were supported, mainly at sub-national level (e.g. ALP and NRT, Kenya, SDUP, Bangladesh).
	Influences polices, markets and institutions to create sustainable and wide-reaching impacts	Polices were influenced, but there was more focus on supporting the implementation of existing policies. Institutions were strengthened, especially a sub-national level incl. community-based institutions. Direct market influence was more limited.
	Uses diplomacy to influence the wider policy and finance debate among donors, IFIs and governments	This was strongly evident in the engagement with the World Bank Group through the Nordic-Baltic Office and also with the GCF and LDCE.
	Builds the evidence base for demonstrating the potential and returns on effective action	The evidence base is an area of weakness especially for adaptation compared to mitigation. Adaptation is more context specific and harder to measure and develop easily aggregable indicators.
	Global agreement on climate change achieved supported by more robust policy and finance response	The priority on adaptation was potentially not fully exploited in the climate diplomacy.

Table B.5 Assessment of assumptions identified by the evaluation team

Phase	Assumptions	Assessment
Activities/ outputs to outcomes	Financial: sufficient public co-funding of investments is released in a timely way; private capital is secured where appropriate.	Financial mobilisation (other than donor financing and beneficiary contributions) was in general challenging.
	Institutional: civil servant staffing is committed at appropriate levels throughout the investment period.	Civil servant staffing for implementation was not a major issue, since many projects were implemented by international organisations, NGOs, or specialised government entities with donor funded staffing. Communities themselves implemented small projects.
	Policy: government policy interest on climate change adaptation is retained.	Climate policies were in general in place in the case countries, but the level of adaptation ambition varied (Ethiopia in particular gave climate change high priority).
	Political economy: the broader political environment remains stable, with no major disruptions.	Largely stable in the case countries, with the exception of Burkina Faso, which is affected by conflict.
	Environmental: no catastrophic environmental disasters occur elsewhere in the economy that would divert public (and private) resources.	Local droughts and flood took place in the case countries, but not to an extent that as an overall impediment to the implementation of adaptation projects.
Outcomes to impact	Financial: public funding continues post-investment through increased budgetary allocations; additional private capital is secured where appropriate.	Financial mobilisation was in general challenging. Continuation, upscaling and replication in general depended on continued donor financing.
	Institutional: civil servant staffing is retained in key roles.	When government staffing was funded by the projects, the staff was in general not retained unless further donor funding was accessed.
	Policy: government policy interest on climate change adaptation is embedded within national planning and regulatory processes.	Climate policies were in general in place in the case countries, but the capacity to implement the policies remains a major constraint.
	Political economy: A broad societal consensus on the utility of climate change adaptation action is maintained.	The awareness about the impacts of climate change and adaptation needs, remains uneven in the case countries.
	Environmental: environmental conditions do not deteriorate significantly.	Environmental degradation remains a major problem in the case countries and in general.

Evaluation approach and methodology

The evaluation applied a mixed methods approach to triangulate data and information. This combined quantitative assessment of project results with qualitative assessments based on stakeholder interviews. Data was drawn from a range of primary and secondary sources. Secondary sources included project documents, partner strategies, sector reviews, previous reviews and other secondary studies and report. Primary data included direct consultations with implementing partners as well as MFA and Danish embassies and other development partners who are involved with climate change adaptation in the case countries. Finally, a survey of Danish embassy staff in all programme countries was conducted (see Annex E).

The approach ensured stakeholder participation in the analysis, which helped to secure ownership of the findings and recommendations, while capitalising on in-depth insight and promoting learning within and across the Danish support to climate change adaptation.

The dual qualities of independence and stakeholder ownership was assured through:

- a) Qualitative and quantitative triangulation of information from different sources.
- b) Balancing the perspectives of different types of stakeholders; and
- c) Engaging in an ongoing dialogue with ELK, embassies, implementing partners and other key stakeholders throughout the duration of the assignment.
- d) Sharing early findings via the preliminary findings note, but also sharing draft country case studies.

Generally, draft findings, lessons and recommendations was consulted with all stakeholders including the Danish agencies, which was part of the Evaluation Reference Group (ERG).

Evaluation Matrix

The evaluation matrix was the overall tool developed to structure, guide and manage the evaluation. The matrix ensured that all aspects was covered and was designed based on the team's understanding of the theory of change, as well as the evaluation questions, and the evaluation matrix was verified during a series of meetings with ELK and others in November 2019. Each evaluation question was broken down into indicators with identification of the required data, methodology to be applied and comment on the reliability and validity of the indicators¹. This allowed for a more precise answering of the evaluation questions.

Document inventory and review

The evaluation compiled and reviewed documentations from identified projects and in particular from the four selected countries. A range of documents was reviewed systematically. At the strategic level, the document analysis focused on Danish strategies (e.g., the guiding principles for the Danish Climate Envelope, 2019; Verden 2030 and others). Available evaluations including the evaluation of the Climate Envelope (2015) and internal civil society and other international evaluations were reviewed. At the intervention level, the document analysis focused at the relevant sector, programme and engagement level and included preparation documents, project progress reports, monitoring and annual reports and any external review reports. See Annex C for a list of documents reviewed.

