

BASE

BOTTOM-UP CLIMATE
ADAPTATION STRATEGIES
TOWARDS A SUSTAINABLE EUROPE



BASE Evaluation Criteria for Climate Adaptation (BECCA)



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Title: D2.3 – BASE Evaluation Criteria for Climate Adaptation (BECCA)

Summary:

The aim of BASE Task 2.3 is to develop the **BASE Evaluation Criteria for Climate Adaptation (BECCA)**. It is a framework and criteria set that can be used to evaluate the implementation of adaptation policies and measures. It is based on existing frameworks and criteria sets for evaluating climate adaptation conducted at international and EU, Member States, sub-national and local level. BECCA was 'road-tested' with the BASE WP5 case studies and, on the basis of their feedback, developed recommendation how and for which contexts BECCA can be used.

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1 Introduction

Climate change threatens the countries, regions and economic sectors of Europe in different ways. Adaptation to climate change is therefore carried out through very different policies and measures. Monitoring and evaluating these initiatives is important for tracking successes and failures in order to foster learning. There already exist a large number of criteria and criteria sets to evaluate climate adaptation policies and measures and their implementation, e.g. in the EU Member States, notably in Germany, the UK, and Finland, in European institutions, such as the EEA, as well as in (international) organisations working in the field of climate adaptation. The criteria sets can be used to assess the effectiveness of an adaptation intervention, the avoided damage, the economic, environmental and social side effects etc. As climate adaptation is often about integrating climate aspects into other policy fields, criteria that assess the interlinkages between different policy objectives (e.g. co-benefits, trade-offs) are of particular importance.

The aim of BASE Task 2.3 is to analyse existing evaluation criteria for climate adaptation interventions and, on this basis, to develop a set of BASE evaluation criteria. To this end, the research examines how one can meaningfully evaluate adaptation at the level of specific activities that are the focus of the BASE case studies. This also means that it is important to consider the context specificity of adaptation and also policy coherence in the way it is experienced at 'street' and/or actor level. Criteria must be chosen based on the relationship between planned adaptation activities and the socio-economic, political, environmental and climatic context in which they will be implemented. The criteria must also be salient from the point of view of their primary user. The latter may vary from those vulnerable to a particular impact of climate change to local implementers of adaptation measures and developers of policy. Ultimately, the aim of BASE Task 2.3 is to develop the BASE Evaluation Criteria for Climate Adaptation (BECCA).

Our analysis proceeded in two steps: First, we conducted a meta-analysis of existing academic literature and policy documents that address the issue of adaptation evaluation. The aim was to identify already existing criteria and sets of criteria for evaluating adaptation policies and measures, and what the advantages or disadvantages of these criteria are. The meta-analysis included existing evaluation criteria for the international and EU level, national level and, where available, regional and local level. We systematised these criteria, by grouping them and by showing interrelations between them. The criteria were analysed according to, inter alia, clarity of definition, overlaps between different criteria, transferability and existing experiences with their use. This resulted in the formulation of a draft set of evaluation criteria for climate adaptation intervention, the draft BECCA.

In a second step, these criteria were reviewed by the BASE case studies (WP5).¹ They were asked to judge the usefulness and applicability of the draft BECCA against the background of the specific situation and setting in their case study. On this basis, we revised the draft BECCA and worked on guidelines about

¹ The BASE project examines 26 climate change adaptation case studies (22 from across Europe and 4 international cases) in order to gather insights particularly from the local level. They have been chosen to examine sector specific issues of adaptation as well as interactions across multiple policy levels. More information is available at the BASE website at <http://base-adaptation.eu/case-studies>.

how to apply them. As a result, BECCA can be understood as a check list of evaluation criteria for climate adaptation action which has to be applied selectively by the user who wishes to evaluate a concrete, context-bound adaptation case.

This Deliverable presents the work of BASE Task 2.3. It is organised as follows: In chapter 2, the meta-analysis of criteria for evaluating climate adaptation measures and the outcome of the analysis: the draft BECCA, are presented. Chapter 3 explains the 'road-testing' of BECCA and elaborates the results. In chapter 4, the final BECCA is presented. The Deliverable concludes with an outlook in chapter 5.

The BASE 2.3 work on climate adaptation evaluation contributes to BASE's general aim to foster action for sustainable climate change adaptation in Europe. With a special focus on climate adaptation evaluation, it works towards all specific goals of BASE², namely to

- *Improve adaptation knowledge availability, integration and utilization*: The BECCA provide a practical devise to generate meaningful and context-specific evaluation knowledge that is useful for decision-making on climate adaptation action; and
- *Support coherent, multi-level, multi-sector integrated adaptation policies*: Evaluation knowledge on the impacts adaptation interventions have, and on their successes and failures, is a precondition for sound and coherent policies and measures in climate adaptation.
- Last, but not least, BECCA can also be understood as a *means of promoting and strengthening stakeholder participation in adaptation* in that it provides a tool and guidance for adaptation evaluation that stakeholders might find useful to apply in a concrete adaptation setting. BECCA might eventually foster learning on the design and implementation of adaptation interventions.

Overall, BECCA aims at contributing to BASE's mission to make scientific and societal knowledge on adaptation meaningful, transferable and accessible to decision-makers and stakeholders at all levels.

² See BASE DoW, p. 3.

2 Meta-analysis of criteria for evaluating climate adaptation measures

The first step in the development of the BASE evaluation criteria of climate adaptation was an analysis of existing scientific reports and policy documents for climate adaptation evaluation. To this end, we developed a framework for reviewing existing evaluation concepts, frameworks and criteria. This was used to take stock of the material and for its meta-analysis.

The evaluation framework (see below) was set up on the basis of a literature review for which we went through existing frameworks and guidelines from international organisations (e.g. OECD, UNEP), national level initiatives (e.g. UK, Germany), and academic literature. The recent PROVIA Guidance on Assessing Vulnerability, Impacts and Adaptation³ was particularly helpful in this respect as it provides a rich overview on various aspects of vulnerability and adaptation assessments.

The developed framework was then applied to existing material on climate adaptation evaluation (meta-analysis). The aim was to systematise the approaches and criteria, by grouping and showing interrelations between them, and to identify their advantages/disadvantages and suitability for different adaptation situations. The outcome of this was a set of criteria that synthesised the material – which will be used and tested further in the BASE work (WP5). However, we soon discovered that it was difficult to come up with a comprehensive evaluation framework that covers all the available material. Therefore, rather than aiming at a one-fits-all list of evaluation criteria, an alternative strategy was to produce a map that represents the different approaches/levels/focal areas etc. From this map, users could pick what corresponds to specific needs and contexts.

2.1 Evaluation framework

The evaluation framework consists of a number of dimensions to be used in the analysis of existing climate adaptation evaluation frameworks and criteria. For each of them, a question is formulated which should be answered in the stock taking exercise. The evaluation fiche that contains these dimensions which we used in the analysis can be found in Appendix I.

1) *General characterisation*

Adaptation evaluation may take place at different analytical levels, ranging from the provision of a general (often procedural) overview to the concrete assessment of individual measures. As a first way of characterising the existing material, we can distinguish

- concepts
- frameworks

³ The Programme of Research on Climate Change Vulnerability, Impacts and Adaptation (PROVIA) was established by UNEP in 2010 to respond to the lack of international direction of research on vulnerability, impacts and adaptation to climate change. The report is available at http://www.unep.org/provia/Portals/24128/PROVIA_Draft_Guidance_on_Assessing_VIA-For_Review.pdf.

- guidelines
- criteria (sets)
- toolkits
- (special) methods.

Question: How can the adaptation framework/criteria set be characterised?

2) Purpose of adaptation evaluation

Evaluation of adaptation interventions may be carried out for different reasons. It may be that different actors involved have different ideas about the purpose of the evaluation, which will have an impact on the later phases of the evaluation, e.g. on which data are relevant, which indicators to be used, which methods and expertise is needed. Therefore, it is important to agree on the purpose of an adaptation evaluation.⁴

Broadly speaking, we can distinguish between **outcome approaches** to evaluation (what has been achieved?) and **process-oriented approaches** (how has this been done?).⁵ The two are obviously linked as outcomes cannot materialise without a process and as outcomes provide feedback on processes.

The UKCIP's AdaptME Guidance⁶ lists various rationales for undertaking evaluations of adaptation activities that can be subsumed under one of the above categories:

Outcome-oriented approaches aim to:

- evaluate effectiveness,
- assess efficiency in terms of results,
- assess outcomes, and
- compare with other evaluations.

Process-oriented approaches aim to:

- assess the efficiency of processes
- improve further interventions,
- improve learning,
- provide accountability, and
- understand equity.

⁴ UNEP (2012), PROVIA Guidance on Assessing Vulnerability, Impacts and Adaptation, p. 72.

⁵ Harley, M., Horrocks, L., Hodgson, N. and van Minnen, J. (2008), Climate change: Vulnerability and adaptation indicators: The European Topic Centre on Air and Climate Change (ETC/ACC). See also: UKCIP (United Kingdom Climate Impacts Programme) (2010): The UKCIP Adaptation Wizard V 3.0. Oxford. Available online at: <http://www.ukcip.org.uk/wizard/>.

⁶ Pringle, P. (2011), AdaptME: Adaptation monitoring and evaluation, UKCIP, Oxford. Provention 10 Consortium, 2006, Community risk assessment tool-kit. Available online at: http://www.proventionconsortium.org/CRA_toolkit.htm.

Question: What is the purpose of adaptation evaluation? Does it take an outcome approach or a process approach?

3) Outcome criteria

An outcome-based approach “seeks to evaluate an explicit outcome, or end point, of the adaptation action”⁷. The criteria for evaluating outcomes can be distinguished in criteria to assess their costs and benefits (in broad terms). The question here is which impacts are rather negative (costs, e.g. detrimental environmental impacts) or positive (benefits, e.g. improved robustness of the setting, alleviation of negative climate impacts).

Question: Which outcome criteria are taken into account?

4) Process criteria

A process-based approach “seeks to define the key stages in a process that would lead to the best choice of end point, without specifying that point at the outset”⁸. Process criteria are needed to inform and justify decisions, and to assist decision-makers and others to progress strategically and proactively through the adaptation process. Moreover, when analysing the adaptation processes from an outside (scientific) perspective, the adaptation process is often in focus (hence, the majority of the subsequent categories address the process dimension of adaptation action). Actors in the field dealing with adaptation are often more interested in the outcomes of their actions. Yet the process may nevertheless be relevant for ensuring quality results, but also to build or strengthen social skills fundamental for increasing adaptive capacity.

Question: Which process criteria are taken into account?

5) Levels of adaptation

Adaptation policies and measures take place on different levels, such as

- national policy initiatives, sub-national policy initiatives, local level/community-based adaptation,
- sectoral adaptation, and
- programme and project-level adaptation.

Question: Which level of adaptation is addressed with the evaluation framework/criteria?

6) Stage of the adaptation cycle

Evaluations of adaptation measures take place at different stages in the adaptation cycle. The stages of the adaptation cycle are parallel to those that can be found in conceptualisations of the policy cycle. While adaptation decision making can actually be more complicated and recursive than implied by a stages

⁷ Harley et al. (2008), p. 10.

⁸ Ibid.

approach, breaking down the policy process in such a manner creates a useful heuristic lens which disaggregates policy-making into consecutive stages and sub-stages.⁹

For evaluating adaptation action, we can accordingly distinguish:

- 1) evaluating problem perception and framing,
- 2) appraising climate change impacts,
- 3) appraising adaptation options,
- 4) evaluating implementation of adaptation actions, and
- 5) monitoring and evaluating adaptation action and learning.

At each stage in the policy cycle, different criteria and methods might be used in the appraisal. In addition, it also depends on the governance level from which stage is addressed: From the perspective of national policy-making, the implementation of the policy might be the focus, whereas from a local level perspective this implementation phase represents the phase of agenda setting – with different evaluation requirements in each case.

Question: Which stage of the adaptation cycle is addressed with the evaluation framework/criteria?

7) Adaptation context

Adaptation policies and measures are embedded in different adaptation situations and contexts which impact on the success and failure of action. It is therefore important to describe the governance context in which adaptation takes place. In this regard, we can distinguish

- natural and socio-economic environment¹⁰,
- institutional environment¹¹, and
- actor-specific characteristics¹².

Each of these characterise the context.¹³ It would then be interesting to understand which contextual factors give rise to a particular course of action in a given adaptation case and, in particular, to identify drivers and

⁹ There exist a number of approaches which all slightly differ. In principle, the following stages are always included: agenda setting, policy formulation, policy implementation, evaluation.

¹⁰ Natural and socio-economic conditions are understood as the non-institutional context within which adaptation takes place. These conditions include, among others, characteristics of climate change and its projected impacts (intensity, velocity, spatial and temporal scale), characteristics of the natural environment in general (e.g. natural setting, altitude and other geographical patterns), characteristics of the socio-economic system (e.g. patterns of demography and economic development), and characteristics of the adaptation technologies available.

¹¹ Institutions can be formal and informal: Formal institutions are laws and regulations; informal institutions include (organisational) routines, and cultural and societal values and beliefs.

¹² Actor-specific characteristics encompass perceptions, preferences, experiences and knowledge, which guide the behaviour and decisions of policy makers.

barriers of this course. Identifying such factors that influence adaptation can be considered an important step to design strategies to break through 'adaptation bottlenecks'.

Question: How is the adaptation context considered in the evaluation framework/criteria?

8) Adaptive capacity¹⁴

Adaptive capacity describes the ability or potential of a system, including institutions and social groups, to respond successfully to climate change. It refers to adjustments in both behaviour and in resources and technologies. As such, adaptive capacity is a precondition for the design and implementation of effective adaptation strategies so as to reduce the likelihood and the magnitude of harmful outcomes resulting from climate change. Adaptive capacity also enables sectors, institutions and actors to take advantage of opportunities or benefits from climate change, such as a longer growing season or increased potential for tourism.¹⁵ For measurement, often aggregate socio-economic variables (such as GDP, education etc.) are used. The evaluation of adaptive capacity belongs to the process-oriented approaches (see above).

Question: How is adaptive capacity considered in the evaluation framework/criteria?

9) Role of participation

In climate change adaptation there may be lack of a clear agreement about what the problem is and there may be uncertainties and ambiguities as how to make improvements. In this sense adaptation shares some characteristics of 'wicked' problems¹⁶. Addressing such a problem requires an approach that brings in the perspectives of various involved actors, on the problem definition and on what a successful solution might be. For example, actors or institutions funding an adaptation intervention may see their project as suiting particular needs but the intended 'beneficiaries' may see no improvement. Participation of various stakeholders in the adaptation evaluation is an important device for bringing in these different perspectives allowing a more consensual, robust and resilient 'solution' to be achieved and implemented. It is also known that when a decision is more participatory, more stakeholders feel the ownership of this project/activity making this option more durable and more socially accepted.¹⁷

Question: How is citizen and stakeholder participation considered in the evaluation framework/criteria?

¹³ Lehmann, P., et al (2012), Understanding barriers and opportunities for adaptation planning in cities. UFZ-Discussion Paper 19/2012, pp. 5-9.

¹⁴ On the issue of adaptive capacity, see also BASE D4.1, chapter 3.4.

¹⁵ Brooks, N. and Adger, W.N. (2005), Assessing and enhancing adaptive capacity. In B. Lim and E. Spanger-Siegfried (eds.): *Adaptation Policy Frameworks for Climate Change: Developing Strategies, Policies and Measures*, UNDP-GEF: Cambridge University Press, pp. 165-181.

¹⁶ Rittel, H.W.J. and Webber M.M. (1973), Dilemmas in a general theory of planning. *Policy Sciences* 4, pp. 155-169.

¹⁷ UNEP (2012), pp. 82, 222.

10) Policy coherence and vertical integration

Adaptation is not a stand-alone policy domain. The task of designing adaptation policies and measures therefore is to integrate, or mainstream, the consideration of climate change impacts and risks into existing sectoral policies and across different policy levels. These approaches can be further differentiated on the basis of whether climate is already considered in a given policy and across levels. If climate impacts have been identified as a risk, climate ‘proofing’ policies address relevant risks early in the policy formulation process and identify any obvious effects on other sectors or objectives.

Question: Is the issue of policy coherence and vertical integration addressed in the evaluation framework/criteria?

2.2 Selection of material

The selection of material for the analysis proceeded as follows: We attempted to cover a range of different types of material from the policy world, society and academia. This included general concepts, frameworks, guidelines, criteria and criteria sets as well as methodological toolkits. The material should cover different levels of adaptation (EU, national, regional, local, project/programme level) and different sectors. Further, evaluation frameworks and criteria may refer to different steps in the adaptation cycle. Another important dimension was whether the material was process- or outcome-oriented, or both. We analysed in total 65 pieces (policy documents, project documents, scientific articles etc.) on climate adaptation evaluation.

In the following Tables (1-4), the analysed material is characterised regarding these dimensions (multiple answers possible with all the dimensions).

Table 1: General characterisation of the analysed material

Material type	Number
Framework	37
Guidelines	16
Criteria/criteria set/index	15
Concept	7
Method/tool/toolkit	13

Table 2: Level of adaptation the material refers to

Level of adaptation	Number
All levels	10
EU	9
National	23
Regional	9
Local	22
Project/programme level	9
Sectoral	2
N/a	4

Table 3: Stage in the adaptation cycle the material refers to

Stage in adaptation cycle	Number
1. Evaluating problem perception and framing	32
2. Appraising climate change impacts	33
3. Appraising adaptation options	40
4. Evaluating implementation of adaptation actions	37
5. Monitoring and evaluating adaptation action and learning	41
The whole decision cycle	21

Table 4: Purpose of adaptation evaluation for which the material was destined

Purpose of adaptation evaluation	Number
Primarily process-oriented	21
Primarily outcome-oriented	20
Process and outcome-oriented	22
N/a	2

The analysed material is listed in Appendix II.

2.3 Analysis of existing approaches to climate adaptation evaluation

The selected material on climate adaptation evaluation was then analysed using our evaluation framework. For all the empirical material, evaluation fiches were filled in. The answers were grouped by the evaluation fiche questions in 10 so called documentary fiches. These formed the empirical basis of our analysis. The further analysis was carried out in two subgroups: one focused on processes issues in climate adaptation evaluation, and the other one on outcomes.

In an exercise of taking stock, arranging and re-arranging the identified evaluation criteria, we compiled a list of climate adaptation evaluation criteria, the draft BECCA. The list contains outcome- and process-criteria. In each category, a number of main criteria and subcriteria were distinguished. In order to be precise about the meaning of the criteria, a short definition was provided for each of them. The draft BECCA list can be found in Appendix III.

3 'Road-testing' of draft BECCA

The next step in the analysis was testing of the draft BECCA with the BASE case studies (WP5). They were asked to provide feedback on the usefulness and applicability of the criteria. The aim was to gain insights into 'user needs' in climate adaptation evaluation. Also, we were looking for insights into the suitability of certain criteria for different adaptation situations/levels/policy areas etc.

The case studies' feedback on the draft BECCA was related to the structural properties of each case study (e.g. the adaptation problem, policy area, level of action, actor constellation etc.). This allowed us to relate the criteria for climate adaptation evaluation to specific adaptation situations. Eventually, the BECCA was envisaged as a 'map' of adaptation criteria (sets) along with instructions on how to use this map. With this, the users of BECCA working in a particular adaptation situation should be in the position to conduct an integral, deep and 'well fitted' evaluation of their adaptation case.

3.1 Collecting feedback from BASE case studies

The feedback of the case studies was collected using a questionnaire that examined criteria from three different angles.

First, we asked for judgement on each individual evaluation process- and outcome-criterion. The case studies were requested to rate the criterion (on a scale from 1 (low) to 5 (high), n/a as an additional option) using three dimensions: relevance of the criterion, feasibility of the evaluation, availability of information to be used in the evaluation. Although the dimensions were not explained in detail in the survey, we assumed that 'relevance' would indicate generally if the criterion was felt to be something useful to know in evaluating adaptation, 'feasibility' if the criterion could (conceptually) be applied in practice and 'availability of information' whether one could find the necessary data to come to some conclusion. The reference against which to judge the usefulness of the criteria was always a specific case study. In addition, it was possible to add further comments regarding each criterion.

The second angle aimed for a general ranking of the process- and outcome-criteria, respectively by asking the case studies to identify the most crucial/pivotal criteria (judged against the background of the specific case). Here, the case studies could pick the most important general criteria and/or subcategories. The case studies were further asked to provide their opinion on the overall feasibility to evaluate climate adaptation using the presented criteria.

The third angle aimed at highlighting general views on the criteria. This was achieved by asking the following questions:

- Do you find BECCA and the single criteria useful for your adaptation case (on a scale from 1 (not useful) to 5 (highly useful))? Please, explain why.
- Is the distinction in process/outcome criteria useful (on a scale from 1 (not useful) to 5 (highly useful))? Please, explain why.

- Do you find the guidance specific enough (on a scale from 1 (too unspecific) to 5 (very good level of specificity))? What else would you need to meaningfully apply the criteria to your case?
- Could you think of a typical situation in your case study when to apply these criteria (e.g. as an academic exercise, some kind of meeting with certain stakeholders, a level where these could typically be discussed etc.)? How/in which situations would you use the evidence that comes out of such an evaluation?
- Are there any other comments or thoughts you would like to share regarding the evaluation of climate adaptation?

The questionnaire was available online.¹⁸ 20 BASE WP5 case studies provided their feedback which was then evaluated. The properties of the case studies are further described in section 3.2.2.

3.2 Analysis of BASE case studies' feedback

The aim of the analysis of the case studies' feedback was to revise the draft BECCA and to set up a shortlist of evaluation criteria. Due to the rather small number of cases, the analysis proceeded qualitatively. Following a heuristic approach in data analysis, our aim was to understand and explain patterns in evaluation criteria preferences.¹⁹

We analysed the aggregated data as well as the contextualised data, i.e. data related to certain properties of the case studies (see section 3.2.2). The proceeding of the analysis will be described in the following sections.

3.2.1 Aggregate data

The aggregated data refer to the accumulated answers of the case studies. In a first step, the figures (%) were translated into a qualitative assessment based on a judgment of the distribution of the scores. On the ordinal scale values: high, medium, low; combinations (e.g. medium to low) were possible reflecting the distribution of scores. For example, 'high' was given when a clear majority of scores were above 3; 'low' was given in the opposite situation (see Table 5).

¹⁸ See <http://polls.ecologic.eu/index.php/524876/lang-en>.

¹⁹ See e.g., Grbich, C. (2013), *Qualitative data analysis. An introduction*. Los Angeles: Sage.

Table 5: Example of translating figures into an aggregated ordinal scale

Evaluation criterion X, in terms of	Score	Percentage	Aggregated ordinal scale
Relevance	1 (very low)	12 %	High
	2	0 %	
	3	0 %	
	4	41 %	
	5 (very high)	47 %	
	n/a	0 %	
Feasibility	1 (very low)	18 %	Medium (varies)
	2	0 %	
	3	41 %	
	4	29 %	
	5	12 %	
	n/a	0 %	
Availability of information	1 (very low)	29 %	Medium to Low
	2	29 %	
	3	18 %	
	4	12 %	
	5 (very high)	12 %	
	n/a	0 %	

In order to rank the criteria, we had to take account of the different analytical dimensions (relevance, feasibility, availability of information). This was done in the following way: Relevance was the main (lead) dimension; criteria with low relevance were not further included in the analysis. The other two dimensions (feasibility and availability of information) were treated equally, meaning that we attached the same weight to each dimension which then formed an ‘average’ qualitative value. The values in the different dimensions were then combined, leading to higher/lower ranking in the shortlist of evaluation criteria.

The ranking of criteria at first applied to the main categories. The subcategories²⁰ within each main criterion were sorted following the same reasoning.

In this way, a ranking of evaluation criteria was established. This was contrasted with the feedback of the case studies in which they were asked to identify their ‘favourite’ criteria from the overall list. This information was also included to establish the final BECCA.

²⁰ For example, the (general) criterion ‘efficiency’ included four subcategories, namely cost-benefit-ratio, total costs, benefits, uncertainty of evaluated costs and benefits.

3.2.2 Contextualising the data

In order to provide guidance to prospective BECCA users on when to apply which evaluation criteria, we analysed the case studies' feedback on preferred criteria in relation to different structural properties of the case studies. The following context dimensions were considered:

- Sectors covered, e.g. agriculture, water resources;
- Primary climate change impacts targeted with adaptation policies/measures;
- Retrospective vs. prospective approach, i.e. whether the case study is looking at completed or ongoing activities, respectively;
- Single measure evaluation vs. integrated evaluation i.e. whether the case study is looking at single or multiple policies/measures, respectively;
- Bottom-up vs. top-down adaptation action i.e. whether adaptation action is a response to guidance from a higher administrative level or if it is a local initiative, respectively;
- Analytically-driven vs. process-driven case studies, i.e. whether the focus is on outcomes or on the process of adaptation; and
- Conflictual vs. consensual setting that dominates the case study context.

The analysis of the case studies' feedback by context factors proceeded as follows: Answers of the case studies were organised by groups built around a context dimension (e.g. sectoral groups). For most dimensions, the case studies could be clearly attributed to certain types/categories. For some context dimensions, however, the case studies were attributed to more than one (e.g. in the dimension retrospective vs. prospective, a number of case studies addressed both). The answers of these cases formed a separate group in the analysis – and were compared to the other groups (in this example: retrospective case study group and prospective case study group).

The properties of the case studies are presented in the tables below.²¹

Table 6: Sectors covered by the case studies that provided feedback (multiple entries possible)

Sector	Number of cases
Agriculture	4
Biodiversity & Ecosystems	6
Coastal and Marine systems	4
Energy	0
Health and Social Policies	3
Transport	3
Production Systems and Physical Infrastructures	4
Water resources	4
Tourism	4

²¹ Among 20 case studies that provided feedback on the draft BECCA, there was one partner responding to the questionnaire for their four case studies in one. Hence, these answers could be used for the aggregate results but not for the contextualized analysis. As a result, the case studies' properties presented in the tables are referring to 16 individual case studies.

Table 7: Primary climate change impacts covered by the case studies that provided feedback (multiple entries possible)

Primary climate change impacts	Number of cases
Extreme temperatures	5
Water scarcity	3
Flooding	12
Coastal erosion	6
Droughts	4
Soil erosion	3
Vector borne diseases	2
Damages from extreme weather related events (storms, ice and snow)	7

Table 8: Focus of the case studies that provided feedback: Retrospective vs. prospective

Focus	Number of cases
Retrospective	3
Prospective	5
Retrospective and prospective	8

Table 9: Focus of the case studies that provided feedback: Single measure vs. integrated evaluation

Focus	Number of cases
Single measure evaluation	3
Integrated evaluation	12
n/a	1

Table 10: Focus of the case studies that provided feedback: Bottom-up vs. top-down adaptation action

Focus	Number of cases
Bottom-up adaptation action	4
Top-down adaptation action	2
Bottom-up and top-down approach	10

Table 11: Scale of the case studies that provided feedback: Local, regional, national, EU/international (multiple entries possible)

Focus	Number of cases
Local	15
Regional	12
National	3
EU/international	1

Table 12: Focus of the case studies that provided feedback: Analytically-driven vs. process-driven

Focus	Number of cases
Analytically-driven	6
Process-driven	10

Table 13: Characterisation of the case studies that provided feedback: Conflictual vs. consensual adaptation setting

Characterisation	Number of cases
Conflictual adaptation setting	2
Consensual adaptation setting	9
Conflictual and consensual setting	4
n/a	1

The guiding question in the contextual analysis was whether there are differences in the answers provided by the groups that had been formed. We analysed in two steps whether the answers provided by the respective groups differed from one another. First, the feedback on single criteria was compared to find out whether there were clear differences between answers. Second, for each group a ranking of criteria ('hit list') was set up, following the way described above (under a). Then, these group 'hit lists' were compared against each other and also with the overall 'hit list' to see whether the preferences of the groups differed from one another.

The dimensions in which the answers of the groups were very similar were not analysed further. When the answers did differ, we took this as an indication that the particular context dimension could be relevant. We then needed to hypothesise why this is the case in order to be able to draw conclusions for the BECCA guidance.

3.2.3 Further issues to be considered

Apart from the scoring exercise, the case studies were also asked to comment on single criteria as well as to answer a couple of questions on general preferences regarding the design of climate adaptation evaluation (see chapter 3.1). This feedback was analysed qualitatively and taken into account in the (re-) formulation of BECCA where appropriate.

3.3 Results of case studies' feedback

In this section, we present the findings from the BASE case studies' feedback for the revision of the draft BECCA. The more general findings are summarised in boxes throughout the text. The final version of BECCA is subsequently presented in chapter 4.

