

## Survey Evaluation Process

The collected CCA solutions from the survey will undergo an objective quality control process to establish the feasibility and success of the solutions, primarily in terms of whether or not the solution is leading to, or has potential to facilitate transformation.

Considering transformative adaptation solutions as the gold-standard, information from the survey will be classified in accordance with four key dimensions for transformation (after World Bank 2016<sup>1</sup>):

**1. Relevance** – does the solution address a major constraint or problem of critical importance to sustainable development in mountain regions?

**2. Depth** of change – does the solution cause or support fundamental change in a governance system or behaviour?

**3. Scalability** of change – could the solution be feasibly scaled-up and duplicated in other mountain regions?

**4. Sustainability** – does the solution demonstrate financial, economic, and environmental sustainability?

For each of these dimensions we establish a series of indicators (and associated criteria) that can be objectively assessed based on responses given in the survey to the relevant question. For each indicator, we assess whether or not the criteria is met. In order for a solution to pass the quality control phase, and be included within the final listing of “gold standard” solutions, at least one indicator under each of the dimensions will need to be positive. For example, a solution that is focussed in a relevant location, shows evidence of innovation, is now being replicated in other programmes, and can provide evidence of well-established community support/ownership, could be considered gold standard, even if other indicators are not met. This will be a minimum starting point, and the thresholds may be adjusted if a high number of solutions pass the initial screening (considering also a balance of solutions regionally and by type).

While various studies include different criteria for identifying evidence of transformative adaptation, most are well captured under the 4 dimensions defined by the World Bank. We favour the World Bank approach as it comes from an applied or practical perspective with the aim of evaluating programs. One key difference from more academic approaches is that we put greater emphasis on the potential for scaling up, rather than on the initial scale of the solution. This enables the inclusion of small-scale solutions (e.g community based approaches) that may be only in the pilot phase, but offer large potential for future replication and mainstreaming.

The indicators used, and the associated criteria are outlined below. For each indicator, the relevant question from the survey is indicated in ( ).

---

<sup>1</sup> World Bank. 2016. Supporting Transformational Change for Poverty Reduction and Shared Prosperity: Lessons from World Bank Group Experience. Washington DC: World Bank Group.

**Relevance** of change the solution brings:

- Relevant location (3)
  - Solution is focussed in a mountain region
- Relevant sectors (7)
  - Solution addresses one or more sectors relevant for sustainable mountain development.
- Relevant climate impacts (8)
  - Solution addresses one or more climate-related impacts.

Eg., A programme to build earthquake-proof housing in Kathmandu would not fulfil these criteria.

**Depth** of change the solution brings

- Innovation evident (16)
  - Evidence of technical or methodological innovation is provided.
- Sendai Framework targets addressed (17)
  - The solution addresses one or more of the Sendai targets.
- SDG's addressed (18)
  - The solution addresses two or more of the SDG's.

**Scalability** of change the solution brings

- Barriers overcome (31)
  - Solution provider gives a clear description of how barriers relating to design and implementation were addressed.
- Mainstreaming evident (33)
  - Mainstreaming of the solution into local policy framework (e.g NAP) has occurred or is planned.
- Replication evident (33)
  - Replication of the solution has occurred or is planned.

**Sustainability** of change the solution brings

- Inclusive decision making process for planning and/or implementation (10)
  - A wide range of stakeholders have been involved in the process leading to the solution design and/or implementation
- Maintenance plan evident (20)
  - Ownership and long-term maintenance plan for the solution is secured.
- Future proofing evident (32)
  - The solution will remain viable and relevant under future climate conditions.

---

The initial screening and evaluation of the solutions using the scheme outlined above will be undertaken by the University of Geneva. Regional experts (including Outcome 2 partners) will be consulted to ensure that criteria are appropriately evaluated within the specific regional contexts, e.g., what might be considered as a technological innovation in one context may not hold true in another context. Once a preliminary listing of solutions is complete, it will be shared with the Expert Steering Committee who have engaged in the design of the survey.

An effort will be made to ensure the listing provides a balance of solutions, both geographically, and in terms of solution type. This may result in some adjustment of the selection thresholds to enable this balance.