



ADAPTATION FUND

**Monitoring project
performance –
AF Results Based
Management system**

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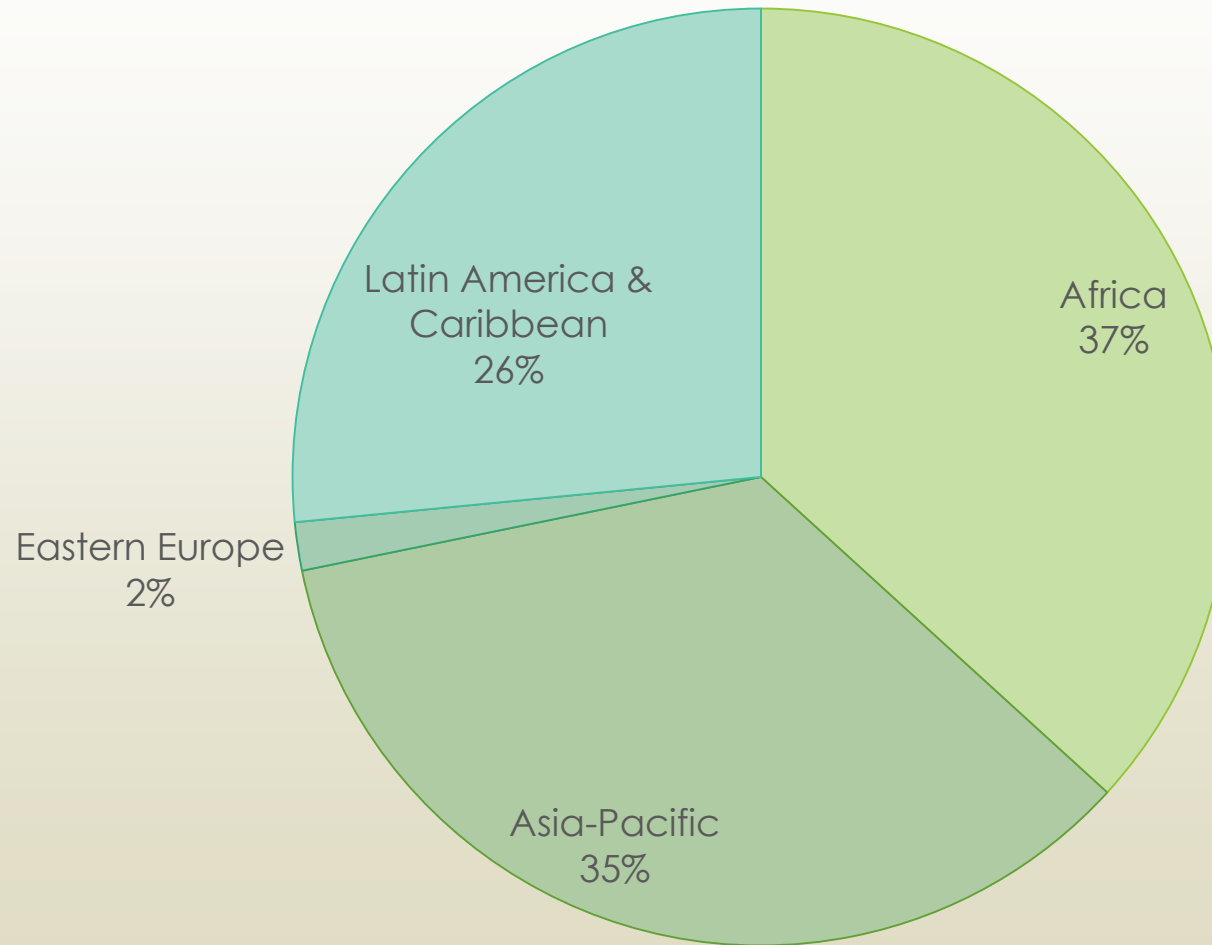
A few insights - FY 15 Annual Performance Report

- 48 projects/programmes – grant amount approved USD 318 million
- 14 projects/programmes approved in FY15

Projects Under Implementation	
Total number under implementation	34
Value of projects under implementation	USD 212.9 million
Percentage of total grant amount approved	67 %