3.3.1 The usefulness of BECCA

The aggregate result of the case studies' feedback (see Appendix IV) suggests that, overall, the various outcome and process criteria rank high on relevance. There are no major differences between the individual criteria based on the aggregated ranking scores. There is also very little variation in the rankings of main criteria relative to the associated sub-criteria in terms of relevance. Thus there appears to be good degree of agreement among case study researchers on which aspects are interesting to assess in relation to adaptation efforts at local/regional level.

This suggests that BECCA captures relevant issues at a conceptual level and there is no reason to fundamentally modify or shorten the list.

The limits to apply BECCA in specific cases are revealed by the scoring and comments on feasibility and availability of information. We found clear differences in the rankings of (sub-)criteria regarding feasibility and availability of information. This implies that challenges occur in the practical application of indicators which may be limited in terms of data availability and other factors. Moreover, many criteria show low data availability alongside low feasibility which is not surprising since the two are interlinked. For example, information on effectiveness appear to be available mainly at a general level (e.g. regarding 'relevance', 'scope of effect' and 'vulnerability') whereas more specific information (e.g. regarding 'windfall profits', 'avoided damage', 'level of resilience' and 'adaptive capacity') is lacking or difficult to obtain. Similar patterns appear to be valid for the other BECCA criteria.

This suggests that, in practice, application of the full BECCA in evaluations is unlikely to happen. The problem however is to determine which criteria (and subcriteria) have greater potential to be applied in practice as this is highly dependent on the specific adaptation case. As this is a structural issue a reorganisation of the BECCA criteria does probably not help – though some fine tuning might help to sharpen the list.

One interesting question is the consistency between the perspectives on the suggested evaluation criteria. The case studies assessed the same criteria in two different ways: First, each case study judged the relevance, feasibility and availability of information for each criterion separately (Appendix IV). Second, the case studies were asked to 'vote' for the most crucial/pivotal criteria, judged against the background of their case study (Appendix V).

For some criteria, such as 'participation', we found that high relevance and feasibility (Appendix IV) corresponded to high preference for the use of the criterion (Appendix V). For other criteria, these two perspectives gave different results. Thus 'efficiency' (with all the related economic indicators for assessment of the direct effects in the case studies) was rated high with respect to relevance and feasibility when viewed individually (Appendix IV) but was considered less crucial or pivotal than general 'side effects' when viewed together with the other criteria (Appendix V). This observation may suggest that many case studies have not yet reached a stage where efficiency is to be determined and therefore see that it is more important to get a general overview of side-effects rather than specific economic efficiency measures.

Another example is 'coherence' (and consequently all the associated sub-criteria on integration and institutional interactions) which ranked low in der overall ranking (Appendix V) even though they individually were considered relevant (Appendix IV). This may be due to the fact that most of the case studies (and even more for the bottom-up ones) did not include analysis of structured institutional mainstreaming processes of climate adaptation. As a result, less importance might be devoted to the (sectoral and vertical) interlinkages between policies. An alternative explanation is that there is still limited awareness of how and to what extent some intervention measures correlate and connect with other policy domains. This finding is consistent with the low ranking of other criteria, such as 'dependencies' among the process criteria.

Several criteria displayed an opposite picture in that they were considered important relative to other criteria (Appendix V) despite being given low scores in feasibility and availability of information (e.g. various effectiveness-related criteria such as 'avoided damage' and 'reduction of exposure') (Appendix IV).

Overall, the findings suggest that the analysis of case studies' feedback on the relative importance of criteria should take into account the actual context of the adaptation situation. Some characteristics of the BASE case studies might be specific and, hence, conclusions drawn from that are not to be generalised for all possible settings of climate adaptation evaluation.

The context-specific analysis of the rankings and preferences may shed some more light on the discrepancies between the perspectives. The importance of context is also shown by the responses that displayed a great demand for very concrete criteria such as 'avoided damage' and 'reduction of exposure'. These relate to questions of immediate significance in the local context in which action should take place. Unfortunately, many of these are very complex and difficult to measure (especially in quantitative terms). The general information supporting the use of such criteria can mainly be developed at a general level (e.g. through methodological guidance and general background/reference variables on, for example, rainfall, drought and flood risks), but the specific information has to be collected on site at a cost. This means that there is demand for ways to also assess the cost of obtaining the relevant information in relation to the value of the information.

This suggests that the BECCA should not only provide criteria for climate adaptation evaluation but should include also analysis of the feasibility, including costs of using these criteria as a relevant dimension to be considered when applying these criteria, and provide guidance thereof.

3.3.2 Findings for context-specific recommendations on BECCA

We also analysed the case studies' feedback with regard to seven context dimensions, i.e. structural properties of the cases that might influence their preferences of evaluation criteria. The context dimensions were:

- Sector
- Climate change impacts
- Analytically-driven vs. process-driven case studies
- Retrospective vs. prospective case studies
- Single measure evaluation vs. integrated evaluation

- Bottom-up vs. top-down adaptation action
- Conflictual vs. consensual setting

A general difficulty lies in the attribution. The patterns we found can be due to the very characteristic of the adaptation situation or they could be the consequence of other factors. We have, however, made an effort to provide qualitative interpretations of the results that forms a background for our recommendations on how to use the BECCA criteria.

Sectors (Appendix VI)

Our analysis revealed differences between the case studies from different sectors, but the attribution of the differences to sector specific as opposed to case specific conditions is very difficult. However, some issues are worth exploring further. For example, the agriculture case studies scored particularly low on feasibility and availability of information for ‘sustainability’, ‘impacts’ and ‘side-effects’ criteria. To what extent this reflects a general feature of agriculture or the specific features of the BASE agriculture case studies cannot be decided. In general, availability of information for sustainability, impacts and side-effects subcriteria is a challenge for all sectors (see Table 14). In terms of feasibility, only tourism and coastal/marine systems reveal a good share of high or medium scores.

Table 14: Sustainability, Impacts, Side-effects: Number of criteria and subcriteria scoring high or medium on feasibility and availability of information

Sector	Feasibility	Availability of information
Tourism	11/12	5/12
Coastal and marine systems	10/12	5/12
Biodiversity & Ecosystems	8/12	4/12
Production systems and physical infrastructures	7/12	4/12
Water	7/12	3/12
Health and social policy	6/12	2/12
Transport	4/12	5/12
Agriculture	1/12	0/12

These scores may be explained, among others, by sector specific differences in the availability of data and research. For example, coastal protection is a well-studied sector with known climate adaptation measures such as dikes and other flood protection measures. By contrast, the low scores for example regarding health and social policy might indicate the higher complexity of these systems and the low number of effective or socially accepted hard measures or ‘retreat’ options.

For ‘efficiency’ and ‘effectiveness’, the explanation is likely to be the same: Information on cost and benefits are better available for coastal protection measures because projects are already implemented and studies are available. Also for production systems and transport, and partially human health, the available information for the evaluation of efficiency is estimated relatively high. A likely explanation is that production

systems and transport operate with market prices and a large share of public planned investments for which costs and benefits are demanded and often calculated. For agricultural activities, which are dispersed and not centrally planned, there seems to be a lack of information.

Also, the available information for agricultural activities for evaluation of 'coherence' is scored as low. The reason could be the large number of available measures in the agricultural sector. The measures often have overlapping impacts and therefore benefits can increase or decrease if other measures are also implemented.

The ranking of the criteria revealed that, for the agriculture case studies, 'acceptability' was the most important criterion. Here experience most likely plays a major role in that activities rely on the uptake of the large number of actors, especially farmers, is highly relevant for the success of the action. Also the large number of involved actors increases the relevance of existing acceptability, because awareness raising, etc. is a lot more resource-intensive compared to other sectors.

Regarding process criteria, most of the case studies' sectors reveal similar ranking patterns (e.g. scoring on the low side for 'dependencies and 'flexibility'). The exception to this appears to be tourism and production systems & physical infrastructures which score higher on both criteria (though the two do not seem to follow a similar pattern). It is difficult to speculate why this may be the case. 'Adaptive capacity of actors' and 'institutions' has a lower relevance in the infrastructure sector probably because in some cases stakeholders involvement might be reduced (see the MOSE-project in Venice where the alert system and public reaction will be less and less crucial when the infrastructure (here floodgates) becomes operational).

These lines of thought however only selectively spotlight some possible correlations in the sectors. In reality, there may be a lot more. Again, this indicates the need to take into account the actual context of the adaptation situation.

Climate change impacts (Appendix VII)

Under this category, we analysed whether the nature of climate change impacts, and accordingly the action taken against them, has an impact on the preference of evaluation criteria for climate adaptation action. The categorisation followed the one used in the BASE²² (namely extreme temperatures, water scarcity, flooding, coastal erosion, droughts, soil erosion, vector borne diseases, damages from extreme weather related events (storms, ice and snow)).

We found some patterns in the case studies' feedback but these may well be a result of the individual case studies rather than a characteristic of the type of impacts addressed in the cases. A general caveat is also that, apart from a few cases that focus solely on flooding, most case studies address multiple impacts that differ in terms of nature, time frame and experience in dealing with these impacts. This makes it rather

²² For details, see the BASE Case Study Living Documents in which the details of the BASE case studies are collected according to a general structure.

difficult to infer much from this contextual factor. However, some deductions may nevertheless be supported by our observations.

For both outcome and process criteria, it seems that case studies dealing with extreme temperatures, water scarcity, flooding and coastal erosion assigned higher scores to all the criteria than the cases addressing droughts, soil erosion, vector borne diseases and damages due to extreme weather events. It is however extremely difficult to hypothesise why this is the case.

Differences among the impacts may furthermore lie more on the side of feasibility and availability of data. In this regard, the case studies dealing with flooding and coastal erosion assign the highest scores. This is likely to be due to the existence of larger number of (environmental and economic) impact studies available in these sectors and a wider use of the outcome criteria among practitioners. Regarding the 'effectiveness' criterion, for example, the evaluation of measures for flooding and coastal erosion is less uncertain also due to the fact that they are already implemented – e.g. numerous dikes have already been built and can be used as a reference. The same can be seen for the evaluation of 'efficiency'. The case studies addressing flooding give higher scores especially regarding feasibility and availability of information. Especially for dikes, efficiency evaluations already exist. Flood protection requires large, long-term measures which have, because of their large budgets, a high need for proper efficiency evaluation. Also for damages from extreme weather events, feasibility and availability of information is estimated high. One explanation could be that damages are directly estimated after such events, e.g. by insurance companies, so they are available and can be used for further evaluation.

Our results suggest that availability of studies and material to be used in the evaluation differs with regard to the impacts addressed in climate adaptation. The situation appears to be best in cases dealing with extreme weather events, flooding and coastal erosion. In these areas lot of adaptation measures have already been implemented and, hence, more information is available to be used in evaluations of such measures.

A number of interesting observations emerge from the assessment of single evaluation criteria. 'Equity' is a recurring issue in water scarcity and drought but less so in coastal erosion, which is more concerned with efficiency, sustainability, impacts and side effects. One can assume that the nature of the adaptive action and the climate impacts dealt with affect the relative importance of criteria. This could be as follows: First, there is presumably a difference between the general preparedness for occasional extreme events (temperature, droughts, floods) and constant processes such as coastal erosion, to which climate change only contributes partly and indirectly (sea level rise + storm surges). Second, it is natural to assume that the type of measures (for example, preparation for emergency response vs. heavy investment to increase resilience) will affect the importance of evaluation criteria. 'Cost effectiveness' and 'efficiency' are particularly important for large investments. Participation is, on the other hand, important for all impacts that imply some form of community response (e.g. extreme temperatures, vector borne diseases).

The criterion 'reduction of exposure' gets lower scores from case studies dealing with droughts, soil erosion and vector borne diseases. This is probably because the measures planned or discussed in the case studies mainly intend to reduce vulnerability not through the 'exposure' variable but by favouring alternative

options (e.g. reducing sensitivity, impact, or increasing adaptive capacity). These major differences might therefore be explained just by the typology of measures that is likely to be adopted.

Concerning 'side effects' and 'sustainability', most of the case studies assign less relevance to side effects in general, particularly those dealing with impacts of extreme temperatures, droughts, and vector borne diseases. Specifically, these case studies rank low the criteria on indirect economic aspects (such as employment or innovation/competition advantages). This is probably because the main thrust of the case studies is directed at the economic assessment at local level, while the analysis of side effects implies an extension of the boundaries of the study to a larger context. The only exception is the case studies dealing with soil erosion where employment and distributional effects are taken into greater account. This might be explained by the very tangible site-specific effects that soil erosion and the respective contrasting measures generate, also on the social and economic variables (e.g. on farmers and on farmers' income). Medium and low relevance respectively of the 'side effect' criteria from case studies addressing extreme temperatures and vector-borne diseases further suggest that it is quite evident that the primary effects are the most significant especially in terms of numbers (people affected, avoided economic damage from mortality and morbidity).

Among the process criteria, 'flexibility' is apparently considered more meaningful in case studies addressing coastal erosion and flooding than in cases of water scarcity, drought and vector-borne diseases, and even less so in cases of extreme temperatures. This is presumably because scenario analysis and their results might play a major role in the first two impact categories, e.g. regarding sea level rise or level of flooding, to implement suitable adaptation actions. Due to the level of uncertainty still surrounding future projections, it is better to adopt flexible measures (e.g. consider how a changing scenario in sea level rise might compromise your adaptation if you are not able to 'correct the route'). Evidently, measures in the extreme temperature impact category are more likely no-regret measure or rather independent from precise scenario projections (see for instance alert systems: once they are installed – for current or anticipated needs – they are intended to work in whatever future scenario).

For vector-borne diseases, 'participation' is evaluated much lower in relevance, feasibility and availability of information compared to other impacts. The reason maybe that measures and policies are mainly developed by experts because extensive knowledge of the diseases is necessary for developing and implementing protection measures.

Our observations suggest that the nature of climate change impacts to be addressed is related to the criteria selected for evaluations. The links are, however, complex and manifold. They are also highly dependent on the type of adaptation action that can be taken. The choice of criteria should, also for individual adaptation situations, recognise the specificity of the adaptation measures.

Analytically- vs. process-driven case studies (Appendix VIII)

There are some discernible differences between analytically- and process-driven case studies. However, the variation of the results also suggests that the underlying causes may be contextual rather than related to the 'driver' of the cases (i.e. analytically or process-driven). This attribution problem notwithstanding,

some logical similarities and differences exist. First, it seems that there is general agreement across case studies in the criteria's 'relevance' dimension.

The finding suggests that we should not conclude that outcome criteria are especially relevant to analytically-driven adaptation evaluations whereas process criteria better fit with process-driven evaluation settings. Evidently, both types of evaluation criteria are relevant for any type of adaptation evaluation.

The contextual analysis reveals differences regarding 'feasibility' and 'availability of information', however. Both are assessed lower by the process-driven case studies (e.g. with the criteria 'acceptability', 'robustness', 'coherence'). The reason for this is perhaps that the aspects the evaluation criteria measure may unfold only gradually, as the result of a process. Hence, evaluation is not feasible right from the outset. Similarly, availability of information is also lower for many process-driven cases, for example regarding efficiency criteria. The analytically-driven case studies evaluate information availability on efficiency higher because their focus is, among others, on developing cost-benefit analysis which produces information for the evaluation of these criteria. Hence, for these cases better and more information, which was specifically produced in the BASE project, is readily available – leading to higher scoring of these criteria.

More generally, this highlights that restrictions in feasibility and lack of information may be important barriers to meaningful adaptation evaluation. Even though there may be numerous reasons for this, one structural barrier is the process character of an adaptation situation that in principle contradicts the (ex post) evaluation of what has been achieved.

Interestingly, while some differences in the rankings of the two groups can be discerned among outcome criteria (such as 'efficiency' ranking higher among analytically-driven case studies than process-driven ones), greater differences exist with regard to the process criteria. 'Participation', for example, ranks highest among the process-driven case studies, but scores only sixth among analytically-driven case studies. This suggests that the stakeholder integration criterion is particularly important in the process-driven case studies. The analytically-driven case studies evaluated the participation criteria of medium importance, which reveals the less participatory approach of these cases. The differences in the view of participation can possibly be explained with reference to the case studies' design and focus.

This suggests at first that the focus and properties of an adaptation situation play an important role regarding appropriate ways of evaluating adaptation action. If participation is a central feature, then it is natural to include 'participation' as a criterion in any evaluation.

Another interesting finding is that the process-driven case studies rank the 'lessons learnt' criterion higher than the analytically-driven case studies. Again, 'lessons learnt' is a criterion relevant for the process of adaptation, rather than as a means of pure information generation.

In the same vein, the process-driven case studies evaluate the 'triggering incentive' criterion as highly relevant, whereas analytically-driven case studies attach low relevance to it. One possible reason may be that process-driven case studies are more involved in participatory work with stakeholders that might place

high value on 'triggering incentives'. Again, the process orientation of these case studies seems to be decisive for valuing this criterion higher than the other cases.

The findings suggest that the purpose of evaluation is an issue to be considered in selecting criteria. We may distinguish between an analytical interest which is directed primarily at generating new information and a process-related interest that puts the evaluation results in the context of the adaptation process.

Retrospective vs. prospective case studies (Appendix IX)

The ranking of the different criteria is very similar between the two groups. The main difference between retrospective and prospective cases appears to be fairly natural at the level of feasibility and available information. For many criteria, the prospective case studies display generally lower feasibility and data availability than the retrospective ones. This holds true especially regarding 'effectiveness' and 'efficiency' criteria. Deriving quantitative simulations on impacts of actions that have just been planned is a complex task which is exacerbated by uncertainty which is also higher for these simulations. By contrast, in retrospective cases information can be quite complete if a monitoring system has been in place and implemented.

The same pattern also occurs in the rankings of process criteria. The relevance of criteria is quite similar whereas the prospective case studies assign lower scores to feasibility and availability of information. This is clearly the case with criteria such as 'deliverability and feasibility' and 'flexibility' which are both dimensions that can be evaluated only in the future.

While better information availability and feasibility for many criteria is logical for retrospective cases, for prospective cases lower scores may be a function of the time slice analysed. This begs the question of the timing of when assessments are done and what is actually assessed. This also has an impact on the criteria that are regarded meaningful (in terms of providing useful information at a given stage) and implementable in the evaluation (in terms of data availability and resource intensity).

Prospective case studies have more opportunities to make things feasible in the future and to find information, by thinking about their data collection strategies and/or engagement with the case. So even though things may not seem feasible now, or information may be missing, prospective cases have more opportunities to change this (which is something that may no longer be possible with the retrospective cases).

This suggests that adaptation evaluation is in general easier for retrospective interventions because these are already implemented or finished. For prospective (or ongoing) adaptation measures, even though evaluation is more difficult due to the ongoing nature of the action, evaluation could be addressed in more strategic ways, e.g. regarding the collection of data or other activities planning and facilitating an evaluation.

Single measure vs. integrated analysis (Appendix X)

The case studies' feedback suggests that the evaluation criteria are regarded very similarly by both types of case studies in terms of relevance. However, there obviously exist greater challenges in applying the criteria for integrated analyses than for single measures. This is reflected in the lower scores of the latter regarding feasibility and availability of information. This difference is visible for instance in the effectiveness criteria, which rank highest among single measure case studies but fifth in integrated case studies. This probably relates to the nature of the case: a single measure is generally easier to assess than an interdependent mix of measures.

Obviously, an integrated analysis brings in multiple dimensions that have to be accounted for, and causalities are more difficult to establish in cases where multiple measures are involved. This challenge is clearly reflected in the sub-criteria related to social and environmental 'side-effects'. The limited information available in combination with the lower feasibility suggests the difficulty in fully capturing them, particularly in integrated assessments.

Our analysis also shows that 'coherence' is evaluated higher by case studies where evaluations are integrated. The reason might be that, in a set of measures, synergies/conflicts are obviously more relevant and have a strong influence on decision making.

The findings suggest that the evaluation of integrated adaptation interventions, undertaking an evaluation is more challenging due to the more complex mix of measures. Furthermore, we find that criteria such as 'coherence', although important for single measure evaluations, should be particularly in focus in evaluations of integrated adaptation interventions. Coherence should be taken into account in a twofold way: regarding relations of the adaptation measures among each other as well as regarding the relations with other (existing) policies and measures.

Bottom-up vs. top-down approach (Appendix XI)

When comparing the bottom-up and the top-down (as regards the direction of the adaptation intervention) case studies, the patterns generally appear to be fairly similar. Some differences can nevertheless be discerned: for example, availability of information on 'acceptability' is scored higher for bottom-up than top-down case studies. This is natural in that the bottom-up cases generate information on acceptability by their mere existence, whereas the acceptability of top-down measures requires generally active information gathering. The more direct communication in bottom-up case studies increases the knowledge on the opinion of stakeholders. With this, 'acceptability' becomes an important criterion for the bottom-up case studies. For the top-down case studies, 'acceptability' is considered a relevant criterion as well, although regarding feasibility and availability of information, this criterion scores very low. One exception is the sub-criterion 'incorporation of local/traditional knowledge' which, rather unsurprisingly, receives low scores in all dimensions (i.e. also in terms of relevance) from this group of case studies.

This suggests that ‘acceptability’ of adaptation action is an issue to be considered in the evaluation of any adaptation situation although this is more difficult in practical terms for top-down cases. The subcriterion ‘incorporation of local/traditional knowledge’ does not, for obvious reasons, fit well with a top-down adaptation approach.

The criterion ‘participation’ is evaluated much lower for top-down case studies. One possible reason is that local stakeholders are less involved; if at all, then it is national stakeholders or scientific experts that are more likely integrated. Another reason might be that awareness rising is of less importance on the upper levels as, for example, on national level the awareness for climate adaptation should already be established.

The bottom-up case studies evaluate stakeholder participation and the associated subcriteria higher. The same applies for ‘capacity building’ as a subcriterion to ‘lessons learnt’. The importance of bottom-up case studies about what happens on the ground is further reflected in higher scores of a variety of sub-criteria, e.g. ‘proportion of beneficiaries’, ‘support for fair allocation of risks’, ‘incorporation of local knowledge’, ‘ease of implementation’,

The observations suggest that ‘participation’ and other criteria displaying processes ‘on the ground’ are perceived to be more important criterion in bottom-up adaptation situations than in top-down ones. This does however not mean that ‘participation’ and other criteria indeed are a more important criterion in these cases. On the contrary, it may be that top-down cases actually should pay more attention to these dimensions.

‘Adaptive capacity’ is in general evaluated lower for top-down case studies. Looking at the related subcriteria, the capacities of actors seem more relevant to the bottom-up case studies, whereas the top-down case studies find institutional capacities more important. This could be due to the different perspectives on capacity for climate adaptation in the two groups. In general, it might be more difficult to estimate adaptive capacity on national or further upper levels. Different indicators, which include major uncertainties, are probably used to estimate adaptive capacity on upper levels. On the local level, the indicators are more concrete for the local circumstances and also more related to actors rather than the more abstract institutions.

The findings suggest that ‘adaptive capacity’ is related to the two types of adaptation situations in different ways: Whereas the top-down adaptation situations have a view ‘from above’ and hence might refer more to institutional capacities, the bottom-up adaptation approaches are more inclined to the concrete circumstances, including the involved actors.

Furthermore, the observations suggest that those case studies where a combination of approaches (i.e. bottom-up *and* top-down) is applied, experience fewer difficulties with feasibility of the evaluation and availability of information than cases where either one of the approaches dominates. These differences can be seen for example in the case of ‘effectiveness’ criteria, which rank relatively low for both ‘singular’ approaches (bottom-up or top-down) but much higher for the cases with combined approaches. While the numbers of cases may be small and, as such, we should exercise caution in drawing conclusions, this

difference is somewhat surprising given that in the overall aggregate rankings 'effectiveness' scores highest. Cases where a combination of top-down and bottom-up approaches is applied may thus find it easier to apply certain evaluation criteria like those related to 'effectiveness'. This may be based on a combination of information from local level and also from upper (e.g. national) level in combined approach case studies.

The findings suggest that in adaptation situations that combine a top-down and a bottom-up approach to climate adaptation might experience lesser difficulties regarding feasibility of the evaluation and availability of information.

Inconsistency concerning evaluation of adaptation measures is present when the top-down case studies assign low scores to 'interactions with other measures', but at the same time high scores to 'integration (vertical and horizontal)'. The two topics are basically linked and they can hardly be addressed separately. It could be that an estimation of interactions with other measures from a top-down perspective is difficult because the knowledge on implementation activities on local/regional level is not integrated. What is more, 'dependencies' (namely 'institutional requirements' and 'institutional consistency') score lower in bottom-up than in the top-down case studies. This may be due to the fact that, in the former cases, the focus is more on autonomous action that does not see the institutional coordination associated with that.

The feedback on the various criteria related to 'coherence', 'interactions of measures' and 'dependencies' do not provide a clear picture from which we can draw more general conclusions.

Conflictual vs. consensual setting (Appendix XII)

When comparing conflictual and consensual case studies, no major differences can be discerned with regard to outcome criteria. The only exception is 'acceptability' ranking higher in consensual settings, which at first seems a bit counter intuitive. One might have expected that in conflictual settings, acceptability of adaptation action is a bigger issue and, hence, would be regarded as more important. The same argument might apply to the criteria 'coherence' and 'robustness' that rank higher in consensual than in conflictual settings.

A closer look however reveals that in both types of settings, the three criteria are regarded as highly important (dimension of relevance). Yet the conflictual case studies assign lower values to all three criteria in terms of feasibility and availability of information. It is an open question whether this assessment is due to the greater factual difficulties to achieve 'acceptability', 'coherence' and 'robustness' - which also makes evaluation thereof more difficult – or whether there are other factors that cause difficulties to apply these criteria to evaluations in conflictual settings.

This suggests that the criteria 'acceptability', 'coherence' and 'robustness' are equally important in consensual and conflictual adaptation contexts. In conflictual settings, problems regarding the feasibility of applying these criteria in adaptation evaluation are somewhat more likely. This should however not thwart attempts to apply them.

With respect to process criteria, it is likewise to be expected that their feasibility for use in adaptation evaluations is lower in conflictual cases. The conflict is likely to spill over into implementation and attempts to apply these criteria to obtain information. This is confirmed by the case studies' feedback.

This suggests that evaluation of conflictual settings may be confronted with greater difficulties in applying not only outcome but also process criteria. Again, this should however not thwart attempts to apply them.

In consensual settings as well as in the aggregate rankings of criteria, 'participation' ranks highest among the process criteria. Interestingly, 'participation' criteria rank lower in conflictual settings – in all three dimensions including relevance –, suggesting that this is not only an implementation issue. The lower ranking in conflictual case studies is possibly due to the fact that challenges related to participation may be symptomatic of conflictual situations. On the other hand, participation could also be seen as part of the solution to resolve conflicts and in this sense it is counterintuitive that the relevance scores are lower in these cases.

We conclude from this finding that evaluation of conflictual settings is more likely to be confronted with practical difficulties (feasibility and availability of information). Contrary to the case studies' feedback, we would recommend to apply 'participation' as an evaluation criterion since this could contribute to exposing and hence resolving conflicts.

Furthermore, 'flexibility' clearly scores lower among conflictual case studies in terms of feasibility and availability of information. We can hypothesise that this is because the lack of consensus seeking leaves the floor open to unilateral decisions, e.g. from the institutions that are mostly oriented towards grey measures such as hard infrastructure. In consensual settings, in contrast, the attention and the capability to adopt a flexible measure may be higher.

This suggests that in conflictual settings, the criterion 'flexibility' may be regarded as important although it might play a smaller role than in consensual settings again due to greater difficulties in applying this criterion.

Another finding is that the 'dependencies' criterion ranks higher in case studies with conflictual setting than in case studies with consensual setting. In the evaluation of the adaptation process, subcriteria such as 'barriers' and 'ease of implementation' are also influenced by the conflictual setting. These are scored as high by the conflictual case studies. We may thus argue that this is the case because evaluation can reveal where the major conflicts and barriers exist and where the implementation and/or decision making was smoother.

This suggests that the criterion 'dependencies' is directly related to the characteristic of an adaptation situation as conflictual or consensual. In conflictual settings, the evaluation criterion 'dependencies' plays an important role as it is directed at identifying (part of) the causes of conflict that impede adaptation action.

4 BASE Evaluation Criteria for Climate Adaptation (BECCA)

In this chapter, we present the BASE Evaluation Criteria for Climate Adaptation (BECCA). They consist of a list of evaluation criteria and some guidance notes on how and when to use them. BECCA was developed on the basis of the existing academic literature and policy documents that address the issue of adaptation evaluation and revised on the basis of feedback from real-world adaptation cases.

BECCA is meant to be used as a check list of topics and issues to be considered in evaluations of concrete adaptation situations. In other words, we do not suggest applying all criteria but a reasonable selection thereof. Climate adaptation is highly context-specific and, therefore, there is no one-size-fits-all criteria set for evaluating climate actions. Hence, we provide guidance on which criteria to use in which adaptation situations. On this basis, the user is free to tailor their own set of evaluation criteria with specific weights of certain dimensions depending on the context.

