



ADAPTATION FUND

March 2014

Adaptation Fund Board

METHODOLOGIES FOR REPORTING ADAPTATION FUND CORE IMPACT INDICATORS

METHODOLOGIES FOR REPORTING ADAPTATION FUND CORE IMPACT INDICATORS

This guidance document has been designed to assist Adaptation Fund project proponents to define and measure core indicators in order to assess progress at the project level.

Type of Indicator	Number of Beneficiaries ¹
Rationale	<p>This indicator seeks to measure the number of people who have received an input of support from the project as a proxy for increasing adaptive capacity to respond to the impact of climate change. It does not seek to measure the output of whether this support was successful in reducing the impacts of climate change events or effects on these people, or the outcome of increasing their resilience or reducing their vulnerability to climate change.</p>
Technical Definition	<p><i>'Support'</i> is defined as direct assistance from the project in question, with the explicit intention of helping people deal with climate change impacts. It could include, for example, financial resources, assets, agricultural inputs, training, communications (e.g. early warning systems) or information (e.g. weather forecasting).</p> <p><i>'People Supported'</i> should relate to population or households identified by the project in question with a direct relationship to it.</p> <p><i>'Effects of climate change'</i> are defined as the effects of changes both in the mean state of the climate and in its variability. Normally resulting from the primary consequences of climate change: changes to precipitation, temperature and sea level rise, these may be sudden onset or gradual, and can include floods, droughts, storms, landslides, salination, coastal inundation, heat or cold waves and biodiversity loss.</p> <p>Two dimensions of support²:</p> <ol style="list-style-type: none"> 1) Targeted: defined as whether people (or households) can be identified by the project as receiving direct support, can be counted individually and are aware they are receiving support in some sort. This implies high degree of attribution to the project. 2) Intensity: defined as the level of support/effort provided per person, on a continuum but broad levels may be defined as: <ol style="list-style-type: none"> a) <i>Low:</i> e.g. people falling within an administrative area of an institution (e.g. Ministry of local authority) receiving capacity building support. b) <i>Medium:</i> e.g. people receiving information services such as flood warning or weather forecast by text; people within catchment area of structural flood defenses; people living in a community where other members have been trained in emergency flood response; people within a catchment area or a river basin subject to a water resources management plan. c) <i>High:</i> e.g. house raised on plinths, cash transfers, agriculture extension services, training of individuals in communities to develop emergency plans. <p>Based on these two dimensions, there are two categories for reporting:</p> <ol style="list-style-type: none"> 1) Direct: Targeted and High intensity. Must fulfill both criteria. E.g. people receiving social protection through improved household assets, houses raised on plinths, agricultural extension services, training of individuals in communities to develop emergency plans and use early warning systems.

¹ The Guidance adapts the existing methodologies used by DFID ICF KPI 1¹ Indicator on *"Number of people supported by DFID programme with the effects of climate change"* and Climate Investment Fund PPCR Monitoring and Reporting Toolkit¹ Core indicator 5 *"Number of people supported by the PPCR to cope with effects of climate change"*.

² These dimensions of support are not completely exclusive; medium intensity support may be either targeted (e.g. early warning text messages) or not targeted (catchment area of a flood defense system). However, high intensity support should always be targeted, and low intensity support cannot normally be considered targeted. Low intensity support should not be reported for this indicator.

