



ADAPTATION FUND

AFB/EFC.7/4.Rev.2
12 December, 2011

Adaptation Fund Board
Ethics and Finance Committee
Seventh Meeting
Durban, 12 December, 2011

ANNUAL PERFORMANCE REPORT

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I. INTRODUCTION

1. At its tenth meeting in June 2010, the Board agreed to the Results Based Management (RBM) approach outlined in document AFB/EFC.1/3/Rev. 2. The document delineated that fund level portfolio performance will be presented annually at the last Board meeting of the calendar year, through an *Adaptation Fund Annual Performance Report (AFAPR)*. Under the direction of the *Ethics and Finance Committee*, the secretariat will be responsible for preparing this report, which will be the principal instrument for reporting on the Fund's active projects and programmes.

2. The following document presents the Adaptation Fund's first annual performance report. Since this is the first such report, the period covered is from the Adaptation Fund's first call for proposals at the 10th Board meeting in June 2010 through September 30, 2011. The secretariat suggests that subsequent AFAPR reports cover one fiscal year (July 1-June 30) and be presented to the fall Board meeting.

3. As of September 20, 2011, 11 projects for a total dollar amount of \$69.8 million have been approved for funding.¹ In addition, the Board has approved project formulation grants for a total of \$ 0.06 million, and endorsed project concepts for a total dollar amount of \$69.4 million. There are currently six projects that have started implementation, totaling \$36.8 million. A total of \$14.2 million has been transferred to implementing entities. A list of approved projects is provided in Annex 1.

4. Of the 11 projects approved, four projects have included proposed co-financing amounts. The total co-financing proposed totals \$11.4 million, approximately 17% of the total grant amount approved.² UNDP is implementing nine out of the eleven projects approved. The World Food Programme (WFP) is implementing one project and the Centre de Suivi Ecologique (CSE) in Senegal is implementing one project.³

5. CSE has submitted its first progress report, which is included as a report to the Ethics and Finance Committee (AFB/EFC.7/4, http://www.adaptation-fund.org/sites/default/files/AFB.EFC_.7.4%20CSE%20report.pdf). UNDP has also provided a status update on the nine projects being implemented by the agency. The update is included as Annex 2 of the document.

6. The current report provides the details of the performance monitoring and reporting system for the Adaptation Fund, an analysis of project approvals and project concept endorsements, a presentation of the management effectiveness and efficiency indicators, and an analysis of the accreditation process to date. The table below provides a summary of key figures for the reporting period.

¹ All figures are in USD. The figures above include implementing entity fees but not project formulation grants

² Co-financing is based on declaration by the implementing entity in the project document.

³ CSE is the only National Implementing Entity (NIE), implementing a project to date.

TABLE 1: ADAPTATION FUND AT A GLANCE (AS OF SEPTEMBER 30, 2011)

Adaptation Fund Approvals	
Total number of projects approved for Funding	11
Total grant amount approved (excluding fees & execution costs)	\$59.2 million
Total execution costs	\$5.4 million
Total entity fees	\$5.2 million
Total grant amount approved	\$69.8 million
Fees as percentage of total grants approved	7.4%
Adaptation Fund Pipeline	
Total number of project concepts endorsed ⁴	12
Total value of project concepts endorsed	\$69.4 million
Number of fully developed projects proposals submitted	19
Number of fully developed projects not approved ⁵	8
Number of fully developed projects rejected ⁶	0

II. REPORTING PROCESS REQUIREMENTS

7. Reporting on projects/programmes is important to capture results and implementation progress. It is also an important accountability tool. The following section outlines the specific reporting requirements proposed for the Adaptation Fund. Most of the reporting requirements are embedded in the Operational Procedures and Guidelines (OPG), RBM Approach paper, Evaluation Framework, and the standard legal agreement between AFB and implementing entities⁷. There is an additional reporting requirement, the project/programme inception report being introduced for the first time here for the Board's consideration.

8. To balance simplicity and accountability the proposed reporting system consists of six main reports as outlined in table two and described in the paragraphs below.

⁴ These are project concepts that have been endorsed but not yet approved for funding

⁵ Projects that are not approved can be resubmitted for approval at later board meetings after revision by the implementing agency

⁶ Rejected projects can't be resubmitted for approval by the board; the rejection is a final decision.

TABLE 2: REQUIRED REPORTS

Report Type	Frequency	Responsibility	Proposed/OPG
1. Project/Programme Inception Report	Start of project/programme	Implementing Entity	Proposed for first time
2. Project/Programme Performance Report (PPR)	Yearly, rolling basis	Implementing Entity	RBM Approach (AFB/EFC.1/3/Rev. 2), OPG (para. 56)
3. Project/Programme Mid-term/Terminal Evaluations	Mid-term/End of project/programme	Implementing Entity	OPG (para 57); Evaluation Framework
4. Audited financial statement	Once, end of project	Implementing Entity	Standard Legal Agreement (p. 6, para 7.01)
5. Adaptation Fund Annual Performance Report (AFAPR)	Yearly, fiscal year	AF secretariat	RBM Approach (AFB/EFC.1/3/Rev. 2)
6. Adaptation Fund Evaluation Report	Yearly, fiscal year ⁸	AF independent evaluation function	RBM Approach (AFB/EFC.1/3/Rev. 2)

9. **Project/program Inception Report:** Implementing Entities have different definitions for project start dates. In order to have a consistent definition, the Adaptation Fund, will consider the start date to be the date the inception workshop for the project/program takes place. The Implementing Entity must therefore submit both the date of the inception workshop and the entity's inception report to the Fund secretariat no later than one month after the workshop has taken place.

10. **Project/Programme Performance Report (PPR):** Once a project is approved and the first funds are transferred to the project, the implementing entity is required to submit a project/programme performance report (PPR) on an annual basis to the Ethics and Finance Committee (EFC) through the secretariat.⁹ The PPR should be submitted on a rolling basis, one year after the start of project implementation (date of inception workshop) and the last such

⁸ An evaluation report will first be presented to the Board when the first AF has completed a terminal evaluation

⁹ An annual report is the minimum requirement. There may be cases where the Board requests more frequent reporting or additional reports, as for example through requirements linked to the accreditation of an implementing entity.

report should be submitted six months after project completion. This will be considered the project completion report.¹⁰

The PPR requires reporting on a number of areas including, financial, procurement, risk, implementation progress, and progress toward outputs and outcomes, and against the identified milestones. The proposed reporting template is attached as Annex 3. Details of each part of the template are included in the following section.

The disbursement schedule will be linked to the submission of the PPR. Once the PPR is submitted, the secretariat will review the report and provide a recommendation to the Board within two weeks of the report's submission as to whether additional funds should be transferred. In order to ensure that projects/programmes are not delayed the Board may consider accepting the secretariat's recommendation intersessionally on a "non-objection" basis. The Secretariat will circulate the recommendation and the PPR document for two weeks. If any Board member objects to the recommendation, then the PPR for the project/programme will be discussed at the next Board meeting. A proposed disbursement template is presented in Annex 4.

The secretariat will develop procedures for the review of the PPRs and establish a set of criteria the secretariat will use for clearing PPRs. The procedures and criteria will be provided to the next Board meeting for approval.

11. **Project/Program Mid-term and Terminal Evaluations:** According to the Adaptation Fund's operational policies and guidelines all projects/programmes are required to undertake a terminal evaluation. A mid-term evaluation must be undertaken for projects/programmes that are under implementation for over four years. Guidelines for terminal evaluations were approved at the 14th Board meeting (AFB/EFC.5/5). These guidelines provide the minimum requirements of the Fund for undertaking terminal evaluations.