4.1 The BECCA criteria

The BECCA are subdivided into outcome and process-criteria. For each criterion, we provide a brief definition and, for most criteria, also examples on how to measure the criteria.

4.1.1 BECCA outcome criteria

The outcome criteria focus on the actual adaptation actions and provide a way to judge the merit and worth of the adaptation action in relation to observed or projected climate change. It is an evaluation of the impact the adaptation measure has, thus the situation in which the impact occurs is implicitly compared with the situation before the action was carried out.

Category	Subcategory/criteria	Explanation
Effectiveness	General description	The extent to which the intended outcome(s) has (have) been achieved. In terms of preventing climate change damage (e.g. reducing impacts, reducing exposure, enhancing resilience or enhancing adaptive capacity, reduction in economic losses). A further specification might be to consider effectiveness also in terms of 'cost-effectiveness'.
	Relevance	The extent to which the adaptation measures addressed climate change impact.
	Avoided damage	Portion of the targeted potential damages that could be avoided by implementing the adaptation measures. The portion of avoided damage might result in expected gross benefits (Example for measurement: Avoided damages in physical and economic metrics)
	Spatial scope of effect	Identify at which spatial level the adaptation measures had an effect.
	Level of resilience	Measure the ability of a social or ecological system to absorb disturbances while retaining the same basic structure and ways of functioning, the capacity for self-organization, and the capacity to adapt to stress and change. The effectiveness of adaptation measures can be expressed in terms of reduced level of resilience. (Example for measurement: Biophysical measures of resilience: measures

		of water use sustainability and of recurrent urban flooding.)
	Vulnerability	<p>Measure the degree to which a system is susceptible to, and unable to cope with, adverse effects of climate change. The effectiveness of adaptation measures thus is expressed in terms of reduced exposure or sensitivity, and increased adaptive capacity. Here it is referred to “outcome vulnerability”, which describes the vulnerability which is left after the adaptation measures have been implemented.</p> <p>(Example for measurement: Vulnerability is determined by a range of social and economic factors (e.g. age, health, deprivation, building location and form) which affect exposure to a climate hazard, sensitivity and capacity to respond.)</p>
	Sensitivity	<p>Measure the nature and degree to which a system is adversely affected by significant climatic variations. The effectiveness of adaptation measures is thus expressed in terms of reduced sensitivity.</p> <p>(Example for measurement, here for water scarcity: changes in water demand, water productivity, and water accessibility, compared to some base period. These indicators could be further disaggregated according to different users and sectors: domestic, agriculture, industry, energy production, tourism. Examples of possible indicators for sensitivity to droughts: changes in water demand, water productivity, water accessibility and susceptibility to (production) losses due to these changes during drought events, compared to some base period.)</p>
	Exposure	<p>Exposure refers to the nature and degree to which a system is exposed to significant climatic variations. The effectiveness of adaptation measures can be expressed in terms of reduced exposure.</p> <p>(Example for measurement: for exposure to water scarcity: changes in average precipitation, average river discharge, average soil moisture, and groundwater recharge. Examples of possible indicators for exposure to drought: severity, duration, return periods and timing of drought events due to temporal decrease of precipitation, river discharge, soil moisture.)</p>
	Adaptive capacity	<p>Adaptive capacity is the ability of a system to adjust to climate change (including climate variability and extremes) to moderate potential damages, to take advantage of opportunities, or to cope with the consequences. The effectiveness of adaptation measures can be expressed in terms of increased adaptive capacity.</p> <p>(Example for measurement: Adaptive capacity to cope with water scarcity is determined by the ability/possibility of regions or sectors to close the gap between water demand and supply. This could be achieved by enhancing the societal ability to increase water supply, decrease water demand or some combination of both.)</p>
	Sustainability	<p>The likelihood that benefits/outcomes of the adaptation measures/ adaptation process will continue for an extended period of time after the project completion, as well as the ability of stakeholders to continue the adaptation processes beyond project lifetimes. Sustainable development is expected to minimise the threats posed by the impacts of climate change and to capitalise on the potential opportunities presented by it, and bring benefits in terms of alleviating pre-existing problems (no-regret).</p> <p>(Example for measurement: Time span during which the adaptation practice keeps on being effective, after having been implemented.)</p>
Efficiency	General description	<p>A measure of how economically funds, expertise, time etc. are converted into results. The measure should consider if the (economic and non-economic) benefits gained from adaptation measures exceed the (economic and non-economic) costs of its implementation, against the policy objectives used in the analysis. Actions should also be weighted on the basis of the risks involved, their long-term cost effectiveness and market compliance.</p>

		(Example for measurement: Economically efficient measures have economic benefits that exceed economic costs)
	Cost/benefit ratio	<p>Economic viability of adaptation measures in terms of their costs and benefits ratio. Adaptation measures are assessed based on whether they can reach their objectives in the most efficient way in economic terms (e.g. to achieve objectives at least cost) and have a balanced cost/benefits ratio. The benefits and effectiveness of adaptation measures are compared to costs and effort.</p> <p>(Example for measurement: Adaptation measures are considered cost-efficient if they bring higher benefits in comparison to its costs of implementation.)</p>
	Total cost	<p>The costs of the adaptation measures; direct costs, further economic costs and external costs, as a base to rank their relative merit. The direct costs can be further split in investment costs, maintenance costs and also costs of administrative implementation of adaptation measures.</p> <p>(Example for measurement: Total economic costs of the design, implementation, execution, performance monitoring and evaluation of the adaptation practice.)</p>
	Benefits	The economic, environmental, socio-economic benefits, separating <i>ex-ante</i> and <i>post-ante</i> adaptation measures. Identification of the beneficiaries from participation (a) Opportunities are provided for all sections of the community to participate, b) Participation benefits all sections of the community).
	Uncertainty of evaluated costs and benefits	Uncertainty of evaluated costs and benefits of the adaptation measures.
Equity	General description	Equitable distribution of benefits as widely as possible with attention to most vulnerable groups.
	Proportion of beneficiaries	<p>Supporting the broadest possible range and number of beneficiaries with adaptation measures.</p> <p>(Example for measurement: Number of beneficiaries of the adaptation measures with respect to the total population from the given location which is or will be experiencing the problem that requires adaptation.)</p>
	Attention to the most vulnerable groups	<p>Attention and priority towards supporting most vulnerable groups with an adaptation measures.</p> <p>(Example for measurement: Attention received by the most vulnerable population group within the target population (e.g. children, elderly, handicapped))</p>
Side effects	General description	Side effects are (usually unintended) positive and negative, outcomes of the adaptation measures for other social, environmental or economic objectives (e.g. to help reduce social inequality, to decrease energy demand, to help raising resilience of ecosystem services etc.). The negative side effects (also referred to as maladaptation) are indirect, negative outcomes set off by the adaptation measures outside of their target area. Positive side effects (ancillary effects) are additional beneficial outcomes delivered by the adaptation measures but not aimed at in the first place (e.g. new employment opportunities, innovation knock-on effects and new market potential, social capital accumulation).
	Economic side effects:	The economic benefits generated by the implementation of the adaptation measures.
	- General description	
	- Effect on innovation and	The effect of the adaptation measures on innovation and competitive advantage.

	competitive advantage	(Example for measurement: Did the measures give an incentive for innovation? Did or can they deliver a competitive advantage for the EU economy?)
	- Effect on employment	The effect of the adaptation measures on employment. (Example for measurement: Does the measures have effects on employment?)
	Environmental side effects: - General description	The benefits or damages of the adaptation measures for other environmental objectives. (Example for measurement: Did or will the measures decrease the risk of losing unique environmental resources?)
	- Synergies with climate mitigation	The effect of the adaptation measures on climate change mitigation (for instance through changes in land use that reduce emissions of GHGs as a side effect) or the degree of consistency with mitigation measures (e.g. synergies between low carbon and climate resilient development). (Example for measurement: Did the measures reduce GHG emissions or enhance GHG sequestration?)
	- Positive environmental effects (e.g. biological diversity, env. pressures)	The contribution of the adaptation measures to avoiding causing or exacerbating other environmental pressures. (Example for measurement: Did the measures have positive or negative effects on the conservation of biological diversity (other than directly intended as an adaptation effect)? Did the measures alleviate or exacerbate other environmental pressures?)
	- Avoiding of maladaptation	Avoidance of maladaptation; avoid introducing perverse effects or limiting future adaptation with adaptation measures.
	Social side effects: - General description	The benefits or damages of the adaptation measures for other social objectives. (For example, effective climate risk management will help secure development outcomes (socioeconomic outcomes including improved wellbeing, reduced vulnerabilities, better resilience and more secure food, water and energy) in the face of increasing climate risks), including equality, i.e. the distribution of benefits and costs across different population groups and different spaces.) (Example for measurement: Did the measures enhance well-being and quality of life (e.g. in the urban environment)? Did the measures decrease the risk of losing unique cultural resources?)
	- Distributional impacts	The impacts of the adaptation measure on different social or economic groups.
Acceptability	General description	The adaptation measures are culturally, socially, environmentally and politically acceptable. They are accepted by those affected and by stakeholders.
	Incorporation of local/traditional knowledge	Identify the level of consideration of local/traditional knowledge in the design or implementation of the adaptation measures
	Endorsement of political leaders and/or implementers	Understand the level of endorsement by the political level and/or the leader of the implementing organization(s), e.g. senior management, director/ executive team of public authority
Coherence (external and internal)	General description	The measures are not in conflict with other adaptation efforts and coherent with existing or planned policies on local, regional and national level.
	Interactions (conflicts/synergies) with other measures	The adaptation measures are consistent with other adaptation actions in the same sector and in other sectors or even fit in a mix of adaptation measures which can support each other and reduce uncertainties and climate impacts to the socio-ecological systems. (Example for measurement: To what extent does the implementation of

		options result in synergies or conflicts with other adaptation options?)
	Integration with policy domains, programmes or projects	Adaptation measures support the implementation of the EU Adaptation Strategy and other national or EU policies. They are aligned with other local sector policies (at least there is no conflict with other local policies). They are coherent with policy, investment and other planning cycles.
	- Vertical integration	The adaptation measures support the implementation of the EU Adaptation Strategy and other national or EU policies. They are coherent with policy, investment and other planning cycles.
	- Horizontal integration	The adaptation measures are aligned with other local sector policies (at least there is no conflict with other local policies). They are coherent with policy, investment and other planning cycles.
Robustness	General description	Adaptation measures are considered robust to uncertainties if they can maintain their effectiveness under different climatic and socio-economic development scenarios.
	Regret/no-regret	Positive effects of the adaptation measure are even reached without climate change. No-regret measures are interventions with positive outcomes for development even in situations in which the uncertainty surrounding the future impacts does not allow for better targeting of the policy responses.

4.1.2 BECCA process criteria

Process criteria can be used to judge the strength and weaknesses of the process itself (is it going anywhere?) and focus on the results of a process that is expected to deliver climate change adaptation, without paying attention to how good or bad the actual adaptation measures are in relation to observed or projected climate change. As such, the BECCA process criteria include the preconditions for adaptation action (e.g. adaptive capacity), the process itself (e.g. participation) as well as the process results (e.g. lessons learnt).

Category	Subcategory/criteria	Explanation
Adaptive capacity	General	Ability of a system to adjust to climate change (including climate variability and extremes), to moderate potential damages, to take advantage of opportunities, or to cope with the consequences: Which capacities are required to facilitate adaptation in the context of the adaptation intervention?
	Capacity of actors	Which capacity do the involved actors have to adapt to the consequences of climate change? Interdependencies between different actors? (Example for measurement: Awareness among actors, knowledge to be used in adaptation, resources to adapt, flexibility to act)
	Capacity of institutions/ organisations	What is the capacity of institutions/organisations to adapt to the consequences of climate change? (Example for measurement: Existence and quality of monitoring/warning systems, existence of adaptation strategies, ability to implement adaptation action (e.g. financial resources, skills and knowledge, organisational commitment and ownership))
Dependencies	(General) Prerequisite requirements	Identify legislation, regulatory framework, institutional mandate and multi-level coordination, incentives, investments, benefits, actor constellations etc. that are needed as pre-requisite for adaptation planning and implementation.
	Institutional requirements	Identify institutional requirements of adaptation measures which ensure successful adaptation planning and implementation. These requirements focus mainly on the needed adjustments of current organisational procedures, arrangements and cooperation among management bodies.

	Barriers	Identify barriers (e.g. legislation, regulatory framework, institutional mandate and multi-level coordination, incentives, investments, benefits, actor constellations etc.) to adaptation planning and implementation
	Ease of implementation	Ease of implementation of adaptation measures + how difficult or easy it may be to overcome barriers to implementation. Implementation time required. (Example for measurement: Time required for the implementation of the adaptation measures and/or until results were obtained)
Deliverability and Feasibility	General	Primary focus on ease of implementation (in legal, technical, social, institutional, political and financial terms) and possibilities for overcoming barriers. Complementary elements include repeatability/transferability and institutional capacity and autonomy.
	Repeatability	Repeatability and transferability to other regions (Example for measurement: Possibility of transferring and applying the practice to other geographical areas or population groups)
	Stakeholder implementability	Implementability for stakeholders in terms of decision-making, technical and managerial ease, and acceptability within existing social norms (e.g. for farmers)
	Existing window of opportunity	Identify window(s) of opportunity that may support/facilitate/make easier the implementation of the adaptation measure
	Level of autonomy	Level of autonomy in decentralised decision-making and action-taking (Example for measurement: Degree of freedom and capacity of the stakeholders during the process of defining and implementing the adaptation practice (absence of limitations or restrictions of e.g. economic, political and technical origin))
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	The adaptation measures allowed easy adjustments and incremental implementation if conditions changed or if changes are different from those expected today. In this sense, adjustable measures should be able to be adapted to different climate scenarios as well as socio-economic development trends. (Example for measurement: Does the proposed measures take sufficient consideration of the uncertainty aspect of climate change? Do the measures remain useful under less or unexpected manifestations of climate change? Can the measures easily be adapted if conditions are changing or different from expected?)
Participation	General	Inclusion of stakeholders/the target population in the design and/or implementation of adaptation measures (Example for measurement: Involvement of the target population in the different phases of the adaptation process (e.g. through participative workshops; awareness and/or capacity building; implementation of actions))
	Purpose of stakeholder participation	What is the purpose of stakeholder participation? E.g. information provision/dissemination, data collection, designing measures, aid implementation, evaluating measures, consensus building/support.
	Scope of stakeholder participation	What is the scope of stakeholder involvement? E.g. experts, government officers, local communities, all.
	Quality of the process	How and when was the process of stakeholder participation conducted? How can the quality be judged in the light of its ambitions?
Lessons learnt	General	What are the lessons learnt from the adaptation intervention? For different actors? How can these insights be used in future adaptation action?
	Capacity building	Does the experience from the adaptation intervention contribute to building adaptive capacity that could support the delivery of adaptation action?

4.2 Guidance on how to use BECCA

BECCA is meant as a general check list to ensure that all potentially relevant aspects are considered in an evaluation of a climate adaptation intervention. The list of criteria is based on a comprehensive review of existing documents on climate adaptation evaluation covered in the academic literature and in the policy world. BECCA thus has the ambition to represent an overarching set of evaluation criteria for climate adaptation action. When using it, the aim is not to cover the full catalogue in an evaluation but to choose a reasonable set of criteria that fits the specificities of the concrete adaptation situation to be evaluated and that is feasible (in terms of resources, time, availability of information etc.) to be carried out.

In this section, we provide some general guidance on the use of BECCA and some guidance on how to adapt BECCA to a specific adaptation context.

4.2.1 General guidance

BECCA represents a practical device to be used in climate adaptation evaluation. The target group of BECCA users is anyone who is in the position of and interested in evaluating concrete adaptation measures (or bundles of measures). This could be researchers as well as actors from the policy world, such as politicians, officials and planners from various administrative levels, but also representatives from civil society and business organisations. BECCA aims at supporting these actors in evaluating climate adaptation interventions and, on that basis, taking informed decisions on further actions.

For each evaluation, the user should make a choice of those BECCA criteria that are meaningful and appropriate in regard to the concrete adaptation action to be assessed. The selection of criteria depends on the purpose of the evaluation, the specific adaptation context but also on the practical circumstances in which the evaluation is carried out. Below, we provide some guidance on how to tailor the evaluation criteria accordingly.

The selection of (potentially) relevant evaluation criteria is the first step when using BECCA in an evaluation. Furthermore, feasibility of the evaluation and the selected criteria should be considered. Feasibility considerations might include various dimensions, among others the available resources in terms of time, person power and budget. Availability of information for each criterion is another significant aspect to consider. It might occur that relevant criteria are difficult to be apply in practice because the required data is missing. In these cases, the user might think of alternative ways of conducting the evaluation, e.g. by using qualitative information in case quantitative data are lacking.

Overall, this is an exercise in operationalising the chosen criteria while taking into account the various restrictions for carrying out the evaluation. It should result in an 'implementation plan' of the evaluation.

4.2.2 Tailoring BECCA to adaptation contexts

In this section, we provide guidance on how to select relevant criteria for the evaluation of concrete adaptation situations. Due to the plethora of possible adaptation cases and contexts, this can however be only an indicative list of potential relations that have to be adapted to the specific situation. We are

nevertheless confident that the analytical lens on different dimensions of the adaptation context might be helpful in characterising a concrete adaptation setting.

Our analysis of user needs in climate adaptation evaluation revealed that it is neither possible to give specific guidance for the evaluation of adaptation measures in relation to specific sectors nor to climate change impact addressed with the measure. We have however identified the following dimensions which appeared to be relevant in the set of cases that BASE covers:

Outcome-oriented vs. process-driven adaptation evaluation

Adaptation evaluation is, analytically speaking, either directed at assessing a specific outcome, or it is more concerned with evaluating the adaptation process. In practice, both alternatives will often come together in one adaptation case. We may further distinguish between analytical interest which is directed primarily at generating new information and a process-related interest that puts the evaluation results in the context of the adaptation process. The latter perspective is one that has a broader understanding of what the evaluation is about in that it is put in an application context.

For evaluating adaptation measures it is important to be clear about the purpose of the evaluation. It can be outcome-oriented, process-oriented, or both. We assume that in most empirical cases, both goals are important and, hence, we suggest selecting evaluation criteria that cover both, the outcome and the process. There is however one important caveat. The process character of climate adaptation may, for structural reasons, impede meaningful adaptation evaluation. When everything is in a flux evaluation of what has been or will be achieved in terms of outcome becomes a moving target.

Retrospective vs. prospective evaluation

Related to the previous aspect, we may also distinguish between retrospective and prospective evaluations. These types of evaluations are often done for (partially) different reasons which affects, among others, the criteria that are meaningful to use and how they are operationalised. We may argue that prospective evaluations are particularly important in a climate adaptation context due to its projective nature. The difficulty lies within the fact that availability of information is more limited with regard to the future, and does not entail precise and certain information, which could make prospective (*ex ante*) evaluations more difficult. This holds true especially regarding the 'effectiveness' and 'efficiency' criteria. The same pattern also occurs with regard to process criteria. It might be particularly challenging to evaluate criteria such as 'deliverability and feasibility' and 'flexibility' which are both referring to future developments.

For prospective evaluations, feasibility of evaluation may however be an issue of timing when they are carried out. This has an impact on the criteria that are regarded meaningful (in terms of providing useful information at a given stage) and implementable in the evaluation (in terms of data availability and resources). At the same time, evaluations could be addressed in more strategic ways. Opportunities could be created to make things feasible and to find information by thinking about data collection strategies and/or engagement with the case. So even though things may not seem feasible now, or information may

be missing, prospective cases have more opportunities to change this – which is something that may no longer be possible with retrospective evaluations.

Evaluation of single vs. integrated measures

Adaptation interventions may comprise a single measure or a bunch of measures. There obviously exist greater challenges in applying the BECCA criteria – in fact any set of evaluation criteria – for integrated analyses than for single measures. An integrated analysis brings in multiple dimensions that have to be accounted for, and causalities are more difficult to establish in cases where multiple measures are involved.

At the same time, criteria such as ‘coherence’, although important for single measure evaluations as well, should be particularly in focus in evaluations of integrated adaptation interventions. Coherence should be taken into account in a twofold way: regarding relations of the adaptation measures among each other as well as regarding the relations with other (existing) policies and measures.

Evaluation of bottom-up vs. top-down adaptation approach

Adaptation interventions may follow a rather top-down or bottom-up approach. According to this, the criteria suitable in adaptation evaluation may differ. For example, ‘acceptability’ of adaptation action is an issue to be considered in the evaluation of any adaptation situation although this is more difficult in practical terms for top-down cases. Further, the subcriterion ‘incorporation of local/traditional knowledge’ may in many cases not fit well with a top-down adaptation approach.

Also, there are criteria, such as ‘adaptive capacity’, that are related to the two types of adaptation situations differently: Whereas the top-down adaptation approaches have a view ‘from above’ and hence might refer more to institutional capacities, bottom-up adaptation approaches are focused on the concrete circumstances, including the actors involved. Hence, the perspectives on capacity for climate adaptation in the two groups are different.

In addition, the nature of the adaptation situation – top-down or bottom-up – has an impact on the suitability of evaluation (sub)criteria, such as ‘proportion of beneficiaries’, ‘support for fair allocation of risks’, ‘incorporation of local knowledge’ and ‘ease of implementation’. These are possibly of greater importance for bottom-up cases than for top-down cases.

The criterion ‘participation’ may be less important in a top-down approach to adaptation. An argument may be that stakeholders (from lower levels) are less involved. However, national stakeholders or scientific experts may be very important to involve. In a bottom-up approach to climate adaptation stakeholder participation and the associated subcriteria are highly important. The same applies for ‘capacity building’ as a subcriterion to ‘lessons learnt’.

Evaluation of conflictual vs. consensual adaptation settings

One further characteristic of adaptation action is whether it takes place in a conflictual or consensual setting. We would like to suggest that evaluation criteria such as ‘acceptability’, ‘coherence’ and

'robustness' are equally important in consensual and conflictual adaptation contexts. In conflictual settings, however, problems regarding the feasibility of applying these criteria in adaptation evaluation are somewhat more likely, and may lead to reformulation along particular interests. The reason for this might be that the conflict is likely to spill over into implementation and possibilities to apply these criteria to obtain information. We argue that this should however not thwart attempts to nevertheless apply them.

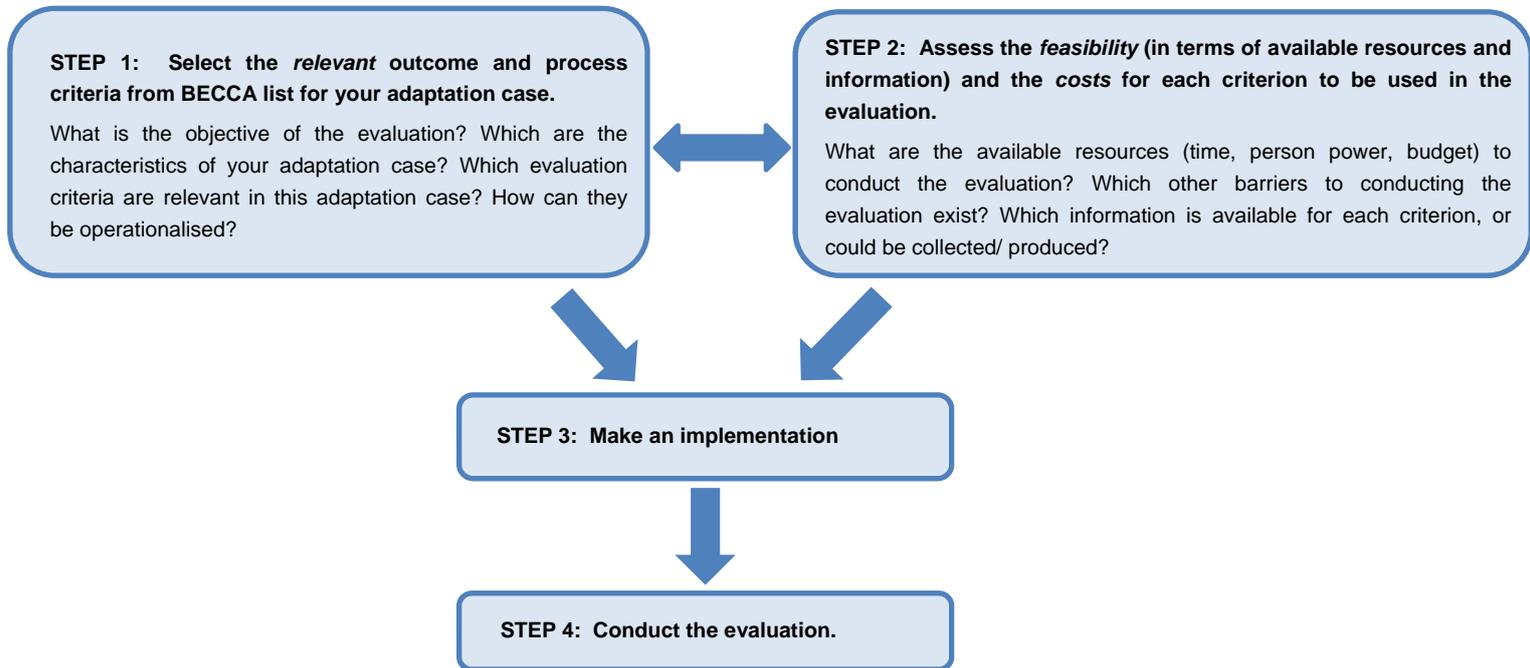
The same might hold true for the various process criteria. It may, for example, be difficult to use 'participation' as an evaluation criterion in conflictual adaptation cases due to the fact that challenges related to participation may be symptomatic of conflictual situations. On the other hand, participation could also be seen as part of the solution to resolve conflicts and, in this sense, we would therefore recommend to apply 'participation' as an evaluation criterion since this could contribute to exposing and hence resolving conflicts.

Furthermore, the criterion 'dependencies' seems to be directly related to the characteristic of an adaptation situation as conflictual or consensual. In conflictual settings, the evaluation criterion 'dependencies' plays an important role as it is directed at identifying (part of) the causes of conflict that impede adaptation action. This also applies to the related subcriteria 'barriers' and 'ease of implementation' which are particularly important in conflictual settings when evaluating the adaptation process. Here we may argue that evaluation can reveal where the major conflicts and barriers exist and where the implementation and/or decision making was smoother.

4.3 The BECCA process

Based on the considerations above we suggest the following process for a BECCA evaluation.

Figure 1: Stepwise approach to applying BECCA



5 Outlook

The BASE Evaluation Criteria for Climate Adaptation (BECCA) represents a comprehensive set of criteria from which the user should select those criteria that are relevant and salient in a concrete adaptation situation. As climate adaptation is highly context-specific, a standard evaluation would not be able to capture this specificity. The idea with using BECCA therefore is that the users should tailor their own set of evaluation criteria on the bases of understanding the implications of the use of different criteria in different adaptation settings.

We compiled the list of evaluation criteria for climate adaptation, and based on feedback from the BASE case studies aimed to give guidance on how to select the relevant criteria for specific adaptation cases. In addition to general guidelines on how to use the BECCA, we related the case studies' feedback to properties of the case studies in order to gain context-specific recommendations. This turned out to be less fruitful than we had hoped. One reason might be the limited number of case studies – in total 20 – that provided feedback to be analysed. Another reason is a structural one: The context-specific nature of adaptation situations defies simple and quick generalisation. Hence, in order to produce more robust guidance on how to use individual criteria, a much broader empirical basis is necessary. For this reason, we can (more or less) only retrench to recommending that users should tailor their own sets of evaluation criteria from BECCA.

There are issues that pose challenges to meaningful evaluation of climate adaptation. Feasibility of conducting an evaluation and availability of information seem to be recurring bottlenecks. The analysis of the case studies' feedback revealed that, even though the relevance of most criteria was unequivocal, difficulties became apparent in efforts to put things into practice. Feasibility to carry out an evaluation might be severely hampered by a lack of resources (time, person power, and budget). Further, the assessment and/or the measurement of many criteria (especially in quantitative terms) are very challenging at the current level of awareness and technical expertise. For many issues, data and information are not available (or only obtainable at a high cost). Therefore, there is a need for better knowledge infrastructure, an ability to collect site-specific data, but also impact assessment studies at more regional (or macro-regional) level that achieve economies of scale that are impossible to be pursued at local level.

On a positive note one may point out that there are also numerous BECCA criteria that can be applied reasonably at modest or low costs, especially in a self-reflective mode. This is particularly true for many of the process criteria, which can support decision-makers and stakeholders in identifying the right direction in developing adaptation measures, even if usefulness of the specific adaptation actions cannot be determined immediately. We therefore suggest that the evaluation of adaptation should generally start by examining relevant processes. Such evaluations build awareness and contribute to learning across sectors and cases, revealing differences and similarities. The process evaluations are also likely to identify which processes are so massive and costly that it is justified to pay particular attention to detailed in depth evaluations of outcomes. It is no accident that we found the most developed evaluation in cases which involve significant planning and investments. By alternating between process and outcome evaluations, cost effective evaluations that support learning are achievable.

