Title: Adaptation and Evaluation Plan for

(Title of Action)

Preparer:

Date:

General instructions

The Adaptation and Evaluation Plan (AAEP) Template is a planning tool for a comprehensive adaptation action designed by the Centers for Disease Control and Prevention (CDC) Climate and Health Program (CHP) for CDC-RFA-EH21-2101 recipients. It is meant to be a flexible guide that encourages consideration and documentation of how the climate and health adaptation action will be planned, implemented, communicated, evaluated, and managed. It is designed so that one template can be used to plan and describe one adaptation action. That is, each adaptation action would have an adaptation action and evaluation plan prepared.

Use of the AAEP Template is optional for EH21-2101 recipients. For a description of required elements of an Adaptation Action and Evaluation Plan, recipients should see Notice of Funding Opportunity (NOFO) pages 12–13.

An **adaptation action** is defined as an intervention implemented to build health resilience to the effects of climate change among a specified population using one or more activities. A single adaptation action is often comprehensive and involves multiple complementary activities. To be part of a single adaptation action, activities should be implemented to achieve the same outcomes for the same population within the same time frame. An adaptation may involve staging coordinated activities in phases over time.

This template will also help recipients collect and report annual CDC-required performance measures.

The AAEP using this template may also be submitted to CDC in lieu of the NOFO required Recipient Evaluation Plan. Required reporting elements are designated with an asterisk* (see Part 3). More information about this is provided in the document "Guidance for Recipient Evaluation, Performance Measurement, and Data Management Plans."

In the following template, each sub-heading is followed by prompts in the form of reflective questions that can guide development and writing. The sub-headings and prompts should be considered optional. Recipients may skip those that do not apply to the project and may add additional sub-headings or prompts as needed.

Suggested resources are provided at the end of each section.

Recipients are encouraged to contact their CHP technical advisors with any questions.

PART 1. Description of Adaptation Action

Brief summary of adaptation action

In 3–5 sentences, what is the rationale for the action? Who will help make it happen? What are the main adaptation activities? What is it intending to achieve?

Identification of stakeholders and partners needed for overall action

Who are the stakeholders that will be engaged? Have communities directly affected by climate change been involved in the development of the adaptation action? How was this achieved and what role will they play? How will you engage the listed stakeholders over time? List organizations and individuals, along with expected role and level of involvement.

Stakeholder Engagement Summary Table

Stakeholder name or group	Stakeholder category	Interest of perspective	Role in adaptation action
Individuals or groups who have an interest in the adaptation	Typically fall into 1 of 3 categories: 1) Directly affected by the program or policy 2) Help implement the program, 3) Make decisions about the program—they are the most invested and affected by the evaluation findings.	What is their perspective of the adaptation action? For example, are they interested in the cost, effectiveness, a critic?	What role will the listed individual or group play in developing or implementing this action plan?

Climate hazards addressed

What climate hazard(s) will be addressed?

Challenges addressed and supporting evidence

What local needs, problems, or challenges will this adaptation or intervention address? Will this adaptation address exposure to climate threats, sensitivity, and/or adaptive capacity? (See Recommended Resources for definition.) What is the rationale for selecting this adaptation (evidence-

based, results from stakeholder engagement, etc.)? What evidence and local-scale data were used to select on this adaptation action? This could be the Climate Impact Compendium (please be specific), peer reviewed literature, or feedback from partner organizations.

Specific populations of focus and locations that will be included

Who will ultimately benefit from this action? What is the geographic boundary for the action? How was the population selected? What data or community supported this decision?

Context

What is the context for the adaptation? As described in Planting the Seeds (CDC, 2021), context could include the people involved, their values and beliefs, cultural and historical circumstances, and ways that power and privilege are brought to bear. What contextual factors may affect its implementation or effectiveness?

Stage of development

How long has the program, project, or action been in place? Is it in the planning or implementation stage?

Social determinants of health

What were the social determinants of health that influenced the selection and development of the action?

Resources and inputs

What resources are available to support the action (e.g., personnel, money, space, time, partnerships, technology)?