Contribution analysis

Case studies illustrating typical contributions to climate change adaptation, and which are well-documented, were made for each case country and subjected to a contribution analysis via a six-step process:

1. Describing the challenge that the Danish support sought to address.
2. Describing the significant change achieved (or not achieved).
3. Analysing the Danish support's role and added value in achieving the change (or absence of change).
4. Identifying other significant factors influencing the change (i.e., contributing to or inhibiting change).
5. Evidence of transformative impact; and
6. Lessons learnt.

¹ Reliability of the indicator refers to the extent that the same instruments used by a different person or at a different time would come to the same conclusions i.e. how objective it is; validity refers to the extent that the indicator actually measures what it is intended to measure.

This six-step contribution analysis was used to document what has worked, what did not work and why. The contribution analysis contributed to learning that was translated into implementable recommendations for current and future cooperation.

Individual and group interviews

The evaluation conducted semi-structured key informant interviews and group discussions to explore the evaluation questions and the indicators outlined in the evaluation matrix. The evaluation involved direct consultations with implementing partners (global partners, civil society partners, government bodies and service providers), as well as Danish Embassies and other development partners (donors) who are involved with climate change adaptation in the field countries. The current and past Danish/Nordic executive directors for the World Bank were also interviewed. Focus group discussions were held with selected end-beneficiaries of the sample projects in Bangladesh.

Site inspections

Site inspections provided an opportunity for the evaluation team to observe tangible project outputs as well as to engage with direct beneficiaries where relevant – as some projects were dealing with higher level capacity and institutional development, this was not relevant in all cases. And, as previously noted, site visits were only possible in Bangladesh and Burkina Faso.

Survey

As a part of the evaluation a survey was conducted with the staff of Danish embassies to solicit a wider range of views than the country cases could provide. The quantitative survey increased the outreach to a larger number of countries to get a broader perspective of the results and experiences of the cooperation. The survey was designed under adherence to the structure and rationale of the evaluation questions, using SurveyMonkey. It predominantly had closed questions with yes/no, multiple choice and ranking options, but in some fields, respondents were invited to elaborate on their views and experiences. The survey was sent out to nine embassies (Bangladesh, Burkina Faso, Ethiopia, Kenya, Ghana, Myanmar, Mali, Tanzania and Uganda) and the response rate was 77%. The survey is presented in Annex E.

Consultations with MFA-ELK

Consultations with MFA were important to ensure the validity and ownership of the findings, conclusions and recommendations, without compromising the independency of the evaluation, and were continued throughout the course of the evaluation. Inception, preliminary findings and final draft reports was reviewed by ELK and presented and discussed at ERG meetings. All comments received on the draft reports were carefully assessed and a written explanation was provided for any comments that were not accommodated in the revised reports.

Project and country sampling

The four case countries were tentatively selected prior to the start of the evaluation and during the inception phase they were confirmed. The rationale for selecting them was to provide examples from different regions, levels of development and fragility contexts. An essential tool of the evaluation was an assessment of a selected sample of interventions. To ensure that the sample was representative and

covered the evaluation questions defined for this evaluation, a set of criteria was developed to guide the sample selection:

1. In each case country (Bangladesh, Burkina Faso, Ethiopia, Kenya), five-seven projects and 1-2 sectors were selected.
2. In each country, at least one Climate Envelope project was selected – except in Burkina Faso (where no country-specific Climate Envelope project has been implemented)
3. In each country, a least one non-Climate Envelope project was selected, with a Rio Marker 1 on climate change adaptation (significant but not primary focus)
4. In each country, at least one NGO, bilateral or multilateral intervention was selected – e.g. covering what is not covered by the above sample projects – aiming to capture all three categories, whenever feasible.
5. Particularly interesting or significant interventions (e.g. in terms of financial volume) were given priority.
6. In each country, 1-2 sectors per country were selected for assessment of mainstreaming – with priority given to following sectors of key interest to Danida: a) stability and conflict, b) governance, and c) rural growth and employment.

For the global landscape the evaluation team analysed the Danish involvement in IDA/World Bank, GCF and LDCF. Further, at the national level two projects were selected as part of the country sample in Ethiopia and Bangladesh respectively. At the regional level, the MCC/MFF (Asia) and ALP (Ghana, Kenya, Mozambique, Niger) projects were assessed.

Evaluation phases

The assignment comprised three main phases.

Phase 1: Inception

After the kick-off meeting in September, the full evaluation core team visited Copenhagen for three days for a kick-off meeting with the Evaluation Reference Group (ERG) and individual meetings with relevant staff from ELK, MKL, KFU, the preparatory study team at DIIS, implementing partners civil society organisations (CIFU, CARE, DCA), and the journalists engaged by MFA. This served to clarify expectations and agree on the approaches and structuring of the evaluation matrix as well as the sampling strategy and selection. The Danish embassies in Bangladesh, Burkina Faso, Ethiopia and Kenya were contacted to confirm the selected project sample. A start was made on analysing available documentation in order to establish the quality and comprehensiveness of the data and information available. In particular, the availability and quality of baseline data was assessed, as well as the monitoring data gathered by the monitoring systems at various levels and the availability of earlier evaluations and project reviews.