Appendix I: BASE WP2.3 Evaluation sheet

For the meta-analysis of existing frameworks/criteria sets for evaluating climate change adaptation

Evaluator:

Name of the framework/criteria set:

Source:

Description:

Evaluation

1 General characterisation

How can the adaptation framework/criteria set be characterised (concept, framework, guideline, criteria (set), toolkit, method etc.)?

2 Purpose of adaptation evaluation

What is the purpose of adaptation evaluation? Is the approach outcome-oriented or process-oriented?

3 Outcome criteria

Which outcome criteria are taken into account?

4 Process criteria

Which process criteria are taken into account?

5 Level of adaptation

Which level of adaptation is addressed with the evaluation framework/criteria (national, sub-national policy initiatives, local level/community-based adaptation; sectoral adaptation; programme and project-level adaptation)?

6 Stage of the adaptation cycle

Which stage of the adaptation cycle as addressed with the evaluation framework/ criteria (1. evaluating problem perception and framing, 2. appraising climate change impacts, 3. appraising adaptation options, 4. evaluating implementation of adaptation actions, 5. monitoring and evaluating adaptation action and learning)?

7 Adaptation context

How is the adaptation context considered in the evaluation framework/criteria?

8 Adaptive capacity

How is adaptive capacity considered in the evaluation framework/criteria?

9 Role of participation

How is citizen and stakeholder participation considered in the evaluation framework/criteria?

10 Policy coherence

Is the issue of policy coherence addressed in the evaluation framework/criteria?

Appendix II: List of approaches, frameworks and criteria sets for evaluating climate adaptation – analysed for BASE WP 2.3

Code	Frameworks for evaluation of adaptation
1	Adaptation Fund (AF), Framework and guideline for project/programme evaluations, https://www.adaptation-fund.org/sites/default/files/Evaluation_framework.pdf http://adaptation-fund.org/sites/default/files/Guidelines%20for%20Proj_Prog%20Final%20Evaluations%20final%20compressed.pdf
2	Adaptation Sub-committee (2011), Adapting to climate change in the UK, measuring progress, ASC Progress Report 2011, http://www.theccc.org.uk/publication/adapting-to-climate-change-in-the-uk-measuring-progress-2nd-progress-report-2011/ And: Adaptation Subcommittee of the UK Climate Change Committee (2010), How well prepared is the UK for climate change.
3	Altwater, S., et al. (2012), Adaptation measures in the EU: Policies, costs, and economic assessment. "Climate proofing" of key EU policies, http://ftp.zew.de/pub/zew-docs/gutachten/ClimateProofing2012.pdf
4	Beck, S., et al. (2009), Synergien und Konflikte von Anpassungsstrategien und -maßnahmen. UFOPLAN FKZ 3709 41 12, http://www.bmu.de/fileadmin/bmu-import/files/pdfs/allgemein/application/pdf/3709_41_126_bf.pdf
5	Debels, P., et al. (2009), IUPA: A tool for the evaluation of the general usefulness of practices for adaptation to climate change and variability. Natural hazards 50: 211-223.
6	De Bruin, K., et al. (2009), Adapting to climate change in The Netherlands: an inventory of climate adaptation options and ranking of alternatives. Climatic Change 95 (1-2), pp. 23-45, http://link.springer.com/content/pdf/10.1007%2Fs10584-009-9576-4.pdf
7	DEFRA (2010), Measuring adaptation to climate change – a proposed approach, http://archive.defra.gov.uk/environment/climate/documents/100219-measuring-adapt.pdf
8	European Environment Agency (2005), Environmental Policy Integration in Europe: State of play and an evaluation framework. Technical report No. 2/2005.
9	Giordano, F., et al. (2013), Planning for adaptation to climate change. Guidelines for municipalities. ACT (Adapting to Climate Change in Time), http://www.actlife.eu/EN/index.xhtml
10	Harley, M., et al. (2008), Climate change vulnerability and adaptation indicators. ETC/ACC Technical Paper 2008/9, http://www.seachangecop.org/sites/default/files/documents/2008%2012%20ETC%20-%20Climate%20change%20vulnerability%20and%20adaptation%20indicators.pdf
11	Harley, M., and van Minnen, J. (2009), Development of Adaptation Indicators. ETC/ACC Technical Paper 2009/6, http://acm.eionet.europa.eu/reports/ETCACC_TP_2009_6_ETCACC_TP_2009_6_Adapt_Ind
12	Hjerp, P., et al. (2012), Methodologies for Climate Proofing Investments and Measures under Cohesion and Regional Policy and the Common Agricultural Policy, http://ec.europa.eu/clima/policies/adaptation/what/docs/climate_proofing_en.pdf

13	Huitema, D., et al. (2012), Handling adaptation governance choices in Sweden, Germany, the UK and the Netherlands. Work Package 6, Deliverable 6A. Knowledge for Climate, Theme 7 "The governance of Adaptation", http://dspace.library.uu.nl/handle/1874/281472
14	IEG (nd.), Adapting to Climate Change: Assessing the World Bank Group Experience Phase III, http://ieg.worldbankgroup.org/Data/reports/cc3_full_eval_0.pdf
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Appendix III: Draft BECCA

III.1 Outcome criteria for evaluating climate adaptation

Category	Subcategory/criteria	Explanation
Effectiveness	General description	The extent to which the intended outcome(s) has (have) been achieved. In terms of preventing climate change damage (e.g. reducing impacts, reducing exposure, enhancing resilience or enhancing adaptive capacity, reduction in economic losses....). A further specification might be to consider effectiveness also in terms of "cost-effectiveness".
	Relevance	To what extent the adaptation measures addressed climate change impact/vulnerability.
	Avoided damage	Portion of the targeted potential damages that could be avoided by implementing the adaptation measures. The portion of avoided damage might result in expected gross benefits (Example for measurement: Avoided damages in physical and economic metrics)
	Windfall profit	Identify if the measures or parts of the measures would have been implemented by private stakeholders autonomously because of the existence of "unexpected" profits.
	Triggering incentive	Investigate if the adaptation measures initiated further – public or private – activities for adaptation to climate change.
	Scope of effect	Identify at which spatial level the adaptation measures had an effect.
	Level of resilience	Measure the ability of a social or ecological system to absorb disturbances while retaining the same basic structure and ways of functioning, the capacity for self-organization, and the capacity to adapt to stress and change. (Example for measurement: Biophysical measures of vulnerability and resilience: measures of water use sustainability and of recurrent urban flooding.)
	Vulnerability	Measure the degree to which a system is susceptible to, and unable to cope with, adverse effects of climate change. The effectiveness of adaptation measures thus is expressed in terms of reduced exposure or sensitivity, and increased adaptive capacity. (Example for measurement: Vulnerability is determined by a range of social and economic factors (e.g. age, health, deprivation, building location and form) which affect exposure to a climate hazard, sensitivity and capacity to respond.)
	Reduction of sensitivity	Measure the nature and degree to which a system is exposed to significant climatic variations. The effectiveness of adaptation measures thus is expressed in terms of reduced sensitivity. (Example for measurement, here for water scarcity: changes in water demand, water productivity, and water accessibility, compared to some base period. These indicators could be further disaggregated according to different users and sectors: domestic, agriculture, industry, energy production, tourism. Examples of possible indicators for sensitivity to droughts: changes in water demand, water productivity, water accessibility and susceptibility to (production) losses due to these changes during drought events, compared to some base period.)
	Reduction of	Exposure refers to the nature and degree to which a system is exposed to

	exposure	<p>significant climatic variations. The effectiveness of adaptation measures thus is expressed in terms of reduced exposure.</p> <p>(Example for measurement: for exposure to water scarcity: changes in average precipitation, average river discharge, average soil moisture, and groundwater recharge. Examples of possible indicators for exposure to drought: severity, duration, return periods and timing of drought events due to temporal decrease of precipitation, river discharge, soil moisture.)</p>
	Increased adaptive capacity	<p>Adaptive capacity is the ability of a system to adjust to climate change (including climate variability and extremes) to moderate potential damages, to take advantage of opportunities, or to cope with the consequences. The effectiveness of adaptation measures thus is expressed in terms of increased adaptive capacity.</p> <p>(Example for measurement: Adaptive capacity to cope with water scarcity is determined by the ability/possibility of regions or sectors to close the gap between water demand and supply. This could be achieved by enhancing the societal ability to increase water supply, decrease water demand or some combination of both.)</p>
Efficiency	General	<p>A measure of how economically funds, expertise, time etc. are converted into results. The measure should consider if the (economic and non-economic) benefits gained from adaptation measures exceed the (economic and non-economic) costs of its implementation, against the policy objectives used in the analysis. Actions should also be weighted on the basis of the risks involved, their long-term cost effectiveness and market-compliance.</p> <p>(Example for measurement: Economically efficient measures have economic benefits that exceed economic costs)</p>
	Cost/benefit ratio	<p>Economic viability of adaptation measures in terms of their costs and benefits ratio. Adaptation measures are assessed based on whether they can reach their objectives in the most efficient way in economic terms (e.g. they achieve objectives at least cost) and have a balanced cost/benefits ratio. The benefits and effectiveness of adaptation measures are compared to costs and effort.</p> <p>(Example for measurement: Adaptation measures are considered cost-efficient if they bring higher benefits in comparison to its costs of implementation.)</p>
	Administrative burden	<p>The cost of administrative implementation of adaptation measures.</p> <p>(Example for measurement: What are the costs of administrative implementation of the adaptation measures?)</p>
	Total cost	<p>The costs of the adaptation measures; direct costs, further economic costs and external costs, as a base to rank their relative merit.</p> <p>(Example for measurement: Total economic value of the design, implementation, execution, performance monitoring and evaluation of the adaptation practice.)</p>
	Benefits	<p>The economic, environmental, socio-economic benefits, separating <i>ex-ante</i> and <i>post-ante</i> adaptation measures. Identification of the beneficiaries from participation (a) Opportunities are provided for all sections of the community to participate, b) Participation benefits all sections of the community).</p>
	Uncertainty of evaluated costs and benefits	<p>Uncertainty of evaluated costs and benefits of the adaptation measures.</p>
Equity	General	<p>Equitable distribution of benefits as widely as possible with attention to most vulnerable groups.</p>

	Proportion of beneficiaries	Supporting the broadest possible range and number of beneficiaries. (Example for measurement: Number of beneficiaries of the adaptation measures with respect to the total population from the given location which is or will be experiencing the problem that requires adaptation.)
	Attention to the most vulnerable groups	Attention and priority towards supporting most vulnerable groups. (Example for measurement: Attention received by the most vulnerable population group within the target population (e.g. children, elderly, handicapped))
	Supports fair allocation of risks	Socially fair allocation of risks to ensure that no individual or group bears a disproportionate share of costs or residual risks.
	Sustainability	The likelihood that benefits/outcomes of the adaptation measures/adaptation process will continue for an extended period of time after the project completion, as well as the ability of stakeholders to continue the adaptation processes beyond project lifetimes. Sustainable development is expected to minimise the threats posed by the impacts of climate change and to capitalise on the potential opportunities presented by it, and bring benefits in terms of alleviating pre-existing problems (no-regret). (Example for measurement: Time span during which the adaptation practice keeps on being effective, after having been implemented.)
	Impacts	The positive/negative and unforeseen changes, and effects caused by the adaptation measures individually or at an aggregated level. (The actual (realised) damages from the major effects of climate on the economy, society and environment. The extent to which projects reduce vulnerability and/or enhance adaptive capacity.) (Example for measurement: The realised impacts of extreme weather, for example deaths brought forward by heat waves.)
	Side effects: General	Side effects are (usually unintended) positive and negative, outcomes of the adaptation measures for other social, environmental or economic objectives (e.g. to help reduce social inequality, to decrease energy demand, to help raising resilience of ecosystem services etc.). The negative side effects (also referred to as maladaptation) are indirect, negative outcomes set off by the adaptation measures outside of their target area. Positive side effects (ancillary effects) are additional beneficial outcomes delivered by the adaptation measures but not aimed at in the first place (e.g. new employment opportunities, innovation knock-on effects and new market potential, social capital accumulation).
	Economic side effects: - General	The economic benefits generated by the implementation of the adaptation measures.
	- Effect on innovation and competitive advantage	The effect of the adaptation measures on innovation and competitive advantage. (Example for measurement: Did the measures give an incentive for innovation? Did or can they deliver a competitive advantage for the EU economy?)
	- Effect on employment	The effect of the adaptation measures on employment. (Example for measurement: Does the measures have effects on employment?)
	Environmental side effects: - General	The benefits or damages of the adaptation measures for other environmental objectives. (Example for measurement: Did or will the measures decrease the risk of losing unique environmental resources?)
	- Synergies with	The effect of the adaptation measures on climate change mitigation (for

	climate mitigation	instance through changes in land use that reduce emissions of GHGs as a side effect) or the degree of consistency with mitigation measures (e.g. synergies between low carbon and climate resilient development). (Example for measurement: Did the measures reduce GHG emissions or enhance GHG sequestration?)
	- Positive environmental effects (e.g. biological diversity, env. pressures)	The contribution of the adaptation measures to avoiding causing or exacerbating other environmental pressures. (Example for measurement: Did the measures have positive or negative effects on the conservation of biological diversity (other than directly intended as an adaptation effect)? Did the measures alleviate or exacerbate other environmental pressures?)
	- Avoiding of maladaptation	Avoidance of maladaptation; avoid introducing perverse effects or limiting future adaptation.
	Social side effects: - General	The benefits or damages of the adaptation measures for other social objectives. (e.g. effective climate risk management will help secure development outcomes (socioeconomic outcomes including improved wellbeing, reduced vulnerabilities, better resilience and more secure food, water and energy) in the face of increasing climate risks). (Example for measurement: Did the measures enhance well-being and quality of life (e.g. in the urban environment)? Did the measures decrease the risk of losing unique cultural resources?)
	- Distributional impacts	The impacts on different social or economic groups.
Acceptability	General	The adaptation measures are culturally, socially, environmentally and politically acceptable. They are accepted by those affected and by stakeholders.
	Incorporation of local/traditional knowledge	Identify the level of consideration of local/traditional knowledge in the design or implementation of the adaptation measures
	Endorsement of political leaders and/or implementers	Understand the level of endorsement by the political level and/or the leader of the implementing organization(s), e.g. senior management, director/executive team of public authority
Coherence (external and internal)	General	The measures are consistent with adaptation options in the same sector and in other sectors and coherent with existing or planned policies on local, regional and national level.
	Interactions (conflicts/synergies) with other measures	The adaptation measures are consistent with other adaptation options in the same sector and in other sectors or even fit in a mix of adaptation measures, which can support each other and make the socio-ecological systems more resilient to uncertainties and climate impacts. (Example for measurement: To what extent does the implementation of options result in synergies or conflicts with other adaptation options?)
	Integration with policy domains, programmes or projects	Measures support the implementation of the EU Adaptation Strategy and other national or EU policies. They are aligned with other local sector policies (at least there is no conflict with other local policies). They are coherent with policy, investment and other planning cycles.
	- Vertical integration	The adaptation measures support the implementation of the EU Adaptation Strategy and other national or EU policies. They are coherent with policy, investment and other planning cycles.
	- Horizontal integration	The adaptation measures are aligned with other local sector policies (at least there is no conflict with other local policies). They are coherent with policy, investment and other planning cycles.
Robustness	General	Adaptation measures are considered robust to uncertainties if they can maintain their effectiveness under different climatic and socio-economic

		development scenarios.
	Regret/no-regret	Positive effects are even reached without climate change. No-regret measures are interventions with positive outcomes for development even in situations in which the uncertainty surrounding the future impacts does not allow for better targeting of the policy responses.

III.2 Process criteria for evaluating climate adaptation

Category	Subcategory/criteria	Explanation
Evaluating adaptation	Purpose of the evaluation	What is the purpose of evaluating adaptation? (Assessing effectiveness, assessing efficiency, providing accountability, assessing outcomes, improve learning, improving future interventions, etc.?) Is it a process or an outcome evaluation, or both?
	Evaluating capacity	Are the capacities for evaluating adaptation available? (Examples for measurement: Leadership, resources, expertise)
Adaptive capacity	General	Ability of a system to adjust to climate change (including climate variability and extremes), to moderate potential damages, to take advantage of opportunities, or to cope with the consequences: Which capacities are required to facilitate adaptation in the context of the adaptation intervention?
	Capacity of actors	Which capacity do the involved actors have to adapt to the consequences of climate change? Interdependencies between different actors? (Example for measurement: Awareness among actors, knowledge to be used in adaptation, resources to adapt, flexibility to act)
	Capacity of institutions/ organisations	What is the capacity of institutions/organisations to adapt to the consequences of climate change? (Example for measurement: Existence and quality of monitoring/warning systems, existence of adaptation strategies, ability to implement adaptation action (e.g. financial resources, skills and knowledge, organisational commitment and ownership))
Dependencies	(General) Prerequisite requirements	Identify legislation, regulatory framework, institutional mandate and multi-level coordination, incentives, investments, benefits, actor constellations etc. that are needed as pre-requisite for adaptation planning and implementation
	Institutional requirements	Identify institutional requirements of adaptation measures which ensure successful adaptation planning and implementation. These requirements focus mainly on the needed adjustments of current organisational procedures, arrangements and cooperation among management bodies.
	Institutional consistency (compatibility)	An adaptation option is considered superior, the more it is consistent with existing laws, regulations and institutional structures.
	Barriers	Identify barriers (e.g. legislation, regulatory framework, institutional mandate and multi-level coordination, incentives, investments, benefits, actor constellations etc.) to adaptation planning and implementation
	Ease of implementation	Ease of implementation of adaptation measures + how difficult or easy it may be to overcome barriers to implementation. Implementation time required (Example for measurement: Time required for the implementation of the adaptation measures and/or until results were obtained)
Deliverability	General	Primary focus on ease of implementation (in legal, technical, social,

and Feasibility		institutional, political and financial terms) and possibilities for overcoming barriers. Complementary elements include repeatability/transferability and institutional capacity and autonomy.
	Repeatability	Repeatability and transferability to other regions (Example for measurement: Possibility for transferring and applying the practice to other geographical areas or population groups)
	Stakeholder implementability	Implementability for stakeholders in terms of decision-making, technical and managerial ease, and acceptability within existing social norms (e.g. for farmers)
	Existing window of opportunity	Use of windows of opportunity
	Level of autonomy	Level of autonomy in decentralised decision-making and action-taking (Example for measurement: Degree of freedom and capacity of the stakeholders during the process of defining and implementing the adaptation practice (absence of limitations or restrictions of e.g. economic, political and technical origin))
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	The adaptation measures allowed easy adjustments and incremental implementation if conditions changed or if changes are different from those expected today. In this sense, adjustable measures should be able to be adapted to different climate scenarios as well as socio-economic development trends. (Example for measurement: Does the proposed measures take sufficient consideration of the uncertainty aspect of climate change? Do the measures remain useful under less or unexpected manifestations of climate change? Can the measures easily be adapted if conditions are changing or different from expected?)
Participation	General	Inclusion of stakeholders/the target population in the design and/or implementation of adaptation measures (Example for measurement: Involvement of the target population in the different phases of the adaptation process (e.g. through participative workshops; awareness and/or capacity building; implementation of actions))
	Purpose of stakeholder participation	What is the purpose of stakeholder participation? E.g. information provision/dissemination, data collection, designing measures, aid implementation, evaluating measures, consensus building/support
	Scope of stakeholder participation	What is the scope of the stakeholder process? E.g. experts, government officers, local communities, all
	Quality of the process	How and when was the process of stakeholder participation conducted?
Lessons learnt	General	What are the lessons learnt from the adaptation intervention? For different actors? How can these insights be used in future adaptation action?
	Capacity building	Does the experience from the adaptation intervention contribute to building adaptive capacity that could support the delivery of adaptation actions?

Appendix IV: Aggregated feedback from BASE case studies on individual criteria of draft BECCA

IV.1 Outcome criteria

Ranking: Aggregated Figures				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Efficiency	General	High	High-Medium	High-Medium
	Total cost	High	High-Medium	High-Medium
	Cost/benefit ratio	High	High-Medium	Medium (varies)
	Uncertainty of evaluated costs and benefits	High	High-Medium	Medium (varies)
	Benefits	High	High-Medium	Medium-Low
	Administrative burden	High-Medium	Medium	Medium (varies)
Acceptability	General	High	High-Medium	Medium
	Incorporation of local/ traditional knowledge	High	High-Medium	Medium (varies)
	Endorsement of political leaders and/or implementers	High	High-Medium	Medium
Robustness	General	High	High-Medium	Medium
	Regret/no-regret	High	High-Medium	Medium-Low
Coherence	General	High-Medium	High-Medium	Medium
	Integration with policy domains, programmes or projects	High-Medium	High-Medium	High-Medium
	- Vertical integration	High-Medium	Medium	Medium (varies)
	- Horizontal integration	High-Medium	Medium	Medium
	Interactions (conflicts/synergies) with other measures	High-Medium (varies)	Medium (varies)	Medium
Effectiveness	General	High	Medium	Medium (varies)
	Relevance	High	High-Medium	High
	Scope of effect	High	High	High-Medium
	Vulnerability	High	High-Medium	High-Medium
	Avoided damage	High	Medium	Medium-Low
	Level of resilience	High-Medium	Medium	Medium-Low
	Reduction of sensitivity	High	Medium	Medium-Low
	Increased adaptive capacity	High-Medium	Medium	Medium-Low

	Reduction of exposure	High-Medium	High-Medium	Medium
	Windfall profit	High-Medium (varies)	Medium-Low	Medium-Low
	Triggering incentive	Medium	Medium-Low	Low
Sustainability, Impacts, Side-effects				
S, I, S-E	Sustainability	High-Medium	Medium	Medium
	Impacts	High-Medium	Medium	Medium (varies)
	Side effects: General	High-Medium	Medium	Medium-Low
	Economic side effects:	High-Medium	Medium	Medium-Low
	- General	High-Medium	Medium-Low	Medium-Low
	- Effect on employment	High-Medium	Medium-Low	Medium-Low
	- Effect on innovation and competitive advantage	Medium	Medium-Low	Medium-Low
	Environmental side effects:	High	High-Medium	Medium-Low
	- General	High	High-Medium	Medium-Low
	- Synergies with climate mitigation	High-Medium	Medium	Medium-Low
	- Positive environmental effects (e.g. biological diversity, environmental pressures)	High-Medium	Medium	Medium-Low
	- Avoiding of maladaptation	High-Medium	Medium-Low	Medium-Low
	Social side effects:	High-Medium	Medium	Medium
	- General	High-Medium	Medium	Medium
	- Distributional impacts	High-Medium	Medium-Low	Medium-Low
Equity	General	High	Medium	Medium-Low
	Proportion of beneficiaries	High-Medium	Medium	Medium-Low
	Attention to the most vulnerable groups	High	Medium (varies)	Medium-Low
	Supports fair allocation of risks	High-Medium	Medium	Medium-Low

IV.2 Process criteria

Ranking: Aggregated Figures				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Participation	General	High-Medium	High-Medium	High-Medium
	Purpose of stakeholder participation	High-Medium	High-Medium	High-Medium (varies)
	Scope of stakeholder participation	High-Medium	High-Medium	High-Medium
	Quality of the process	High-Medium	High-Medium	High-Medium (varies)
Evaluating adaptation	Purpose of the evaluation	High-Medium	High-Medium	Medium
	Evaluating capacity	High-Medium	High-Medium	Medium
Dependencies	(General) Prerequisite requirements	High-Medium	Medium (varies)	Medium
	Institutional requirements	Medium (varies)	Medium (varies)	Medium
	Institutional consistency (compatibility)	High-Medium	Medium	Medium
	Barriers	High	High-Medium	High-Medium
	Ease of implementation	High-Medium	High-Medium	Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High-Medium	Medium	Medium
Adaptive capacity	General	High-Medium	Medium	Medium-Low
	Capacity of actors	High	High-Medium	Medium
	Capacity of institutions/ organisations	High	High-Medium	Medium
Deliverability and Feasibility	General	High-Medium	Medium	Medium-Low
	Stakeholder implementability	High-Medium	High-Medium	Medium
	Existing window of opportunity	High-Medium	High-Medium	Medium (varies)
	Repeatability	High-Medium	Medium	Medium
	Level of autonomy	High-Medium	Medium	Medium-Low
Lessons learnt	General	High-Medium	Medium	Medium-Low
	Capacity building	High-Medium	Medium	Medium-Low

Appendix V: Relative ranking of criteria of draft BECCA

V.1 Outcome criteria

Question: Which criteria are the most crucial/pivotal ones? (Please choose from the list.)

Criteria	Counts	Percentages
Effectiveness: General (includes all subcategories)	7	41,18%
- Avoided damage	7	41,18%
- Reduction of exposure	4	23,53%
- Scope of effect	3	17,65%
- Vulnerability	3	17,65%
- Increased adaptive capacity	3	17,65%
- Relevance	3	17,65%
- Reduction of sensitivity	2	11,76%
- Level of resilience	2	11,76%
- Triggering incentive	1	5,88%
- Windfall profit	0	0,00%
Acceptability: General (includes all subcategories)	6	35,29%
- Incorporation of local/ traditional knowledge	5	29,41%
- Endorsement of political leaders and/or implementers	3	17,65%
Robustness: General (includes all subcategories)	5	29,41%
- Regret/no-regret	3	17,65%
Sustainability, Impacts and Side-effects: Sustainability	5	29,41%
Sustainability, Impacts and Side-effects: Impacts	2	11,76%
Sustainability, Impacts and Side-effects: Side effects: General (includes all subcategories)	2	11,76%
- <i>Social side effects: General</i>	5	29,41%
- Social side effects: Distributional impacts	3	17,65%
- <i>Economic side effects: General</i>	3	17,65%
- Economic side effects: Effect on innovation and competitive advantage	2	11,76%
- Economic side effects: Effect on employment	2	11,76%
- <i>Environmental side effects: General</i>	3	17,65%
- Environmental side effects: Synergies with climate mitigation	5	29,41%
- Environmental side effects: Positive environmental effects (e.g. biological diversity, environmental pressures)	4	23,53%
- Environmental side effects: Avoiding of maladaptation	3	17,65%
Efficiency: General (includes all subcategories)	4	23,53%
- Cost/benefit ratio	6	35,29%
- Uncertainty of evaluated costs and benefits	6	35,29%
- Total cost	5	29,41%
- Benefits	5	29,41%
- Administrative burden	1	5,88%
Coherence (external and internal): General (includes all subcategories)	3	17,65%

- Integration with policy domains, programmes or projects	6	35,29%
- Interactions (conflicts/synergies) with other measures	3	17,65%
- Horizontal integration	3	17,65%
- Vertical integration	2	11,76%
Equity: General (includes all subcategories)	2	11,76%
- Attention to the most vulnerable groups	3	17,65%
- Proportion of beneficiaries	1	5,88%
- Supports fair allocation of risks	0	0,00%

V.2 Process criteria

Question: Which criteria are the most crucial/pivotal ones? (Please choose from the list.)