	<p>2) Indirect category covers the following:</p> <p>a) <i>Targeted and Medium intensity</i>: e.g. people receiving weather information and text messages early warnings.</p> <p>b) <i>Not targeted and Medium intensity</i>: e.g. people within the coverage of an early warning system, or catchment area of a large infrastructure project (e.g. flood defenses), or living in a discrete community in which other have been trained in emergency response.</p>
Methodology for Measuring	<p>The indicator is expressed in absolute numbers of beneficiaries disaggregated by category of reporting (direct/indirect) and gender reported at the project level. It is possible for one project to reach both, direct and indirect beneficiaries, in which case these should be reported separately.</p> <p>Monitoring data on direct and indirect beneficiaries can be collected on the level of the individual (number of people) or household (number of households). However, for reporting on total, direct and indirect beneficiaries, data should be expressed as number of people. A standard multiplier for household size based on the most recent national census or nationally representative household survey should be used to convert number of households to number of people.</p> <p>Efforts should be made to disaggregate the reported direct and indirect beneficiaries by gender and youth (age 15-24).</p>
Reporting Format	<p>Direct and indirect beneficiaries should be reported for each project component using the annexed table. The indicator should be reported at three stages throughout the life of a project:</p> <ol style="list-style-type: none"> 1) At project approval stage; 2) At the first year of implementation (in order to confirm the data on the ground); 3) And at the project completion stage.
Baseline	<p>The baseline is set at 0, since no people were supported by the Adaptation Fund before the project was implemented.</p>
Time Period	<p>Project duration</p>
Data Sources	<p>Efforts should be made to use recent data sourced from national systems (e.g. population data). Data may be available from the census bureau or other census information institution or public offices and institutions with development projects in the project area. Where recent data are not available in national systems, project specific surveys should be used to monitor the number of direct and indirect beneficiaries of each project.</p> <p>Where social (vulnerability) baseline surveys and analyses have been conducted, monitoring will allow for disaggregation of the number of poor, female and youth beneficiaries.</p>

Type of Indicator	Early Warning Systems ³
Rationale	<p>Early warning is critical for disaster risk reduction. The objective of an early warning system is to empower individuals and communities that are threatened by hazards to respond in sufficient time and in appropriate manners in order to reduce the possibility of personal injury, loss of life and livelihoods, damage to physical assets and the environment.</p>
Technical Definition	<p>Early warning systems comprise four critical components: (1) risk knowledge, (2) monitoring and warning service, (3) dissemination and communication, and (4) response capability.</p> <p>(1) 'Risk Knowledge' Risk knowledge is produced from a systematic exploration of hazards and their impacts. Risk assessments, risk mapping and ranking, hazard mapping can help motivate people, prioritize early warning system needs and guide preparations for response and disaster prevention activities. Assessments of risks should take into account dynamics of hazards and climate change vulnerabilities and require systematic collection and analysis of data.</p> <p>(2) 'Monitoring and Warning Service' Hazard monitoring and forecasting directly builds on risk knowledge. Warning services must have a sound scientific basis for predicting and forecasting and must reliably continually operate. Continuous monitoring of hazard parameters and precursors is necessary to generate accurate warnings in a timely fashion.</p> <p>The main hazards include: <i>Hydro meteorological hazards:</i></p> <ul style="list-style-type: none"> • Floods • Tropical cyclones • Severe storms • Droughts • Extreme temperatures • Air pollution, haze, and smoke • Dust and sandstorms • Snow avalanches and winter weather hazards <p><i>Geological hazards:</i></p> <ul style="list-style-type: none"> • Earthquakes • Tsunami • Landslides <p><i>Environmental degradation:</i></p> <ul style="list-style-type: none"> • Desertification <p>Coastal erosion is also a natural hazard of significance in a climate change context.</p> <p>(3) 'Dissemination and Communication' Warnings must get to the people at risk. The warnings should contain clear and useful information that enables proper responses. Regional, national, and community-level dissemination of the information must be based on clear protocols and procedures and supported by an adequate telecommunications infrastructure. Multiple communication channels include social networks, broadcast, print media, SMS, video messaging and others and are necessary to ensure everyone is reached and to avoid the failure of any one channel, as well as to reinforce the warning message.</p> <p>A typical warning dissemination chain involves channeling warnings from technical and scientific sources through government decision makers and the media to multiple receivers who may also function as onward disseminators. Such users include emergency services, security agencies,</p>

³ This Guidance builds on the rationale and definition of an 'early warning system' as articulated in "Global Survey of Early Warning Systems: An assessment of capacities, gaps and opportunities towards building a comprehensive global early warning system for all natural hazards" (2006). A report prepared at the request of the Secretary-General of the United Nations; United Nations. Available at <http://www.unisdr.org/2006/ppew/info-resources/ewc3/Global-Survey-of-Early-Warning-Systems.pdf>