Phase 2: Field work, desk research and country studies

A country mission to Bangladesh was conducted, while the remaining three countries relied on distant interviews and desk research (and in Burkina Faso a site visit was undertaken by the national consultant). A country report was prepared for each country providing data, information and insight at evaluation question (clustered) and indicator level.

In each country, the country specific data collection consisted of:

- Initial briefing and final de-briefing with embassy staff.

- National-level interviews with embassy staff, government partners, implementing partners as well as other donors and development partners.
- Semi-structured interviews and, where possible, focus group discussions conducted with beneficiaries (Bangladesh and Burkina Faso only, Kenya as distance interviews)
- Site visits to observe on-site activities deployed and achievements reached, and to meet beneficiaries. (Bangladesh and Burkina Faso only).
- Additional document/data collection and analysis, to fill remaining gaps.
- Testing/validation of hypotheses and early findings from the inception phase.

In addition, desk research and global interviews were also conducted during this phase.

Phase 3: Synthesis phase

During the synthesis phase, the team analysed all information collected during the inception and data collection phases to enable responses to be formulated to the evaluation questions identified at the outset of the evaluation process, and on this basis to draw overall conclusions and formulate recommendations. A preliminary findings paper was produced and submitted to ELK after submission of the first draft of the country reports. The preliminary findings were discussed with ELK and the ERG. This stage comprised the following tasks:

- Triangulation of information in order to check its validity and to let key issues emerge. The evidence-base, precision, and credibility of oral sources was compared with those of written sources, and national sources was compared with international sources. The views of different stakeholders were compared.
- Cross-fertilisation by team members offering their specific perspective on each evaluation question.
- Forward-looking perspective: special attention was given to provide useful and implementable recommendations applicable to the present and future context.

The draft final report was then compiled and submitted to ELK for comments. The evaluation was concluded with a seminar in Copenhagen.

Evaluation matrix

The evaluation matrix was the overall tool developed to structure, guide and manage the evaluation. It is presented below.

Evaluation question	Indicators	Data	Methodology	Comment on validity /reliability
Cluster 1 - Mainstreaming				
<p>EQ 1: Mainstreaming approaches: How relevant and effective were approaches to mainstreaming?</p>	<p>1.1 Danish Policies, strategies, tools, procedures at corporate level are appropriate.</p>	<p><u>Data to be collected and analysed:</u></p> <p>Document review</p> <p>Key Danida policies and guidance documentation to be analysed</p> <ul style="list-style-type: none"> • MFAD/Danida 2019. Guidelines for Programmes & Projects, 1.2. • MFAD/Danida 2018. Dzebo A. and van Asselt H. 2015. Mainstreaming climate change into Danish development cooperation: Shifting towards green growth, Nordstar.; • MFAD/Danida 2014. Danida Green Growth guidance note. Guidelines for Management of Danish Multilateral Development Cooperation Danida 2011. Strategic Framework for Priority Area Growth and Employment 2011-2015; • Danida 2005. Danish Climate and Development Action Programme A Tool Kit for Climate Proofing Danish Development Cooperation; • MFA/ Danida 2017. The World 2030 Denmark's strategy for development cooperation and humanitarian action; • MFAD/Danida 2013. A greener world for all - Strategic framework for natural resources, energy and climate change. <p>Key documentation to be reviewed for benchmarking</p> <ul style="list-style-type: none"> • Mogelgaard, K., A. Dinshaw, N. Ginoya, M. Gutiérrez, P. Preethan, and J. Waslander. 2018. "From Planning to Action: Mainstreaming Climate Change Adaptation into Development." Working Paper. Washington, DC: World Resources Institute.; • OECD 2006: Applying Strategic Environmental Assessment Good practice guidance for development co-operation. DAC Guidelines and Reference Series; 	<p><i>For overall report only</i></p> <ul style="list-style-type: none"> • Mapping and synthesizing of the available Danida programmatic and strategic guidelines and of how climate change adaptation mainstreaming is covered • Benchmarking of Danida Policies, strategies, tools, procedures against international guidance • Timeline underlying the key evolutions (in relation to content and implementation context) of Danida strategic and programmatic orientation related to climate change adaptation mainstreaming throughout the evaluation period (list historic guidance material) • User's appreciation and understanding of strength and weaknesses of Danida Policies, strategies, tools, procedures for climate change adaptation mainstreaming 	<p>No expected constraint related to availability and reliability of data</p>