Criteria	Counts	Percentages
Participation general (includes all subcategories)	11	64,71%
- Purpose of stakeholder participation	3	17,65%
- Scope of stakeholder participation	3	17,65%
- Quality of the process	2	11,76%
Adaptive capacity general (includes all subcategories)	9	52,94%
- Capacity of actors	4	23,53%
- Capacity of institutions/ organisations	3	17,65%
Flexibility (Potential for adjustments to different climate scenarios and socio-economic developments)	6	35,29%
Deliverability and Feasibility general (includes all subcategories)	4	23,53%
- Stakeholder implementability	5	29,41%
- Repeatability	2	11,76%
- Existing window of opportunity	2	11,76%
- Level of autonomy	0	0,00%
Dependencies (General) Prerequisite requirements	4	23,53%
- Barriers	8	47,06%
- Institutional requirements	4	23,53%
- Ease of implementation	2	11,76%
- Institutional consistency (compatibility)	1	5,88%
Lessons learnt general (includes all subcategories)	4	23,53%
- Capacity building	1	5,88%
Evaluating adaptation	2	11,76%
- Evaluating capacity	2	11,76%
- Purpose of the evaluation	1	5,88%

Appendix VI: Contextualised feedback: Sectors

VI.1 Outcome criteria

Ranking: Agriculture				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Acceptability	General	High	High-Medium	Medium
	Incorporation of local/traditional knowledge	High	High-Medium	High-Medium
	Endorsement of political leaders and/or implementers	High	Medium	Medium-Low
Coherence	General	High-Medium	Medium	High-Medium
	Integration with policy domains, programmes or projects	High	High-Medium	Medium-Low
	- Vertical integration	High	High-Medium	Medium
	- Horizontal integration	High	Medium-Low	Medium-Low
	Interactions (conflicts/synergies) with other measures	High-Medium	Medium-Low	Medium-Low
Effectiveness	General	High	Medium	Medium
	Vulnerability	High	High-Medium	High-Medium
	Reduction of sensitivity	High	High-Medium	High-Medium

Ranking: Biodiversity & Ecosystems				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Efficiency	General	High-Medium	Medium	High-Medium
	Administrative burden	High-Medium	High-Medium	High-Medium
	Total cost	High-Medium	High-Medium	High-Medium
	Uncertainty of evaluated costs and benefits	High	High-Medium	Medium
	Benefits	High-Medium	High-Medium	Medium
	Cost/benefit ratio	High-Medium	Medium	Medium
	Effectiveness	General	High	Medium
	Vulnerability	High	High-Medium	High-Medium
	Relevance	High	High-Medium	Medium (varies)
	Scope of effect	High-Medium	High-Medium	Medium
	Reduction of exposure	High-Medium	High-Medium	Medium

	Windfall profit	High-Medium	High-Medium	High-Medium
	Relevance	High	High-Medium	Medium
	Scope of effect	High	High-Medium	Medium
	Increased adaptive capacity	High	High-Medium	Medium
	Avoided damage	High	Medium	Medium-Low
	Reduction of exposure	High-Medium	Medium	Medium
	Level of resilience	High-Medium	Medium	Medium-Low
	Triggering incentive	Medium	Medium-Low	Medium-Low
Efficiency	General	High-Medium	Medium	Medium
	Uncertainty of evaluated costs and benefits	High	High-Medium	Medium
	Administrative burden	High-Medium	High-Medium	Medium
	Cost/benefit ratio	High-Medium	Medium	Medium
	Benefits	High-Medium	Medium	Medium-Low
	Total cost	High-Medium	Medium-Low	Medium-Low
Equity	General	High-Medium	Medium-Low	Medium-Low
	Proportion of beneficiaries	High	High-Medium	Medium-Low

	Reduction of sensitivity	High-Medium	Medium	High-Medium
	Avoided damage	High	Medium	Medium
	Level of resilience	High-Medium	Medium	Medium-Low
	Increased adaptive capacity	High-Medium	Medium	Medium-Low
	Windfall profit	Medium	Medium-Low	Medium-Low
	Triggering incentive	Medium	Medium-Low	Medium-Low
Coherence	General	High-Medium	Medium	Medium
	Interactions (conflicts/synergies) with other measures	High-Medium	High-Medium	High-Medium
	Integration with policy domains, programmes or projects	High-Medium	High-Medium	Medium
	- Vertical integration	High-Medium	Medium	Medium-Low
	- Horizontal integration	High-Medium	Medium	Medium-Low
Equity	General	High (varies)	Medium (varies)	Medium-Low
	Proportion of beneficiaries	High (varies)	High-Medium (varies)	Medium
	Attention to the most vulnerable groups	High-Medium (varies)	Medium	Medium-Low
	Supports fair allocation of risks	High-Medium	Medium-Low	Medium-Low
Acceptability	General	High-Medium	Medium (varies)	Medium-Low (varies)

	Attention to the most vulnerable groups	High-Medium	Medium	Medium
	Supports fair allocation of risks	High-Medium	Medium-Low	Medium-Low
Robustness	General	High	Medium-Low	Medium-Low
	Regret/no-regret	High-Medium	Medium	Medium-Low
Sustainability, Impacts, Side-effects				
	Sustainability	High-Medium	Medium-Low	Medium-Low
	Impacts	Medium	Low	Low
	Side effects: General	High-Medium	Low	Low
	Economic side effects: - General	High-Medium	Medium-Low	Medium-Low
	- Effect on employment	High-Medium	Medium-Low	Medium-Low
	- Effect on innovation and competitive advantage	Medium-Low	Medium-Low	Low
	Environmental side effects: - General	High	Medium	Medium-Low
	- Synergies with climate mitigation	High-Medium	Medium-Low	Medium-Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High-Medium	Medium-Low	Medium-Low
	- Avoiding of maladaptation	High-Medium	Medium-Low	Medium-Low
	Social side effects: - General	High-Medium	Medium-Low	Medium-Low

	Incorporation of local/traditional knowledge	High	High	High-Medium
	Endorsement of political leaders and/or implementers	High	High-Medium	Medium-Low
Robustness	General	High-Medium	Medium	Medium-Low
	Regret/no-regret	High-Medium	Medium	Medium-Low
Sustainability, Impacts, Side-effects				
	Sustainability	High-Medium	Medium-Low	Medium-Low
	Impacts	High-Medium	High-Medium	Medium (varies)
	Side effects: General	High-Medium	Medium (varies)	Medium (varies)
	Economic side effects: - General	High-Medium	Medium (varies)	Medium-Low (varies)
	- Effect on employment	High-Medium	Medium-Low	Medium-Low
	- Effect on innovation and competitive advantage	Medium	Medium-Low	Medium-Low
	Environmental side effects: - General	High-Medium	Medium	Medium
	- Synergies with climate mitigation	High-Medium	Medium	Medium-Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	Medium	Medium	Medium-Low
	- Avoiding of maladaptation	Medium	Medium-Low	Medium-Low
	Social side effects: - General	High-Medium	Medium	Medium

	- Distributional impacts	High-Medium	Medium-Low	Medium-Low
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	- Distributional impacts	High-Medium (varies)	Medium	Medium-Low
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Ranking: Coastal and Marine Systems				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Effectiveness	General	High	High (varies)	High-Medium
	Vulnerability	High	High	High
	Reduction of exposure	High	High	High
	Relevance	High	High-Medium	High (varies)
	Scope of effect	High	High-Medium	High-Medium
	Increased adaptive capacity	High	High-Medium	High-Medium
	Avoided damage	High	High-Medium	Medium
	Reduction of sensitivity	High	High-Medium	Medium
	Level of resilience	High-Medium	High-Medium	Medium
	Triggering incentive	Medium	Medium	Medium-Low
Efficiency	Windfall profit	Medium (varies)	Medium-Low	Medium
	General	High	High-Medium	High-Medium
	Cost/benefit ratio	High	High-	High-

Ranking: Health and Social Policies				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Efficiency	General	High-Medium	High-Medium	High-Medium
	Administrative burden	High-Medium	High-Medium	High-Medium
	Total cost	High-Medium	High-Medium	Medium (varies)
	Benefits	High-Medium	High-Medium	Medium
	Cost/benefit ratio	High-Medium	Medium (varies)	Medium (varies)
	Uncertainty of evaluated costs and benefits	Medium (varies)	High-Medium	High-Medium
	Robustness	General	High-Medium	High-Medium
	Regret/no-regret	High-Medium	High-Medium	Medium
Coherence	General	High-Medium	High-Medium	High-Medium
	Integration with policy domains, programmes or projects	High-Medium	High-Medium	Medium-Low
	- Vertical integration	High-Medium	Medium	Low
	- Horizontal integration	High-Medium	Medium-Low	Medium-Low
	Interactions	Medium	Medium-	Medium-Low

		High	Medium	Medium
	Total cost	High	High-Medium	High-Medium
	Benefits	High	High-Medium	Medium-Low (varies)
	Uncertainty of evaluated costs and benefits	High	High-Medium	Medium-Low (varies)
	Administrative burden	High-Medium	Medium	Medium-Low
Equity	General	High	Medium	Medium-Low
	Supports fair allocation of risks	High	High-Medium	Medium
	Attention to the most vulnerable groups	High	Medium	Medium-Low
	Proportion of beneficiaries	High-Medium	Medium	Medium-Low (varies)
Sustainability, Impacts, Side-effects				
	Sustainability	High	High	High-Medium
	Impacts	High	High	High-Medium
	Side effects: General	High (varies)	High-Medium	Medium-Low
	Economic side effects: - General	High	Medium	Medium-Low
	- Effect on innovation and competitive advantage	High-Medium	High-Medium	Medium-Low
	- Effect on employment	High-Medium	High-Medium	Medium-Low
	Environmental side effects: - General	High	Medium	Medium-Low
	- Avoiding of	High	High-	Medium

	(conflicts/synergies) with other measures	High	Low	Medium
Equity	General	High	High-Medium	Medium
	Attention to the most vulnerable groups	High	High	High-Medium
	Proportion of beneficiaries	High-Medium	High-Medium	Medium-Low
	Supports fair allocation of risks	High-Medium	Medium	Medium-Low
Effectiveness	General	High	High-Medium	Medium-Low
	Relevance	High	High-Medium	High-Medium
	Scope of effect	High	High-Medium	High-Medium
	Vulnerability	High	High-Medium	High-Medium
	Avoided damage	High	Medium	Medium-Low
	Increased adaptive capacity	High-Medium	Medium	Medium
	Reduction of sensitivity	High-Medium	Medium	Medium-Low
	Reduction of exposure	High-Medium	Medium	Medium-Low
	Level of resilience	High-Medium	Medium-Low	Medium-Low
	Triggering incentive	Medium	Medium	Medium-Low
	Windfall profit	Medium	Medium-Low	Low
Acceptability	General	High	High-Medium	Medium-Low
	Incorporation of local/	High	High-	Medium

	maladaptation		Medium	(varies)
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High-Medium	Medium-Low	Medium-Low
	- Synergies with climate mitigation	Medium	Medium-Low	Low
	Social side effects: - General	High	High-Medium	Medium
	- Distributional impacts	High	High-Medium	Medium
Acceptability	General	High	High-Medium	High-Medium
	Incorporation of local/traditional knowledge	High	High-Medium	High-Medium
	Endorsement of political leaders and/or implementers	High	High-Medium	High-Medium
Coherence	General	High	High-Medium	High-Medium (varies)
	Interactions (conflicts/synergies) with other measures	High	High-Medium	High-Medium
	Integration with policy domains, programmes or projects	High	High-Medium	Medium (varies)
	- Vertical integration	High	High-Medium	High-Medium (varies)
	- Horizontal integration	High	Medium	High-Medium

	traditional knowledge		Medium	
	Endorsement of political leaders and/or implementers	High-Medium	High-Medium	Medium-Low
Sustainability, Impacts, Side-effects				
	Sustainability	High-Medium	Medium-Low	Medium-Low
	Impacts	High-Medium	Medium-Low	Medium-Low
	Side effects: General	Medium	Medium-Low	Medium-Low
	Economic side effects: - General	High-Medium	High-Medium	Medium
	- Effect on employment	High-Medium	Medium-Low	Medium-Low
	- Effect on innovation and competitive advantage	Medium	Medium-Low	Medium-Low
	Environmental side effects: - General	High-Medium	Medium	Medium-Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High-Medium	Medium	Medium-Low
	- Avoiding of maladaptation	High-Medium	Medium	Medium-Low
	- Synergies with climate mitigation	Medium	Medium	Medium

Robustness	General	High	High-Medium	Medium
	Regret/no-regret	High (varies)	Medium-Low	Low

	Social side effects: - General	High-Medium	Medium-Low	Medium-Low
	- Distributional impacts	High-Medium	Medium-Low	Medium-Low

Ranking: Transport				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Efficiency	General	High	Medium	High-Medium
	Total cost	High	High-Medium	High-Medium
	Benefits	High	High-Medium	High-Medium
	Administrative burden	High-Medium	High-Medium	Medium (varies)
	Uncertainty of evaluated costs and benefits	High	High-Medium	Medium (varies)
	Cost/benefit ratio	High	Medium	High-Medium
Acceptability	General	High-Medium	Medium	Medium (varies)
	Incorporation of local/traditional knowledge	High	High-Medium	High-Medium
	Endorsement of political leaders and/or implementers	High	High-Medium	High-Medium
Sustainability, Impacts and Side-effects				
	Sustainability	High-Medium	Medium-Low	Medium
	Impacts	High	High	High
	Side effects: General	High-	High-	High-

Ranking: Production Systems and Physical Infrastructures				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Efficiency	General	High	High - Medium	High - Medium
	Uncertainty of evaluated costs and benefits	High	High	High
	Benefits	High	High-Medium	High-Medium
	Administrative burden	High-Medium	High-Medium	High-Medium
	Total cost	High-Medium	High-Medium	High-Medium
	Cost/benefit ratio	High-Medium	Medium	High-Medium
Robustness	General	High-Medium	High-Medium	High-Medium
	Regret/no-regret	High-Medium	High-Medium	Medium (varies)
Sustainability, Impacts and Side-effects				
	Sustainability	High-Medium	High-Medium	High-Medium
	Impacts	High	High-Medium	Medium
	Side effects: General	High-Medium	High-Medium	Medium
	Economic side effects:	High-	Medium	Medium-Low

		Medium	Medium	Medium
	Economic side effects: - General	High-Medium	Medium	Medium-Low
	- Effect on employment	High	Medium-Low	Low
	- Effect on innovation and competitive advantage	Medium	Medium-Low	Medium-Low
	Environmental side effects: - General	High-Medium	High-Medium	High-Medium
	- Synergies with climate mitigation	Medium	Low	Low
	- Avoiding of maladaptation	Medium	Medium-Low	Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	Medium-Low	Low	Low
	Social side effects: - General	High-Medium	High-Medium	High-Medium
	- Distributional impacts	Medium-Low	Medium-Low	Low
Coherence	General	High-Medium	Medium-Low	Medium-Low
	Interactions (conflicts/synergies) with other measures	High	High-Medium	Medium (varies)
	Integration with policy domains, programmes or projects	High-Medium	Medium-Low	Medium-Low

	- General	Medium		
	- Effect on employment	Medium	Medium-Low	Medium-Low
	- Effect on innovation and competitive advantage	Medium-Low	Medium-Low	Medium-Low
	Environmental side effects: - General	High-Medium	Medium	Medium-Low
	- Synergies with climate mitigation	Medium	Medium	Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	Medium	Low	Low
	- Avoiding of maladaptation	Medium-Low	Medium-Low	Low
	Social side effects: - General	High-Medium (varies)	High-Medium (varies)	Medium
	- Distributional impacts	Low (varies)	Low (varies)	Low
Acceptability	General	High-Medium	High-Medium	Medium-Low (varies)
	Endorsement of political leaders and/or implementers	High-Medium	High-Medium	High-Medium
	Incorporation of local/traditional knowledge	Medium (varies)	Medium (varies)	Medium (varies)
Coherence	General	High-Medium	Medium	Medium-Low

	- Vertical integration	High-Medium (varies)	Medium-Low (varies)	Medium-Low (varies)
	- Horizontal integration	High-Medium	Medium (varies)	Medium-Low (varies)
Robustness	General	Medium	Medium-Low	Medium-Low
	Regret/no-regret	Medium	Low	Low
Effectiveness	General	Medium-Low (varies)	Medium-Low (varies)	Medium-Low
	Vulnerability	High	High	High
	Avoided damage	High	High-Medium	High-Medium
	Reduction of exposure	High-Medium	High-Medium	High-Medium
	Triggering incentive	High	High-Medium	Medium (varies)
	Relevance	High	Medium (varies)	High-Medium
	Scope of effect	High-Medium	Medium	Medium
	Level of resilience	High-Medium	Medium-Low	Medium-Low
	Increased adaptive capacity	High-Medium	Medium-Low	Medium-Low
	Windfall profit	Medium (varies)	Medium-Low	Medium-Low
	Reduction of sensitivity	Medium-Low	Medium-Low	Medium-Low

	Integration with policy domains, programmes or projects	High-Medium	High-Medium	High-Medium
	- Vertical integration	High-Medium (varies)	High-Medium	High-Medium
	- Horizontal integration	High-Medium	High-Medium	High-Medium
	Interactions (conflicts/synergies) with other measures	Medium-Low	Medium-Low	High-Medium
Effectiveness	General	Medium (varies)	Medium-Low	Medium-Low
	Avoided damage	High-Medium	High-Medium	High-Medium
	Reduction of exposure	High - Medium	High-Medium	High-Medium
	Relevance	High-Medium	Medium (varies)	High-Medium
	Vulnerability	High-Medium	High-Medium (varies)	High-Medium (varies)
	Scope of effect	High-Medium	Medium-Low (varies)	Medium-Low (varies)
	Triggering incentive	High-Medium	Medium-Low (varies)	Low (varies)
	Level of resilience	Medium (varies)	Medium-Low	Medium-Low
	Reduction of sensitivity	Medium	Medium-Low	Medium-Low
	Increased adaptive capacity	Medium	Medium-Low	Medium-Low
	Windfall profit	Medium-Low	Low	Low

Equity	General	Medium-Low (varies)	Medium-Low (varies)	Medium-Low
	Proportion of beneficiaries	High-Medium (varies)	High-Medium	Medium-Low
	Supports fair allocation of risks	High-Medium	Medium-Low	Medium-Low
	Attention to the most vulnerable groups	Medium-Low (varies)	Medium-Low	Medium-Low

		(varies)		
Equity	General	Medium-Low (varies)	Medium-Low (varies)	Medium-Low
	Proportion of beneficiaries	Medium (varies)	Medium (varies)	Medium (varies)
	Supports fair allocation of risks	Medium	Medium-Low	Medium-Low
	Attention to the most vulnerable groups	Medium-Low (varies)	Medium-Low (varies)	Medium-Low

Ranking: Water				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Effectiveness	General	High	High-Medium	High-Medium
	Scope of effect	High	High-Medium	High-Medium
	Level of resilience	High	High-Medium	Medium-Low
	Vulnerability	High	High-Medium	High-Medium
	Reduction of sensitivity	High	High-Medium	High-Medium
	Avoided damage	High	High-Medium	Medium
	Reduction of exposure	High-Medium	High-Medium	Medium
	Relevance	High	High-Medium	Medium-Low
	Increased adaptive capacity	High-Medium	Medium	Medium-Low

Ranking: Tourism				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Effectiveness	General	High	High-Medium	High-Medium
	Vulnerability	High	High	High
	Reduction of exposure	High	High	High-Medium
	Relevance	High	High-Medium	High-Medium (varies)
	Scope of effect	High-Medium	High-Medium	High-Medium
	Increased adaptive capacity	High-Medium	High-Medium	High-Medium
	Avoided damage	High	High-Medium	Medium-Low
	Triggering incentive	High-Medium	High-Medium	Medium-Low
	Reduction of sensitivity	High	High-Medium	Medium-Low

	Windfall profit	High-Medium	Medium-Low	Medium-Low
	Triggering incentive	Medium	Medium-Low	Medium-Low
Acceptability	General	High	High-Medium	High-Medium
	Incorporation of local/traditional knowledge	High	High	High-Medium
	Endorsement of political leaders and/or implementers	High	High-Medium	Medium-Low
Robustness	General	High	High-Medium	High-Medium
	Regret/no-regret	High	High-Medium	Medium
Equity	General	High	High-Medium	Medium-Low
	Attention to the most vulnerable groups	High-Medium	High-Medium	High-Medium
	Supports fair allocation of risks	High-Medium	High-Medium	Medium-Low
	Proportion of beneficiaries	High-Medium	High-Medium	Medium
Coherence	General	High-Medium	Medium	Medium
	Interactions (conflicts/synergies) with other measures	High-Medium	High-Medium	High-Medium
	Integration with policy domains, programmes or projects	High	High-Medium	Medium
	- Vertical integration	High-Medium	High-Medium	Medium
	- Horizontal integration	High-Medium	Medium-Low	Medium

	Level of resilience	High	Medium	Medium-Low
	Windfall profit	High-Medium	Medium-Low	Medium-Low
Efficiency	General	High	High-Medium	High-Medium
	Total cost	High	High-Medium	High-Medium
	Administrative burden	High-Medium	High-Medium	Medium
	Cost/benefit ratio	High	High-Medium	Medium-Low
	Benefits	High	High-Medium	Medium-Low
	Uncertainty of evaluated costs and benefits	High-Medium (varies)	High-Medium	Medium-Low
Sustainability, Impacts and Side-effects				
	Sustainability	High	High-Medium	High-Medium
	Impacts	High	High-Medium	High-Medium
	Side effects: General	High	High-Medium	Medium
	Economic side effects: - General	High	High-Medium	Medium-Low
	- Effect on innovation and competitive advantage	High-Medium	High-Medium	Medium-Low
	- Effect on employment	High-Medium	High-Medium	Medium-Low
	Environmental side effects: - General	High	High-Medium	Medium-Low

Efficiency	General	High-Medium	Medium	Medium-Low
	Uncertainty of evaluated costs and benefits	High	High-Medium	Medium-Low
	Cost/benefit ratio	High-Medium	Medium	Medium-Low
	Administrative burden	High-Medium	Medium	Medium-Low
	Total cost	High-Medium	Medium	Medium-Low
	Benefits	High-Medium	Medium	Medium-Low
Sustainability, Impacts and Side-effects				
	Sustainability	High-Medium	Medium-Low	Medium-Low
	Impacts	High-Medium	Medium-Low	Medium-Low
	Side effects: General	High-Medium	Medium	Medium
	Economic side effects: - General	High-Medium	High-Medium	High-Medium (varies)
	- Effect on innovation and competitive advantage	Medium	Medium-Low	Medium-Low
	- Effect on employment	Medium	Medium-Low	Medium-Low
	Environmental side effects: - General	High	High-Medium	High-Medium

	- Avoiding of maladaptation	High	High-Medium	Medium-Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High-Medium	Medium	Medium-Low
	- Synergies with climate mitigation	Medium	Medium-Low	Medium-Low
	Social side effects: - General	High	High-Medium	Medium
	- Distributional impacts	High	Medium	Medium-Low
Acceptability	General	High-Medium	High-Medium	Medium
	Endorsement of political leaders and/or implementers	High-Medium	High-Medium	High-Medium
	Incorporation of local/traditional knowledge	High	Medium	High-Medium
Coherence	General	High	High-Medium	Medium (varies)
	Interactions (conflicts/synergies) with other measures	High	High-Medium	High-Medium (varies)
	Integration with policy domains, programmes or projects	High	High-Medium	Medium
	- Vertical integration	High	High-Medium	Medium
	- Horizontal integration	High	Medium	High-Medium (varies)
Robustness	General	High-Medium	High-Medium	Medium

	- Synergies with climate mitigation	High-Medium	Medium	Medium-Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High-Medium	Medium	Medium-Low
	- Avoiding of maladaptation	High-Medium	Medium-Low	Medium-Low
	Social side effects: - General	High-Medium	Medium	Medium-Low
	- Distributional impacts	High-Medium	Medium	Medium-Low

	Regret/no-regret	High	High-Medium	Medium-Low
Equity	General	High	Medium	Medium-Low
	Supports fair allocation of risks	High	High-Medium	Medium
	Attention to the most vulnerable groups	High	High-Medium	Medium-Low
	Proportion of beneficiaries	High-Medium	Medium	Medium-Low

VI.2 Process criteria

Ranking: Agriculture				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Participation	General	High-Medium	High-Medium	High-Medium
	Purpose of stakeholder participation	High-Medium	High-Medium	High-Medium
	Scope of stakeholder participation	High-Medium	High-Medium	High-Medium
	Quality of the process	High-Medium	High-Medium	High-Medium
Evaluating adaptation	Purpose of the evaluation	High-Medium	High-Medium	Medium
	Evaluating capacity	High-Medium	Medium	Medium (varies)
Adaptive capacity	General	High	High-Medium	Medium
	Capacity of actors	High	High-Medium	Medium-Low

Ranking: Biodiversity & Ecosystems				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Participation	General	High-Medium	High-Medium	High-Medium
	Purpose of stakeholder participation	High-Medium	High-Medium	High-Medium
	Scope of stakeholder participation	High-Medium	High-Medium	High-Medium
	Quality of the process	High-Medium	High-Medium	High-Medium
Evaluating adaptation	Purpose of the evaluation	High-Medium	High-Medium	Medium
	Evaluating capacity	High-Medium	High-Medium	Medium (varies)
Adaptive capacity	General	High-Medium	High-Medium	Medium-Low
	Capacity of institutions/ organisations	High-Medium	High-Medium	High-Medium

	Capacity of institutions/ organisations	High-Medium	High-Medium	Medium
Dependencies	(General) Prerequisite requirements	High-Medium	Medium	Medium
	Barriers	High	High-Medium	High-Medium
	Ease of implementation	High	High-Medium	High-Medium
	Institutional consistency (compatibility)	High-Medium	Medium	High-Medium
	Institutional requirements	High-Medium	Medium-Low	Medium
Deliverability and Feasibility	General	High-Medium	Medium	Medium
	Stakeholder implementability	High-Medium	High-Medium	High-Medium
	Existing window of opportunity	High-Medium	High-Medium	Medium (varies)
	Level of autonomy	High-Medium	Medium	High-Medium
	Repeatability	High-Medium	Medium	Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High-Medium	Medium-Low	Medium-Low
Lessons learnt	General	High-Medium	Medium-Low	Medium-Low
	Capacity building	High-Medium	Medium	Medium-Low

	Capacity of actors	High-Medium	High-Medium	Medium
Deliverability and Feasibility	General	High-Medium	Medium	Medium
	Stakeholder implementability	High-Medium	High-Medium	High-Medium
	Repeatability	High-Medium (varies)	High-Medium (varies)	High-Medium (varies)
	Existing window of opportunity	High-Medium	High-Medium	Medium (varies)
	Level of autonomy	High-Medium	Medium-Low	Medium (varies)
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High-Medium	Medium	Medium-Low
Dependencies	(General) Prerequisite requirements	High-Medium	Medium-Low	Medium-Low
	Barriers	High-Medium	High-Medium	High-Medium
	Ease of implementation	High-Medium	High-Medium	High-Medium
	Institutional consistency (compatibility)	High-Medium	Medium-Low	Medium-Low
	Institutional requirements	Medium	Medium-Low	Medium-Low
Lessons learnt	General	High-Medium	Medium-Low	Medium-Low
	Capacity building	High-Medium	High-Medium	Medium-Low

Ranking: Coastal and Marine Systems				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Dependencies	(General) Prerequisite requirements	High	High	High-Medium
	Barriers	High	High-Medium	High-Medium
	Ease of implementation	High-Medium	High-Medium	High-Medium
	Institutional requirements	High	High-Medium	Medium
	Institutional consistency (compatibility)	High-Medium	Medium	Medium-Low
Participation	General	High (varies)	High-Medium (varies)	Medium (varies)
	Purpose of stakeholder participation	High	High-Medium	Medium (varies)
	Scope of stakeholder participation	High	High-Medium	Medium (varies)
	Quality of the process	High	Medium	High-Medium
Evaluating adaptation	Purpose of the evaluation	High-Medium	High-Medium	Medium-Low
	Evaluating capacity	High-Medium	High-Medium	Medium
Adaptive capacity	General	High-Medium	High-Medium	Medium-Low
	Capacity of institutions/ organisations	High	High	High
	Capacity of actors	High	High	High-Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic	High	Medium-Low (varies)	High-Medium

Ranking: Health and Social Policies				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Dependencies	(General) Prerequisite requirements	High-Medium	High-Medium	High-Medium
	Barriers	High-Medium	High-Medium	Medium
	Ease of implementation	High-Medium	Medium	Medium-Low
	Institutional requirements	Medium	Medium-Low	Medium
	Institutional consistency (compatibility)	Medium	Medium-Low	Medium
Participation	General	High-Medium	High-Medium	High-Medium
	Quality of the process	High-Medium	High-Medium	High-Medium
	Scope of stakeholder participation	High-Medium	High-Medium	Medium
	Purpose of stakeholder participation	High-Medium	Medium	Medium-Low
Evaluating adaptation	Purpose of the evaluation	High-Medium	High-Medium	Medium (varies)
	Evaluating capacity	High-Medium	High-Medium	Medium (varies)
Adaptive capacity	General	High-Medium	Medium	Medium
	Capacity of institutions/ organisations	High	High-Medium	High-Medium
	Capacity of actors	High-Medium (varies)	Medium (varies)	Medium-Low (varies)
Lessons learnt	General	High-Medium (varies)	Medium (varies)	Medium-Low

	developments			
Deliverability and Feasibility	General	High-Medium	Medium-Low	Medium-Low
	Existing window of opportunity	High-Medium	High-Medium	Medium (varies)
	Stakeholder implementability	High-Medium	Medium	Medium-Low
	Level of autonomy	High-Medium	Medium-Low	Medium-Low
	Repeatability	Medium (varies)	Medium (varies)	Medium-Low (varies)
Lessons learnt	General	High-Medium	Medium (varies)	Medium (varies)
	Capacity building	High-Medium	Medium (varies)	Medium-Low

	Capacity building	High-Medium (varies)	Medium	Medium-Low
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High-Medium	Medium-Low	Medium-Low
Deliverability and Feasibility	General	Medium	Medium-Low	Medium-Low
	Stakeholder implementability	High-Medium	Medium	Medium
	Existing window of opportunity	High-Medium	Medium	Medium-Low
	Repeatability	High-Medium	Medium-Low	Medium-Low
	Level of autonomy	High-Medium	Medium-Low	Medium-Low