12. **Audited Financial Statement:** As described in the standard legal agreement a final audited financial statement of the Implementing Entity Grant Account, prepared by an independent auditor or evaluation body, must be submitted to the Ethics and Finance Committee through the secretariat within six (6) months of the end of the Implementing Entity's financial year during which the project/programme is completed

13. **Adaptation Fund Annual Performance Report (AFAPR):** Fund level portfolio outcome monitoring will occur on an annual basis to track progress towards reaching intended outcomes. The status of portfolio monitoring will be presented annually at the Board meetings, through an *Adaptation Fund Annual Performance Report* (AFAPR). Individual project/program reports will be analyzed and reported on through the AFAPR¹¹. In addition to analysis of project level data, the AFAPR will report on Fund efficiency and effectiveness (process monitoring) to track whether the Fund's portfolio is being implemented as intended, standards are being met, and resources are being used efficiently. The present document is the first AFAPR submitted to the Board.

14. **Adaptation Fund Evaluation Report:** Once project/programmes have undertaken a terminal evaluation, the organization undertaking the evaluation function for the Adaptation

¹⁰ The standard legal agreement requires a project/programme completion report (p.6): "including any specific [Project]/[Programme] implementation information, as reasonably requested by the Board through the Secretariat, within six (6) months after [Project]/[Programme] completion."

¹¹ Upon request from the Board individual reports may be analyzed and reported on at any Board meeting.

Fund will undertake a review of these evaluations and present the report to the Ethics and Finance Committee on an annual basis.

FIGURE 1: REPORTING PROCESS



PROJECT/PROGRAMME PERFORMANCE REPORT SECTIONS

15. The secretariat has designed a comprehensive Project Performance Report (PPR) template, which each project/programme will have to submit to the *Ethics and Finance Committee*, through the secretariat on a yearly basis. The full report template is included as Annex 2.

16. There are eight sections for the template. These include the following:

- i. **Section 1 Basic Data:** This section contains a project/programme summary, milestone dates, project/programme contacts. Most parts of this section will only need to be filled out once during the project/programme lifetime.
- ii. **Section 2 Financial Data:** This section includes data on disbursements to date, expenditure data, and planned disbursement schedule for the following year. Data will be filled out every year.
- iii. **Section 3 Procurement Data:** This section includes data on the call for proposals, the number of contracts issued, and the number of bidders. Information should be filled out every year as applicable.

- iv. **Section 4 Project/programme Risk:** This section asks for risks identified through the project design stage, additional risks faced by the project/programme during implementation, and risk mitigation steps taken. Data will be filled in every year.
- v. **Section 5 Project/programme Rating:** This section will include a self-rating from the project management and implementing entity on implementation progress and any project delays. Data will be filled in every year.
- vi. **Section 6 Project/programme Indicators:** This section will track progress against project level outputs and outcomes. Data should be filled in every year as applicable.
- vii. **Section 7.AF Results Framework Tracker:** This section will be used to track project/programme indicators that align with the AF's strategic results framework. The indicators should be provided for the baseline either at the time of project approval or through the first PPR submitted. Actual progress should be reported at mid-term and again at project completion.¹²
- viii. **Section 8: Qualitative Questions and Lessons Learned:** This section will ask for answers to open-ended questions on implementation progress, adaptive management measures taken, and gender considerations undertaken. These questions should be filled out on an annual basis. The section will also ask questions related to the success of project/programme results, the contributions toward climate resiliency, and the lessons learned from implementing concrete adaptation measures. These questions should be filled out at mid-term and project completion.¹³

III. ACTIVE PORTFOLIO

17. The Adaptation Fund's first call for proposals occurred at the 10th Board meeting, in June 2010. From the first call for proposals through September 30, 2011, a total of 11 projects have been approved by the Adaptation Fund Board. The table below breaks down the total grant amount by region including a breakdown of the entity fee, execution cost and total co-financing amounts proposed.

¹² For those projects not required to have a mid-term review, the indicators should be submitted for the project baseline and again at project completion.

¹³ For those projects not required to have a mid-term review then the questions should be answered only at project completion.

TABLE 3: TOTAL GRANT AMOUNT APPROVED PROJECTS BY REGION (USD MILLIONS)¹⁴

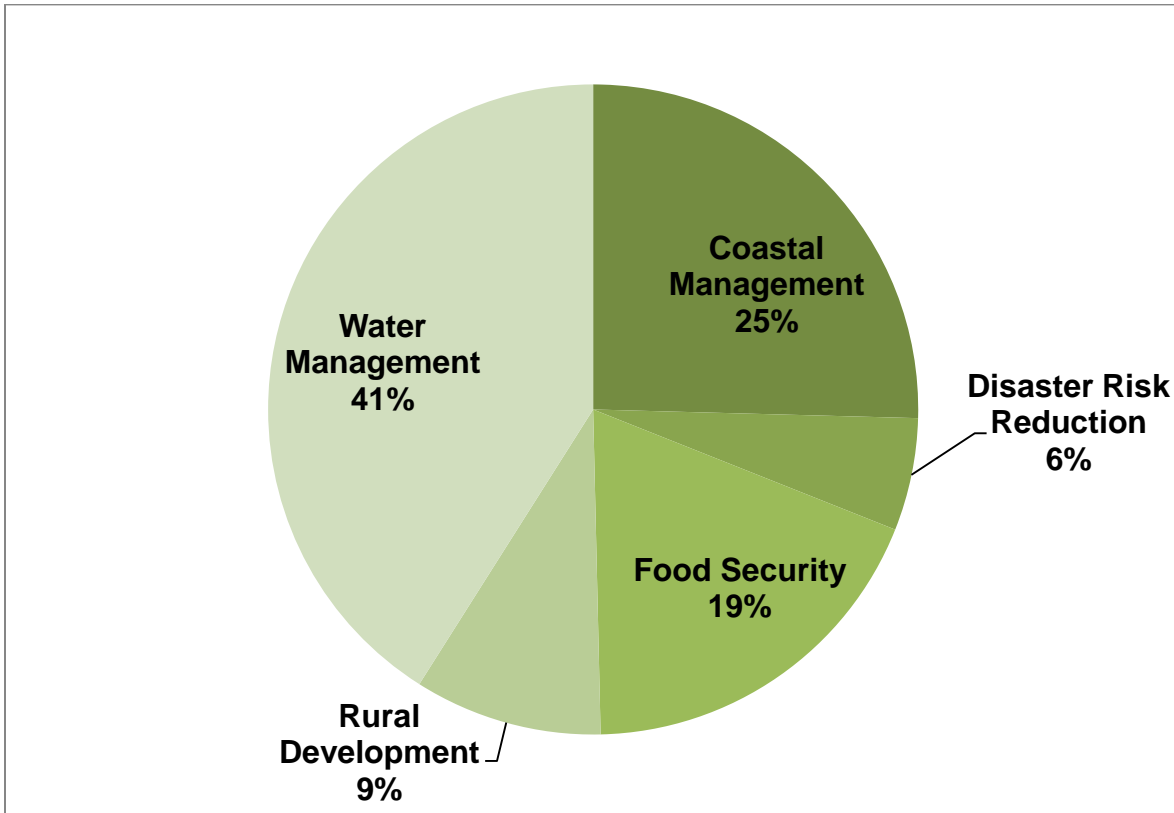
Region	Number of Projects	Execution Cost	Management Fee	Grant Amount	Total Grant	Co-Finance	Total + Co-finance
Africa	3	1.4	1.6	21.2	24.3		24.3
Asia	5	2.5	2.1	22.4	26.8	11.3	38.1
Latin America Caribbean	3	1.6	1.4	15.6	18.6	0.05	18.7
Total	11	5.4	5.2	59.2	69.8	11.4	81.1

18. The largest amount of grant funding approved thus far has been to the Asia region with five projects totaling \$26.8 million in grants, followed closely by Africa with three projects totaling \$24.3 million in grants. The two regions together comprise close to 70% of the total grant amount approved to date.

19. In terms of sector, the largest amount of grant funding has been for water management reduction totaling \$28.6 million (41%), followed closely by coastal management totaling \$17.7 million (25%). The figure below provides a breakdown of total grant amount approved by sector.