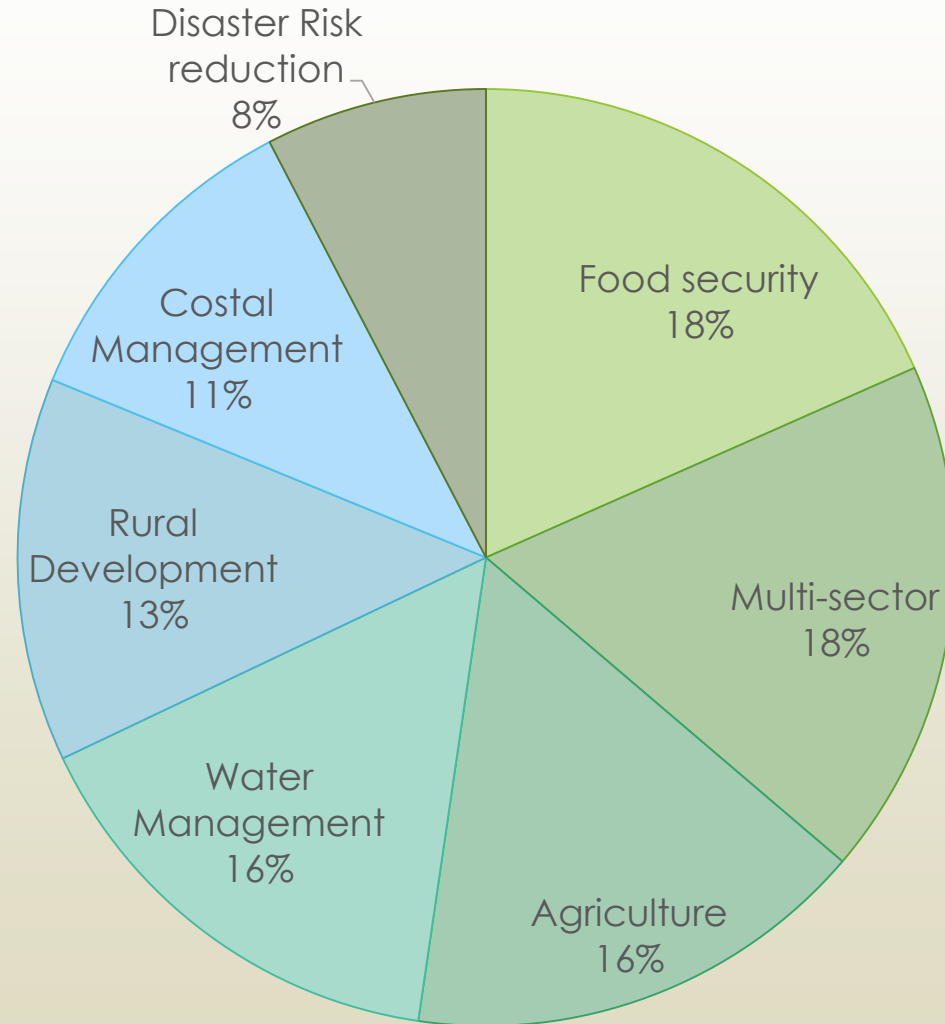


AF PORTFOLIO – GEOGRAPHICAL BREAKDOWN





AF portfolio – Sectoral breakdown





AF PORTFOLIO - RESULTS FRAMEWORK BREAKDOWN (DRAFT)

Fund Outcome	Total
Outcome 1: Reduced exposure at national level to climate-related hazards & threats	18.9
Outcome 2: Strengthened capacity to reduce risks associated with climate-induced socioeconomic & environmental losses	17.3
Outcome 3: Strengthened awareness & ownership of adaptation and climate risk reduction processes at local level	22.8
Outcome 4: Increased adaptive capacity within relevant development & natural resource sectors	48.8
Outcome 5: Increased ecosystem resilience in response to climate change and variability-induced stress	49.4
Outcome 6: Diversified and strengthened livelihoods & sources of income for vulnerable people in targeted areas	8.9
Outcome 7: Improved policies and regulation that promote and enforce resilience measures	7.2
Total	164.8

PRELIMINARY AGGREGATIONS OF TARGETS

Impact 1: Reduction in vulnerability of communities and increased adaptive capacity of communities to respond to the impacts of climate change

PRELIMINARY INDICATORS	TARGET IN DOCUMENTS	PROJECT COMMENTS
No. of Direct Beneficiaries	3.52 million	NOT ALL PROJECTS HAVE REPORTED ON DIRECT BENEFICIARIES AND SOME REPORT AS NO. OF HOUSEHOLDS.
No. Early Warning Systems	93	Includes projects targeting several small scale EWS at the village level as well as those targeting one large regional system

Impact 2: Strengthened policies that integrate climate resilience strategies into local and national plans

PRELIMINARY INDICATORS	TARGET IN DOCUMENTS	PROJECT COMMENTS
No. of policies introduced or adjusted to address climate change risks	54	Includes any policy whether at the local, regional or national level