	<p>operators of utilities, information and communication services, other economic service providers and vulnerable communities.</p> <p>(4) 'Response Capability'</p> <p>Communities should be aware how to react to the warning services. This requires systematic education and preparedness programs led by disaster management authorities. It is essential that disaster management plans are in place and are well practiced and tested. The community should be well informed on options for safe behavior and on means to avoid damage and loss of property.</p> <p>Responses to early warnings involve activating coping mechanisms (mainly for orderly movement of people out of areas at risk, seeking shelter and safely securing assets) before a disaster strikes. In contrast, post-disaster response implies the wider range of recovery, rehabilitation and reconstruction efforts in the aftermath of disasters. However, both processes are part of disaster preparedness and employ common emergency procedures.</p>
Methodology for Measuring	The indicator is expressed by an absolute number of a proper category of EWS and hazard targeted, geographical coverage, and number of municipalities. These parameters should be reported at the project level. It is possible for one project to invest into several categories of EWS, in which case these should be reported separately.
Reporting Format	<p>The categories of EWS and hazard targeted, geographical coverage, and number of municipalities should be reported for each project component using the annexed table. The indicator should be reported at three stages throughout the life of a project:</p> <ol style="list-style-type: none"> 1) At project approval stage; 2) At the first year of implementation (in order to confirm the data on the ground); 3) And at the project completion stage.
Baseline	<p>The baseline represents the number and category of the EWS present in the targeted geographical area that were supported by local/government or other organizations, or even by the Adaptation Fund in the past.</p> <p>Use scale 1-4 for the baseline component of the EWS: (1) risk knowledge, (2) monitoring and warning service, (3) dissemination and communication, and (4) response capability. The baseline is set at 0 when no EWS of the type were supported before the project was approved.</p>
Time Period	Project duration
Data Sources	<p>The following sources of information for establishing 'risk knowledge' might be useful: DFID Climate Risk Impacts on Sectors and Programmes (CRISP). Available at http://tinyurl.com/ccorchid</p> <p>Data for monitoring and warning service, dissemination and communication, and response capability may be available from public offices and institutions with development projects in the project area. Primary data (interviews) is another source of information.</p>

Type of Indicator	Assets Produced, Developed, Improved, or Strengthened ⁴
Rationale	To assess the extent to which a project intervention(s) has reached its intended results or objective to respond to climate change variability through improving, developing, or strengthening asset(s).
Technical Definition	<p>There are two types of assets considered:</p> <p>1) Development sector services This type of support assumes support for <i>development</i> sector services in projects to increase resilience and adapt to climate change, e.g. support the reform of coastal management laws; control the spread of infectious diseases; increased capacity of extension services; provision of local or national-level climate index-based insurance mechanisms; provision of expanded and improved food security systems; and improved conditions for vulnerable children and youth.</p> <p>2) Physical infrastructure Physical infrastructure to increase resilience and adapt to climate change includes for example the following: roads, hotels, houses, causeways, airports, hospitals, government buildings, schools, training centers, drinking water systems, wastewater treatment facilities, irrigation systems, drainage, flood management systems, water harvesting systems.</p> <p><i>'Improved'</i> should include technical, environmental, social, and financial cost-effectiveness assessment.</p> <p><i>'Produced'</i> assumes the physical asset does not exist at the start of the intervention.</p> <p><i>'Strengthened'</i> assumes the physical asset already exists but its capacity will be improved to withstand conditions resulting from climate variability more effectively. The asset could also be rebuilt somewhere else, e.g. a road that would be covered by sea level rise in the future (scenario); move the road if the stakeholders believe this is one of the cost-effective adaptation options.</p>
Methodology for Measuring	<p>In the attached Annex, describe the sector under the project: Disaster Risk Management, Coastal Management, Water Management, Food Security, Rural Development, Agriculture, Health, Urban Management, etc.</p> <p>There are two ways to report changes in the state of the asset: Quantitative reporting: When possible, use absolute numbers in metric system. If the asset is <i>produced</i> or <i>strengthened</i>, count the number of infrastructure/facilities and its change that the project has affected. The number should represent the infrastructure/facilities where the production and strengthening works have been fully completed within the project duration period. Qualitative reporting: When using an absolute number is not feasible and the asset is <i>improved</i> or <i>developed</i>, use scale (1-5) for summarizing extent to which all technical, environmental, social, and financial/economic aspects of asset have improved:</p> <p>5: Fully improved 4: Mostly Improved 3: Moderately improved 2: Somewhat improved 1: Not improved</p> <p>Briefly describe the challenges and/or opportunities supporting the responses above.</p> <p>1) Development sector services</p>