Ranking: Transport				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Evaluating adaptation	Purpose of the evaluation	High	High	High
	Evaluating capacity	High-Medium	High-Medium	Medium (varies)
Participation	General	High	High-Medium	High-Medium
	Purpose of stakeholder participation	High	High-Medium	High-Medium (varies)
	Scope of stakeholder participation	High	High-Medium	Medium (varies)

Ranking: Production Systems and Physical Infrastructures				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Evaluating adaptation	Purpose of the evaluation	High	High	High
	Evaluating capacity	High-Medium	High-Medium	Medium (varies)
Participation	General	High-Medium (varies)	High-Medium	High-Medium
	Purpose of stakeholder participation	High	High	High
	Scope of stakeholder participation	High	High-Medium	High-Medium

	Quality of the process	High	High-Medium	Medium (varies)
Deliverability and Feasibility	General	High-Medium	Medium	Medium
	Stakeholder implementability	High	High-Medium	High-Medium
	Existing window of opportunity	High-Medium	High-Medium	High-Medium
	Level of autonomy	Medium	Medium	Medium
	Repeatability	Medium-Low	Medium-Low	Medium-Low
Lessons learnt	General	High-Medium	Medium (varies)	Medium (varies)
	Capacity building	High-Medium	Medium	Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High-Medium	Medium	Medium-Low
Adaptive capacity	General	High-Medium	Medium-Low	Medium-Low
	Capacity of actors	High	High	High
	Capacity of institutions/organisations	High-Medium	High-Medium	High-Medium
Dependencies	(General) Prerequisite requirements	Medium	Medium	Medium
	Barriers	High	High-Medium	High-Medium
	Ease of implementation	High	High-Medium	High-Medium
	Institutional	High-	Medium	Medium

	Quality of the process	Medium (varies)	High-Medium (varies)	High-Medium (varies)
Lessons learnt	General	High-Medium	High-Medium	High-Medium
	Capacity building	High-Medium	Medium	Medium
Dependencies	(General) Prerequisite requirements	High-Medium	High-Medium	Medium
	Barriers	High	High-Medium	High-Medium
	Institutional requirements	High-Medium	High-Medium	High-Medium
	Ease of implementation	High-Medium	High-Medium	High-Medium
	Institutional consistency (compatibility)	Medium	Medium	Medium-Low
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High-Medium	High-Medium	Medium
Deliverability and Feasibility	General	High-Medium	High-Medium	Medium-Low
	Repeatability	High-Medium	High-Medium	High-Medium
	Stakeholder implementability	High	High-Medium	High-Medium (varies)
	Existing window of opportunity	High-Medium	High-Medium	High-Medium
	Level of autonomy	High-Medium	High-Medium	High-Medium
Adaptive capacity	General	Medium-Low (varies)	Medium (varies)	Medium-Low
	Capacity of actors	High	High	High-

	requirements	Medium		
	Institutional consistency (compatibility)	Medium	Medium-Low	Medium-Low

				Medium
	Capacity of institutions/ organisations	High-Medium	High-Medium	High-Medium

Ranking: Water				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Participation	General	High-Medium	High-Medium	High-Medium
	Purpose of stakeholder participation	High-Medium	High-Medium	High-Medium (varies)
	Scope of stakeholder participation	High-Medium	High-Medium	High-Medium (varies)
	Quality of the process	High-Medium	High-Medium	High-Medium
Evaluating adaptation	Purpose of the evaluation	High-Medium	Medium	Medium
	Evaluating capacity	High-Medium	High-Medium	Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High-Medium	Medium	Medium-Low
Lessons learnt	General	High-Medium	Medium	Medium-Low
	Capacity building	High-Medium	Medium	Medium-Low
Deliverability and Feasibility	General	High-Medium	Medium-Low (varies)	Medium-Low (varies)
	Repeatability	High-Medium	Medium	High-Medium

Ranking: Tourism				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Adaptive capacity	General	High-Medium	High	High-Medium
	Capacity of institutions/ organisations	High	High	High
	Capacity of actors	High	High	High-Medium
Dependencies	(General) Prerequisite requirements	High	High	High
	Institutional requirements	High	High-Medium	High-Medium
	Barriers	High	High-Medium	High-Medium
	Ease of implementation	High	High-Medium	High-Medium
	Institutional consistency (compatibility)	High	High-Medium	Medium
Deliverability and Feasibility	General	High	High-Medium	High-Medium
	Existing window of opportunity	High	High-Medium	High-Medium
	Repeatability	High-Medium	Medium (varies)	Medium (varies)

	Stakeholder implementability	High-Medium	Medium (varies)	Medium (varies)
	Existing window of opportunity	High-Medium	Medium	Medium-Low
	Level of autonomy	High-Medium	Medium-Low	Medium (varies)
Adaptive capacity	General	Medium	High-Medium	Medium
	Capacity of institutions/ organisations	High	High-Medium	Medium
	Capacity of actors	High-Medium	Medium	Medium-Low
Dependencies	(General) Prerequisite requirements	Medium	Low	Medium-Low
	Barriers	High-Medium	High-Medium	High-Medium
	Ease of implementation	High-Medium	Medium-Low	Medium-Low
	Institutional consistency (compatibility)	Medium	Medium-Low	High-Medium
	Institutional requirements	Medium-Low	Low	Medium-Low

		(varies)		
	Stakeholder implementability	High-Medium (varies)	Medium	Medium
	Level of autonomy	Medium (varies)	Medium-Low	Medium-Low
Participation	General	High	High-Medium	High-Medium (varies)
	Purpose of stakeholder participation	High	High-Medium	High-Medium (varies)
	Scope of stakeholder participation	High	High-Medium	High-Medium (varies)
	Quality of the process	High	Medium	Medium-Low
Lessons learnt	General	High-Medium	High-Medium (varies)	High-Medium (varies)
	Capacity building	High-Medium	High-Medium	Medium-Low
Evaluating adaptation	Purpose of the evaluation	High-Medium	High-Medium	Medium
	Evaluating capacity	High-Medium	High-Medium	Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High	Medium-Low	High-Medium

Appendix VII: Contextualised feedback: Climate change impacts

VII.1 Outcome criteria

Ranking: Extreme Temperature				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Robustness	General	High	High	High
	Regret/no-regret	High	High	High-Medium
Equity	General	High	High-Medium	Medium-Low
	Attention to the most vulnerable groups	High	High	High-Medium
	Proportion of beneficiaries	High	Medium	Medium-Low
	Supports fair allocation of risks	Medium	Medium-Low	Low
	Efficiency	General	High	High-Medium
	Administrative burden	High	High	High
	Uncertainty of evaluated costs and benefits	High	High	High
	Total cost	High	High-Medium	Medium
	Cost/benefit ratio	High	Medium	Medium-Low
	Benefits	High	Medium	Medium-Low
Coherence	General	High	Medium	High-Medium
	Integration with policy domains, programmes or projects	High	Medium	Medium
	- Vertical integration	High	High	Low

Ranking: Water scarcity				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Robustness	General	High	Medium	High
	Regret/no-regret	High	High	Medium
Effectiveness	General	High	Medium	Medium
	Scope of effect	High	High	High
	Vulnerability	High	High	High
	Increased adaptive capacity	High	High	High-Medium
	Reduction of sensitivity	High	High	Medium
	Relevance	High	High	Medium
	Reduction of exposure	High	Medium	Medium
	Triggering incentive	High	Medium	Medium
	Level of resilience	High	Medium	Low
	Avoided damage	High	Medium	Low
	Windfall profit	High	Medium	Low
Equity	General	High	Medium	Medium
	Attention to the most vulnerable groups	High	High	High-Medium

	- Horizontal integration	High	Medium	Medium
	Interactions (conflicts/synergies) with other measures	Medium	Low	Low
Effectiveness	General	High	Medium	Low
	Scope of effect	High	High	High
	Vulnerability	High	High	High
	Relevance	High	High	Medium
	Reduction of exposure	High	Medium	Medium
	Increased adaptive capacity	High	Medium	Medium
	Reduction of sensitivity	High-Medium	Medium	Medium-Low
	Avoided damage	High	Medium-Low	Low
	Level of resilience	High	Medium-Low	Low
	Windfall profit	Medium	Low	High
	Triggering incentive	Medium	Low	Low
Acceptability	General	High	Medium	Low
	Incorporation of local/traditional knowledge	High	High-Medium	Medium
	Endorsement of political leaders and/or implementers	High	Medium	Medium-Low
Sustainability, Impacts, Side-effects				
	Sustainability	High-	Medium-	Medium-

	Proportion of beneficiaries	High	High	Medium
	Supports fair allocation of risks	High	Medium	Medium
Coherence	General	High	Medium	Medium
	Interactions (conflicts/synergies) with other measures	High	High	High
	Integration with policy domains, programmes or projects	High	Medium	Medium
	- Vertical integration	High	High	Low
	- Horizontal integration	High	Medium	Medium
Efficiency	General	High	Medium	Low
	Administrative burden	High	High	High
	Cost/benefit ratio	High	Medium	Medium
	Total cost	High	Medium	Medium
	Benefits	High	Medium	Medium
	Uncertainty of evaluated costs and benefits	High	Medium	Medium
Acceptability	General	High	Medium	Low
	Incorporation of local/traditional knowledge	High	High	Medium
	Endorsement of political leaders and/or implementers	High	Medium	Medium
Sustainability, Impacts, Side-effects				
	Sustainability	Medium	Medium	Medium

		Medium	Low	Low
	Impacts	High-Medium	Low	Low
	Side effects: General	High-Medium	Medium	Medium-Low
	Economic side effects: - General	High	High	Medium
	- Effect on employment	Medium	Medium-Low	Low
	- Effect on innovation and competitive advantage	Medium	Low	Low
	Environmental side effects: - General	High	Medium	Low
	- Synergies with climate mitigation	Medium	Medium	Medium
	- Avoiding of maladaptation	Medium	Medium	Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	Medium	Low	Low
	Social side effects: - General	Medium	Medium-Low	Medium-Low
	- Distributional impacts	High-Medium	Medium-Low	Medium-Low

		Medium	Low	Low
	Impacts	Medium	Low	Low
	Side effects: General	High-Medium	Medium	Medium
	Economic side effects: - General	High	High	Medium
	- Effect on employment	High	Medium	Low
	- Effect on innovation and competitive advantage	Medium	Medium	Low
	Environmental side effects: - General	High	High	Medium
	- Synergies with climate mitigation	Medium	Medium	Medium
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High	Medium	Low
	- Avoiding of maladaptation	High	Medium	Low
	Social side effects: - General	Medium	Medium	Medium
	- Distributional impacts	High	Medium	Medium

Ranking: Flooding

Ranking: Coastal Erosion

Criterion	Subcategory	Relevance	Feasibility	Available Information
Acceptability	General	High	High	High
	Endorsement of political leaders and/or implementers	High	High	High-Medium
	Incorporation of local/traditional knowledge	High	High	Medium
Effectiveness	General	High	High-Medium	High
	Relevance	High	High	High
	Vulnerability	High	High	High
	Scope of effect	High	High	High
	Avoided damage	High	High	High-Medium
	Reduction of exposure	High	High-Medium	High-Medium
	Reduction of sensitivity	High	High-Medium	Medium
	Increased adaptive capacity	High	Medium	Medium-Low
	Level of resilience	High-Medium	Medium	Medium
	Windfall profit	High-Medium	Medium-Low	Medium
	Triggering incentive	Medium-Low	Low	Low
Efficiency	General	High	High-Medium	High
	Total cost	High	High	High
	Uncertainty of evaluated costs and benefits	High	High	High
	Benefits	High	High	High
	Cost/benefit ratio	High	High-	High-

Criterion	Subcategory	Relevance	Feasibility	Available Information
Acceptability	General	High	High	High
	Endorsement of political leaders and/or implementers	High	High	High
	Incorporation of local/traditional knowledge	High	High	High-Medium
Effectiveness	General	High	High-Medium	High
	Relevance	High	High	High
	Vulnerability	High	High	High
	Scope of effect	High	High	High-Medium
	Reduction of exposure	High	High	High-Medium
	Avoided damage	High	High	Medium
	Increased adaptive capacity	High	Medium	Medium
	Triggering incentive	High	High-Medium	Medium-Low
	Reduction of sensitivity	High	Medium	Medium
	Level of resilience	High	Medium	Medium-Low
	Windfall profit	High-Medium	Medium	Medium
Efficiency	General	High	High-Medium	High
	Total cost	High	High	High
	Uncertainty of evaluated costs and benefits	High	High	High-Medium
	Benefits	High	High	Medium-Low
	Administrative burden	High	High-	High-

		High	Medium	Medium
	Administrative burden	High	High-Medium	High-Medium
Coherence	General	High	High-Medium	High-Medium
	Integration with policy domains, programmes or projects	High	High-Medium	High-Medium
	- Vertical integration	High	High-Medium	Medium
	- Horizontal integration	High	Medium	High-Medium
	Interactions (conflicts/synergies) with other measures	High	Medium	Medium
Sustainability, Impacts, Side-effects				
	Sustainability	High	High-Medium	Medium
	Impacts	High	High-Medium	Medium
	Side effects: General	High	High-Medium	Low
	Social side effects: - General	High	High-Medium	Medium
	- Distributional impacts	High	Medium-Low	Low
	Economic side effects: - General	High	Medium	Medium-Low

		High	Medium	Medium
	Cost/benefit ratio	High	Medium	Medium
Sustainability, Impacts, Side-effects				
	Sustainability	High	High-Medium	Medium
	Impacts	High	High	High
	Side effects: General	High	High-Medium	Medium
	Social side effects: - General	High	Medium	Medium
	- Distributional impacts	High	Medium-Low	Low
	Economic side effects: - General	High	Medium	Medium-Low
	- Effect on employment	High	Medium	Low
	- Effect on innovation and competitive advantage	High-Medium	High-Medium	Medium-Low
	Environmental side effects: - General	High	Medium	Medium-Low
	- Avoiding of maladaptation	High	Medium	Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High-Medium	Medium-Low	Medium-Low

	- Effect on employment	High	Medium	Medium-Low
	- Effect on innovation and competitive advantage	Medium	Medium-Low	Low
	Environmental side effects: - General	High	Medium	Medium-Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High	Medium	Medium-Low
	- Avoiding of maladaptation	High	Medium	Low
	- Synergies with climate mitigation	High-Medium	Medium	Medium
Robustness	General	High	High	Medium
	Regret/no-regret	High	Medium	Medium
Equity	General	High	Medium-Low	Low
	Proportion of beneficiaries	High	Medium	Low
	Supports fair allocation of risks	High	Medium-Low	Medium-Low
	Attention to the most vulnerable groups	High	Low	Medium-Low

	- Synergies with climate mitigation	Medium	Medium	Low
Robustness	General	High	Medium	Medium
	Regret/no-regret	High	Medium	High
Coherence	General	High	Medium	Medium
	Interactions (conflicts/synergies) with other measures	High	High	High
	Integration with policy domains, programmes or projects	High	High	High-Medium
	- Vertical integration	High	High	Medium
	- Horizontal integration	High	Medium-Low	High-Medium
Equity	General	High	Low	Low
	Supports fair allocation of risks	High	Medium	Medium
	Proportion of beneficiaries	High	Medium	Low
	Attention to the most vulnerable groups	High	Medium-Low	Medium-Low

Ranking: Droughts				
Criterion	Subcategory	Relevance	Feasibility	Available Information

Ranking: Soil Erosion				
Criterion	Subcategory	Relevance	Feasibility	Available Information

Robustness	General	High	High	High
	Regret/no-regret	High	High	High-Medium
Acceptability	General	High	High.-Medium	High.-Medium
	Incorporation of local/traditional knowledge	High	High	High
	Endorsement of political leaders and/or implementers	High	Medium	Medium-Low
Equity	General	High	High-Medium	Medium-Low
	Attention to the most vulnerable groups	High	High	High-Medium
	Proportion of beneficiaries	High	Medium-Low	Medium-Low
	Supports fair allocation of risks	High-Medium	Medium	Medium-Low
Effectiveness	General	High	High-Medium	Low
	Scope of effect	High	High	High
	Vulnerability	High	High	High-Medium
	Relevance	High	High	Medium
	Reduction of sensitivity	High	High-Medium	High-Medium
	Avoided damage	High	High-Medium	High-Medium
	Level of resilience	High	Medium	Medium
	Increased adaptive capacity	High	Medium	Medium-Low
	Reduction of exposure	Medium	Medium	Medium
	Windfall profit	Medium	Low	Low

Effectiveness	General	High	Medium	Medium
	Relevance	High	High	Medium
	Scope of effect	High	High	Medium
	Increased adaptive capacity	High	High	Medium
	Avoided damage	High	High-Medium	Medium
	Vulnerability	High	High-Medium	Medium
	Windfall profit	High	Medium	Medium
	Level of resilience	High	Medium	Medium
	Reduction of sensitivity	High	Medium	Medium
	Triggering incentive	High	Medium	Low
	Reduction of exposure	Medium	Medium	Medium
Efficiency	General	High	Medium	Medium
	Administrative burden	High	High	High
	Cost/benefit ratio	High	Medium	Medium
	Total cost	High	Medium	Medium
	Uncertainty of evaluated costs and benefits	High	Medium	Medium-Low
	Benefits	High	Medium	Low
Acceptability	General	High	Medium	Medium
	Incorporation of local/	High	Medium	Medium

	Triggering incentive	Medium	Low	Low
Efficiency	General	High	Medium	Low
	Uncertainty of evaluated costs and benefits	High	High	Medium
	Benefits	High	Medium	Medium-Low
	Cost/benefit ratio	High	Medium	Low
	Total cost	High	Medium-Low	Medium-Low
	Administrative burden	High-Medium	High-Medium	Medium
Coherence	General	High-Medium	Medium-Low	Medium
	Integration with policy domains, programmes or projects	High	Medium	Medium
	- Horizontal integration	High-Medium	Medium	Medium
	- Vertical integration	High-Medium	Medium	Medium-Low
	Interactions (conflicts/synergies) with other measures	High	Low	Low
Sustainability, Impacts, Side-effects				
	Sustainability	High-Medium	Medium-Low	Medium-Low
	Impacts	Medium	Low	Low
	Side effects: General	Medium	Low	Low

	traditional knowledge			
	Endorsement of political leaders and/or implementers	High	Medium	Medium
Coherence	General	High	Medium	Medium
	Integration with policy domains, programmes or projects	High	Medium	Low
	- Vertical integration	High	Medium	Low
	- Horizontal integration	High	Medium	Low
	Interactions (conflicts/synergies) with other measures	High	Low	Low
Equity	General	High	Medium	Low
	Supports fair allocation of risks	High	Medium	Medium
	Attention to the most vulnerable groups	High	Medium	Low
	Proportion of beneficiaries	Medium	Medium	Low
Robustness	General	High	Low	Low
	Regret/no-regret	High	Low	High-Medium
Sustainability, Impacts, Side-effects				
	Sustainability	Medium	Medium-Low	Medium-Low
	Impacts	Medium	Low	Low
	Side effects: General	High-Medium	Medium-Low	Low

	Environmental side effects: - General	High	High-Medium	Medium-Low
	- Synergies with climate mitigation	High-Medium	Medium	Medium
	- Avoiding of maladaptation	High-Medium	Medium	Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	Medium	Medium	Low
	Economic side effects: - General	High	Medium	Low
	- Effect on innovation and competitive advantage	Medium	Low	Low
	- Effect on employment	Medium-Low	Medium-Low	Medium-Low
	Social side effects: - General	Medium	Medium	Low
	- Distributional impacts	Medium	Medium-Low	Low

	Environmental side effects: - General	High	Medium	Medium
	- Synergies with climate mitigation	High	Low	Low
	- Avoiding of maladaptation	High	Low	Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	Medium	Low	Low
	Economic side effects: - General	High	Low	Medium
	- Effect on employment	High	Medium	Low
	- Effect on innovation and competitive advantage	Medium	Medium	Low
	Social side effects: - General	High.- Medium	Medium-Low	Medium-Low
	- Distributional impacts	High	Medium	Low

Ranking: Vector Borne Diseases				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Equity	General	High	High	Low
	Attention to the most vulnerable groups	High	High	High-Medium

Ranking: Damages from extreme weather related events				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Efficiency	General	High	High-Medium	High
	Uncertainty of evaluated costs and benefits	High	High	High-Medium

	Proportion of beneficiaries	High	Medium	Medium-Low
	Supports fair allocation of risks	Medium	Medium-Low	Low
Acceptability	General	High	High-Medium	Medium
	Incorporation of local/traditional knowledge	High	High	Medium
	Endorsement of political leaders and/or implementers	High-Medium	Medium-Low	Low
Robustness	General	High	High-Medium	Medium
	Regret/no-regret	High-Medium	Medium	High-Medium
Effectiveness	General	High	High-Medium	Low
	Vulnerability	High	High	High-Medium
	Scope of effect	High	High-Medium	Medium
	Relevance	High	High-Medium	Medium
	Avoided damage	High	Medium	Medium
	Level of resilience	High-Medium	Medium	Medium-Low
	Increased adaptive capacity	High-Medium	Medium-Low	Medium-Low
	Reduction of sensitivity	Medium	Medium-Low	Medium-Low
	Reduction of exposure	Medium	Medium-Low	Medium-Low
	Triggering incentive	Medium-Low	Medium-Low	Low
	Windfall profit	Medium-Low	Low	Low

	Benefits	High	High	Medium
	Total cost	High	High-Medium	High-Medium
	Cost/benefit ratio	High	Medium	Medium
	Administrative burden	High-Medium	High	Medium-Low
Acceptability	General	High	High-Medium	Medium
	Incorporation of local/traditional knowledge	High	High	High
	Endorsement of political leaders and/or implementers	High	High	High
Equity	General	High	High-Medium	Medium-Low
	Attention to the most vulnerable groups	High	High	Medium-Low
	Supports fair allocation of risks	High	Medium	Medium
	Proportion of beneficiaries	Medium	High-Medium	Medium-Low
Sustainability, Impacts, Side-effects				
	Sustainability	High-Medium	Medium-Low	Medium
	Impacts	High	High	High
	Side effects: General	High	High	Medium
	Social side effects: - General	High	High	Medium
	- Distributional impacts	High	Medium-Low	Medium-Low
	Environmental side	High	High-	High-

		Low		
Coherence	General	High-Medium	Medium	High-Medium
	Integration with policy domains, programmes or projects	High-Medium	Medium	Medium-Low
	- Vertical integration	Medium	Medium-Low	Low
	- Horizontal integration	High-Medium	Medium-Low	Medium-Low
	Interactions (conflicts/synergies) with other measures	Medium-Low	Low	Low
Efficiency	General	High-Medium	Medium	Medium
	Uncertainty of evaluated costs and benefits	High	High	Medium
	Administrative burden	High-Medium	High-Medium	Medium
	Total cost	High-Medium	Medium	Medium
	Benefits	High-Medium	Medium	Medium
	Cost/benefit ratio	Medium	Medium	Medium
Sustainability, Impacts, Side-effects				

	effects:		Medium	Medium
	- General			
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High	Medium	Low
	- Avoiding of maladaptation	High	Medium	Low
	- Synergies with climate mitigation	Medium	Medium-Low	Low
	Economic side effects:	High	Medium-Low	Low
	- General			
	- Effect on employment	High	Medium	Low
	- Effect on innovation and competitive advantage	High-Medium	Medium	Medium
Coherence	General	High	Medium	High-Medium
	Interactions (conflicts/synergies) with other measures	High	High	High
	Integration with policy domains, programmes or projects	High	High-Medium	Medium
	- Vertical integration	High	Medium	Low
	- Horizontal integration	High	Medium-Low	Medium-Low
Effectiveness	General	High	Medium	Medium

	Sustainability	Medium-Low	Low	Low
	Impacts	Medium-Low	Low	Low
	Side effects: General	Medium-Low	Low	Low
	Economic side effects: - General	Medium	Low	Medium
	- Effect on employment	Medium-Low	Medium-Low	Medium-Low
	- Effect on innovation and competitive advantage	Medium-Low	Low	Medium
	Environmental side effects: - General	Medium	Medium-Low	Low
	- Synergies with climate mitigation	High-Medium	Medium	Medium
	- Avoiding of maladaptation	High-medium	Medium	Medium-Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	Medium	Medium	Low
	Social side effects: - General	Medium	Low	Low
	- Distributional impacts	Medium	Medium-Low	Medium-Low

	Scope of effect	High	High	High-Medium
	Reduction of exposure	High	High	Medium
	Vulnerability	High	High-Medium	High
	Avoided damage	High	High-Medium	Medium
	Reduction of sensitivity	High	Medium	Medium
	Relevance	High	Medium	Medium
	Increased adaptive capacity	High	Medium	Medium-Low
	Level of resilience	High	Medium	Medium-Low
	Triggering incentive	High	Medium	Low
	Windfall profit	Medium	Low	Low
Robustness	General	High	Medium	Medium-Low
	Regret/no-regret	High	Medium	High-Medium

VII. 2 Process criteria

Ranking: Extreme Temperature				
Criterion	Subcategory	Relevance	Feasibility	Available Information

Ranking: Water scarcity				
Criterion	Subcategory	Relevance	Feasibility	Available Information

Lessons learnt	General	High	High-Medium	Medium
	Capacity building	High	Medium	Low
Dependencies	(General) Prerequisite requirements	High	Medium	High-Medium
	Barriers	High	Medium	Medium
	Ease of implementation	High	Medium	Medium
	Institutional consistency (compatibility)	High-Medium	Low	Medium-Low
	Institutional requirements	Medium	Low	Medium-Low
Adaptive capacity	General	High	Medium	Low
	Capacity of actors	High	High	Medium-Low
	Capacity of institutions/ organisations	High	Medium	High-Medium
Participation	General	High-Medium	High-Medium	High
	Scope of stakeholder participation	High	High	High
	Quality of the process	High-Medium	High	High
	Purpose of stakeholder participation	High-Medium	Medium	High-Medium
Evaluating adaptation	Purpose of the evaluation	High-Medium	High-Medium	Medium
	Evaluating capacity	High	High	High
Deliverability and Feasibility	General	High-Medium	Medium	Medium-Low
	Stakeholder implementability	High	High	High
	Existing window of opportunity	High	High	High
	Repeatability	High	Medium-	Medium

Adaptive capacity	General	High	High	High
	Capacity of actors	High	High	Medium
	Capacity of institutions/ organisations	High	High	Medium
Participation	General	High	High	High
	Purpose of stakeholder participation	High	High	High
	Scope of stakeholder participation	High	High	High
	Quality of the process	High	High	High
Lessons learnt	General	High	Medium	Medium
	Capacity building	High	High	High
Dependencies	(General) Prerequisite requirements	Medium	Low	Medium
	Barriers	High	High	Medium
	Institutional consistency (compatibility)	High	Medium	Medium
	Ease of implementation	High	Medium	Medium
	Institutional requirements	Medium	Low	Medium
Deliverability and Feasibility	General	High-Medium	Medium	Medium
	Stakeholder implementability	High	High	High
	Level of autonomy	High	Medium	Medium-Low
	Existing window of opportunity	High	Medium	Low
	Repeatability	High	Low	Medium
Evaluating	Purpose of the	Medium	Medium	Medium

			Low	
	Level of autonomy	Medium	Medium	Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	Medium	Medium	High-Medium

adaptation	evaluation			
	Evaluating capacity	High	High	High
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	Medium	Medium	Medium

Ranking: Flooding				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Participation	General	High	High	High
	Purpose of stakeholder participation	High	High	High
	Scope of stakeholder participation	High	High	High
	Quality of the process	High	High-Medium	High
Dependencies	(General) Prerequisite requirements	High	High	High-Medium
	Barriers	High	High	High
	Ease of implementation	High	High-Medium	High-Medium
	Institutional requirements	High	Medium	Medium
	Institutional consistency (compatibility)	High-Medium	Medium	Medium
Deliverability and Feasibility	General	High	Medium	Medium-Low
	Stakeholder implementability	High	High	Medium
	Existing window of	High	High-	High

Ranking: Coastal Erosion				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Evaluating adaptation	Purpose of the evaluation	High	High	High
	Evaluating capacity	High	High	High
Dependencies	(General) Prerequisite requirements	High	High	High
	Barriers	High	High	High
	Ease of implementation	High	High	High
	Institutional requirements	High	High-Medium	Medium
	Institutional consistency (compatibility)	High	Medium	Medium
Participation	General	High	High	High
	Purpose of stakeholder participation	High	High	High
	Scope of stakeholder participation	High	High	High
	Quality of the process	High	High	High
Lessons	General	High	High	High

	opportunity		Medium	
	Repeatability	High	Medium	Medium
	Level of autonomy	High-Medium	Medium	Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High	Medium-Low	Medium
Adaptive capacity	General	High	Medium	Low
	Capacity of actors	High	High	High
	Capacity of institutions/organisations	High	Medium	High
Lessons learnt	General	High	Medium-Low	Medium-Low
	Capacity building	High-Medium	Medium	Low
Evaluating adaptation	Purpose of the evaluation	Medium	High	High
	Evaluating capacity	High-Medium	High	High-Medium

learnt				
	Capacity building	High	High	Medium
Deliverability and Feasibility	General	High	High-Medium	High
	Stakeholder implementability	High	High	High-Medium
	Existing window of opportunity	High	High-Medium	High
	Repeatability	High	Medium	Medium
	Level of autonomy	High-Medium	Medium	Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High	Medium-Low	Medium
Adaptive capacity	General	High	Medium	Low
	Capacity of actors	High	High	High
	Capacity of institutions/organisations	High	Medium	High