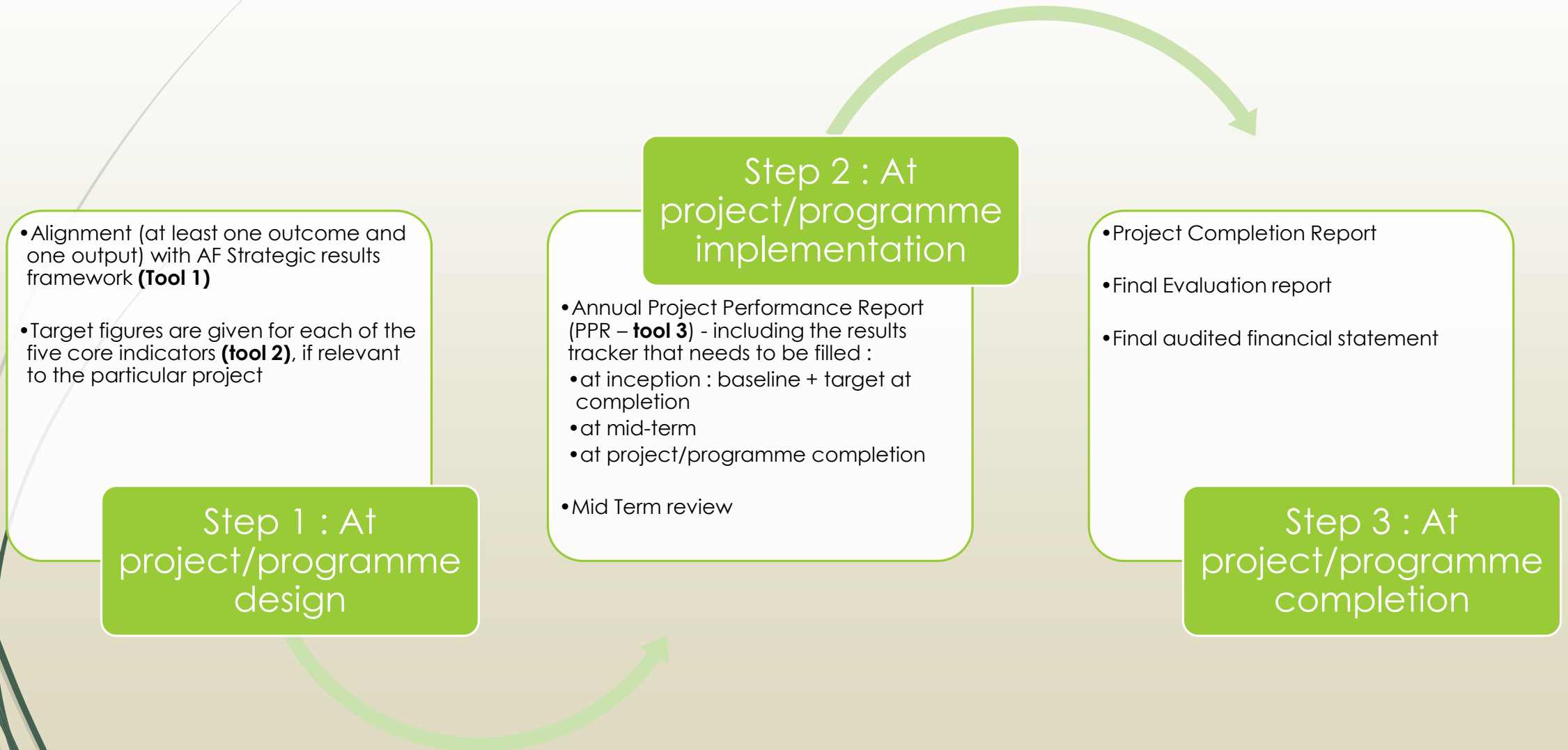
Impact 3: Increased ecosystem resilience in response to climate change induced stresses

PRELIMINARY INDICATORS	TARGET IN DOCUMENTS	PROJECT COMMENTS
ha of natural habitats protected or rehabilitated	114,095 HA	
m of coastline protected	121,025 M	

The Fund's RBM approach

- ▶ The RBM approach operates at three main levels :
 - ▶ Guidance from CMP
 - ▶ Portfolio (fund-level)
 - ▶ Projects/programmes
- ▶ Project level monitoring is carried out by the entity implementing an actual project (NIE, MIE, RIE).
- ▶ Fund level monitoring is carried out by the secretariat under the direction of the Board.
- ▶ Actions at these levels will be discussed throughout the following slides.

Implications of the RBM strategy for IEs





AF's RBM tools

- ▶ Tool 1 : Strategic results framework
- ▶ Tool 2 : 5 core indicators
- ▶ Tool 3 : Project Performance Report (PPR)

Implications of the RBM strategy for IEs

- **Alignment (at least one outcome and one output) with AF Strategic results framework (Tool 1)**

- Target figures are given for each of the five core indicators (**tool 2**), if relevant to the p