¹⁴ Numbers may not add up due to rounding

FIGURE 2: GRANT AMOUNT FOR APPROVED PROJECTS BY SECTOR (PERCENTAGE)



20. For this year's annual report, the secretariat undertook an analysis of all approved project documents to provide an estimate of the grant amount programmed per Adaptation Fund outcome. Since the alignment was not done by project proponents, these figures should serve as a general estimate and not as a definite figure. In order to ensure a more accurate figure moving forward, project proponents will be requested to fill out a matrix for fully designed projects (to indicate the alignment of project/programme outcomes and objectives to Fund level outputs and outcomes). The matrix is included as Annex 5.

21. Table 4, below provides a break-down of the grant amount indicated in approved project documents broken-down by Adaptation Fund outcome. It does not include project execution costs, project fees or any project level output that does not align with the Adaption Fund results framework (the secretariat's analysis estimates that funds used for outputs that do not align are less than 1% of the total).

TABLE 4: GRANT AMOUNT PROGRAMMED BY ADAPTATION FUND RESULTS FRAMEWORK OUTCOME¹⁵

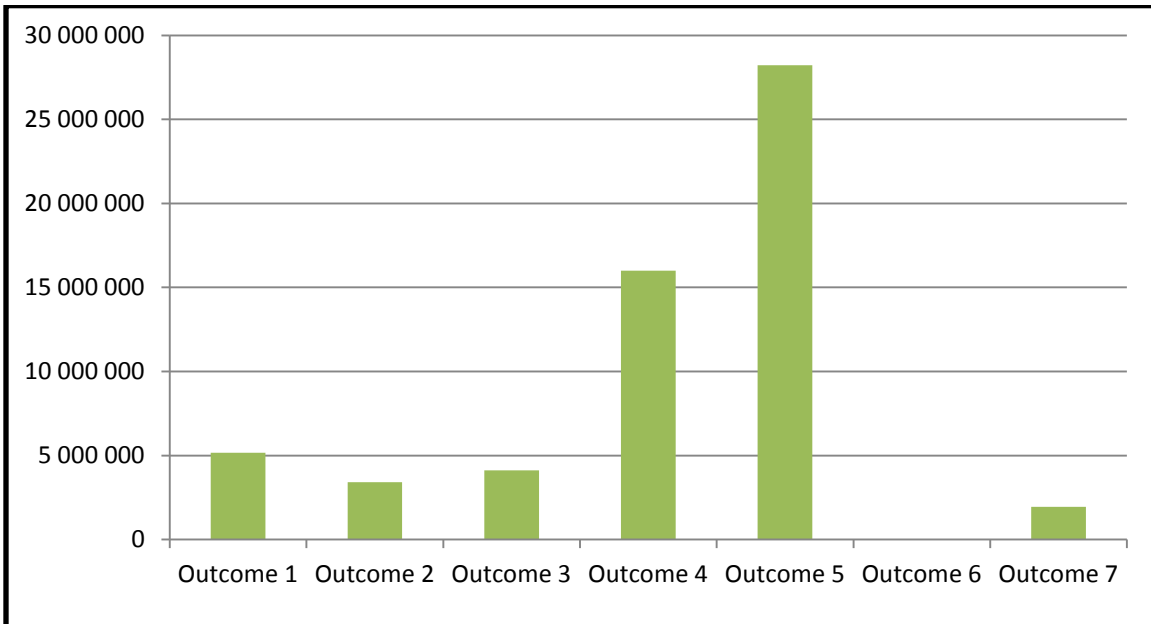
Adaptation Fund Results Framework	Grant Amount Programmed by Outcome (Through September 2011 in millions USD)
Outcome 1: Reduced exposure at national level to climate-related Hazards & Threats Output 1: Risk & vulnerability assessments conducted & updated annually	5.2
Outcome 2: Strengthened capacity to reduce risks associated with climate-induced socioeconomic & environmental losses Output 2.1: Strengthened capacity of national & regional centers and networks to respond rapidly to extreme weather events	3.4
Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level Output 3: Targeted population groups participating in adaptation and risk reduction awareness activities	4.1
Outcome 4: Increased adaptive capacity within relevant development & natural resource sectors Output 4: Vulnerable physical, natural & social assets strengthen in response to climate change impacts, including variability	16.0
Outcome 5: Increased ecosystem resilience in response to climate change and variability-induced stress Output 5: Vulnerable physical, natural and social assets strengthen in response to climate change impacts, including variability	28.2
Outcome 6: Diversified and strengthened livelihoods & sources of income for vulnerable people in targeted areas Output 6: Targeted individual & community livelihood strategies, strengthened in relation to climate change impacts, including variability	-
Outcome 7: Improved policies and regulation that promote and enforce resilience measures Output 7: Improved integration of climate-resilience strategies into country development plans	2.0
Total	58.9

22. As can be seen from figure three below the largest amount of grant money approved to date has been channeled toward outcome five, *increased ecosystem resilience in response to climate change and variability-induced stress* (\$28.2 million) and outcome four, *increased adaptive capacity within relevant development and natural resource sectors* (\$16.0 million).

¹⁵ Figures may not add due to rounding

Together these outcomes total 63% of the total resources allocated to approved projects. Within the Fund’s results framework, outcomes four and five deal measure most closely concrete interventions proposed within projects/programmes. This provides a strong indication that a greater share of the Fund’s resources has been programmed to “finance concrete adaptation projects and programmes.”

FIGURE 3: GRANT AMOUNT BY AF’S RESULTS FRAMEWORK OUTCOMES



23. In addition to the alignment of project/programme’s objectives to the outcomes embedded in the Adaptation Fund’s results framework, the secretariat also conducted a preliminary analysis of the indicators and targets described in the approved project documents. Table 5 below provides a preliminary aggregation of a select set of indicators based on the projects/programs approved:

TABLE 5: PRELIMINARY ANALYSIS OF INDICATORS

Preliminary Indicators (targeted)	Target in Project Documents	Comments
No. of Beneficiaries	430,000	A few projects did not give specific figures for this; others have given figures by household (for those with household figures have used 4 persons per household to estimate population); the actual figure is therefore likely higher
No. Early Warning Systems	39	Difficult to aggregate because some projects are targeting several small scale EWS at the village level, while others include only one that is larger in scale
No. of people trained	1600	Not all projects gave specific targets for numbers trained so figure actual figure likely higher
No. of policies adopted	12	Includes any policy whether at the local level, regional or national level
No. of physical assets strengthened or constructed to withstand conditions resulting from climate variability & change	14	These include: Artificial groundwater recharge systems; Improved rainwater harvesting and storage capacity installed; wastewater management and sewage systems which integrate targeted measures to reduce groundwater pollution; sloped rock mounds; planting of mangroves; planting of beach crest vegetation; reconstructing public buildings at risk on stilts; repair and re-sloping of seawall; development of a drainage scheme for the backshore; canal irrigation improvement measures; frontal dam; anti-salt dikes
No. of natural resource assets created, maintained, or improved to withstand conditions resulting from climate variability & change	5	These include: riparian and wetland habitat restored; floodwater harvested; soil and water conservation measures implemented

24. These indicators are in no way comprehensive, they are an initial indication of what has been programmed thus far through project approvals. Once projects/programmes begin utilizing the Fund's PPR template, a more accurate baseline can be reported on. In addition, once projects/programmes start reaching mid-term, reporting on progress made toward achieving these targets will also be feasible.

25. In addition to project/programme approvals the Board has endorsed a total of 12 projects concepts for a total of \$69.6 million. While there is no guarantee that the fully developed proposals from these concepts will be funded, it is useful to keep track of the Board's early indications. Annex 5 provides a more detailed analysis of project/programme concepts that have been endorsed.

IV. EFFECTIVENESS AND EFFICIENCY INDICATORS

26. As approved by the Board through the *RBM Approach Paper (AFB/EFC.1/3/Rev. 2)*, Indicators for Fund level processes will be tracked and reported annually. These indicators cover: (i) secure financing, financing mechanisms, and efficiency of use; (ii) project cycle efficiency; (iii) results driven performance; and (iv) accreditation processes.