Theory of change and logic model

What is the theory of change that underlies this adaptation action? In general, a theory of change describes how and why a desired change is expected to happen as a result of the actions taken. It makes the underlying rationale explicit, and it fills in what can sometimes be the "missing middle" between what a program does (i.e., activities) and how this leads to goals being achieved. It can be helpful to think of this as an "outcomes pathway." First consider the long-term goals and then work back from these to identify all the outcomes that logically must be in place and how these relate to one another

causally for the goals to occur. The same information is also illustrated in a program logic model. See Recommended Resources below for guidance on how to develop a logic model.

Outcomes to be achieved, including health equity

What is the intended outcome, i.e., the goals and objectives that will be achieved? What do the program designers ultimately want to change as a result of the activities (long-term outcomes)? What occurs between the activities and the point at which the ultimate outcomes are realized (short-term and intermediate outcomes)? Are they individual, systems, or health outcomes? What outcomes related to reducing health disparities are expected? When will these outcomes be achieved?

Methods & activities

How will the adaptation be implemented? What needs to occur in terms of activities, tasks, processes, and procedures to achieve the intended outcomes? Is there a logical chronological order to those? What is the timeline?

Anticipated challenges

What might act as barriers to implementing the planned activities or achieving the expected outcomes? What can be done to minimize the effects of these anticipated challenges?

Recommended Resources

Title	Summary
Understanding the Connections Between Climate Change and Human Health (EPA)	Quick conceptual guide for understanding vulnerability as a function of exposure to climate hazards, sensitivity, and ability to adapt
Justice, Equity, Diversity, and Inclusion (JEDI) Playbook	A BRACE companion that provides practical step-by-step tips for planners to center JEDI in adaptation planning
Climate and Health Intervention Assessment	Summary of evidence supporting climate and health adaptation strategies
Engaging Stakeholders	Resource for engaging stakeholders, with the idea of (eventual) evaluation
Principles of Community Engagement	E-textbook to provide community members, health professionals, and researchers with clear principles and recommendations to guide collaborative efforts

Title	Summary
Climate and Health: Planning Worksheet	Worksheet designed to help community groups coordinate efforts to adapt to the local health impacts of climate change. It is intended to help facilitate shared community response planning with key stakeholders
Program Evaluation Framework Checklist for Step 2: Describing the Program (Logic model guidance)	Guidance on developing a logic model for the adaptation action
Seven Vital Conditions for Health and Well-Being - Community Commons	The Seven Vital Conditions for Well-Being is a useful framework for conceptualizing holistic well-being and the Conditions that give rise to it, as well as identifying levers for community change and improvement.
Social Determinants of Health - Healthy People 2030 | health.gov	Social determinants of health (SDOH) are the conditions in the environments where people are born, live, learn, work, play, worship, and age that affect a wide range of health, functioning, and quality-of-life outcomes and risks.

PART 2. Communications

This section refers to communications activities that are part of the adaptation action, not dissemination of findings after the action has been implemented.

Communications objectives

What is the goal of the communication strategy? What do you hope to accomplish by the end of the project in terms of communications?

Communications activities

What are the planned communication activities for this adaptation action? How will you communicate your proposed adaptation to your stakeholders and/or focus audience? Who is the audience that will be reached? What is the timeline? What materials will be used?

Recommended Resources

Title	Summary
Communicating the Health Effects of Climate Change	Power Point slide deck for communicating with a lay audience
Extreme Heat Media Toolkit	Digital and print materials for news articles and other communication products
How Climate Affects Community Health	A social media toolkit for engaging local communities in climate and health adaptation
CDC Health Harm Postcards	Graphics, visuals, and case studies that depict climate change impacts on health

PART 3: Evaluation

Stakeholder engagement

Primary stakeholders are those who have the ability and authority to use evaluation findings to alter the course of the action being evaluated. Secondary stakeholders are those affected in some manner by the action and, therefore, are likely to be affected by any changes made because of the findings. Tertiary stakeholders are those who might have a general interest in the results. Which types of stakeholders will be engaged in the evaluation? How will they be involved throughout? What are key stakeholder's needs and perspectives in terms of the evaluation focus and results?