Evaluation question	Indicators	Data	Methodology	Comment on validity /reliability
		<ul style="list-style-type: none"> • De Roeck, Frederik & Orbie, Jan & Delputte, Sarah. (2018). Mainstreaming climate change adaptation into the European Union's development assistance. Environmental Science and Policy. • World Bank. 2019. The World Bank Group Action Plan on Climate Change Adaptation and Resilience. , Washington, DC: World Bank; MFA/SIDA 2018, • GIZ. (2013). A closer look at mainstreaming adaptation. Inventory of Methods for Adaptation to Climate Change – IMACC. Bonn: Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH. • EU: https://europa.eu/capacity4dev/public-environment-climate/minisite/tools-and-methods/sector-notes-integration-environment-and-climate-change <p>Interviews with MFA, embassy staff, if relevant key informants from other cooperation agencies (EU, WB, UNEP)</p> <p><u>Sample:</u></p> <ul style="list-style-type: none"> • MFA staff for Danish policies and guidance review • WB, EU, GIZ, OECD, UNEP, for benchmarking 		
	<p>1.2 Extent to which climate change adaptation has been mainstreamed into country strategies prioritisation and design processes. <i>[Applies to projects and sectors]</i></p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> • Document review: 15 country policies; four case studies countries sample projects and sectors related documentation. • Embassy staff online survey: 15 countries with country strategies. • Interviews with country case studies embassy staff. <p><u>Sample</u></p> <ul style="list-style-type: none"> • 15 countries (Afghanistan, Bangladesh, Bolivia, Burkina Faso, Ethiopia , Ghana, Kenya, Myanmar, Mali, Niger, Palestine - the OPT, Somalia, South Sudan, Tanzania, Uganda) for country policies analysis and embassy staff survey. 	<p><i>For county reports</i></p> <ul style="list-style-type: none"> • Tracking of strategic environmental assessment for sampled sectors, and qualitative analysis of relevance of country strategies to strategic environmental assessment conclusions and recommendations related to climate change adaptation mainstreaming (for sector analysis in 4 country case studies) • Mapping of whether or not has climate change adaptation been addressed in Concept Notes, 	<p>Good opportunity for triangulation of data from different sources (documents, survey, interviews), depending on the availability of documentation</p>

Evaluation question	Indicators	Data	Methodology	Comment on validity /reliability
		<ul style="list-style-type: none"> Four country case studies for project (Rio Marker #1) and sector level documentation analysis (see sampling for details) Four countries case studies for interviews 	<p>Programme Documents, and Appraisals Reports (internal or by TQS depending on project size).</p> <ul style="list-style-type: none"> Existence of environmental impact assessment relevant to sampled projects, and qualitative analysis relevance of project design to environmental impact assessment conclusions. <p><i>For overall report</i></p> <ul style="list-style-type: none"> Mapping of (1) how and under which strategic focus areas is climate change adaptation mainstreaming presented in country strategies; (2) what tactical approaches/entry points are adopted for climate change adaptation mainstreaming in country strategies. Synthesis of country reports analysis organised per type of intervention – Policy dev, capacity development, investment) and sector (Security, Agriculture, Water). 	
	<p>1.3 Extent to which climate change adaptation has been mainstreamed into policy development support, capacity development, and investments. <i>[Applies to projects and sectors]</i></p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> Document review: Four case studies countries sample projects and sectors related documentation. Embassy staff survey: 15 countries with country strategies. Interviews with country case studies embassy staff <p><u>Sample</u></p>	<p><i>For county reports</i></p> <ul style="list-style-type: none"> Mapping of strategies and entry points actually used for climate change adaptation mainstreaming into projects as documented in Concept Notes, Programme Documents, and Appraisals Reports (internal or 	<p>Good opportunity for triangulation of data from different sources (documents, survey, interviews), depending on</p>

Evaluation question	Indicators	Data	Methodology	Comment on validity /reliability
		<ul style="list-style-type: none"> 15 countries (Afghanistan, Bangladesh, Bolivia, Burkina Faso, Ethiopia, Ghana, Kenya, Myanmar, Mali, Niger, Palestine - the OPT, Somalia, South Sudan, Tanzania, Uganda) for country policies analysis and embassy staff survey. Four country case studies for project (Rio Marker #1) and sector level documentation analysis (see sampling for details). Four countries case studies for interviews 	<p>by TQS depending on project size).</p> <ul style="list-style-type: none"> Typology of rationales behind strategic and tactical choices for climate change adaptation mainstreaming into projects. <p><i>For overall report</i></p> <ul style="list-style-type: none"> Synthesis of above analysed per type of intervention (policy dev, capacity development, investment) and sector (Security, Agriculture, Water). 	<p>the availability of documentation</p>
	<p>1.4 Extent to which climate change adaptation has been mainstreamed into M&E <i>[Applies to projects only]</i></p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> Document review: Review of M&E best practice (see 1.1 for best practice documentation), four case studies countries sample projects and sectors related documentation. Embassy staff survey: 15 countries with country strategies. Interviews with country case studies embassy staff <p><u>Sample</u></p> <ul style="list-style-type: none"> WB, EU, GIZ, OECD, UNEP for best practices. 15 countries (Afghanistan, Bangladesh, Bolivia, Burkina Faso, Ethiopia, Ghana, Kenya, Myanmar, Mali, Niger, Palestine - the OPT, Somalia, South Sudan, Tanzania, Uganda) for country policies analysis and embassy staff survey. Four country case studies for project (1-2 Rio Marker #1 projects) and sector level (1-2 sectors) documentation analysis (see sampling for details). Four countries case studies for interviews 	<p><i>For county reports</i></p> <ul style="list-style-type: none"> Stories about how climate change adaptation mainstreaming M&E data have been used to inform decision making and reasons behind success. Mapping of Danida climate change adaptation-oriented M&E indicators adopted in programmes documents for the sampled projects (or more widely into Danida portfolio?) against above typology. Quantitative analysis of proportion of climate change adaptation indicators informed in project reports and evaluation reports (with satisfactory quality or not according to users). <p><i>For overall report</i></p> <ul style="list-style-type: none"> Typology of best practices climate change adaptation 	<p>No expected constraint related to availability and reliability of data</p>