27. Table 6, provides the data from inception through September 30, 2011. Where applicable, targets may be set for many of the indicators below. At this stage, it may be too early to set targets for some of the indicators because of insufficient data. There are certain indicators however, that the Board may wish to consider setting targets for at this meeting.

TABLE 6: ADAPTATION FUND LEVEL EFFECTIVENESS AND EFFICIENCY RESULTS FRAMEWORK

1. Secure Financing and Financing Mechanisms		
1.1 Increased and Diversified Resources		
Item	As of September 30, 2011	
Total value of CERs (US\$ millions)	167.9	
Average price for all CERs sold (EUR/ton)	12.44	
Number of donors	9	
Actual donor contributions (US\$ millions)	85.8	
1.2 Efficient Cost Structure ¹⁶		
Item		Target
Board, Secretariat, and Trustee operational expenses against total Adaptation Fund resources committed - %	21%	
Implementing Entities fees against total Fund resources allocated	7.4%	
Execution Cost against total grant (minus fees) - %	8.4%	
Total cash transfers vs. committed	37%	

2. Improve Efficiencies in Project Cycle		
2.1 Project Cycle Efficiency ¹⁷		
Item		Target
Average time to process fully developed proposals for approval	3.4 months / 13.5 weeks	

¹⁶Board approvals for project/programmes as well as project formulation grants are considered commitments

¹⁷ Project cycle time frame includes agency preparation and review time; all project proposals submitted up to 8 weeks before a board meeting are decided upon during that meeting.

Average response time for secretariat initial review of projects/programs	1.8 months / 7.2 weeks	
Average time for one step projects approval	1.6 months ¹⁸ / 6.5 weeks	
Average time for two step projects approval	9 months / 36 weeks	
Average time from first cash transfer to project start (NIEs)	2 months ¹⁹	
Average time from first cash transfer to project start (MIEs)	4.6 months	

3. Results Driven Implementation		
3.1 Fund Performance Rating²⁰		
Item		Target
Percentage of projects/programs that have received [good/satisfactory] performance ratings	N/A	
Number of project/program concepts that were endorsed	19	
Number of project/program concepts that were submitted but not endorsed	15	
Number of project/program concepts that were endorsed after initial non-endorsement then revision	2	
Number of fully developed proposals that have received funding	11	
Number of fully developed proposals that were not approved	2	
Number of project/program concepts that were rejected	1	
Number of fully developed proposals that were rejected	0	
Percent of projects/programs that have received good/satisfactory rating at midterm review	N/A	
Percent of projects/programs that have received good/satisfactory rating at terminal Evaluation	N/A	
Number of suspended/canceled projects/programs	N/A	
3.2 Efficient Reporting		
Item		Target
Percent of project monitoring reports (PPR) submitted in complete form and meeting deadline	N/A	

4. Accreditation Applications		
4.1 Increased and Diversified Access Modalities		
Item		Target
MIEs	Number of Applications <i>Accredited</i> ²¹	9

¹⁸ Only one project that has come in through the one step process has been approved to date.

¹⁹ This includes only one project (Senegal, implemented by CSE)

²⁰ Values reflect an overview of all decisions by the board, including multiple decisions on the same projects that were updated and re-submitted to the Board.

²¹ To date the Board has only invited 15 MIEs to apply for accreditation.

	Number of Applications <i>Not Accredited</i>	0	
NIEs	Number of Applications <i>Accredited</i>	6	
	Number of Applications <i>Not Accredited</i>	3	
	Number of Applications <i>Under Consideration</i>	11	
RIEs	Number of Applications <i>Accredited</i>	1	
	Number of Applications <i>Not Accredited</i>	0	
	Number of Applications <i>Under Consideration</i>	1	
Total number of field visits to date		6	
Field visits (percentage over total number of applications received)		13%	
Average number of weeks between first submission of accredited application and Board's decision (NIEs and RIEs)		22 weeks/5.5 months	
Average number of weeks between first submission of accredited application and Board's decision (MIEs)		20 weeks/5 months	
Average number of weeks between first submission of non-accredited applications and Board decision (NIEs and RIEs)		32 weeks/8 months	
Average number of meetings of the Accreditation Panel to consider an application (both accredited and non-accredited NIEs)		3	

V. ACCREDITATION PROCESS

a. Analysis of Entities Accredited

28. Six National Implementing Entities (NIEs) have been accredited by the Adaptation Fund Board to date, whereas two NIE applicant entities have not been accreditation. Thus far accredited NIEs come from the following sectors: national development planning and implementation entities, national research and development entities, environmental-related national agencies and national environmental funds or trust funds.

29. Unsuccessful applications, to date have come mostly from government ministries. Applications under consideration by the Accreditation Panel (AP) or at the early stages of the accreditation process come from a wider variety of governmental sectors.

30. One Regional Implementing Entity (RIE) has been accredited by the Adaptation Fund Board to date. Nine Multilateral Implementing Entities (MIEs) have been accredited thus far following an invitation to apply by the Adaptation Fund Board to a total of eleven multilateral organizations.

31. The Secretariat estimates that the Fund has incurred approximately \$264,000 in costs for the accreditation process during fiscal year 2011 (July 1 2010-June 30, 2011). A breakdown is provided in table 7 below.

TABLE 7: ESTIMATED COST OF ACCREDITATION PROCESS²²

Cost Category	USD (approximate figures)
AP experts (fees)	155,000
AP members travel	65,000
Meeting Logistics (excluding Panel member travel)	2,000
Field visits	42,000
Total	264,000

VI. LESSONS LEARNED FROM PROCESS TO DATE

32. The experience so far shows that successful applications for accreditation as NIEs under the direct access modality have come mostly from public entities with certain degree of decentralization from their respective central national governments.

33. Further, it can be observed that the most successful cases denote a strong level of cohesion and integration across relevant government areas and institutions, as well as capacity to effectively interact with other important stake holders with a multidisciplinary approach.

34. It has also been observed that successful participation in the accreditation process brought about enhanced institutional capacities within the applicant NIEs, especially in functional areas directly related to the fiduciary standards of the Adaptation Fund.

35. Participants in the regional accreditation workshops indicated that the workshops served to enhance their awareness not only of the accreditation process, but also of the mid-to-long term benefits of the direct access modality for the institutional capacity of their countries.

36. Regarding RIEs, it has been observed that small countries or economies find it more attractive to join efforts and pursue accreditation at the regional level rather than at an individual national level.

VII. RECOMMENDATION

37. The EFC may want to consider document AFB/EFC.7/4 and recommend to the Board the following:

- 1) To approve the reporting process contained in the document, including requesting implementing entities to submit inception workshop reports;
- 2) To approve the Project Performance Report (PPR) Template as contained in Annex 2 of the document;

²² The figures below do not include secretariat costs (i.e. staff time, office space, etc)

- 3) To approve the *Adaptation Fund Level Effectiveness and Efficiency Results Framework* as contained in the current document;
- 4) To approve the proposed disbursement procedures outlined in paragraph 10, approve the disbursement template contained in Annex 3 of the document and request the secretariat to include the template as part of the project agreements; and
- 5) To request the secretariat to develop a process for the review of PPRs and to establish a set of criteria for clearing PPRs. The procedures and criteria should be presented to the EFC at the next Board meeting.