Step 1 : At project/programme design

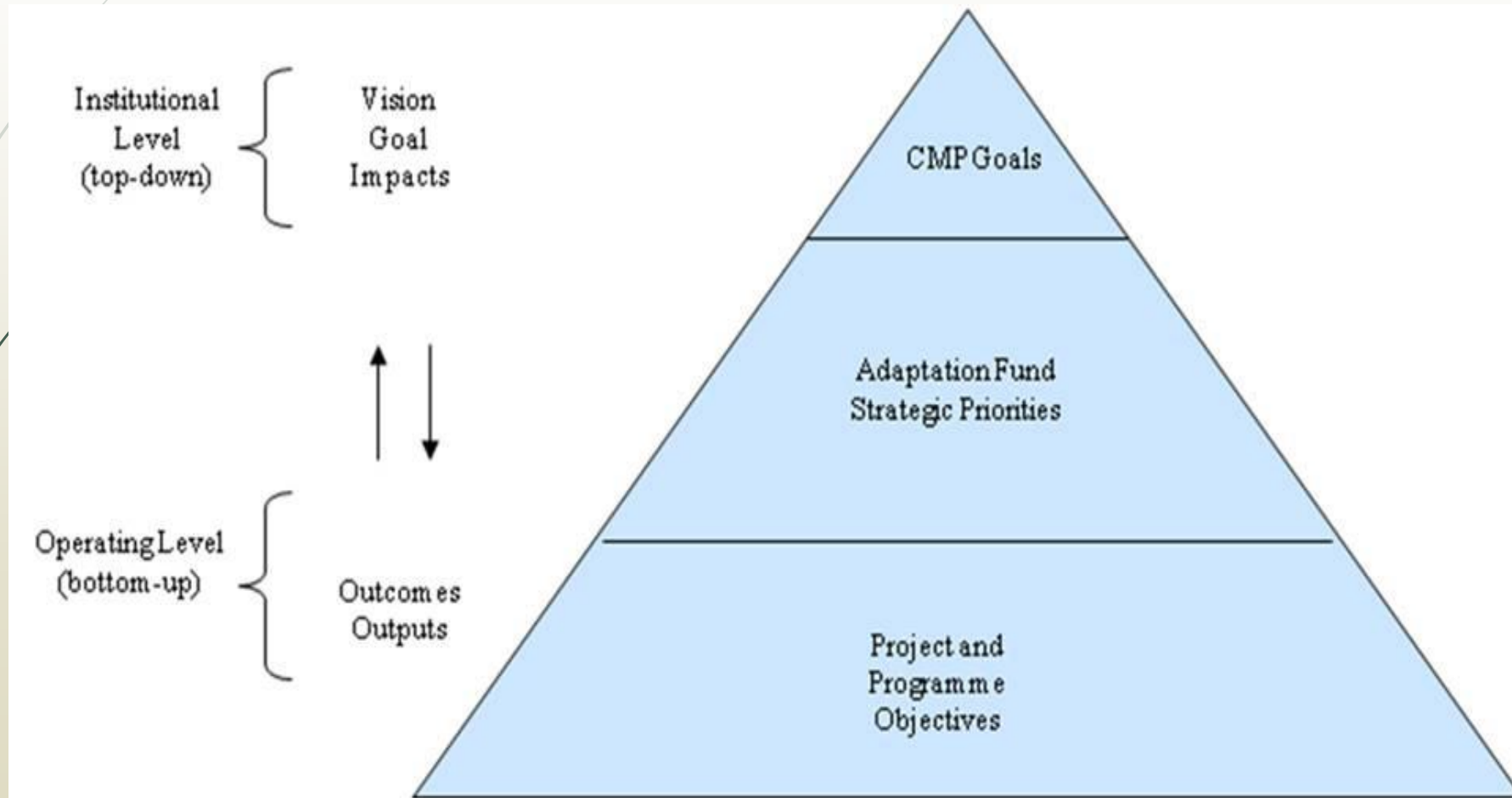
Step 2 : At project/programme implementation

- Annual Project Performance Report (PPR – **tool 3**) - including the results tracker that needs to be filled :
 - at inception : baseline + target at completion
 - at mid-term
 - at project/programme completion
- Mid Term review

- Project Completion Report
- Final Evaluation report
- Final audited financial statement

Step 3 : At project/programme completion

Tool 1 - AF results framework structure



AF's goal and expected impact

- ▶ **Goal:** Assist developing country *Parties to the Kyoto Protocol* that are particularly vulnerable to the adverse effects of climate change in meeting the costs of concrete adaptation projects and programmes, in order to implement climate resilient measures.
- ▶ **Impact :** Increased resiliency at the community, national, and regional levels to climate variability and change.
- ▶ The Fund-level framework includes seven key **outcomes** and associated **outputs** to facilitate aggregation and present Fund level results that contribute to the overall goal and objectives of the Fund – available online.