Evaluation question	Indicators	Data	Methodology	Comment on validity /reliability
			<p>mainstreaming indicators related to key sectors in available documentation.</p> <ul style="list-style-type: none"> • Synthesis of above country reports analysis 	
	<p>1.5 Extent to which the MFA and its agents had capacity to implement climate change adaptation mainstreaming strategies, tools and procedures prescribed [<i>Applies to projects and sectors</i>]</p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> • Key informant interviews with MFA and embassy staff, • Embassy staff survey: 15 countries with country strategies. 	<ul style="list-style-type: none"> • Qualitative interviews with MFA staff conducted prior country visits and analysed to identify hypotheses for the country visits. • Qualitative interviews embassies staff • Quantitative analysis of staff survey data 	Embassy staff turnover could be a constraint
<p>EQ 2: Mainstreaming results: What are the implementation outcomes of climate change adaptation mainstreaming?</p>	<p>2.1 climate change adaptation has been prioritised in national policy commitments for relevant sectors [<i>Applies to projects and sectors</i>]</p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> • Document review: Review of relevant national programmes and policy documentation. • Interviews with (1) country case studies embassy staff, (2) line ministry(ies) at central and decentralised levels, (3) key other cooperating partners supporting the sector. <p><u>Sample:</u></p> <p>For each country case study:</p> <ul style="list-style-type: none"> • 1-2 Rio Marker #1 projects • 1-2 sectors 	<p><i>For county reports</i></p> <ul style="list-style-type: none"> • Triangulation of documentary information with interviews of various stakeholders. <p><i>For overall report</i></p> <p>Synthesis of above analysed per type of intervention (policy dev, capacity development, investment) and sector (governance, security, agriculture, water).</p>	The main challenge here will be access to the right people within line ministries for informant interviews
	<p>2.2 National climate change adaptation policy commitments in relevant sectors are reflected in budgeting, implementation and monitoring processes at national, sector and sub-national levels [<i>Applies to projects and sectors</i>]</p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> • Document review: Review of relevant national programmes and policy documentation. • Interviews with (1) country case studies embassy staff, (2) line ministry(ies) at central and decentralised levels, (3) key other cooperating partners supporting the sector. <p><u>Sample:</u></p> <p>For each country case study:</p>	<p><i>For county reports</i></p> <ul style="list-style-type: none"> • Triangulation of documentary information with interviews of various stakeholders. <p><i>For overall report</i></p> <p>Synthesis of above analysed per type of intervention (policy dev, capacity development, investment)</p>	The main challenge here will be access to the right people within line ministries for informant interviews

Evaluation question	Indicators	Data	Methodology	Comment on validity /reliability
		<ul style="list-style-type: none"> 1-2 Rio Marker #1 projects 1-2 sectors 	and sector (governance, security, agriculture, water).	
	<p>2.3 Opportunities – Opportunities have been utilised, and have contributed to reduction of climate risk or vulnerability over time [<i>Applies to projects and sectors</i>]</p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> Document review: (Project doc, reports, evaluation, reviews and learning, research or knowledge pieces supported by the project or related to the project). Sector related documentation (policy, strategies and programmes; programme and policy evaluations, research or other analytical work relevant to climate change adaptation mainstreaming into the sector). Interviews with (1) country case studies embassy staff, (2) line ministry(ies) at central and decentralised levels, (3) key other cooperating partners supporting the sector, (4) implementation organisation(s) staff at central and decentralised levels, (5) resource persons from the NGO and/or the research sector, (6) private sector representatives (incl. farmers organisations, and businesses representatives involved in the sector when relevant). Focus group discussions with target groups, disaggregated by gender and age. <p><u>Sample:</u> For each country case study:</p> <ul style="list-style-type: none"> 1-2 Rio Marker #1 projects 1-2 sectors 	<p><i>For county reports</i></p> <p>Case studies, focused on non-climate change adaptation interventions and sectors documenting:</p> <ul style="list-style-type: none"> Opportunities taken (and missed) Facilitating / limiting factors explain why opportunities have been addressed or missed. climate change adaptation mainstreaming outcomes as analysed by projects M&E systems. climate change adaptation mainstreaming outcomes captured through primary data collection. <p><i>For overall report</i></p> <ul style="list-style-type: none"> Typology of the above case studies findings organised through types of interventions (policy development support, capacity development, and investments) and key sectors. Boxes summarizing successful case studies. 	Opportunity for triangulation of data from different sources (project documents, sector docs, and interviews) Depth of analysis will depend on availability of learning-oriented documentation
	<p>2.4 Do No Harm – Risks have been identified and mitigation measures have been implemented and have avoided negative impacts on resilience and adaptation by</p>	<p><u>Data to be collected and analysed, and sample</u> – Same as for 2.1</p>	<p><u>Analytical methods</u> – Same as for 2.1</p>	Opportunity for triangulation of data from different sources (project documents,