ANNEX 1: PROJECT APPROVED THROUGH SEPTEMBER 30, 2011

Country	Region	Sector	Status of Project	Implementing Entity	Grant Amount	Execution Cost	Entity Fee	Total Amount	Co Financing Amount
Ecuador	LAC*	Food Security	Under Implementation	WFP	6,329,200	632,920	487,348	7,449,468	
Eritrea	Africa	Rural Development	Approved	UNDP	5,423,000	587,000	510,850	6,520,850	
Honduras	LAC	Water Management	Under Implementation	UNDP	4,680,000	500,000	518,000	5,698,000	50,000
Maldives	Asia	Water Management	Approved	UNDP	7,510,398	774,602	704,225	8,989,225	1,800,000
Mauritius	Africa	Coastal Management	Approved	UNDP	7,904,830	500,000	714,410	9,119,240	
Mongolia	Asia	Water Management	Approved	UNDP	4,589,124	480,000	430,876	5,500,000	5,500,000
Nicaragua	LAC	Water Management	Under Implementation	UNDP	4,620,000	450,000	430,950	5,500,950	
Pakistan	Asia	Dister Risk Reduction	Under Implementation	UNDP	3,200,000	400,000	360,000	3,960,000	4,000,000
Senegal	Africa	Coastal Management	Under Implementation	CSE	7,850,000	350,000	419,000	8,619,000	
Solomon Islands	Asia	Food Security	Under Implementation	UNDP	4,600,000	500,000	433,500	5,533,500	
Turkmenistan	Asia	Water Management	Approved	UNDP	2,450,000	250,000	229,500	2,929,500	

*Latin American and Caribbean Region (LAC)

ANNEX 2: UPDATE ON THE STATUS OF AF BOARD APPROVED UNDP-IMPLEMENTED ADAPTATION FUND PROJECTS

Update: As of 17 November 2011

Country	Has the Govt signed the project document?	Status of Project Recruitments?	When is the inception meeting planned for?	Other project implementation activities?
Honduras	Signed by UNDP and the Government of Honduras on 1 April 2011.	<p>Update: 9 Nov,2011:</p> <p>The recruitment of the project assistant has been completed. PMU operational.</p>	<p>Inception Workshop took place 27-29 June, 2011</p> <p>Update: 9 Nov,2011:</p> <p>Inception Workshop Report posted in PIMS</p>	<p>Update 17 Nov. 2011:</p> <p>Letters of agreement signed between SERNA and national institutions (ICF, SANAA, UNAH y SEPLAN), and memorandum of understanding signed between SERNA and SOPTRAVI y AMDC/COPECO for the implementation of project activities: http://www.undp.un.hn/Dinamizan_proyecto_protége_subcuencas_agua_de_la_capital.htm</p> <p>An event organized, and funded by the AF project: http://www.undp.un.hn/Expertos_pasar_teoría_a_práctica.htm</p> <p>The event was organized to share experiences on DRR and CCA, and was organized together by the AF project, DIPECHO (EU), and the Swiss cooperation.</p> <p>PMU-managed project website has been established http://www.undp-adaptation.org/project/af_honduras/</p> <p>Honduras CO is now in the process of hiring a national UNV who will support in populating the AF project website.</p> <p>First Quarterly report covering July-August and September (in Spanish) shared with RTA.</p>

<p>Nicaragua</p>	<p>Signed by UNDP and the Government of Nicaragua on 29 March 2011.</p>	<p>Update: 9 Nov,2011: Project manager, assistant and technical team (3 outreach workers and a civil engineer) recruited and PMU operational</p>	<p>Inception Workshop took place 21-24 June, 2011.</p> <p>Update: 9 Nov, 2011: Inception Workshop Report posted in PIMS</p>	<p>Update 16 Nov. 2011: Awareness events were organized with municipal councils and Communities to discuss project's goals, objectives and planned activities.</p> <p>Terms of references prepared as the basis for the tendering of the communal irrigation systems. MARENA is committed to finalize of procurement/bid process by December for the construction of two irrigations systems in the las Mercedes and Salale Municipalities. It is therefore envisioned that the disbursement for these major activities will take place in January /February 2012.</p> <p>Arrangements were made with the Water Authority to obtain the concession for the construction of hydraulic works for Salale and Las Mercedes.</p> <p>Coordination mechanisms were discussed with UNAN and INTA for collecting field data for the agro-ecological farm transformation plans. Starting in November 2011, four students of agro-ecology have been assigned in each micro-watershed in order to enter into direct relationships with farm families to provide support for them in developing the agro-ecological farm transformation plans. Training from INTA staff and the programme team extension workers was carried out in the month of November, and 308 plans are expected to be completed by mid-February 2012.</p> <p>The Govt is currently in the process of finalizing terms of reference for a hydrological study of the</p>
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				<p>lower part of the Villanueva River basin, which will identify the hydraulic works needed to reduce the flooding caused by sediments from the upper watershed. The study should commence in January 2012, to be completed within 6 months.</p> <p>PMU-managed project website has been established; http://www.undp-adaptation.org/project/af_nicaragua/</p> <p>First Quarterly report covering July-August and September (in Spanish) shared with RTA.</p>
Pakistan	<p>Project document signed 4 July 2011.</p> <p>Update: 9 Nov, 2011</p> <p>The signature and inception of the AF project in Pakistan has fallen into a time in which the 18th Amendment to Pakistan's Constitution has been passed by the parliament and signed into law by the President. The 18th amendment (see details under: The 18th Amendment and Pakistan's Political Transitions) enacts more than 100 changes, both large and small, to Pakistan's constitution and effectively redistributes powers between different government offices and entities at the central and</p>	<p>Update: 9 Nov 2011</p> <ul style="list-style-type: none"> • Project Manager: On board • Finance/ Admin Assistant: On board • Field Manager –Gilgit: Offer letter to the selected candidate issued, will be on board by 10 November • Field Manager – Chitral: Re-advertised as the first round did not find suitable candidate 	<p>Update: 9 Nov, 2011</p> <p>Inception Workshop in Gilgit- Baltistan confirmed to take place 15-18 November 2011</p>	

	<p>provincial levels. Following the passing of the amendment, the Ministry of Environment has been devolved on 30 June 2011 with most of the functions transferred to provinces. Some of its federal functions have been transferred to the Planning and Development Departments. For the AF project, this shift in institutional arrangements has caused a delay in the designation of responsible government officials, most notably the National Project Director. At this point, the responsibilities have been assigned to various sections under the Planning Commission. The office of the Director General (Environment) in the Planning Commission now holds responsibility for the implementation of the GLOF project.</p>			
Eritrea	<p>UNDP has sent the project document to the Ministry of Finance to review and counter sign in order that activities can commence. UNDP is awaiting a response from Government.</p>			

	<p>Update: 9 Nov, 2011</p> <p>UNDP/GEF sent second letter to AFB on 4 November 2011 (first was sent on 8 August, 2011) requesting extension and informing the reason for the delay in signing the project document is due to the planning exercise, which would provide framework for projects like this one that the Gov't of Eritrea is undertaking at the moment. An official letter from the Gov't is forthcoming explaining the situation.</p>			
Solomon Islands	<p>Govt signed the project document on 4 May 2011, UNDP RR signed on 5 May 2011.</p>	<p>Update: 9 Nov, 2011</p> <p>Eight positions (Technical Advisors for Land Use Planning, Technical Advisor for V& A assessment, Coordinator for Community Base Adaptation, Coordinator for Policy Frameworks Development, Provincial Based Environment Officers, ICT Assistant, Finance Assistant, and Procurement Assistant) were advertised, and currently under selection procedure.</p>	<p>Inception WS held on June 28-30, 2011</p> <p>Update: 9 Nov, 2011</p> <p>Environment Premiers Roundtable was co-sponsored from 12 to 15 September to invite all premiers from 9 provinces of Solomon Islands. AF project was introduced and the project requested for cooperation on set up provincial level Climate Change Steering Committee.</p>	<p>Update 13 November 2011</p> <p>Gov't consultation to engage provincial gov't in project held in September.</p> <p>Field visits initiated by PMU to engage target communities</p> <p>Partners and experts have been engaged to plan for implementation of technical activities, such as NIWA and the Solomon Islands Meteorological Service on climate early warning systems, or the national NGO NGASI for the introduction of climate resilient fruit and nut tree growing techniques.</p> <p>The dissemination of project experience is continuing, e.g. through a presentation at the WMO regional workshop on climate services for adaptation (November 1-4, Honiara).</p>

			First contact missions to the targeted provinces were held in August 2011. The second mission to select the targeted communities was commenced in Isabel Province in October 2011. SIMS missions were also conducted to Isabel, Makira and Choiseul provinces to investigate potential locations to set up AWS in October and November 2011.	PMU-managed project website has been established: http://www.undp-adaptation.org/project/af_solomonislands/
Mauritius	UNDP/AFB Agreement signed 4 Nov 2011 Awaiting fund transfer from AFB to UNDP in order to initiate steps to commence project implementation.			
Maldives	UNDP/AFB Agreement signed 3 Nov 2011 Awaiting fund transfer from AFB to UNDP in order to initiate steps to commence project implementation.			
Mongolia	UNDP/AFB Agreement signed 3 Nov 2011 Awaiting fund transfer from AFB to UNDP in order to initiate steps to commence project implementation.	Posts of the main project personnel (Project Coordinator and Admin and Finance Officer) are announced in early September. The actual recruitment process has been on hold.	Inception Workshop is anticipated to take place March, 2012 or later, depending on the progress of DOA and fund transfer.	