Ranking: Droughts				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Adaptive capacity	General	High	Medium-Low	Low
	Capacity of institutions/organisations	High	Medium	Medium

Ranking: Soil Erosion				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Participation	General	High	Medium	Medium
	Purpose of stakeholder participation	High	Medium	Medium

	Capacity of actors	High	Medium-Low	Low
Lessons learnt	General	High	Medium	Medium-Low
	Capacity building	High	Medium-Low	Low
Participation	General	High-Medium	High	High
	Scope of stakeholder participation	High-Medium	High	High
	Purpose of stakeholder participation	High-Medium	High-Medium	High
	Quality of the process	Medium	High-Medium	High-Medium
Evaluating adaptation	Purpose of the evaluation	High-Medium	High-Medium	High-Medium
	Evaluating capacity	High-Medium	High	High
Dependencies	(General) Prerequisite requirements	High-Medium	Low	Medium
	Barriers	High	Medium	Medium
	Institutional consistency (compatibility)	Medium-Low	Medium-Low	Medium
	Ease of implementation	High	Medium-Low	Medium-Low
	Institutional requirements	Low	Medium	Medium-Low
Flexibility	Potential for adjustments to different climate scenarios and socio-economic	Medium	Medium	Medium

	Scope of stakeholder participation	High	Medium	Medium
	Quality of the process	High	Medium	Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High	Medium	Low
Adaptive capacity	General	High	Medium	Low
	Capacity of institutions/ organisations	High	High-Medium	High-Medium
	Capacity of actors	High	High-Medium	Medium-Low
Evaluating adaptation	Purpose of the evaluation	High-Medium	High-Medium	Medium
	Evaluating capacity	High	High-Medium	Medium
Deliverability and Feasibility	General	High-Medium	Medium	Medium
	Stakeholder implementability	High	High	Medium
	Level of autonomy	High	Medium	High-Medium
	Existing window of opportunity	Medium	High	High
	Repeatability	Low	Medium	Medium
Dependencies	(General) Prerequisite requirements	High-Medium	Medium	Medium-Low
	Barriers	High	High	High

	developments			
Deliver-ability and Feasibility	General	Medium	Low	Low
	Existing window of opportunity	High-Medium	Medium	Medium
	Level of autonomy	Medium	Medium	Medium
	Stakeholder implementability	High-Medium	Medium-Low	Medium-Low
	Repeatability	Medium	Medium-Low	Medium

	Institutional consistency (compatibility)	High	Medium	Medium
	Institutional requirements	High	Low	Medium
	Ease of implementation	High	Low	Medium
Lessons learnt	General	Medium	Low	Low
	Capacity building	High	Low	Low

Ranking: Vector Borne Diseases				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Evaluating adaptation	Purpose of the evaluation	High-Medium	Medium	Medium
	Evaluating capacity	High-Medium	Medium	Medium
Dependencies	(General) Prerequisite requirements	High-Medium	Medium	Medium-Low
	Barriers	High-Medium	High-Medium	Medium
	Ease of implementation	Medium	Medium-Low	Medium-Low
	Institutional requirements	Medium-Low	Medium	Medium-Low
	Institutional consistency (compatibility)	Medium-Low	Low	Medium-Low
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	Medium	Medium-Low	Medium-Low
Participation	General	Medium	Medium-	Medium-

Ranking: Damages from extreme weather related events				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Evaluating adaptation	Purpose of the evaluation	High	High	High
	Evaluating capacity	High-Medium	Medium	Medium
Participation	General	High	High	High
	Purpose of stakeholder participation	High	High	High
	Scope of stakeholder participation	High	High	High
	Quality of the process	High	High	High
Lessons learnt	General	High	High-Medium	Medium
	Capacity building	High	High-Medium	Medium-Low
Deliverability	General	High	Medium	Medium

			Low	Low
	Scope of stakeholder participation	High-Medium	Medium	Medium
	Quality of the process	Medium	Medium	Medium-Low
	Purpose of stakeholder participation	Medium	Medium-Low	Medium-Low
Adaptive capacity	General	Medium	Medium-Low	Low
	Capacity of institutions/ organisations	High	High-Medium	Medium
	Capacity of actors	Medium	Medium-Low	Low
Lessons learnt	General	Medium	Medium-Low	Low
	Capacity building	Medium	Medium-Low	Low
Deliverability and Feasibility	General	Low	Low	Low
	Existing window of opportunity	High-Medium	Medium	Medium
	Repeatability	Medium	Medium-Low	Medium-Low
	Stakeholder implementability	Medium	Medium-Low	Medium-Low
	Level of autonomy	Medium	Medium-Low	Medium-Low

and Feasibility				
	Stakeholder implementability	High	High	High-Medium
	Repeatability	High	Medium	Medium-Low
	Existing window of opportunity	High-Medium	High-Medium	Medium
	Level of autonomy	Medium	Medium	Medium
Adaptive capacity	General	High	Medium	Medium-Low
	Capacity of actors	High	High	High
	Capacity of institutions/ organisations	High	High	High
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High	Medium-Low	High
Dependencies	(General) Prerequisite requirements	High-Medium	Medium	High-Medium
	Barriers	High	High	Medium
	Ease of implementation	High	High-Medium	Medium
	Institutional consistency (compatibility)	High-Medium	Medium	Medium
	Institutional requirements	High-Medium	Low	Medium

Appendix VIII: Contextualised feedback: Analytically- vs. process-driven case studies

VIII.1 Outcome criteria

Ranking: Analytically-driven				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Effectiveness	General	High	High	High
	Relevance	High	High	High
	Avoided damage	High	High	Medium
	Scope of effect	High	High	Medium
	Vulnerability	High	High-Medium	High-Medium
	Reduction of sensitivity	High	Medium	Medium-Low
	Increased adaptive capacity	High	Medium-Low	Medium
	Reduction of exposure	Medium	Medium	Medium
	Level of resilience	Medium	Medium	Medium-Low
	Windfall profit	Medium-Low (varies)	Low	Low
Triggering incentive	Low	Low	Low	
Efficiency	General	High	High	High
	Cost/benefit ratio	High	High	Medium
	Uncertainty of evaluated costs and benefits	High	High	Medium
	Total cost	High	Medium	Medium
	Benefits	High	Medium	Low

Ranking: Process-driven				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Effectiveness	General	High	Medium	Medium
	Vulnerability	High	High-Medium	High-Medium
	Scope of effect	High	High-Medium	Medium
	Reduction of exposure	High	Medium	Medium
	Relevance	High	Medium	Medium (varies)
	Avoided damage	High	Medium	Medium-Low
	Level of resilience	High	Medium-Low	Low
	Reduction of sensitivity	High-Medium	Medium	Medium
	Triggering incentive	High-Medium	Medium	Medium-Low
	Increased adaptive capacity	High-Medium	Medium	Low
Windfall profit	Medium	Low	Low	
Sustainability, Impacts and Side-effects				
	Sustainability	High	Medium	Medium
	Impacts	High	Medium	Medium
	Side effects: General	High	High-Medium	Medium
	Environmental side effects:	High	Medium	Low

		High	Medium	Low
	Administrative burden	High	Medium	Low
Acceptability	General	High	High	High
	Incorporation of local/traditional knowledge	High	High	High-Medium
	Endorsement of political leaders and/or implementers	High-Medium	Medium	Medium
Robustness	General	High	High	High
	Regret/no-regret	High	Medium	Medium-Low
Coherence	General	High	Medium	Medium
	Interactions (conflicts/synergies) with other measures	High	Medium	Low
	Integration with policy domains, programmes or projects	High-Medium	Medium	Medium
	- Vertical integration	Medium	Medium	Medium
	- Horizontal integration	Medium	Medium	Medium
Sustainability, Impacts and Side-effects				
	Sustainability	High	High	High
	Impacts	High	Low	Low
	Side effects: General	Medium	Medium-Low	Low
	Environmental side	High-	Medium-	Low

	- General	High	Medium	Low
	- Synergies with climate mitigation	Medium	Medium-Low	Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High-Medium	Medium-Low	Low
	- Avoiding of maladaptation	Medium	Low	Low
	Economic side effects: - General	High	Medium-Low	Low
	- Effect on innovation and competitive advantage	Medium	Medium-Low	Low
	- Effect on employment	High	Medium-Low	Low
	Social side effects: - General	High-Medium	Medium	Medium-Low
	- Distributional impacts	High	Low	Low
Robustness	General	High	Medium	Medium
	Regret/no-regret	High	Medium	Medium-Low
Efficiency	General	High	Medium	Medium-Low
	Cost/benefit ratio	High	Medium	Medium-Low
	Uncertainty of evaluated costs and benefits	High	High	Medium
	Total cost	High	Medium	Medium
	Benefits	High	Medium	Medium-Low
	Administrative burden	Medium	Medium	Medium

	effects: - General	Medium	Low	
	- Avoiding of maladaptation	High	Medium	Medium-Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High-Medium	Medium-Low	Medium-Low
	- Synergies with climate mitigation	Medium	Low	Low
	Economic side effects: - General	Medium	Medium	Medium-Low
	- Effect on employment	Medium	Medium	Low
	- Effect on innovation and competitive advantage	Medium-Low	Low	Low
	Social side effects: - General	Medium	Low	Low
	- Distributional impacts	High	Low	Low
Equity	General	High-Medium	Medium-Low	Low
	Attention to the most vulnerable groups	Medium	Medium-Low	Medium-Low
	Proportion of beneficiaries	Medium	Low	Low
	Supports fair allocation of risks	Medium-Low	Low	Low

Acceptability	General	High	High-Medium	Low
	Incorporation of local/traditional knowledge	High	High-Medium	High-Medium
	Endorsement of political leaders and/or implementers	High	High-Medium	Medium
Coherence	General	High-Medium	Medium	Medium
	Integration with policy domains, programmes or projects	High	Medium	Medium
	- Horizontal integration	High	Medium	Medium
	Interactions (conflicts/synergies) with other measures	High	Medium	Medium-Low
	- Vertical integration	High	Medium	Low
Equity	General	High	Low	Low
	Proportion of beneficiaries	High	Medium	Low
	Supports fair allocation of risks	High-Medium	Medium	Medium-Low
	Attention to the most vulnerable groups	High-Medium	Medium	Low

VIII.2 Process criteria

Ranking: Analytically-driven				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Dependencies	(General) Prerequisite requirements	High	High	High-Medium
	Barriers	High	Medium	High-Medium
	Institutional requirements	High	Medium-Low	Medium
	Ease of implementation	High	Medium	Medium
	Institutional consistency (compatibility)	Medium	Medium	Medium
Evaluating adaptation	Purpose of the evaluation	High	High	Medium
	Evaluating capacity	Medium	Medium	Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High	Medium	Medium
Deliverability and Feasibility	General	High	Medium	Medium-Low
	Existing window of opportunity	High	High	High
	Stakeholder implementability	High	High-Medium	Medium
	Repeatability	High-Medium	Medium	Medium-Low
	Level of autonomy	Medium	Medium	Medium

Ranking: Process-driven				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Participation	General	High	High	High
	Purpose of stakeholder participation	High	High	High
	Scope of stakeholder participation	High	High	High
	Quality of the process	High	High	High
Deliverability and Feasibility	General	High	Medium	Medium
	Stakeholder implementability	High	High	High
	Repeatability	High	Medium	Medium-Low
	Existing window of opportunity	High-Medium	Medium	Medium
	Level of autonomy	Medium	Medium	Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High	Medium	Medium
Lessons learnt	General	High	Medium	Medium
	Capacity building	High	Medium	Medium-Low
Evaluating	Purpose of the	High-	Medium	Medium

Adaptive capacity	General	High-Medium	Medium	Low
	Capacity of actors	High	High	Medium-Low
	Capacity of institutions/ organisations	High	Medium	Medium
Participation	General	Medium	Medium	High
	Purpose of stakeholder participation	High-Medium	High-Medium	High-Medium
	Scope of stakeholder participation	High-Medium	High	High
	Quality of the process	Medium	High-Medium	High
Lessons learnt	General	Medium	Medium	Medium
	Capacity building	Medium	Low	Low

adaptation	evaluation	Medium		
	Evaluating capacity	Medium	Medium	Medium-Low
Dependencies	(General) Prerequisite requirements	Medium	Medium	Medium
	Barriers	High	High-Medium	High-Medium
	Ease of implementation	High	High-Medium	Medium
	Institutional requirements	High-Medium	Medium	Medium
	Institutional consistency (compatibility)	High-Medium	Medium-Low	Medium-Low
Adaptive capacity	General	High	Medium	Low
	Capacity of actors	High	High	Medium
	Capacity of institutions/ organisations	High	High-Medium	Medium

Appendix IX: Contextualised feedback: Retrospective vs. prospective case studies

IX.1 Outcome criteria

Ranking: Retrospective orientation				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Effectiveness	General	High (varies)	High (varies)	High (varies)
	Relevance	High	High	High
	Vulnerability	High	High	High
	Scope of effect	High	High	High-Medium
	Reduction of exposure	High-Medium	High-Medium	High-Medium
	Increased adaptive capacity	High-Medium	High-Medium	High-Medium
	Avoided damage	High	High-Medium	Medium
	Reduction of sensitivity	High-Medium	High-Medium	Medium
	Level of resilience	High-Medium	Medium	Medium-Low
	Triggering incentive	Medium (varies)	Low (varies)	Low (varies)
Windfall profit	Low (varies)	Low	Low	
Efficiency	General	High	High-Medium (varies)	High
	Total cost	High	High	High

Ranking: Prospective orientation				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Effectiveness	General	High	Medium	Medium
	Avoided damage	High	High-Medium	Medium
	Reduction of exposure	High	Medium	Medium
	Scope of effect	High	Medium (varies)	Medium-Low (varies)
	Relevance	High-Medium	Medium	Medium-Low
	Level of resilience	High-Medium (varies)	Medium (varies)	Medium-Low (varies)
	Vulnerability	High-Medium	Medium (varies)	Medium-Low (varies)
	Reduction of sensitivity	High-Medium	Medium (varies)	Medium-Low (varies)
	Increased adaptive capacity	High-Medium (varies)	Medium-Low (varies)	Medium-Low (varies)
	Triggering incentive	Medium-Low	Medium-Low	Low
Windfall profit	Medium (varies)	Medium-Low	Medium-Low	
Efficiency	General	High-Medium	Medium (varies)	Medium (varies)
	Uncertainty of	High	High-	Medium

	Benefits	High	High	High-Medium
	Uncertainty of evaluated costs and benefits	High	High	High-Medium
	Cost/benefit ratio	High	High-Medium	High
	Administrative burden	High	High-Medium	High
Acceptability	General	High	High	High
	Endorsement of political leaders and/or implementers	High	High	High
	Incorporation of local/traditional knowledge	High	High	High-Medium
Coherence	General	High-Medium	High-Medium	Medium
	Interactions (conflicts/synergies) with other measures	High	High-Medium	High-Medium
	Integration with policy domains, programmes or projects	High-Medium	Medium	Medium
	- Vertical integration	High	High	High
	- Horizontal integration	High	High	High
Robustness	General	High-Medium	High-Medium	Medium
	Regret/no-regret	Medium (varies)	Medium (varies)	Medium-Low

	evaluated costs and benefits		Medium	(varies)
	Total cost	High-Medium	High-Medium	Medium (varies)
	Cost/benefit ratio	High-Medium	Medium (varies)	Medium (varies)
	Benefits	High-Medium	Medium (varies)	Medium (varies)
	Administrative burden	Medium (varies)	Medium (varies)	Medium-Low (varies)
Coherence	General	High-Medium	Medium (varies)	Medium-Low (varies)
	Integration with policy domains, programmes or projects	High-Medium	High-Medium	Medium (varies)
	- Vertical integration	High-Medium	High-Medium	Medium (varies)
	- Horizontal integration	High-Medium	Medium	Medium (varies)
	Interactions (conflicts/synergies) with other measures	Medium	Medium-Low (varies)	Medium-Low (varies)
Acceptability	General	High	High-Medium	Medium (varies)
	Incorporation of local/traditional knowledge	High (varies)	High-Medium (varies)	Medium (varies)
	Endorsement of political leaders and/or implementers	High-Medium	High-Medium	Medium
Robustness	General	High	High-Medium	High-Medium (varies)
	Regret/no-regret	High	High-Medium	Medium (varies)

Sustainability, Impacts, Side-effects				
	Sustainability	High-Medium	High-Medium (varies)	High-Medium
	Impacts	High	High	High-Medium
	Side effects: General	Medium (varies)	Medium (varies)	Medium-Low
	Economic side effects: - General	Medium (varies)	Medium (varies)	Medium-Low
	- Effect on innovation and competitive advantage	Medium-Low	Medium-Low	Low
	- Effect on employment	Medium	Medium	Low
	Environmental side effects: - General	High	High-Medium	High-Medium (varies)
	- Avoiding of maladaptation	High	High	High-Medium
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High	Medium	Medium
	- Synergies with climate mitigation	Medium (varies)	Medium-Low	Low
	Social side effects: - General	High-Medium	Medium	Medium
	- Distributional impacts	Medium-	Low	Low

Equity	General	High (varies)	High-Medium (varies)	Medium-Low (varies)
	Proportion of beneficiaries	High (varies)	High-Medium (varies)	Medium (varies)
	Attention to the most vulnerable groups	High (varies)	High-Medium (varies)	Medium (varies)
	Supports fair allocation of risks	High-Medium	Medium	Medium-Low
Sustainability, Impacts, Side-effects				
	Sustainability	High-Medium	High-Medium	Medium (varies)
	Impacts	High-Medium	Medium	Medium-Low
	Side effects: General	High-Medium	Medium	Medium-Low
	Economic side effects: - General	High-Medium (varies)	Medium (varies)	Medium (varies)
	- Effect on employment	Medium (varies)	Medium (varies)	Medium-Low
	- Effect on innovation and competitive advantage	Medium-Low	Medium-Low	Low
	Environmental side effects: - General	High-Medium	High-Medium	Medium
	- Synergies with climate mitigation	High-	Medium	Medium-Low

		Low (varies)		
Equity	General	Medium-low (varies)	Low	Low
	Proportion of beneficiaries	High	High-Medium	High-Medium
	Supports fair allocation of risks	High-Medium	Medium	Medium
	Attention to the most vulnerable groups	Medium (varies)	Low	Medium-low

	climate mitigation	Medium		
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High-Medium	Medium	Medium
	- Avoiding of maladaptation	High-Medium (varies)	Medium	Medium-Low
	Social side effects: - General	High-Medium (varies)	Medium (varies)	Medium-Low
	- Distributional impacts	High-Medium	Medium (varies)	Medium-Low (varies)

Ranking: Retrospective and prospective orientation				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Effectiveness	General	High	High-Medium	High-Medium
	Relevance	High	High-Medium	High-Medium
	Scope of effect	High	High-Medium	High-Medium
	Vulnerability	High	High-Medium	High-Medium
	Increased adaptive capacity	High-Medium	High-Medium (varies)	Medium (varies)
	Avoided damage	High	Medium (varies)	Medium (varies)
	Level of resilience	High-Medium	Medium	Medium-Low
	Reduction of sensitivity	High-	Medium-	Medium

		Medium (varies)	Low	
	Reduction of exposure	Medium (varies)	Medium (varies)	Medium (varies)
	Triggering incentive	Medium (varies)	Medium-Low (varies)	Medium-Low (varies)
	Windfall profit	Medium (varies)	Medium-Low (varies)	Medium-Low (varies)
Efficiency	General	High	High-Medium	High-Medium (varies)
	Uncertainty of evaluated costs and benefits	High (varies)	High-Medium	High-Medium
	Benefits	High	High-Medium	Medium (varies)
	Cost/benefit ratio	High	High-Medium	Medium (varies)
	Administrative burden	High-Medium	High-Medium (varies)	Medium (varies)
	Total cost	High-Medium	High-Medium (varies)	Medium (varies)
Coherence	General	High-Medium	High-Medium	High-Medium
	Integration with policy domains, programmes or projects	High-Medium	High-Medium	Medium
	- Vertical integration	High-Medium (varies)	Medium (varies)	Medium (varies)
	- Horizontal integration	High-Medium	Medium	Medium
	Interactions (conflicts/synergies) with	High (varies)	Medium (varies)	Medium (varies)

	other measures			
Acceptability	General	High-Medium	High-Medium (varies)	Medium (varies)
	Incorporation of local/traditional knowledge	High	High-Medium (varies)	High-Medium (varies)
	Endorsement of political leaders and/or implementers	High-Medium	High-Medium (varies)	High-Medium (varies)
Equity	General	High-Medium (varies)	Medium (varies)	Medium (varies)
	Attention to the most vulnerable groups	High-Medium (varies)	Medium (varies)	Medium-Low (varies)
	Supports fair allocation of risks	High-Medium (varies)	Medium-Low (varies)	Medium-Low (varies)
	Proportion of beneficiaries	Medium (varies)	Medium-Low	Medium-Low
Sustainability, Impacts, Side-effects				
	Sustainability	High-Medium (varies)	Medium (varies)	Medium (varies)
	Impacts	High-Medium	Medium (varies)	Medium (varies)
	Side effects: General	High-Medium (varies)	Medium (varies)	Medium (varies)
	Economic side effects: - General	High-Medium	Medium (varies)	Medium-Low (varies)
	- Effect on employment	High-Medium (varies)	Medium (varies)	Medium-Low
	- Effect on innovation and competitive	Medium (varies)	Medium-Low	Low

	advantage			
	Environmental side effects: - General	High-Medium	Medium	Medium-Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High-Medium	Medium	Medium-Low
	- Avoiding of maladaptation	High-Medium	Medium-Low	Medium-Low
	- Synergies with climate mitigation	Medium	Medium	Medium-Low
	Social side effects: - General	High-Medium	Medium	Medium-Low
	- Distributional impacts	High-Medium (varies)	Medium-Low	Medium-Low
Robustness	General	High-Medium	Medium	Medium (varies)
	Regret/no-regret	High-Medium	Medium	Medium-Low

IX.2 Process criteria

Ranking: Retrospective orientation				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Evaluating adaptation	Purpose of the evaluation	High	High	High-Medium
	Evaluating capacity	High-Medium	High-Medium	High-Medium
Participation	General	High-Medium (varies)	High-Medium (varies)	High-Medium (varies)

Ranking: Prospective orientation				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Evaluating adaptation	Purpose of the evaluation	High-Medium	High-Medium	Medium (varies)
	Evaluating capacity	High-Medium	Medium	Medium-Low
Participation	General	High-Medium	Medium	Medium

	Purpose of stakeholder participation	High	High	High
	Scope of stakeholder participation	High	High	High
	Quality of the process	High	High	High
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High-Medium	High-Medium	High-Medium
Dependencies	(General) Prerequisite requirements	High	High	High-Medium
	Barriers	High	High	High
	Ease of implementation	High-Medium	High-Medium	Medium
	Institutional requirements	Medium (varies)	Medium	Medium
	Institutional consistency (compatibility)	Medium	Medium	Medium
Lessons learnt	General	High-Medium (varies)	High-Medium (varies)	High-Medium (varies)
	Capacity building	Medium	Medium	Medium-Low
Adaptive capacity	General	High-Medium	High-Medium	Medium
	Capacity of actors	High	High	High-Medium
	Capacity of institutions/ organisations	High-Medium	High-Medium	High-Medium
Deliverability and Feasibility	General	Medium	Medium	Medium
	Repeatability	High (varies)	High (varies)	High-Medium (varies)

	Purpose of stakeholder participation	High-Medium	Medium	Medium (varies)
	Scope of stakeholder participation	High-Medium	Medium	Medium
	Quality of the process	High-Medium	Medium	Medium (varies)
Dependencies	(General) Prerequisite requirements	High-Medium	Medium	Medium
	Institutional requirements	High-Medium	Medium	Medium
	Barriers	High-Medium	Medium	Medium
	Ease of implementation	High-Medium	Medium	Medium
	Institutional consistency (compatibility)	High-Medium	Medium	Medium-Low
Deliverability and Feasibility	General	High	Medium	Medium (varies)
	Repeatability	High-Medium	High-Medium	Medium
	Stakeholder implementability	High-Medium	High-Medium	Medium (varies)
	Existing window of opportunity	High-Medium	Medium	Medium (varies)
	Level of autonomy	High-Medium	Medium	Medium
Adaptive capacity	General	High-Medium	Medium	Medium-Low
	Capacity of actors	High-Medium	High-Medium	Medium
	Capacity of institutions/ organisations	High	High-Medium	Medium

	Stakeholder implementability	High	High	High-Medium
	Existing window of opportunity	High-Medium	High-Medium	Medium (varies)
	Level of autonomy	Medium	Medium	Medium-Low

Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High-Medium	Medium	Medium-Low
Lessons learnt	General	High-Medium	Medium	Medium-Low
	Capacity building	High-Medium	Medium-Low	Low

Ranking: Retrospective and prospective orientation				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Evaluating adaptation	Purpose of the evaluation	High-Medium	High-Medium	High-Medium (varies)
	Evaluating capacity	High-Medium	High-Medium	High-Medium
Participation	General	High-Medium	High-Medium	High-Medium
	Purpose of stakeholder participation	High-Medium	High-Medium	High-Medium
	Scope of stakeholder participation	High-Medium	High-Medium	High-Medium
	Quality of the process	High-Medium	High-Medium	High-Medium
Dependencies	(General) Prerequisite requirements	High-Medium	Medium	High-Medium
	Barriers	High-Medium	High-Medium	High-Medium
	Ease of implementation	High-Medium (varies)	High-Medium (varies)	Medium (varies)
	Institutional requirements	High-Medium	Medium	Medium

		(varies)		
	Institutional consistency (compatibility)	High-Medium (varies)	Medium	Medium
Adaptive capacity	General	High-Medium	Medium (varies)	Medium (varies)
	Capacity of institutions/ organisations	High-Medium	High-Medium	High-Medium
	Capacity of actors	High-Medium	High-Medium (varies)	Medium (varies)
Deliverability and Feasibility	General	High-Medium	Medium	Medium
	Stakeholder implementability	High-Medium	High-Medium	High-Medium (varies)
	Existing window of opportunity	High-Medium	High-Medium	High-Medium
	Repeatability	High-Medium (varies)	Medium (varies)	Medium
	Level of autonomy	High-Medium	Medium	Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High-Medium	Medium	Medium
Lessons learnt	General	High-Medium	Medium	Medium
	Capacity building	High-Medium	Medium	Medium

Appendix X: Contextualised feedback: Single measure vs. integrated case studies

X.1 Outcome criteria

Ranking: Single measure				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Effectiveness	General	High (varies)	High-Medium (varies)	High (varies)
	Avoided damage	High	High	High-Medium
	Vulnerability	High	High	High-Medium
	Relevance	High	High-Medium	High
	Increased adaptive capacity	High	High-Medium	High-Medium
	Reduction of exposure	High-Medium	High-Medium	High-Medium
	Scope of effect	High	High-Medium (varies)	Medium (varies)
	Reduction of sensitivity	High	High-Medium	Medium
	Windfall profit	High (varies)	Medium	Medium
	Level of resilience	High-Medium	Medium	Medium-Low
Triggering incentive	Medium	Low	Low	
Efficiency	General	High	High	High

Ranking: Integrated analysis					
Criterion	Subcategory	Relevance	Feasibility	Available Information	
Efficiency	General	High	High-Medium	Medium	
	Uncertainty of evaluated costs and benefits	High	High-Medium	High-Medium	
	Administrative burden	High-Medium	High-Medium	Medium	
	Total cost	High-Medium	High-Medium	Medium	
	Benefits	High	Medium	Medium (varies)	
	Cost/benefit ratio	High-Medium	Medium	Medium (varies)	
	Acceptability	General	High	High-Medium	Medium (varies)
		Endorsement of political leaders and/or implementers	High-Medium	High-Medium (varies)	Medium (varies)
Incorporation of local/traditional knowledge		High	Medium (varies)	High-Medium (varies)	
Robustness	General	High-Medium	High-Medium	Medium	
	Regret/no-regret	High-Medium	Medium	Medium (varies)	
Coherence	General	High-	Medium	Medium	