AF results framework

- ▶ Includes long-term goal, outcome, outputs and a small set of indicators for the Fund as a whole
- ▶ The AF works toward the achievement of the overall goal and outcomes
- ▶ As such, any project or programme funded through the AF must align with the Fund's results framework and directly contribute to the overall objective and outcomes outlined.
- ▶ The Fund's strategic results framework guidance document is available online at <https://www.adaptation-fund.org/sites/default/files/Results%20Framework%20and%20Baseline%20Guidance%20final%20compressed.pdf>. This framework has been slightly amended (see AFB/EFC.13/4: https://www.adaptation-fund.org/sites/default/files/AFB.EFC_.13.4%20Results%20Tracking.pdf)



AF results framework – cont'd

Expected results	Indicators
Goal: Assist developing-country Parties to the Kyoto Protocol that are particularly vulnerable to the adverse effects of climate change in meeting the costs of concrete adaptation projects and programmes in order to implement climate-resilient measures. Impact: Increased resiliency at the community, national, and regional levels to climate variability and change.	
Outcome 1: Reduced exposure to climate-related hazards and threats	1. Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis
Output 1.1: Risk and vulnerability assessments conducted and updated	1.1. No. of projects/programmes that conduct and update risk and vulnerability assessments (by sector and scale) 1.2. No. early warning systems (by scale) and no. beneficiaries covered
Output 1.2: Targeted population groups covered by adequate risk reduction systems	1.2.1. Percentage of target population covered by adequate risk-reduction systems
Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses	2.1. Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased
Output 2: Strengthened capacity of national and sub-national centres and networks to respond rapidly to extreme weather events	2.1.1. No. of staff trained to respond to, and mitigate impacts of, climate-related events (by gender) 2.1.2. No. of targeted institutions with increased capacity to minimize exposure to climate variability risks (by type, sector and scale)
Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level	3.1. Percentage of targeted population aware of predicted adverse impacts of climate change, and of appropriate responses 3.2. Percentage of targeted population applying appropriate adaptation responses
Output 3: Targeted population groups participating in adaptation and risk reduction awareness activities	3.1. No. of news outlets in the local press and media that have covered the topic
Outcome 4: Increased adaptive capacity within relevant development sector services and infrastructure assets	4.1. Responsiveness of development sector services to evolving needs from changing and variable climate 4.2. Physical infrastructure improved to withstand climate change and variability-induced stress
Output 4: Vulnerable development sector services and infrastructure assets strengthened in response to climate change impacts, including variability	4.1.1. No. and type of development sector services modified to respond to new conditions resulting from climate variability and change (by sector and scale) 4.1.2. No. of physical assets strengthened or constructed to withstand conditions resulting from climate variability and change (by sector and scale)
Outcome 5: Increased ecosystem resilience in response to climate change and variability-induced stress	5. Ecosystem services and natural resource assets maintained or improved under climate change and variability-induced stress
Output 5: Vulnerable ecosystem services and natural resource assets strengthened in response to climate change impacts, including variability	5.1. No. of natural resource assets created, maintained or improved to withstand conditions resulting from climate variability and change (by type and scale)
Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas	6.1. Percentage of households and communities having more secure access to livelihood assets 6.2. Percentage of targeted population with sustained climate-resilient alternative livelihoods
Output 6: Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability	6.1.1. No. and type of adaptation assets (tangible and intangible) created or strengthened in support of individual or community livelihood strategies 6.2.1. Type of income sources for households generated under climate change scenario
Outcome 7: Improved policies and regulations that promote and enforce resilience measures	7. Climate change priorities are integrated into national development strategy
Output 7: Improved integration of climate-resilience strategies into country development plans	7.1. No. of policies introduced or adjusted to address climate change risks (by sector) 7.2. No. of targeted development strategies with incorporated climate change priorities enforced

AF results framework - implications for IEs

- ▶ All projects will include a **concrete and fully budgeted M&E plan** to be included in the final project document, submitted for approval. It is important that all plans include a description of **organizational arrangements and a specific budget** for monitoring, reporting, data management, lessons learned, and evaluation.
- ▶ **Projects select a set of indicators that align** with the indicators and objectives of the Fund. Project results frameworks include only those core Fund-level indicators that appropriately reflect project objectives.
- ▶ In addition, **project specific indicators** would also be selected to reflect country specific objectives and reporting requirements. The Board would not aggregate these indicators, but rather track progress on achieving the project targets.
- ▶ **Each project develops its own** set of output and outcome indicators that link directly to the Fund. Project level targets should also be included in the project log frame.