Turkmenistan	UNDP/AFB Agreement signed 3 Nov 2011 Awaiting fund transfer from AFB to UNDP in order to initiate steps to commence project implementation.			
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Section 1: BASIC DATA



ADAPTATION FUND

**Project Performance Report
(PPR)**

Project Title:

Project Summary:

**Database Number:
Implementing Entity
(name):**

Type of IE:

Country(ies):

**Relevant Geographic Points (i.e. cities,
villages, bodies of water):**

Project Milestones

Milestone

**AFB Approval Date:
Start of**

**Project/Programme:
Mid-term Review (if
planned):**

Terminal Evaluation:

**List documents/ reports/ brochures /
articles that have been prepared about
the project.**

**List the Website address (URL) of
project/provide links to any videos,
photos or other digital material.**

²³ The actual template is in Excel. Each section is a separate tab in the Excel workbook.

Project contacts:

National Project Manager/Coordinator

Name:
Email:
Date:

Government DA

Name:
Email:
Date:

Executing Agency

Name:
Email:
Date:

Section2: FINANCIAL DATA

Financial information: cumulative from project start to [insert date]

DISBURSEMENT OF AF GRANT FUNDS

How much of the total AF grant as noted in Project Document plus any project preparation grant has been spent to date?

Estimated cumulative total disbursement as of [enter Date]

Add any comments on AF Grant Funds. (word limit=200)

EXPENDITURE DATA

List item / activity / action and corresponding amount spent for the current reporting period

ITEM / ACTIVITY / ACTION	AMOUNT

PLANNED DISBURSEMENT SCHEDULE

List item / activity / action planned and corresponding projected cost for the upcoming reporting period

ITEM / ACTIVITY / ACTION	PROJECTED COST	Est. Completion Date

ACTUAL CO-FINANCING

(if applicable)

How much of the total co-financing as committed in the Project Document has actually been realized?

Estimated cumulative actual co-financing as verified during Mid-term Review (MTR) or Terminal Evaluation (TE).

Add any comments on actual co-financing in particular any issues related to the realization of in-kind, grant, credits, loans, equity, non-grant instruments and other types of co-financing. (word limit=200)

SECTION3: PROCUREMENT DATA

PROCUREMENT DATA

LIST OF CONTRACTS

List all contracts related to the project/program with signature dates

Contract Type	Agency / Contracted party	Signature Date

BIDS

List all bids for each contract signed with date of open call and winning bid

CONTRACT	Submitted Bids	Winning Bid
Name of Contract and Date of Call		
Name of Contract and Date of Call		
Name of Contract and Date of Call		
Name of Contract and Date of Call		
Name of Contract and Date of Call		

SECTION4: PROJECT/PROGRAMME RISK

RISK ASSESMENT

IDENTIFIED RISKS

List all Risks identified in project preparation phase and what steps are being taken to mitigate risks (word limit = 200)

Identified Risk	Current Status	Steps Taken to Mitigate Risk

Critical Risks Affecting Progress (Not identified at project design)
Identify Risks with a 50% or < likelihood of affecting progress of project

Identified Risk	Current Status	Steps Taken to Mitigate Risk

Risk Measures: Were there any risk mitigation measures employed during the current reporting period ? If so, were risks reduced? If not, why were these risks not reduced?

Add any comments relevant to risk alleviation (word limit = 500)

SECTION5: PROJECT/PROGRAMME RATING

RATING ON IMPLEMENTATION PROGRESS

For rating definitions please see bottom of page.

	Key Milestones	Expected Progress	Progress to Date	Rating
Project Manager/Coordinator:				
			Overall Rating:	

Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps. (word limit=500)

	Key Milestones	Expected Progress	Progress to Date	Rating
Project Implementing Entity				
			Overall Rating:	

Please justify your rating and address the following points:

1. Indicate trends, both positive and negative, in achievement of outcomes as per the project indicators.
2. Detail critical risks that have affected progress.
3. Outline response to MTR undertaken this reporting period.
4. Outline action plan to address projects with a rating of HU, U or MU. Please keep your input to 1200 words.

Rating Definitions

Highly Satisfactory (HS)	Project actions/activities planned for current reporting period are progressing on track or exceeding expectations to achieve all major objectives/outcomes for given reporting period, without major shortcomings. The project can be presented as “good practice”.
Satisfactory (S)	Project actions/activities planned for current reporting period are progressing on track to achieve most of its major objectives/outcomes with only minor shortcomings.
Marginally Satisfactory (MS)	Project actions/activities planned for current reporting period are progressing on track to achieve most major relevant objectives/outcomes, but with either significant shortcomings or modest overall relevance.
Marginally Unsatisfactory (MU)	Project actions/activities planned for current reporting period are not progressing on track to achieve major objectives/outcomes with major shortcomings or is expected to achieve only some of its major objectives/outcomes.
Unsatisfactory (U)	Project actions/activities planned for current reporting period are not progressing on track to achieve most of its major objectives/outcomes.
Highly Unsatisfactory (U)	Project actions/activities planned for current reporting period are not on track and shows that it is failing to achieve, and is not expected to achieve, any of its objectives/outcomes.

SECTION 6: PROJECT/PROGRAMME INDICATORS

PROJECT Indicators				
Please provide all indicators being tracked for the project as outlined in the project document				
Type of Indicator (indicators towards Objectives, Outcomes, etc...)				
Type of Indicator	Indicator	Baseline	Progress to date	Target for Project End

SECTION 7: ADAPTATION FUND RESULTS FRAMEWORK TRACKER

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.

Important: Please read the following Results Framework and Baseline Guidance (also posted on the Adaptation Fund website) before entering your data

Link: <http://www.adaptation-fund.org/sites/default/files/Results%20Framework%20and%20Baseline%20Guidance%20final.pdf>

Please select the relevant Fund level *Outcome and Output indicators* that align with the project objectives and outcomes

OBJECTIVE 1							
Fund Outcome	Please select from drop down menu below	Fund Outcome Indicator	Please select from drop down menu below	Target at Project End	Baseline	Mid-term Results	Terminal Results

Fund Output	Please select from dropdown menu below	Fund Output Indicator	Please select from drop down menu below	Target at Project End (see Units in next sheet)	Baseline (see Units in next sheet)	Mid-term Results	Terminal Results