Evaluation Stakeholder Engagement Summary Table

Stakeholder name or group	Stakeholder category (primary, secondary, or tertiary)	Interest or perspective in the evaluation	Role in evaluation	Other considerations: cultural, logistical, historical or other factors that need to be considered to facilitate meaningful engagement

Cultural competence

How have diverse stakeholders who reflect those who may be affected by the evaluation's findings been incorporated or consulted? How will the program account for the influence of context and culture in your evaluation design, implementation, and reporting? For practical suggestions, see CDC's Practical Strategies for Culturally Competent Evaluation (resource below).

Evaluation purpose*

In 3–5 sentences, what is the overall purpose of evaluating this adaptation? How will you use the evaluation findings? Common uses include gaining insights to help develop the adaptation (formative evaluation); implementation assessment, accountability, and continuous program improvement (process evaluation); and establishing the effectiveness (outcome evaluation). An evaluation can have multiple purposes.

Evaluation questions*

What 3–5 questions will the program be able to answer during or after the implementation of the adaptation? Some example evaluation questions are as follows: Was the activity implemented as planned? Did outcomes occur and at an acceptable level for the population overall and for specific groups? Were the changes in outcomes due to activities as opposed to something else? What factors prevented or facilitated the activities in the focus from being implemented as planned? Were certain moderating factors responsible? What factors prevented (more) progress on the outcomes in the focus? What was the cost for implementing the activities? What was the cost-benefit or cost-effectiveness of the outcomes that were achieved? Do the questions align with the Good Evaluation Questions Checklist (see Recommended Resources)?

Evaluation design*

What is the evaluation design? What is the rationale for using this design? Common designs are as follows: non-experimental (no comparison or control group, e.g., case study or post-only test); quasi-experimental (use of a comparison group, but no random assignment, e.g., pre-post-test with comparison group, interrupted time series, or regression discontinuity); and experimental (random assignment to an experimental or control group, e.g., randomized controlled trial). Some factors to consider in selecting the most appropriate design include the following: With what level of rigor must decisions about "causal attribution" be made? How much money and skill are available to devote to implementing the evaluation? Are there naturally occurring control or comparison groups? If not, will selection of these be very costly and/or disruptive to the programs being studied?

Health equity

How will the evaluation assess the degree to which the adaptation promotes health equity or reduces climate related health disparities? Will the evaluation assess differential reach, experiences, or outcomes among populations most vulnerable to climate change sensitive threats?

Outcomes to be measured

What individual, systems, or health outcomes will be measured in the evaluation? Will there be a certain threshold to be reached for the adaptation action to be considered successful? What is the follow-up period for measuring these outcomes?

Data and data collection methods*

What are the methods to be used for the evaluation? How will the program collect data? What is the source of the data and how recent are they? Will there be a sample? Will new data collection instruments be developed? How will the team test instruments for readability, reliability, validity, and

cultural responsiveness? How will the team determine the quality and utility of existing data? What will be the data source?

Evaluation question	Data collection method (e.g., surveys, interviews, medical chart abstraction)	Source and latency of data (e.g., the recency of the data)	Frequency of data collection	Party responsible for collection	Due date

Indicators and standards*

What measurable and observable elements (indicators) can serve as markers of the program's performance? Are there specific standards that will be used to determine whether the program has been successful? That is, to what standards will the implementation team and stakeholders compare the evaluation findings? Alternatively, what process will the team engage in to understand and interpret performance on this indicator?

Evaluation question	Indicators	Standards (what constitutes success"?)

Analysis plans

What method(s) will the team use to analyze the data (e.g., descriptive statistics, inferential statistics, and qualitative analyses such as content analysis and thematic analysis)? Who will be involved in drawing, interpreting, and justifying conclusions? Does this group include program participants or others affected by the program? What are the plans to involve them in this process?

Plans to use process or implementation evaluation results*

What will be learned from the process evaluation? How will those be used inform the process evaluation?

Plans for dissemination of findings*

How will the evaluation findings be used? How does the timeline for reporting findings and potential recommendations align with key events? Who is responsible for creating and monitoring an action plan to guide the implementation of evaluation? How will the program disseminate findings from the evaluation? What methods (e.g., in-person meetings, emails, written reports, newsletter article, presentations) will be used? Who is best suited to deliver the information (e.g., evaluator, program manager, coalition leader)?