Alignement table

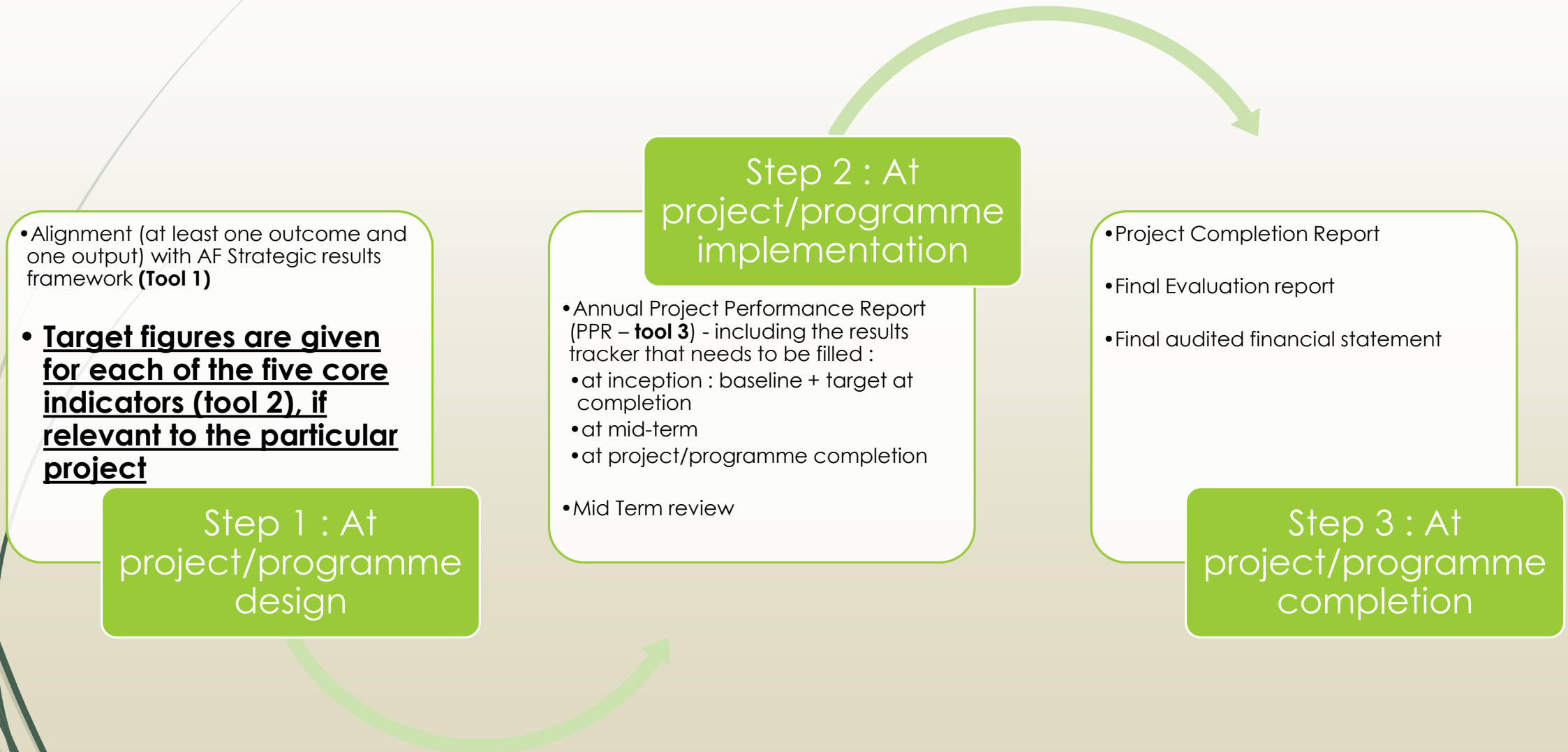
Project Objective(s)	Project Objective Indicator(s)	Fund Outcome	Fund Outcome Indicator	Grant Amount (USD)
Project Outcome(s)	Project Outcome Indicator(s)	Fund Output	Fund Output Indicator	Grant Amount (USD)



Alignment table - an example

Project Objective(s)	Project Objective Indicator(s)	Fund Outcome	Fund Outcome Indicator	Grant Amount (USD)
Increased resiliency of local water systems to climate change	The extent to which targeted waterways and irrigation channels are cleared	AF Outcome 4: Increased adaptive capacity within relevant development and natural resources sectors	4.2. Physical infrastructure improved to withstand climate change and variability-induced stress	USD ... million
Increase climate resilience in production landscapes and socioeconomic systems in vulnerable communities through a small grants mechanism	Number of vulnerable community members in project target areas with reduced risk to extreme weather events	AF Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses	2.2. Number of people with reduced risk to extreme weather events	USD ... million
Project Outcome(s)	Project Outcome Indicator(s)	Fund Output	Fund Output Indicator	Grant Amount (USD)
Water infiltration, storage and flow in the targeted water basin are improved by the rehabilitation of water canals and opening up silted channels and obstructed ponds	The number of kilometers of water channel cleared and improved ponds	AF Output 4: Vulnerable physical, natural, and social assets strengthened in response to climate change impacts, including variability	4.1.2. No. of physical assets strengthened or constructed to withstand conditions resulting from climate variability and change (by asset types)	USD ... million
Small Grant Recipients and associated institutions are empowered to identify response measures to climate induced vulnerabilities, and implement relevant climate change adaptation projects.	Number of grant recipients with increased capacity to implement climate change adaptation projects	AF Output 2.1: Strengthened capacity of national and regional centers and networks to respond rapidly to extreme weather events	2.1.1. No. of staff trained to respond to, and mitigate impacts of, climate-related events.	USD ... million

Implications of the RBM strategy for IEs



Tool 2 - 5 core indicators background

- ▶ Project-level indicators and their measurements methodologies are not always comparable across projects.
- ▶ Thus, even if two projects are targeting similar outcomes, it becomes difficult to aggregate indicators across projects.
- ▶ The AF Sec adjusted the indicators that fall under each of the seven Fund-level outcomes to better aggregate these indicators across.
- ▶ In addition, the secretariat also developed 5 core indicators.