Fund Outcome Indicator Units

1. Generation of relevant data, Stakeholders, and Timeliness
 - 2.1. Include both qualitative and quantitative measures of capacity level within targeted institutions
 - 2.2. Number (men and women and other vulnerable groups)
 - 3.1. Use scale from 1 to 5: 5: Fully aware 4: Mostly aware 3: Partially aware 2: Partially not aware 1: Aware of neither predicted adverse impacts of climate change nor of appropriate responses
 - 3.2. Use scale from 1 to 5: 5: All 4: Almost all 3: Half 2: Some 1: None
 - 4.1. Summarize in an overall scale (1-5): 5: Highly responsive (All defined elements) 4: Mostly responsive (Most defined elements) 3: Moderately responsive (Some defined elements) 2: Partially responsive (Lacks most elements) 1: Non responsive (Lacks all elements)
 - 4.2. Summarize in an overall scale (1-5): 5: Fully improved 4: Mostly Improved 3: Moderately improved 2: Somewhat improved 1: Not improved
5. Depends on the targeted natural asset:
 - Biological (species):* measure through changes in population numbers (dynamics, structure, etc.)
 - Land:* measure changes in hectares. Baseline data will be necessary to estimate the change. Supporting indicators baseline and target (as well as contextual information) are needed such as the following: Farmers adopting recommended technologies, Ha. of land improved, Average deforestation rate Etc.
 Use scale from 1 to 5. 5: Very effective (All elements are present) 4: Effective (Most elements are present) 3: Moderately effective (Some elements are present) 2: Partially effective (Most elements are not present) 1: Ineffective (No elements are present)
 - 6.1. Summarize in an overall scale (1-5): 5: Very high improvement 4: High improvement 3: Moderate improvement 2: Limited improvement 1: No improvement
 - 6.2. Household income by source of livelihood in project area (USD) prior and post project intervention
 7. Summarize in an overall scale (1-5). 5: All (Fully integrated) 4: Most 3: Some 2: Most not integrated 1: None

Fund Output Indicator Units

- 1.1. Number, sector(s) and level(s) of projects or interventions in separate fields of monitoring plan
- 1.2. Number
- 2.1.1. Number of staff (male/female) of targeted institutions: a. Obtain baseline information: total number of staff from targeted institutions b. Define target
- 2.1.2. Number of staff (male/female) of targeted institutions: a. Obtain baseline information: total number of staff from targeted institutions b. Define target: needs to be defined by project proponents
- 2.2.1. *Quantitative*: Percentage (includes women - and other vulnerable groups - and men).
Qualitative: Adequacy: include direct analysis of major areas; adequacy/effectiveness of systems or analysis of perceptions of populations and institutions.
- 2.2.2. Number (broken down by gender and, if possible, by vulnerable groups defined in the area of intervention) of people
- 3.1. Number and type (in separate columns) at local level.
- 3.2. Number
- 4.1. Number and type
- 4. 2. Number and type (entered in separate columns)
- 5. Number of interventions by type of natural asset and intervention
- 6.1. Number and type (in separate columns of monitoring plan)
- 6.2. Income sources per household; description of income source and number of households.
- 7.1. Number/Sector
- 7.2. Number; Effectiveness (see previous indicator) through enforcement level.

SECTION 8: QUALITATIVE QUESTIONS AND LESSONS LEARNED

QUALITATIVE MEASURES and LESSONS LEARNED

Please Complete the following section every reporting period

Implementation and Adaptive Management	Response
Describe any implementation issues/lessons affecting progress (positive and negative)	
Were there any delays in implementation? If so, what are the measures taken to reduce delays?	
Describe any changes undertaken to improve results on the ground or any changes made to project outputs (i.e. changes to project design)	
How have gender considerations been taken into consideration during the reporting period?	

Please Complete the following section at mid-term and project completion

Lessons for Adaptation	Response
Climate Resilient Measures	

Please Describe the Climate Resilient measures being undertaken by the project/programme.	
Which of these measures has been most effective and why?	
Which have been least effective and why?	
Concrete Adaptation Interventions	
Please describe the concrete adaptation measures being undertaken by the project/programme	
What are/were the most difficult aspects of implementing such measures?	
What are/were the most successful aspects of the implementation of the interventions?	
Community/National Impact	
What would you consider to be the most successful aspects for the target communities?	
What measures are/have been put in place to ensure sustainability of the project/program results?	
What measures are being/could have been put in place to improve project/program results?	
Knowledge Management	
Describe what kind and how existing information/data/knowledge has been used to inform the development and the implementation of the project.	
Describe any difficulties there have been in accessing or retrieving existing information (data or knowledge) that is relevant to the project. Please provide suggestions for improving access to the relevant data.	
Have the Project Learning Objectives been met? Please describe.	
Has the identification of learning objectives contributed to the outcomes of the project? In what way have they contributed?	

ANNEX 4: DISBURSEMENT MATRIX

	Upon Agreement signature	One Year after Project Start ^{a/}	Year 2 ^{b/}	Year 3	Year 4 ^{c/}	Total
Scheduled Date						
Project Funds						
Implementing Entity Fee						

^{a/}Use projected start date to approximate first year disbursement

^{b/}Subsequent dates will follow the year anniversary of project start

^{c/}Add columns for years as needed

ANNEX 5: MATRIX ALIGNMENT OF PROJECT OBJECTIVES/OUTCOMES WITH ADAPTATION FUND RESULTS FRAMEWORK

Any project or programme funded through the Adaptation Fund (AF) must align with the Fund's results framework and directly contribute to the Fund's overall objective and outcomes outlined. Not every project/programme outcome will align directly to the Fund's framework but at least one outcome and output indicator from the Adaptation Fund's Strategic Results Framework must be included at the project design stage.

There is currently, no place within the project document where an explicit link to the AF's results framework is delineated. As such, the secretariat is requesting project proponents to fill out the table below to directly link, where relevant, project objectives and outcomes to the Fund level outcome and outputs. The grant amount proposed per **Fund Outcome** should also be included.

Project Objective(s) ²⁴	Project Objective Indicator(s)	Fund Outcome	Fund Outcome Indicator	Grant Amount (USD)
Project Outcome(s)	Project Outcome Indicator(s)	Fund Output	Fund Output Indicator	

Example: The following table is an example of how a project's objectives and outcomes could align with the AF's outcome and output indicators

Project Objective(s)	Project Objective Indicator(s)	Fund Outcome	Fund Outcome Indicator	Grant Amount (USD)
Strengthened ability of coastal communities to undertake concrete actions to adapt to climate change-driven hazards	Number of risk-exposed coastal communities protected through adaptation measures	<u>Outcome 2:</u> Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic	<u>2.2 No. of people with reduced risk to extreme weather events</u>	500,000

²⁴ The AF utilized OECD/DAC terminology for its results framework. Project proponents may use different terminology but the overall principle should still apply

		& environmental losses		
Strengthened ability of coastal communities to make informed decisions about climate change-driven hazards affecting their specific locations	Number of communities with improved climate-related planning and policy frameworks in place	<u>Outcome 3:</u> Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level	<u>3.1</u> <u>Percentage of targeted population aware of predicted adverse impacts of climate change, and of appropriate responses</u>	250,000
Project Outcome(s)	Project Outcome Indicator(s)	Fund Output	Fund Output Indicator	
Reduced exposure and increased adaptive capacity of coastal communities to flood-related risks and hazards	Number of communities covered by improved warning system and weather information	<u>Output 2.2:</u> Targeted population groups covered by adequate risk reduction systems	<u>2.21.</u> <u>Percentage of population covered by adequate risk-reduction systems</u>	
Improved awareness of adaptation and climate change-related hazards affecting coastal communities	Percentage of population involved in developing improved climate-related planning and policy frameworks	<u>Output 3:</u> Targeted population groups participating in adaptation and risk reduction awareness activities	<u>3.1.1 No. and type of risk reduction actions or strategies introduced at local level</u>	

ANNEX 6: ENDORSED PROJECT CONCEPTS

The following annex provides an analysis of endorsed projects concepts. Table 1 below provides a breakdown by region including a breakdown of the execution cost and entity fee.