⁴ The Methodology for this indicator builds on the Adaptation Fund “Results Framework and Baseline Guidance” document available on the AF website <https://www.adaptation-fund.org/sites/default/files/Results%20Framework%20and%20Baseline%20Guidance%20final%20compressed.pdf>

	<p>Indicate the changes addressed by project. Examples of changes:</p> <ul style="list-style-type: none"> ○ Infection rates of population to climate-sensitive diseases improved (<i>scale</i>) ○ Innovative insurance mechanisms developed (<i>absolute number disaggregated by gender</i>) ○ Climate index-based insurance developed (<i>type</i>) ○ Change in food availability given the existing and projected climate change (<i>tons/year</i>) <p>2) Physical infrastructure</p> <p>Technology: rainwater harvesting; Use of treated wastewater in irrigation, soilless agriculture; integrated pest management, and others. Indicate the changes addressed by project. Examples of changes:</p> <ul style="list-style-type: none"> ○ Increase in water supply in the targeted areas to withstand impacts of climate change (<i>tons/m3</i>) ○ Coastal erosion defenses constructed to withstand impacts of climate change (<i>km</i>) ○ Road constructed to withstand impacts of climate change (<i>km</i>) ○ Land under irrigation systems to withstand impacts of climate change (<i>ha</i>) ○ Rainwater harvested from roof tops to withstand impacts of climate change (<i>m3</i>) ○ Water efficient irrigation systems deployed to withstand impacts of climate change (<i>type</i>) ○ Six sets of 38 pilot community-managed agro-pastoral shade garden plots (1 ha per family) established that includes date palms, multi-purpose fence trees, local and regional varieties of climate resilient forage, vegetables and fruits (henna, dates, jujube, and mango) benefiting 228 agro-pastoral families - approximately 2,800 people (US\$ 1,146,000)
Reporting Format	<p>The type of asset and its changes should be reported for each project component using the annexed table. The indicator should be reported at three stages throughout the life of a project:</p> <ol style="list-style-type: none"> 1) At project approval stage; 2) At the first year of implementation (in order to confirm the data on the ground); 3) And at the project completion stage.
Baseline	<p>The baseline represents the number and type of an asset present in the targeted geographical area that was supported by local/government or other organizations. It is set at 0 when no assets of the type were supported before the project was approved.</p>
Time Period	<p>Project duration</p>
Data Sources	<p>Technical documents related to targeted service(s) or construction process, including information contained in payments and financial records.</p> <p>Updated information on actual and perceived status of the service through participatory consultation methods with beneficiaries and local authorities.</p> <p>Documents and tools to assess level of improvement and adaptation of service.</p> <p>Quantitative data on economic or technical features. Secondary data sources, particularly related to regularly collected government data, may prove useful.</p>