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	Danish ODA [<i>Applies to projects and sectors</i>]			sector docs, and interviews). Depth of analysis will depend on availability of learning-oriented documentation
	2.5 Climate proofing - CC impacts on Danish investments have been anticipated and addressed and contributions to developments goals are likely to be sustainable despite climate change prospects [<i>Applies to projects and sectors</i>]	<u>Data to be collected and analysed, and sample</u> – Same as for 2.1	<u>Analytical methods</u> – Same as for 2.1	Opportunity for triangulation of data from different sources (project documents, sector docs, and interviews). Depth of analysis will depend on availability of learning-oriented documentation

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Cluster 2 – Targeted climate change adaptation (Climate Envelope and Rio Marker #2 projects)				
EQ3: climate change adaptation intervention areas: To what extent did the Danish support contribute to putting in place the key building blocks required to address climate change adaptation?	3.1 Financing - The project helped to leverage, complement, and/or coordinate other funding sources to evolve financing structures over time for the supported activities	<u>Data to be collected and analysed:</u> <ul style="list-style-type: none"> • Project sample documentation: progress reports, completion reports, reviews, evaluations • Awareness documentation • Budget documentation • Interviews: implementing partners, other stakeholders • Embassy staff survey <u>Sample:</u> Each country case study project that spearheads climate change adaptation	<ul style="list-style-type: none"> • Qualitative approach and triangulation • Document review • Interviews • Survey 	Direct project results: several sources of information, good triangulation – especially if reviews/evaluations are available
	3.2 Governance & Engagement - The project ensured meaningful inclusion, engagement, and empowerment of relevant parties to provide strategic leadership and engage in decision-making for climate-resilient development	<u>Data to be collected and analysed:</u> <ul style="list-style-type: none"> • Project sample documentation: progress reports, completion reports, reviews, evaluations • Interviews: implementing partners, project beneficiaries, other stakeholders • Embassy staff survey <u>Sample:</u> Each country case study project that spearheads climate change adaptation	<ul style="list-style-type: none"> • Qualitative approach and triangulation • Document review • Interviews • Focus group discussions • Survey 	Same as 3.1
	3.3 Institutions - The project developed or enhanced institutional communication, coordination, and collaboration among organisations working on climate change adaptation in the country	<u>Data to be collected and analysed:</u> <ul style="list-style-type: none"> • Project sample documentation: progress reports, completion reports, reviews, evaluations • Minutes of coordination/collaboration fora • Memorandum of understanding s between agencies/ministries • Interviews: implementing partners, project beneficiaries, other stakeholders • Embassy staff survey <u>Sample:</u> Each country case study project that spearheads climate change adaptation	<u>Analytical methods</u> – Same as for 3.1	Same as 3.1

Evaluation question	Indicators	Data	Methodology	Comment on validity /reliability
	<p>3.4 Knowledge & Information - Knowledge was generated that supports the scaled-up implementation of climate-resilient development</p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> • Project sample documentation: project document, progress reports, completion reports, reviews, evaluations • Interviews: implementing partners, project beneficiaries, other stakeholders • Awareness documentation • Embassy staff survey <p><u>Sample:</u></p> <p>Each country case study project that spearheads climate change adaptation</p>	<p><u>Analytical methods</u> – Same as for 3.2</p>	<p>Same as 3.1</p>
	<p>3.5 Markets - The project helped to establish market rules, mechanisms, relationships, and infrastructure to overcome barriers and support private-sector market involvement in climate-resilient development</p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> • Project sample documentation: progress reports, completion reports, reviews, evaluations • National policy/laws & regulations • Private sector association documents • Interviews: implementing partners, project beneficiaries, other stakeholders • Embassy staff survey <p><u>Sample:</u></p> <p>Each country case study project that spearheads climate change adaptation</p>	<p><u>Analytical methods</u> – Same as for 3.1</p>	<p>Same as 3.1</p>
	<p>3.6 Natural capital - Project interventions worked within natural systems (agriculture/water resource & land management) to make changes that improve ecosystem resilience</p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> • Project sample documentation: project document, progress reports, completion reports, reviews, evaluations • Interviews: implementing partners, project beneficiaries, other stakeholders • Site visits • Embassy staff survey <p><u>Sample:</u></p> <p>Each country case study project that spearheads climate change adaptation</p>	<ul style="list-style-type: none"> • Qualitative approach and triangulation • Document review • Interviews • Focus group discussions • Site visits • Survey 	<p>Same as 3.1</p>