Table 1: Total Grant Amount Endorsed Projects by Region (USD Millions)²⁵

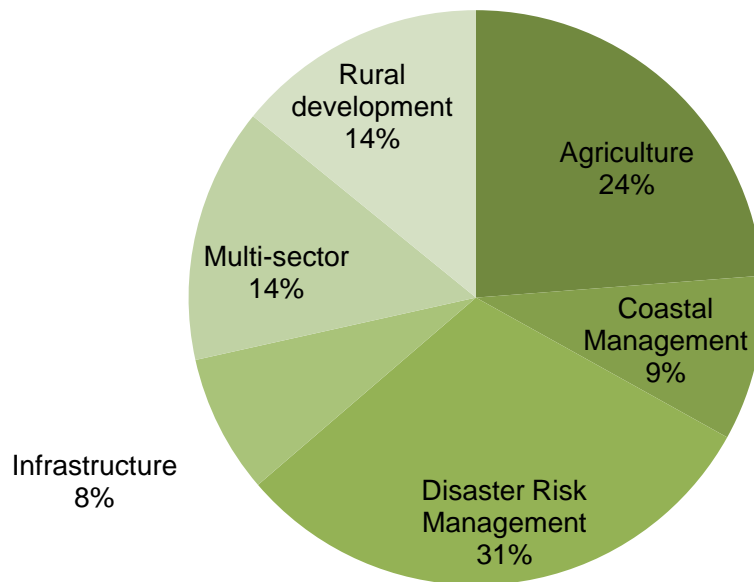
Region	Number of Projects	Execution Cost	Management Fee	Grant Amount	Total Cost
Africa	3	1.2	1.3	13.2	15.6
Asia	3	1.4	1.2	13.3	15.9
Eastern Europe	1	0.3	0.4	4.6	5.3
Latin American Caribbean	5	1.8	2.4	28.5	32.6
Total	12	4.7	5.3	59.6	69.4

The largest grant amount endorsed for project concepts has been in the Latin American and Caribbean Region with five projects for \$32.6 million (47%). This is followed by Asia and Africa with three project concepts endorsed each for a total of \$15.9 and \$15.6 million respectively (22%).

In terms of sector, the largest amount of grant funding that has been endorsed for project concepts has been for Disaster Risk Reduction \$21.2 million (31%) followed by Agriculture \$16.5 (24%), see figure 1 below.

²⁵ Numbers may not add up due to rounding

Figure 1: Total Grant Amount for Endorsed Project Concepts by Sector (percentage)



The secretariat undertook an analysis of all endorsed project concepts to provide a general idea of the grant amount proposed in endorsed project concepts per Adaptation Fund outcome. Table 2 below provides a general break-down of the grant amount proposed in endorsed concepts by Adaptation Fund outcome. It does not include project execution costs, project fees or any project level output that does not align with the Adaption Fund results framework.

Table 2: Grant Amount (USD) Indicated in Endorsed Project Concepts by Adaptation Fund Results Framework Outcome²⁶

Adaptation Fund Results Framework	Grant Amount Programmed by Outcome(USD) (Through September 2011)
<p>Outcome 1: Reduced exposure at national level to climate-related Hazards & Threats Output 1: Risk & vulnerability assessments conducted & updated annually</p>	0.5
<p>Outcome 2: Strengthened capacity to reduce risks associated with climate-induced socioeconomic & environmental losses Output 2.1: Strengthened capacity of national & regional centers and networks to respond rapidly to extreme weather events</p>	1.2
<p>Outcome 3: Strengthened Awareness & ownership of adaptation and climate risk reduction processes at local level Output 3: Targeted population groups participating in adaptation and risk reduction awareness activities</p>	3.0
<p>Outcome 4: Increased adaptive capacity within relevant development & natural resource sectors Output 4: Vulnerable physical, natural & social assets strengthen in response to climate change impacts, including variability</p>	17.6
<p>Outcome 5: Increased ecosystem resilience in response to climate change and variability-induced stress Output 5: Vulnerable physical, natural and social assets strengthen in response to climate change impacts, including variability</p>	14.1
<p>Outcome 6: Diversified and strengthened livelihoods & sources of income for vulnerable people in targeted areas Output 6: Targeted individual & community livelihood strategies, strengthened in relation to climate change impacts, including variability</p>	3.6
<p>Outcome 7: Improved policies and regulation that promote and enforce resilience measures Output 7: Improved integration of climate-resilience strategies into country development plans</p>	4.0
<p>Total</p>	44.0

²⁶ Figures may not add due to rounding

The largest amount of indicated funding for endorsed project concepts is tentatively allocated toward outcome four with \$17.6 million followed closely by outcome 5 at \$14.1 million. Combined these two outcomes account approximately 72% of the total. Figure 2 provides a breakdown of grant amount by outcome.

Figure 2: Grant Amount (USD) Indicated in Endorsed Project Concepts by AF's Results Framework Outcomes

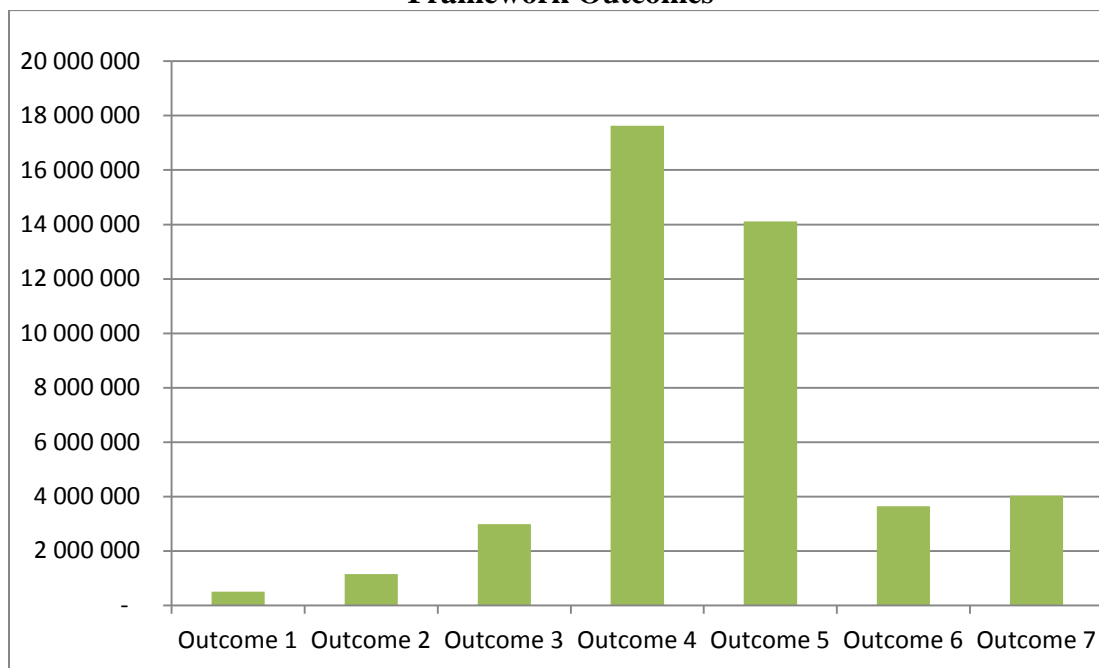


Table 3: Endorsed Project Concepts as of September 31, 2011

Country	Implementing Entity	Amount requested	Concept endorsement date	Sector
Jamaica	Planning Institute of Jamaica	\$9,965,000	6/22/2011	Multi-sector
Uruguay	Agencia Nacional de Investigación e Innovación	\$7,350,000	3/18/2011	Agriculture
Argentina	The World Bank	\$4,311,703	6/22/2011	Rural development
Cook Islands	United Nations Development Programme	\$4,991,000	12/14/2010	Disaster Risk Reduction

Djibouti	United Nations Development Programme	\$4,658,556	6/22/2011	Agriculture
El Salvador	United Nations Development Programme	\$5,425,000	12/14/2010	Infrastructure
Fiji	United Nations Development Programme	\$5,728,800	6/22/2011	Disaster Risk Reduction
Georgia	United Nations Development Programme	\$5,316,500	12/14/2010	Disaster Risk Reduction
Guatemala	United Nations Development Programme	\$5,500,000	9/17/2010	Rural Development
Madagascar	United Nations Environment Programme	\$4,505,000	9/17/2010	Agriculture
Papua New Guinea	United Nations Environment Programme	\$5,227,530	6/22/2011	Disaster Risk Reduction
Seychelles	United Nations Environment Programme	\$6,455,750	6/22/2011	Coastal Management
Total		\$69,434,839		