Tool 2 - 5 core indicators

Impact-level results	Core indicators
Increased adaptive capacity of communities to respond to the impacts of climate change	Number of beneficiaries (direct and indirect)
	Number of Early warning systems
	Assets produced, developed, improved, or strengthened
	Increased income, or avoided decrease in income
Increased ecosystem resilience in response to climate change-induced stresses	Natural habitats protected or rehabilitated

5 Core indicators - Methodologies

- Challenges of Measuring adaptation activities' results
 - Time scale and desired impact (increased resilience)
 - AF portfolio is spread out across the world and different sectors
- AF Approach
 - Balance need for data without overburdening projects
 - Provide flexibility at project level
 - Developed 5 core indicators at impact level to track progress across portfolio
- Detailed 2 pages methodologies are available online, for each core indicator

How are AF core indicators tracked?

- ▶ All projects will be **required** to provide data on the first indicator (“Number of beneficiaries”)
- ▶ The other four should be provided **only if they apply to the project itself**
- ▶ Core indicators requested three times:
 1. At project design (fully developed proposal)
 2. After 1st year of implementation with PPR (baseline)
 3. At project completion

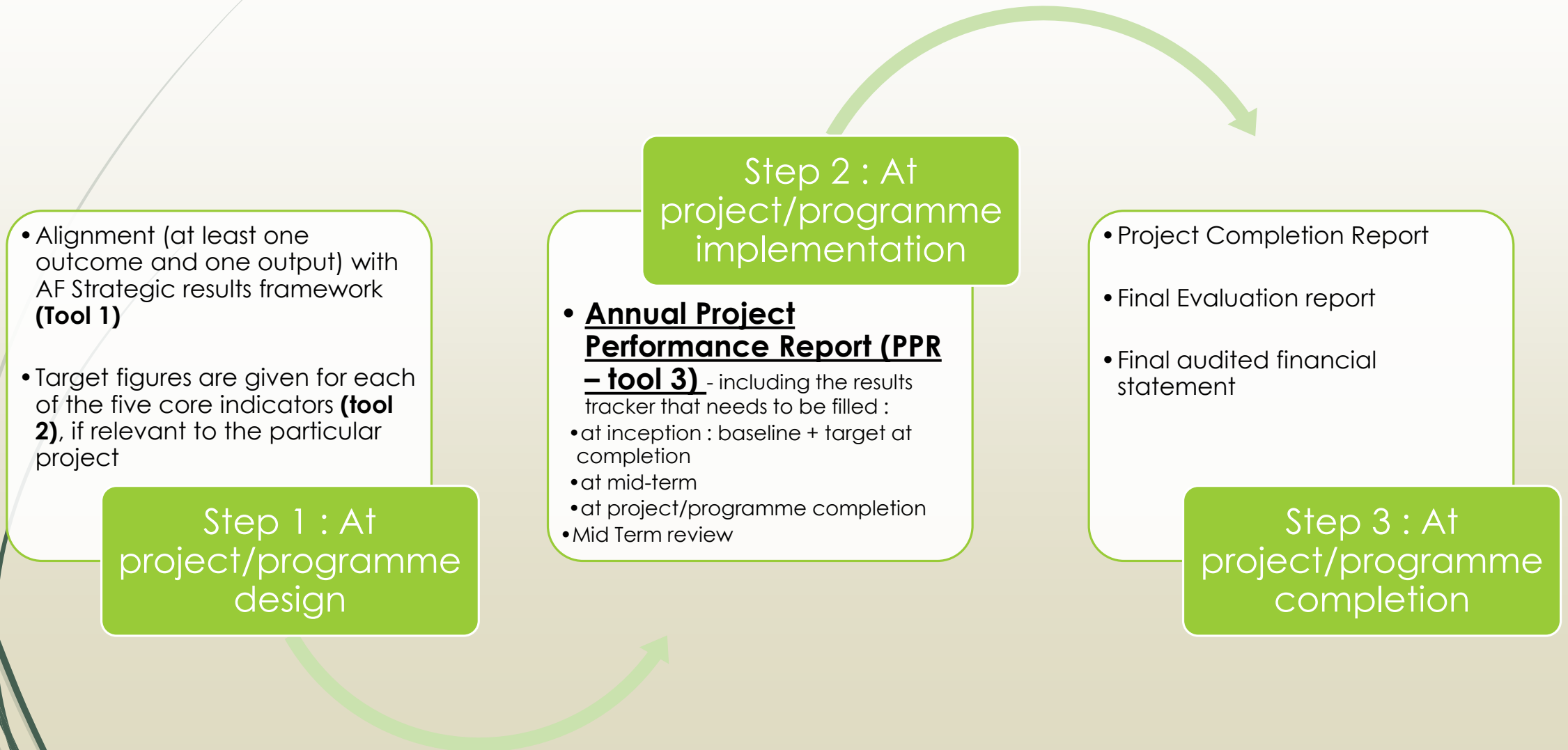
AF Core indicator – an example

- ▶ Case of the core indicator “Number of beneficiaries (direct and indirect)”