Type of Indicator	Increased income, or avoided decrease in income ⁵
Rationale	<p>Household livelihoods (including income sources), which include how people obtain their income and have access to and use assets to make a living, are a key part of understanding project beneficiary characteristics. Greater understanding of these livelihoods and specifically sources of income will allow the project manager to measure and understand the impacts of climate change and climate change variability on targeted beneficiaries more effectively.</p> <p>Income sources for households generated under climate change scenario is a measure of how targeted individual livelihoods (specifically income sources and income in general) are strengthened in relation to climate change impacts and variability.</p>
Technical Definition	<i>'Income sources'</i> are the sources of income (agribusinesses, fisheries, etc.) of the households.
Methodology for Measuring	<p>Efforts should be made to define to following parameters:</p> <ul style="list-style-type: none"> • Total number of households in the area • Number of targeted households • Numbers, types and levels of targeted income sources in project area <p>Complete additional information collection and analysis, if useful. For example, by breaking down the number of households in different categories of analysis (income level, total number of persons integrating the household, desegregation by gender or vulnerable groups, etc.): number of households with X income sources and level of income with more secure access to livelihood assets or number of households with more than two family members with X sources of income. To do this, consider additional baseline information and adjustment in questionnaire.</p> <p>Some authors defend that “diversified households are sufficiently flexible to change activities in their household organization, and they may use other sources of income to underwrite their responses to forecasts (Below et al.)”; others argue that diversification of sources of incomes (depending on the source) may in some circumstances be detrimental to households. Analyze how climate change would affect income sources and if they need to be adapted or diversified. Based on this analysis, identify alternative income sources as needed.</p>
Reporting Format	<p>Total number of households in the area, number of targeted households, targeted income sources, types and levels in project area should be reported for each project component using the annexed table. When the numbers of livelihoods go through significant changes, such as when sources of income are diversified, it may be useful to illustrate the changes by main livelihoods. The indicator should be reported at three stages throughout the life of a project:</p> <ol style="list-style-type: none"> 1) At project approval stage; 2) At the first year of implementation (in order to confirm the data on the ground); 3) And at the project completion stage.
Baseline	The baseline represents the pre-project sources of income in the targeted geographical area that were supported by local/government or other organizations, or even by the Adaptation Fund in the past.
Time Period	Project duration
Data Sources	Socioeconomic data may be available from the census bureau or other census information institution or public offices and institutions with missions focused on livelihood improvement in the targeted area. Where recent data are not available in national systems, project specific surveys could be used to monitor the households income of the households.

⁵ The Methodology for this indicator builds on the Adaptation Fund “Results Framework and Baseline Guidance” document available on the AF website <https://www.adaptation-fund.org/sites/default/files/Results%20Framework%20and%20Baseline%20Guidance%20final%20compressed.pdf>

Type of Indicator	Natural Assets Protected or Rehabilitated ⁶
Rationale	Natural assets effectively protected or rehabilitated would give information on availability of adapted natural resources for human use in response to climate change impacts, as well as the overall ecosystem health.
Technical Definition	<p><i>'Natural assets'</i> are assets of the natural environment. They consist of biological assets (produced or wild), land, and water areas with their ecosystems, subsoil assets, and air.</p> <p>Natural assets or ecosystems can be <i>protected or rehabilitated</i>. For example: rehabilitation of degraded land, reduced deforestation, improved biodiversity, restored mangroves, enhanced integrity of ecosystem.</p>
Methodology for Measuring	<p>In the attached Annex, describe the type of a natural asset or ecosystem under the project. For example:</p> <ol style="list-style-type: none"> 1) <i>Biological asset (flora and fauna) to withstand impacts of climate change</i>: measure through changes in population numbers and diversity (including ecosystem dynamics and structure). 2) <i>Land asset</i>: measure changes in hectares or km (e.g. hectares improved through soil and water conservation methods such as reduced deforestation, improved integrity of ecosystems, reduced erosion and degradation, improved water retention, etc.). <p>Then state the changes in the state of a natural assets or ecosystem. When possible, use absolute numbers in metric system (e.g. 1000 km of coastline protected).</p> <p>When using an absolute number is not feasible, use scale (1-5) for summarizing extent to which all technical, environmental, social, and financial/economic aspects of asset or ecosystem have improved:</p> <p><i>5: Fully improved</i> <i>4: Mostly Improved</i> <i>3: Moderately improved</i> <i>2: Somewhat improved</i> <i>1: Not improved</i></p> <p>Briefly describe the challenges and/or opportunities supporting the responses above.</p>
Reporting Format	<p>The indicator should be reported using the annexed table. The indicator should be reported at three stages throughout the life of a project:</p> <ol style="list-style-type: none"> 1) At project approval stage; 2) At the first year of implementation (in order to confirm the data on the ground); 3) And at the project completion stage.
Baseline	<p>The baseline represents the number and type of an asset or ecosystem present in the targeted geographical area that was supported by local/government or other organizations or even by the Adaptation Fund in the past. It is set at 0 when no assets of the type were supported before the project was approved.</p> <p>When possible, use absolute numbers in metric system (e.g. 1000 km of coastline protected).</p> <p>When using an absolute number is not feasible, use scale 1-5 (used to summarize assessment of the effectiveness of protection/rehabilitation interventions with regard to the state of ecosystem variables and/or natural assets -- specifically, how many individuals/species are present in the intervention):</p>