Evaluation question	Indicators	Data	Methodology	Comment on validity /reliability
	<p>3.7 Policies - The project supported the development or testing of laws, policies, or regulations that create an effective enabling environment for deploying climate-resilient development solutions</p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> • Project sample documentation: progress reports, completion reports, reviews, evaluations • National policy/laws & regulations • Private sector association documents • Interviews: implementing partners, project beneficiaries, other stakeholders • Embassy staff survey <p><u>Sample:</u></p> <p>Each country case study project that spearheads climate change adaptation</p>	<p><u>Analytical methods</u> – Same as for 3.1</p>	<p>Same as 3.1</p>
	<p>3.8 Practices & Mindsets - Project approaches supported the development of new practices that integrate climate risk and resilience into core development planning processes at different levels of governance, and in different sectors</p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> • Project sample documentation: project document, progress reports, completion reports, reviews, evaluations • Planning guidelines • Interviews: implementing partners, project beneficiaries, other stakeholders • Site visits • Embassy staff survey <p><u>Sample:</u></p> <p>Each country case study project that spearheads climate change adaptation</p>	<p><u>Analytical methods</u> – Same as for 3.6</p>	<p>Same as 3.1</p>
	<p>3.9 Technologies & Infrastructure - Project interventions improved the infrastructure necessary for climate-resilient development</p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> • Project sample documentation: project document, progress reports, completion reports, reviews, evaluations • Planning guidelines • Interviews: implementing partners, project beneficiaries, other stakeholders • Site visits • Embassy staff survey <p><u>Sample:</u></p>	<p><u>Analytical methods</u> – Same as for 3.6</p>	<p>Same as 3.1</p>

Evaluation question	Indicators	Data	Methodology	Comment on validity /reliability
		Each country case study project that spearheads climate change adaptation		
<p>EQ 4: Direct outcomes and impact of climate change adaptation projects: Has the resilience of poor and vulnerable people increased?</p> <p><i>(Disaggregated findings for bilateral (government), NGO and multilateral interventions – Climate Envelope and non-Climat Envelope)</i></p>	<p>4.1 Projects have specifically targeted poor and vulnerable groups and implemented measures to ensure their participation</p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> Project sample documentation: project document, progress reports, completion reports, reviews, evaluations Interviews: implementing partners, project beneficiaries, other stakeholders Embassy staff survey <p><u>Sample:</u></p> <ul style="list-style-type: none"> Each country case study project that spearheads climate change adaptation 	<ul style="list-style-type: none"> Qualitative approach and triangulation Document review Interviews Focus group discussions Survey 	<p>Directly related to project design and implementation: several sources of information, good triangulation – especially if reviews/evaluations are available</p>
	<p>4.2 Productive systems are diversified and adapted to extreme weather hazards and longer-term climatic changes</p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> Project sample documentation: project document, progress reports, completion reports, reviews, evaluations Interviews: implementing partners, project beneficiaries, other stakeholders Site visits Embassy staff survey <p><u>Sample:</u></p> <p>Each country case study project that spearheads climate change adaptation</p>	<ul style="list-style-type: none"> Qualitative approach and triangulation Document review Interviews Focus group discussions Site visits Survey 	<p>Direct project results: several sources of information, good triangulation – especially if reviews/evaluations are available and outcomes/impacts have been monitored</p>
	<p>4.3 Ecosystem services are maintained, and ecosystem-based adaptation measures are in place</p>	<p><u>Data to be collected and analysed, and sample</u> – Same as 4.2</p>	<p><u>Analytical methods</u> – Same as for 4.2</p>	<p>Same as 4.2</p>
	<p>4.4 Protective infrastructure and disaster management systems are in place</p>	<p><u>Data to be collected and analysed, and sample</u> – Same as 4.2</p>	<p><u>Analytical methods</u> – Same as for 4.2</p>	<p>Same as 4.2</p>
	<p>4.5 Livelihoods are diversified and resilient to the impacts of</p>	<p><u>Data to be collected and analysed, and sample</u> – Same as 4.2</p>	<p><u>Analytical methods</u> – Same as for 4.2</p>	<p>Same as 4.2</p>

Evaluation question	Indicators	Data	Methodology	Comment on validity /reliability
	extreme weather hazards (incl. through climate risk insurance)			

Evaluation question	Indicators	Data	Methodology	Comment on validity /reliability
Cluster 3 – Transformative outcomes from cluster 1 and cluster 2				
EQ5: Transformative approaches: How does the Danish climate change adaptation approach to planning, design and project implementation work to advance transformational change?	5.1 Relevance – The project design acknowledged and responded to national climate change adaptation strategy documentation	<u>Data to be collected and analysed:</u> <ul style="list-style-type: none"> National climate change adaptation documentation (e.g. national climate change policy and strategies: NAPAs, NAPs, INDCs) Project documentation (e.g. project design missions, project proposal documents, correspondence with national partners) Key informant perspectives (e.g. government officials, civil society representatives, donor officials) Embassy staff survey <u>Sample:</u> Each country case study project	<i>For country reports</i> <ul style="list-style-type: none"> For each project evaluated, a mapping of the extent to which advancing transformation was an explicit part of project design <i>For overall report</i> Summary of country reports analysis	Dependent on availability of documentation and staff who were present at the time of project design
	5.2 Scale – Explicit consideration was given on how the project intervention could be scaled-up	<u>Data to be collected and analysed, and sample</u> – Same as for 5.1	<u>Analytical methods</u> – Same as for 5.1	Same as 5.1
	5.3 Systemic change – Innovation that sought deep and fundamental changes in national and sector policy and planning processes was part of the project design	<u>Data to be collected and analysed, and sample</u> – Same as for 5.1	<u>Analytical methods</u> – Same as for 2.1	Same as 5.1
	5.4 Sustainability – Growth paths that would require a shift away from “business as usual” were addressed in the project design	<u>Data to be collected and analysed, and sample</u> – Same as for 5.1	<u>Analytical methods</u> – Same as for 5.1	Same as 5.1
EQ6: Transformative outcomes: To	6.1 Relevance – Project outcomes have informed	<u>Data to be collected and analysed:</u> <ul style="list-style-type: none"> National economic data and development reports 	<i>For country reports</i>	Data availability and stage of project implementation may