- ▶ Five core indicators methodologies are available at:

https://www.adaptation-fund.org/sites/default/files/AFB.EFC_14.6%20Core%20Indicator%20Methodologies.pdf

Implications of the RBM strategy for IEs



Tool 3 – Project Performance Report (PPR)

- ▶ IEs are required to submit a **Project Performance Report (PPR)** on an annual basis, one year after the start of project implementation (date of inception workshop)
- ▶ The last PPR should be submitted six months after project completion. This will be considered as the project completion report.
- ▶ PPRs shall be submitted no later than two months after the end of the reporting year.
- ▶ **Submission of the PPR is linked to the disbursement schedule.** Once the PPR is submitted, the secretariat reviews the report and provides a recommendation to the Board as to whether additional funds should be transferred.

PPR content

- ▶ 8 sections:
 - ▶ Basic Data: project title, summary, contact information
 - ▶ Financial Data: cumulative disbursement, expenditure data, planned expenditure
 - ▶ Procurement Data: list of contracts, bids
 - ▶ Project risk: identified risks, critical risks, risk measures
 - ▶ Project implementation rating: at output level, from both IE and EE
 - ▶ Project indicators: according to project document as agreed by AFB
 - ▶ Qualitative Questions and Lessons Learned
 - ▶ Results Tracker

- ▶ An example of PPR



Upcoming revised results tracker

PPR-Resultstracker-4Feb15_final - Excel

Indicator 7.1: No. of policies introduced or adjusted to address climate change risks

Adaptation Fund Strategic Results Framework		Baseline information			Target performance at completion				
Project ID		Total (direct + indirect beneficiaries)	Direct beneficiaries supported by the project	Indirect beneficiaries supported by the project	Total (direct + indirect beneficiaries)	Direct beneficiaries supported by the project	Indirect beneficiaries supported by the project		
Implementing agency									
Type of implementing agency									
Country									
Region									
Sector									
Impact: Increased resiliency at the community, national, and regional levels to climate variability and change	Core Indicator: No. of beneficiaries	<i>Total</i>			<i>Total</i>				
		<i>% of female beneficiaries</i>			<i>% of female beneficiaries</i>				
		<i>% of Youth beneficiaries</i>			<i>% of Youth beneficiaries</i>				
		Baseline information			Target performance at completion				
Outcome 1: Reduced exposure to climate-related hazards and threats	Indicator 1: Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis	Number of targeted stakeholders	Hazards information generated and disseminated	Overall effectiveness	Number of targeted stakeholders	Hazards information generated and disseminated	Overall effectiveness		
Output 1.1 Risk and vulnerability assessments conducted and updated	Indicator 1.1: No. of projects/programmes that conduct and update risk and vulnerability assessments	<i>Total</i>			<i>Total</i>				
		<i>% of female targeted</i>			<i>% of female targeted</i>				
		No. of projects/programmes that conduct and update risk and vulnerability assessments	Sector	Scale	States	No. of projects/programmes that conduct and update risk and vulnerability assessments	Sector	Scale	States
		No. of adopted Early Warning	Category targeted	Hazard		No. of adopted Early Warning	Category targeted	Hazard	

Aggregated data PPR results tracker

References

- ▶ Results framework and Baseline Guidance Document (2011): <https://adaptation-fund.org/document/results-framework-and-baseline-guidance-project-level>
- ▶ Evaluation Framework: https://adaptation-fund.org/sites/default/files/Evaluation_framework.pdf
- ▶ Guidelines for Project Final Evaluations (2011): <https://adaptation-fund.org/document/guidelines-projectprogramme-final-evaluations>
- ▶ Methodologies for Reporting Adaptation Fund Core Impact Indicators (March 2014) Project Performance Report Template: <https://adaptation-fund.org/page/project-performance-and-reporting>
- ▶ Guidance to Complete Project Performance Report: https://www.adaptation-fund.org/sites/default/files/AFB.EFC_9.4.Add_1%20Draft%20Guidance%20to%20Complete%20PPRs.pdf
- ▶ Methodologies for Reporting Adaptation Fund Core Impact Indicators (March 2014): <https://www.adaptation-fund.org/sites/default/files/AF%20Core%20Indicator%20Methodologies.pdf>



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Thanks for listening!
Questions?

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