⁶ The Methodology for this indicator builds on the Adaptation Fund “Results Framework and Baseline Guidance” document available on the AF website <https://www.adaptation-fund.org/sites/default/files/Results%20Framework%20and%20Baseline%20Guidance%20final%20compressed.pdf>

	<p>5: Very effective (All elements are present)</p> <p>4: Effective (Most elements are present)</p> <p>3: Moderately effective (Some elements are present)</p> <p>2: Partially effective (Most elements are not present)</p> <p>1: Ineffective (No elements are present)</p>
Time Period	Project duration
Data Sources	<p>Findings of special studies, mapping exercises, environmental monitoring systems, before-and-after photographs, site visits.</p> <p>Project documents (including description of interventions in targeted area(s) and description of targeted natural asset(s).</p>

LIST OF TABLES FOR REPORTING ADAPTATION FUND CORE IMPACT INDICATORS

Adaptation Fund Core Impact Indicator “Number of Beneficiaries”				
Date of Report				
Project Title				
Country				
Implementing Agency				
Project Duration				
	Baseline <i>(absolute number)</i>	Target at project approval <i>(absolute number)</i>	Adjusted target first year of implementation <i>(absolute number)</i>	Actual at completion ⁷ <i>(absolute number)</i>
Direct beneficiaries supported by the project				
<i>Female direct beneficiaries</i>				
<i>Youth direct beneficiaries</i>				
Indirect beneficiaries supported by the project				
<i>Female indirect beneficiaries</i>				
<i>Youth indirect beneficiaries</i>				

⁷ At project completion, the proponent could report on % targeted population reached or successfully supported (the absolute numbers could then be deduced from that figure)

Adaptation Fund Core Impact Indicator “Early Warning Systems”				
Date of Report				
Project Title				
Country				
Implementing Agency				
Project Duration				
	Baseline	Target at project approval	Adjusted target first year of implementation	Actual at completion
Adopted Early Warning Systems <i>(Category targeted – 1, 2, 3, 4; and absolute number)</i> (1) risk knowledge, (2) monitoring and warning service, (3) dissemination and communication, (4) response capability. <i>(report for each project component)</i>				
Hazard <i>(select from the list on page 2)</i> <i>(report for each project component)</i>				
Geographical coverage <i>(km2)</i> <i>(report for each project component)</i>				
Number of municipalities <i>(number)</i> <i>(report for each project component)</i>				

Adaptation Fund Core Impact Indicator “Assets Produced, Developed, Improved, or Strengthened”				
Date of Report				
Project Title				
Country				
Implementing Agency				
Project Duration				
	Baseline	Target at project approval	Adjusted target first year of implementation	Actual at completion
Sector (identify)				
Targeted Asset 1) Health and Social Infrastructure <i>(developed/improved)</i> 2) Physical asset <i>(produced/improved/strengthened)</i>				
Changes in Asset <i>(Quantitative or qualitative depending on the asset)</i>				

Adaptation Fund Impact Indicator “Increased income, or avoided decrease in income”				
Date of Report				
Project Title				
Country				
Implementing Agency				
Project Duration				
	Baseline	Target at project approval	Adjusted target first year of implementation	Actual at completion
Income Source⁸ (name)				
Income Source				
Income level (USD)				
Number of households <i>(total number in the project area)</i> <i>(report for each project component)</i>				

⁸ When the numbers of livelihoods go through significant changes, such as when sources of income are diversified, it may be useful to illustrate the changes by primary livelihoods.

Adaptation Fund Core Impact Indicator “Natural Assets Protected or Rehabilitated”				
Date of Report				
Project Title				
Country				
Implementing Agency				
Project Duration				
	Baseline	Target at project approval	Adjusted target first year of implementation	Actual at completion ⁹
Natural Asset or Ecosystem <i>(type)</i>				
Change in state <i>Ha or km Protected/rehabilitated, or Effectiveness of protection/rehabilitation - Scale (1-5)</i>				
Total number of natural assets or ecosystems protected/rehabilitated				

⁹ At project completion, the proponent could report on % targeted population reached or successfully supported (the absolute numbers could then be deduced from that figure)