		High	High	High
	Cost/benefit ratio	High	High	High
	Benefits	High	High	High-Medium
	Uncertainty of evaluated costs and benefits	High	High	High-Medium
	Total cost	High-Medium	High-Medium	High-Medium
	Administrative burden	High	High-Medium	Medium
Acceptability	General	High	High-Medium	High-Medium
	Endorsement of political leaders and/or implementers	High	High	High-Medium
	Incorporation of local/traditional knowledge	High (varies)	High (varies)	High-Medium
Coherence	General	High	High-Medium	High-Medium
	Integration with policy domains, programmes or projects	High	High	High
	- Vertical integration	High	High	High
	- Horizontal integration	High	High-Medium	High-Medium
	Interactions (conflicts/synergies) with other measures	High-Medium	Medium	High-Medium
Robustness	General	High	High-Medium	High-Medium
	Regret/no-regret	High (varies)	High-Medium	Medium-Low

		Medium	(varies)	(varies)
	Integration with policy domains, programmes or projects	High-Medium	High-Medium	Medium (varies)
	- Vertical integration	Medium	Medium (varies)	Medium (varies)
	- Horizontal integration	High-Medium	Medium	Medium
	Interactions (conflicts/synergies) with other measures	High-Medium	Medium	Medium (varies)
Effectiveness	General	High (varies)	Medium (varies)	Medium
	Scope of effect	High	High-Medium	High-Medium
	Vulnerability	High	High-Medium (varies)	High-Medium (varies)
	Relevance	High	High-Medium	Medium
	Reduction of exposure	High-Medium	High-Medium	Medium
	Avoided damage	High	Medium	Medium
	Reduction of sensitivity	High-Medium	Medium	Medium
	Level of resilience	High-Medium	Medium	Medium-Low
	Increased adaptive capacity	High-Medium	Medium	Medium-Low
	Windfall profit	Medium (varies)	Medium-Low	Medium-Low
	Triggering incentive	Medium (varies)	Medium-Low	Medium-Low

			(varies)	
Equity	General	High-Medium	Medium	Medium-Low
	Proportion of beneficiaries	High	High-Medium	High-Medium
	Attention to the most vulnerable groups	High-Medium	Medium	Medium-Low
	Supports fair allocation of risks	Medium	Medium-Low	Medium-Low
Sustainability, Impacts, Side-effects				
	Sustainability	High	High	High-Medium
	Impacts	High-Medium	High-Medium	Medium
	Side effects: General	High-Medium	Medium	Medium-Low
	Economic side effects: - General	High-Medium	High-Medium	Medium
	- Effect on employment	High-Medium	High-Medium	Medium-Low
	- Effect on innovation and competitive advantage	Medium-Low	Medium	Low
	Environmental side effects: - General	High	Medium	Medium-Low
	- Avoiding of maladaptation	High	High-Medium	Medium (varies)
	- Positive environmental effects	High	Medium	Medium

Equity	General	High-Medium (varies)	Medium	Medium-Low
	Attention to the most vulnerable groups	High-Medium	Medium (varies)	Medium-Low
	Supports fair allocation of risks	High-Medium	Medium (varies)	Medium-Low
	Proportion of beneficiaries	Medium (varies)	Medium (varies)	Medium-Low
Sustainability, Impacts, Side-effects				
	Sustainability	High-Medium	Medium (varies)	Medium (varies)
	Impacts	High-Medium	Medium (varies)	Medium (varies)
	Side effects: General	High-Medium	Medium (varies)	Medium (varies)
	Economic side effects: - General	High-Medium	Medium (varies)	Medium-Low
	- Effect on employment	High-Medium	Medium-Low	Medium-Low
	- Effect on innovation and competitive advantage	Medium (varies)	Medium-Low	Medium-Low
	Environmental side effects: - General	High-Medium	Medium	Medium-Low (varies)
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High-Medium	Medium-Low	Medium-Low
	- Avoiding of maladaptation	High-Medium	Medium-Low	Medium-Low

	(e.g. biological diversity, env. pressures)			
	- Synergies with climate mitigation	Medium (varies)	Medium	Low
	Social side effects: - General	High-Medium	Medium	Medium-Low
	- Distributional impacts	High	Medium (varies)	Medium-Low

	- Synergies with climate mitigation	Medium	Medium-Low	Medium-Low
	Social side effects: - General	High-Medium	Medium	Medium-Low
	- Distributional impacts	High-Medium (varies)	Medium-Low	Medium-Low

X.2 Process criteria

Ranking: Single measure				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Evaluating adaptation	Purpose of the evaluation	High	High	High-Medium
	Evaluating capacity	High-Medium	High-Medium	High-Medium
Adaptive capacity	General	High	High-Medium	High-Medium
	Capacity of actors	High	High	High-Medium
	Capacity of institutions/organisations	High-Medium	High-Medium	High-Medium
Participation	General	High	High-Medium	High-Medium (varies)
	Purpose of stakeholder participation	High	High	High

Ranking: Integrated analysis				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Participation	General	High (varies)	Medium (varies)	Medium
	Purpose of stakeholder participation	High	High-Medium	High-Medium
	Scope of stakeholder participation	High	High-Medium (varies)	High-Medium (varies)
	Quality of the process	High	High-Medium	Medium
Evaluating adaptation	Purpose of the evaluation	High	High-Medium	Medium
	Evaluating capacity	High	High-Medium	High-Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High-Medium	Medium	Medium (varies)

	Scope of stakeholder participation	High	High-Medium	High-Medium
	Quality of the process	High-Medium	Medium	High
Dependencies	(General) Prerequisite requirements	High	High	High-Medium
	Barriers	High	High	High
	Institutional requirements	High (varies)	High-Medium	High-Medium
	Institutional consistency (compatibility)	High-Medium	High-Medium	High-Medium
	Ease of implementation	High-Medium	Medium	Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High	High-Medium	Medium (varies)
Deliverability and Feasibility	General	High (varies)	High-Medium	Medium (varies)
	Repeatability	High (varies)	High-Medium	High-Medium (varies)
	Existing window of opportunity	High-Medium	High-Medium	High (varies)
	Stakeholder implementability	High	High-Medium	Medium
	Level of autonomy	High (varies)	High (varies)	Medium-Low
Lessons learnt	General	High-Medium	Medium	Medium
	Capacity building	High-Medium	High-Medium	Medium-Low

Dependencies	(General) Prerequisite requirements	High-Medium	Medium	Medium (varies)
	Institutional requirements	High	High-Medium	Medium (varies)
	Institutional consistency (compatibility)	High-Medium	High-Medium (varies)	Medium (varies)
	Barriers	High	Medium (varies)	High-Medium (varies)
	Ease of implementation	High-Medium	High-Medium	Medium
Lessons learnt	General	High-Medium	High-Medium	Medium
	Capacity building	High	Medium	Medium
Adaptive capacity	General	High-Medium	High-Medium	Medium
	Capacity of actors	High-Medium	High-Medium	Medium
	Capacity of institutions/ organisations	High	Medium	Medium (varies)
Deliverability and Feasibility	General	High-Medium	Medium	Medium (varies)
	Repeatability	High-Medium	Medium (varies)	Medium (varies)
	Stakeholder implementability	High-Medium	High-Medium	Medium (varies)
	Existing window of opportunity	Medium	Medium (varies)	Medium (varies)
	Level of autonomy	High-Medium	Medium	Medium

Appendix XI: Contextualised feedback: Bottom-up vs. top-down case studies

XI.1 Outcome criteria

Ranking: Bottom-up approach				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Acceptability	General	High	High	Medium
	Endorsement of political leaders and/or implementers	High	High	High
	Incorporation of local/traditional knowledge	High	High	High-Medium
Efficiency	General	High	Medium	High
	Total cost	High	High	High
	Benefits	High	High	Medium
	Uncertainty of evaluated costs and benefits	High	High	Medium
	Cost/benefit ratio	High	Medium	High-Medium
	Administrative burden	High-Medium	Medium	High
Sustainability, Impacts and Side-effects				
	Sustainability	High-Medium	Medium-Low	Medium
	Impacts	High	High	High-Medium

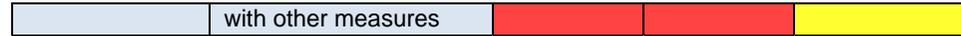
Ranking: Top-down approach				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Robustness	General	High	High	High
	Regret/no-regret	High	High	Medium
Sustainability, Impacts and Side-effects				
	Sustainability	High	High	High-Medium
	Impacts	High	Medium-Low	Low
	Side effects: General	High	High-Medium	Medium-Low
	Environmental side effects: - General	High-Medium	Medium	Medium-Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High-Medium	Medium-Low	Medium-Low
	- Synergies with climate mitigation	Medium	Medium	Low
	- Avoiding of maladaptation	Medium	Medium-Low	Low
	Economic side effects: - General	Medium	Medium	Medium
	- Effect on employment	Medium	Medium	Medium-Low

	Side effects: General	High-Medium	High-Medium	Medium
	Environmental side effects: - General	High	Medium	Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High	Medium	Low
	- Avoiding of maladaptation	High	Medium	Low
	- Synergies with climate mitigation	High-Medium	Medium-Low	Low
	Social side effects: - General	High-Medium	Medium	Medium
	- Distributional impacts	Medium-Low	Low	Low
	Economic side effects: - General	Medium	Medium	Low
	- Effect on innovation and competitive advantage	Medium	Medium-Low	Low
	- Effect on employment	Medium	Low	Low
Robustness	General	High-Medium	Medium	Medium-Low
	Regret/no-regret	High	Medium	Low
Coherence	General	Medium	Medium	Medium
	Interactions (conflicts/synergies) with other measures	High	Medium	Medium
	Integration with policy	High	Medium	Medium

	- Effect on innovation and competitive advantage	Medium-Low	Medium	Low
	Social side effects: - General	Medium	Medium	Medium-Low
	- Distributional impacts	Medium	Medium	Medium
Efficiency	General	High	High-Medium	Medium
	Uncertainty of evaluated costs and benefits	High	High	High
	Benefits	High	High-Medium	Medium
	Total cost	High-Medium	High-Medium	Medium
	Administrative burden	High-Medium	Medium	Medium
	Cost/benefit ratio	Medium	Medium	Medium
Acceptability	General	High	High-Medium	Low
	Endorsement of political leaders and/or implementers	High-Medium	High-Medium	Medium-Low
	Incorporation of local/traditional knowledge	Low	Low	Low
Effectiveness	General	High	Low	Low
	Reduction of exposure	High	Medium	Medium
	Scope of effect	High	Low	Low

	domains, programmes or projects			
	- Vertical integration	High	High	Medium
	- Horizontal integration	High	Medium	Medium
Effectiveness	General	Medium	Medium	Medium-Low
	Relevance	High	High	High
	Vulnerability	High	High	High
	Reduction of exposure	High	High-Medium	High-Medium
	Avoided damage	High	High-Medium	Low
	Scope of effect	High	High-Medium	Low
	Increased adaptive capacity	High-Medium	Medium	Medium
	Reduction of sensitivity	High-Medium	Medium	Medium-Low
	Level of resilience	High-Medium	Medium	Low
	Windfall profit	Medium	Low	Low
	Triggering incentive	Low	Low	Low
Equity	General	Medium	Low	Low
	Proportion of beneficiaries	High	Medium	Medium-Low
	Supports fair allocation of risks	High	Medium	Medium-Low
	Attention to the most vulnerable groups	Medium	Low	High

	Relevance	High-Medium	Medium	Medium
	Avoided damage	High-Medium	Medium	Medium
	Vulnerability	Medium	Medium	Medium-Low
	Windfall profit	Medium	Medium-Low	Low
	Level of resilience	Medium	Medium-Low	Low
	Reduction of sensitivity	Medium	Medium	Low
	Increased adaptive capacity	Medium	Low	Low
	Triggering incentive	Low	Low	Low
Equity	General	Medium	Medium	Medium-Low
	Proportion of beneficiaries	Medium	Medium	Medium
	Attention to the most vulnerable groups	Medium	Medium	Medium-Low
	Supports fair allocation of risks	Medium-Low	Medium-Low	Low
Coherence	General	Medium	Medium	Medium-Low
	Integration with policy domains, programmes or projects	High-Medium	High-Medium	High
	- Vertical integration	High-Medium	High	High
	- Horizontal integration	High-Medium	High	High
	Interactions (conflicts/synergies)	Low	Low	Medium



Ranking: Bottom-up & top-down approach				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Coherence	General	High	High	High
	Interactions (conflicts/synergies) with other measures	High	High-Medium	Medium
	Integration with policy domains, programmes or projects	High	High	Medium
	- Vertical integration	High	Medium	Medium
	- Horizontal integration	High	Medium	Medium
Robustness	General	High	High	High-Medium
	Regret/no-regret	High	Medium	Medium-Low
Effectiveness	General	High	High-Medium	High
	Scope of effect	High	High	High
	Vulnerability	High	High	High
	Reduction of sensitivity	High	High	High-Medium
	Relevance	High	High-Medium	High-Medium
	Increased adaptive capacity	High	High-Medium	Medium
	Avoided damage	High	High	Low
	Level of resilience	High	Medium	Medium
	Reduction of exposure	High-Medium	High-Medium	Medium
	Windfall profit	High-Medium	Medium-Low	Low
Triggering incentive	Medium-	Medium-	Low	

		Low	Low	
Acceptability	General	High	High	Medium
	Incorporation of local/traditional knowledge	High	High-Medium	High
	Endorsement of political leaders and/or implementers	High	High-Medium	High-Medium
Efficiency	General	High	High-Medium	High-Medium
	Uncertainty of evaluated costs and benefits	High	High	High-Medium
	Total cost	High	High-Medium	High-Medium
	Cost/benefit ratio	High	High-Medium	Medium
	Administrative burden	High	High-Medium	Medium
	Benefits	High	Medium	Medium
Equity	General	High	Medium	Medium-Low
	Attention to the most vulnerable groups	High	High-Medium	Medium
	Proportion of beneficiaries	High	Medium	Medium-Low
	Supports fair allocation of risks	High-Medium	Medium	Medium
Sustainability, Impacts and Side-effects				
	Sustainability	High	Medium	Medium
	Impacts	High-Medium	Medium	Medium
	Side effects: General	High	Medium	Medium-Low
	Economic side effects: - General	High	Medium	Medium (varies)
	- Effect on employment	High	Medium	Medium-Low

	- Effect on innovation and competitive advantage	Medium (varies)	Medium	Medium-Low
	Environmental side effects: - General	High	High-Medium	Medium-Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High	Medium	Medium-Low
	- Avoiding of maladaptation	High	Medium-Low	Medium-Low
	- Synergies with climate mitigation	High-Medium	Medium-Low	Low
	Social side effects: - General	High	Medium	Medium
	- Distributional impacts	High	Medium	Medium

XI.1 Process criteria

Ranking: Bottom-up approach				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Evaluating adaptation	Purpose of the evaluation	High	High	High
	Evaluating capacity	High-Medium	Medium	Medium
Adaptive capacity	General	High	High	High
	Capacity of institutions/ organisations	High	High-Medium	High
	Capacity of actors	High	Medium	Low
Participation	General	High	High	High

Ranking: Top-down approach				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Evaluating adaptation	Purpose of the evaluation	High	High	High
	Evaluating capacity	High-Medium	High-Medium	Medium-Low
Lessons learnt	General	High	High	High
	Capacity building	Medium	Low	Low
Dependencies	(General) Prerequisite requirements	High	High-Medium	Medium
	Institutional	High	High	High-

	Purpose of stakeholder participation	High	High	High
	Scope of stakeholder participation	High	High	High
	Quality of the process	High	High	High
Lessons learnt	General	High	High	Medium
	Capacity building	High	High-Medium	Medium-Low
Dependencies	(General) Prerequisite requirements	High-Medium	Medium	High
	Barriers	High	High	High
	Ease of implementation	High	High	High
	Institutional requirements	Medium	Medium	Medium
	Institutional consistency (compatibility)	Medium	Medium-Low	Medium
Deliverability and Feasibility	General	High-Medium	Medium	Medium
	Stakeholder implementability	High	High	High
	Existing window of opportunity	High	High-Medium	High-Medium
	Repeatability	High	Medium	Medium
	Level of autonomy	Medium	Medium-Low	Medium-Low
Flexibility	Potential for adjustments to different climate scenarios and	High-Medium	Medium-Low	High

	requirements			Medium
	Barriers	High	High-Medium	High-Medium
	Institutional consistency (compatibility)	High-Medium	Medium	Medium-Low
	Ease of implementation	Medium	Medium-Low	Medium-Low
Deliverability and Feasibility	General	High	High-Medium	Medium-Low
	Existing window of opportunity	High	High	High
	Repeatability	High	High-Medium	High-Medium
	Stakeholder implementability	High	High-Medium	Medium
	Level of autonomy	High-Medium	High	High-Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High	Medium	Medium
Participation	General	Medium	Medium	High-Medium
	Scope of stakeholder participation	Medium	High-Medium	High-Medium
	Quality of the process	Medium-Low	Medium	Medium
	Purpose of stakeholder participation	No answers	No answers	No answers
Adaptive capacity	General	Medium	Medium	Medium
	Capacity of institutions/ organisations	High	High	Medium
	Capacity of actors	Medium	Medium	Medium-Low

	socio-economic developments			
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Ranking: Bottom-up & top-down approach				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Adaptive capacity	General	High	High	High
	Capacity of institutions/ organisations	High	High	High
	Capacity of actors	High	High-Medium	Medium
Dependencies	(General) Prerequisite requirements	High	High	High-Medium
	Barriers	High	High	High-Medium
	Ease of implementation	High	High-Medium	Medium
	Institutional consistency (compatibility)	High	Medium	Medium
Participation	General	High	High	High-Medium
	Purpose of stakeholder participation	High	High	High
	Scope of stakeholder participation	High	High	High
	Quality of the process	High	High	High
Evaluating adaptation	Purpose of the evaluation	High	High	High-Medium
	Evaluating capacity	High-Medium	High-Medium	High-Medium
Flexibility	Potential for adjustments to different	High	High-Medium	High



	climate scenarios and socio-economic developments			
Deliverability and Feasibility	General	High	Medium	Medium
	Stakeholder implementability	High	High	High-Medium
	Existing window of opportunity	High	High-Medium	Medium
	Repeatability	High-Medium	Medium	Medium
	Level of autonomy	High	Medium	Medium
Lessons learnt	General	High-Medium	Medium-Low	Medium-Low
	Capacity building	High-Medium	Medium-Low	Low

Appendix XII: Contextualised feedback: Conflictual vs. consensual case studies

XII.1 Outcome criteria

Ranking: Conflictual setting				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Effectiveness	General	High	Medium	Medium
	Relevance	High	High	High
	Scope of effect	High	High	Medium
	Reduction of exposure	High	High-Medium	High-Medium
	Vulnerability	High	Medium	Medium
	Windfall profit	High	Medium	Medium
	Reduction of sensitivity	High	Medium	Medium-Low
	Avoided damage	High	Medium	Low
	Level of resilience	High	Medium	Low
	Increased adaptive capacity	High	Medium	Low
Efficiency	General	High	Medium	Medium
	Total cost	High	High-Medium	High-Medium

Ranking: Consensual setting				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Efficiency	General	High	High-Medium	High-Medium
	Uncertainty of evaluated costs and benefits	High	High	High-Medium
	Total cost	High	High-Medium	High-Medium
	Benefits	High	High-Medium	Medium
	Cost/benefit ratio	High	Medium	Medium
	Administrative burden	High-Medium	High-Medium	Medium
	Robustness	General	High	High-Medium
	Regret/no-regret	High	High-Medium	High-Medium
Acceptability	General	High	High-Medium	Medium (varies)
		Incorporation of local/traditional knowledge	High	High
		Endorsement of political leaders and/or implementers	High	High
Coherence	General	High	High-Medium	Medium
		Interactions (conflicts/synergies) with other measures	High	High-Medium

	Administrative burden	High	Medium	High
	Uncertainty of evaluated costs and benefits	High	High	Low
	Benefits	High	Medium	Low
	Cost/benefit ratio	Medium	Medium (varies)	Low
Acceptability	General	High	Medium	Medium
	Incorporation of local/traditional knowledge	High	High	Medium
	Endorsement of political leaders and/or implementers	High	Medium	Low
Coherence	General	High	Medium	Medium
	Integration with policy domains, programmes or projects	High	Medium	Low
	- Vertical integration	High	Medium	Low
	- Horizontal integration	High	Medium	Low
	Interactions (conflicts/synergies) with other measures	High	Low	Low
Robustness	General	High	Medium	Low
	Regret/no-regret	High	Medium	Low
Equity	General	High	Low	Low
	Supports fair allocation of risks	High	Medium	Low
	Attention to the most vulnerable groups	High	Low	Medium
	Proportion of	High	Low	Low

	Integration with policy domains, programmes or projects	High	High-Medium	High-Medium
	- Vertical integration	High-Medium	High-Medium	Medium
	- Horizontal integration	High	Medium	Medium
Effectiveness	General	High	Medium	High-Medium
	Scope of effect	High	High	High-Medium
	Vulnerability	High	High	High-Medium
	Relevance	High	High-Medium	Medium
	Avoided damage	High	High-Medium	Medium
	Reduction of sensitivity	High	Medium	Medium
	Increased adaptive capacity	High	Medium	Medium-Low
	Windfall profit	High-Medium	Medium-Low	Medium-Low
	Triggering incentive	High-Medium	Low	Low
	Level of resilience	High-Medium	Low	Low
	Reduction of exposure	Medium	Medium	Medium
Sustainability, Impacts, Side-effects				
	Sustainability	High	Medium	Medium
	Impacts	High	Medium	Medium
	Side effects: General	High	High-	Medium

	beneficiaries			
Sustainability, Impacts, Side-effects				
	Sustainability	High	Low	Low
	Impacts	High-Medium	High-Medium	Medium-Low
	Side effects: General	High	Low	Low
	Environmental side effects: - General	High	Medium	Low
	- Synergies with climate mitigation	High	Low	Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High	Medium	Low
	- Avoiding of maladaptation	High	Medium	Low
	Social side effects: - General	High	Low	Low
	- Distributional impacts	High	Low	Low
	Economic side effects: - General	High	Low	Low
	- Effect on innovation and competitive advantage	Medium	Medium-Low	Low
	- Effect on employment	Medium	Low	Low

			Medium	
	Environmental side effects: - General	High	High-Medium	Medium
	- Positive environmental effects (e.g. biological diversity, env. pressures)	High-Medium	Medium	Medium-Low
	- Avoiding of maladaptation	High-Medium	Low	Low
	- Synergies with climate mitigation	Medium	Medium-Low	Medium-Low
	Economic side effects: - General	High	Medium	Low
	- Effect on employment	High	Medium-Low	Low
	- Effect on innovation and competitive advantage	Medium	Medium-Low	Low
	Social side effects: - General	High-Medium	Medium	Medium-Low
	- Distributional impacts	High-Medium	Low	Low
Equity	General	High-Medium	Medium-Low	Low
	Proportion of beneficiaries	High	Medium	Medium-Low
	Supports fair allocation of risks	High-Medium	Medium-Low	Medium-Low
	Attention to the most vulnerable groups	Medium	Low	Low

Ranking: Conflictual & consensual setting				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Equity	General	High	High	High
	Attention to the most vulnerable groups	High	High	Medium
	Supports fair allocation of risks	High	Medium	Medium
	Proportion of beneficiaries	Medium	Medium	Low
Acceptability	General	High	High	High
	Endorsement of political leaders and/or implementers	High	Medium	Medium
	Incorporation of local/traditional knowledge	High	Medium-Low	Medium
Coherence	General	High	High	High
	Integration with policy domains, programmes or projects	High	Medium	Medium
	- Horizontal integration	High	Medium	Medium
	- Vertical integration	High	Low	Low
	Interactions (conflicts/synergies) with other measures	High	Low	Low
Effectiveness	General	High	High-Medium	Medium
	Scope of effect	High	High	High
	Vulnerability	High	High	High
	Avoided damage	High	High	Medium
	Relevance	High	Medium	High-Medium
	Level of resilience	High	Medium	Medium

	Increased adaptive capacity	High	Medium	Medium
	Triggering incentive	Medium	Medium	Low
	Reduction of sensitivity	Medium	Medium-Low	Medium-Low
	Reduction of exposure	Medium (varies)	Medium-Low	Medium-Low
	Windfall profit	Low	Low	Medium
Efficiency	General	High	Medium	Medium
	Uncertainty of evaluated costs and benefits	High	High	Medium
	Administrative burden	High	High	Low
	Cost/benefit ratio	High	High-Medium	Medium (varies)
	Total cost	High	Medium	Medium
	Benefits	High	Medium	Low
Robustness	General	High	Medium	Medium
	Regret/no-regret	High	Medium	Low
Sustainability, Impacts, Side-effects				
	Sustainability	Medium	Medium	Medium-Low
	Impacts	Medium	Medium	Medium
	Side effects: General	High	Medium	Low
	Social side effects: - General	High	High	Medium
	- Distributional impacts	High	Medium	Medium
	Economic side effects: - General	High	Medium	Medium
	- Effect on employment	High	Low	Medium
	- Effect on innovation and competitive advantage	Medium	Medium	Medium-Low
	Environmental side effects:	High	Medium	Low

	- General	High	Medium	Low
	- Synergies with climate mitigation	High	Medium	Low
	- Avoiding of maladaptation	High	Medium	Low
	- Positive environmental effects (e.g. biological diversity, env. pressures)	Medium	Low	Low

XII.2 Process criteria

Ranking: Conflictual setting				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Evaluating adaptation	Purpose of the evaluation	High	High	Medium
	Evaluating capacity	High-Medium	Medium	Medium
Dependencies	(General) Prerequisite requirements	High	High	Medium
	Ease of implementation	High	High	Medium
	Barriers	High	High-Medium	High
	Institutional requirements	High	Medium	Medium
	Institutional consistency (compatibility)	High	Medium	Medium
Deliverability and Feasibility	General	High	Medium	Medium
	Stakeholder implementability	High-Medium	Medium	Medium-Low
	Repeatability	Medium	Medium	Medium

Ranking: Consensual setting				
Criterion	Subcategory	Relevance	Feasibility	Available Information
Participation	General	High	High	High
	Purpose of stakeholder participation	High	High	High
	Scope of stakeholder participation	High	High	High
	Quality of the process	High	High	High
Evaluating adaptation	Purpose of the evaluation	High	High	High-Medium
	Evaluating capacity	High-Medium	High	High-Medium
Deliverability and Feasibility	General	High	High	High-Medium
	Stakeholder implementability	High	High	High
	Existing window of opportunity	High-Medium	High-Medium	High-Medium
	Level of autonomy	High-	Medium	Medium

	Existing window of opportunity	Medium	Medium	Medium
	Level of autonomy	Medium	Low	Low
Participation	General	Medium	Medium	Medium
	Purpose of stakeholder participation	Medium	Medium	Medium
	Scope of stakeholder participation	Medium	Medium	Medium
	Quality of the process	Medium	Medium	Medium
Adaptive capacity	General	High	Medium	Low
	Capacity of institutions/ organisations	High	High	High
	Capacity of actors	High	Medium	Low
Lessons learnt	General	High	Medium	Low
	Capacity building	High	Medium	Low
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High	Low	Low

		Medium		
	Repeatability	High	Medium	High-Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High	Medium	High-Medium
Dependencies	(General) Prerequisite requirements	High	Medium	Medium
	Barriers	High	High	High-Medium
	Ease of implementation	High	High-Medium	Medium
	Institutional requirements	High-Medium	Medium	Medium
	Institutional consistency (compatibility)	Medium	Medium	Medium
Lessons learnt	General	High	Medium	Medium
	Capacity building	High-Medium	Medium	Medium
Adaptive capacity	General	High-Medium	Medium	Medium-Low
	Capacity of actors	High	High	High-Medium
	Capacity of institutions/ organisations	High	High-Medium	Medium

Ranking: Conflictual & consensual setting

Criterion	Subcategory	Relevance	Feasibility	Available Information
Dependencies	(General) Prerequisite requirements	High	High	High
	Institutional requirements	High	Medium	Medium
	Barriers	High	Medium	Medium
	Ease of implementation	High	Medium	Medium
	Institutional consistency (compatibility)	High	Medium	Low
Participation	General	High	Medium	Medium
	Scope of stakeholder participation	High	Medium	High
	Quality of the process	High	Medium	Medium
	Purpose of stakeholder participation	Medium	Medium	Medium
Flexibility	Potential for adjustments to different climate scenarios and socio-economic developments	High	Low	Medium
Adaptive capacity	General	High	Low	Low
	Capacity of institutions/ organisations	High	High	High
	Capacity of actors	Medium	Medium	Medium
Deliverability and Feasibility	General	High	Low	Low
	Existing window of opportunity	High	High	High
	Level of autonomy	High-Medium	Medium-Low	Medium
	Repeatability	Medium	Medium	Medium
	Stakeholder implementability	Medium	Medium	Medium
Lessons learnt	General	Medium	Low	Low

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	Capacity building	High	Low	Low
Evaluating adaptation	Purpose of the evaluation	High-Medium	Medium	Medium
	Evaluating capacity	High	Medium	Medium