Audience for evaluation findings	Evaluation information of interest	Purpose of communicating to this audience (e.g., they make decisions about evaluation design/activities, they have requested to be updated, they will be presenting the finding elsewhere)	Potential dissemination formats (e.g., infographics, formal presentation, conference, manuscript)	Month and year of planned dissemination	Person(s) responsible for dissemination

Recommended Resources

Title	Summary
Steps of the CDC Evaluation Framework	Practical guidance on how to implement the 6 steps of the CDC Evaluation Framework
CHP Climate and Health Evaluation Guidance	Series of videos on how to do evaluation in the context of climate and health
Planting the Seeds for High Quality Program Evaluation in Public Health	E-textbook on practical public health evaluation published by CDC's Asthma Control Program
Evaluation Questions Checklist	A checklist to aid in developing effective and appropriate evaluation questions and in assessing the quality of existing questions
Evaluation Design Checklist	Checklist designed to be a generic guide to decisions one typically needs to at least consider when planning and conducting an evaluation

Title	Summary
Identifying Stakeholders	Quick reference on identifying and narrowing down a list of stakeholders
Engaging Stakeholders	Resource for engaging stakeholders and incorporate them into evaluation
Engaging Key Stakeholders Throughout Evaluation	Provides examples of ways to engage stakeholders throughout the evaluation process
CDC's Practical Strategies for Culturally Competent Evaluation	Introduction and resource for state partners to use to promote cultural competence in the evaluation of public health programs and initiatives, including strategies to ensure that evaluation efforts have cultural relevance and meaningful findings that stakeholders will value and use
Identifying Stakeholders	Quick reference on identifying and narrowing down a list of stakeholders

PART 4. Project Management

This section is divided into two parts, to help planners conceptualize management for the adaptation action and the evaluation separately, since distinct planning and project management are often needed.

A. Adaptation Action

Needed resources

Considering the resources available that you listed in Part 1, what additional resources will be needed in the way of additional funding mechanisms, equipment, human capital (expertise, skills, etc.), and organizational capital (processes, policies, or other agency-level facilitators) to implement the adaptation?

Team roster, identifying roles and responsibilities

Who will be doing which tasks? What are the specific roles and responsibilities? Consider developing a RACI matrix. This involves delineating 4 key responsibilities (responsible, accountable, consulted, and informed). See Recommended Resources below.

Individual	Role in Project	Responsibilities

Timeline with milestones and deadlines

What are the project start and end months, as well as major milestones within the project period? Timelines serve as a useful tool to track activities and shifting schedules. There are several types (milestone, yearly/monthly basic progress, Gantt chart) of timelines that may be suitable for your teams' activities. See Recommended Resources below.

B. Evaluation

Needed resources

Considering the resources available that you listed in Part 1, what additional resources will be needed in the way of additional funding mechanisms, equipment, human capital (expertise, skills, etc.), and organizational capital (processes, policies, or other agency-level facilitators) to implement the evaluation?

Team roster, identifying roles and responsibilities

Who will be doing which tasks? What are the specific roles and responsibilities? Consider developing a RACI matrix. This involves delineating 4 key responsibilities (responsible, accountable, consulted, and informed).

Individual	Role in Evaluation	Responsibilities

Timeline with milestones and deadlines

What are the project start and end months, as well as major milestones within the project period? Timelines serve as a useful tool to track activities and shifting schedules. There are several types (milestone, yearly/monthly basic progress, Gantt chart) of timelines that may be suitable for your teams' activities. See Recommended Resources below.

Recommended Resources

Title	Summary
RACI Chart	Explanation of RACI as a project management tool, with chart examples
A Checklist for Developing and Evaluating Evaluation Budgets	Checklist for how to plan and manage the use of resources involved in conducting an evaluation, including people, time, and money
Evaluation Plans & Operations Checklist	Examine an evaluation plan or process against specific checkpoints to identify ways to strengthen the evaluation plan or operations
Project Management Basics	Learn how to assure that the purpose/vision and goals of the project are maintained, all while supporting the audiences' tasks and objectives