Evaluation question	Indicators	Data	Methodology	Comment on validity /reliability
<p>what extent has support for climate change adaptation contributed to transformative responses to climate change?</p>	<p>subsequent national strategy for climate-resilient development</p>	<ul style="list-style-type: none"> • National climate change adaptation documentation (e.g. national climate change policy and strategies: NAPs, NDCs) • Project completion documentation • Donor country documentation (e.g. Danida country programme documents, WBG's Country Partnership Framework documents) • Key informant perspectives (e.g. government officials, civil society representatives, donor officials) • Embassy staff survey <p><u>Sample:</u> Each country case study project</p>	<ul style="list-style-type: none"> • For each project evaluated, a mapping of the extent to which the project has contributed to broader system change within this dimension of transformation <p><i>For overall report</i> Summary of country reports analysis</p>	<p>limit the assessment of a project's contribution to overall systems change</p>
	<p>6.2 Scale – The project has been extended or replicated by other donors or the government</p>	<p><u>Data to be collected and analysed, and sample</u> – Same as for 6.1</p>	<p><u>Analytical methods</u> – Same as for 6.1</p>	<p>Same as 6.1</p>
	<p>6.3 Systemic change – Project activity has brought about changes in how climate risk and resilience are integrated into core development planning</p>	<p><u>Data to be collected and analysed, and sample</u> – Same as for 6.1</p>	<p><u>Analytical methods</u> – Same as for 6.1</p>	<p>Same as 6.1</p>
	<p>6.4 Sustainability – Project initiated activity has continued since project closure with no reverting to past practices</p>	<p><u>Data to be collected and analysed, and sample</u> – Same as for 6.1</p>	<p><u>Analytical methods</u> – Same as for 6.1</p>	<p>Same as 6.1</p>

Evaluation question	Indicators	Data	Methodology	Comment on validity /reliability
Cluster 4 - Denmark's role in the global adaptation support landscape				
EQ 7: Global results: Has the Danish engagement contributed to global discussions on support to climate change adaptation in developing countries?	<p>7.1 Danish engagement at the global level had a clear policy dialogue agenda</p> <p>7.2 The policy agenda was well founded, was internally consistent, and reflected Danish policies</p> <p>7.3 Danish policy positions and agenda have influenced global approaches and practice</p> <p>7.4 Danish engagement has added value beyond its financing</p>	<p><u>Data to be collected and analysed:</u></p> <ul style="list-style-type: none"> • Danida documentation (e.g. organisational strategy, mandate papers, minutes of internal meeting or similar) • Key informant perspectives (e.g. Danida and the global entities for concrete examples) • Embassy staff survey <p><u>Sample:</u> MFA, relevant embassy staff, and other international agency staff</p>	<p><i>For overall report only</i></p> <ul style="list-style-type: none"> • User's appreciation and understanding of strengths and weaknesses of Danida policies, strategies, tools and procedures for global engagement 	<p>Dependent on documentation and staff availability</p>
EQ 8: Strategic approach: What were the factors that led to influence or lack of influence?	<p>8.1 Danish engagement was timely, consistent and used appropriate entry points</p> <p>8.2 Danish engagement worked with allies to find a common position</p> <p>8.3 Danish engagement took place both at operational and high level when required</p> <p>8.4 Danish engagement used a range of tools and means of exerting influence including, where appropriate, measures to enhance accountability such as improved results frameworks</p>	<p><u>Data to be collected and analysed, and sample</u> – Same as for 7.1</p>	<p><u>Analytical methods</u> – Same as for 7.1</p>	<p>Same as 7.1</p>
EQ 9: Institutional learning: Has institutional learning taken place within	<p>Danish climate change adaptation activities learned from the global discussions</p> <p>1.2 The internal feedback mechanisms within Danida were effective and efficient</p>	<p><u>Data to be collected and analysed, and sample</u> – Same as for 7.1</p>	<p><u>Analytical methods</u> – Same as for 7.1</p>	<p>Same as 7.1</p>

Danida on climate change adaptation that could support Danish input to the global adaptation and development agenda?	9.3 Danish capacity and readiness to influence global discussions has increased			
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