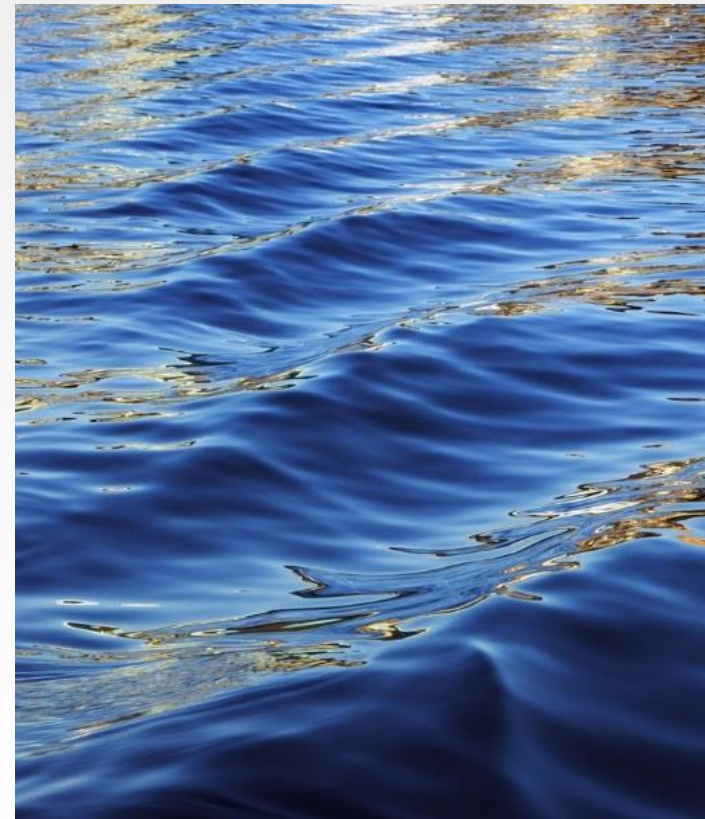




**ADAPTATION FUND**

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

Hugo Remaury, Adaptation Associate  
Climate Finance Readiness Seminar for NIEs #3  
Washington DC, 14 July 2016





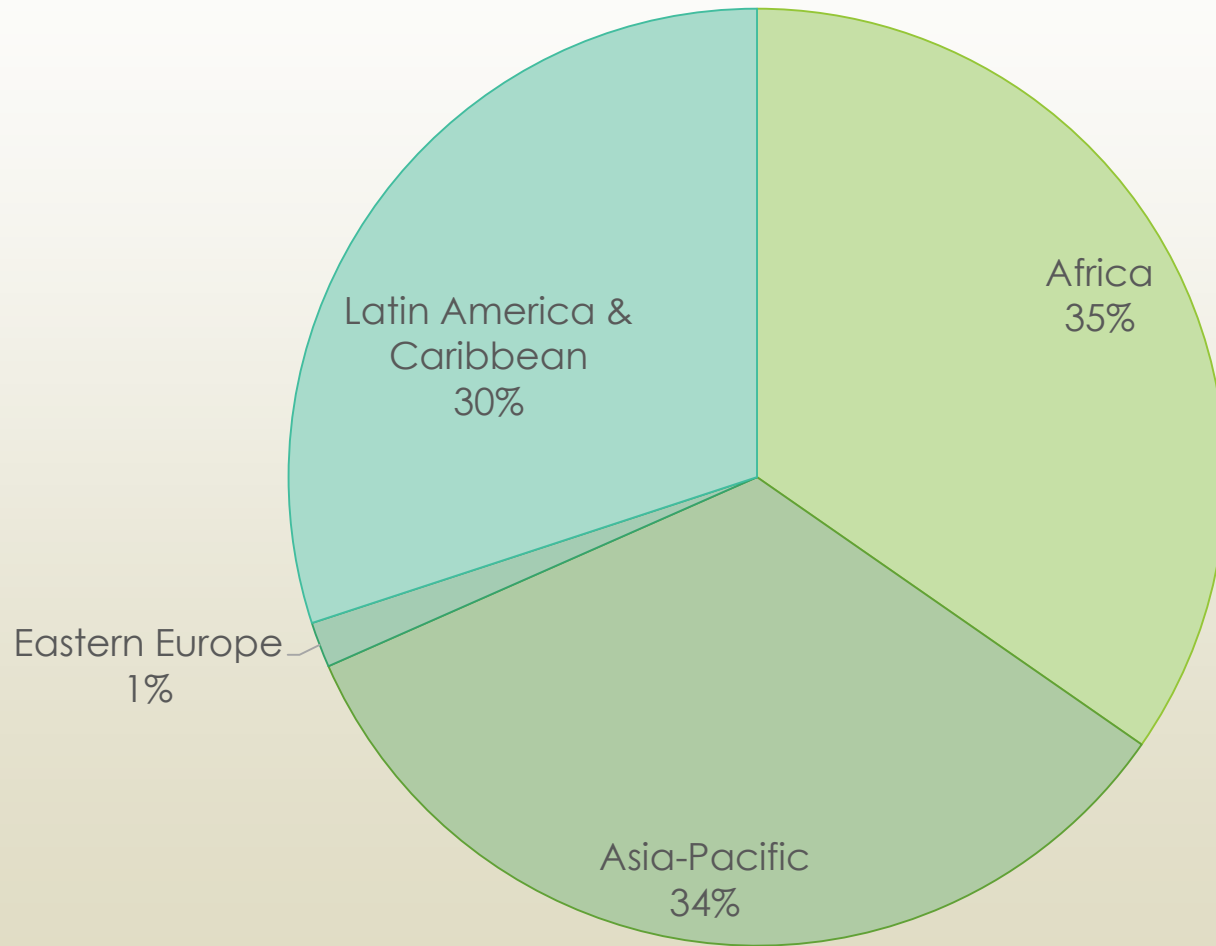
# A few insights - FY 16 Annual Performance Report

- 52 projects/programmes – grant amount approved USD 337 million
- 4 projects/programmes approved in FY16 (+ 2 in FY17)

Projects Under Implementation	
Total number under implementation	40
Value of projects under implementation	USD 273.8 million
Percentage of total grant amount approved	81 %

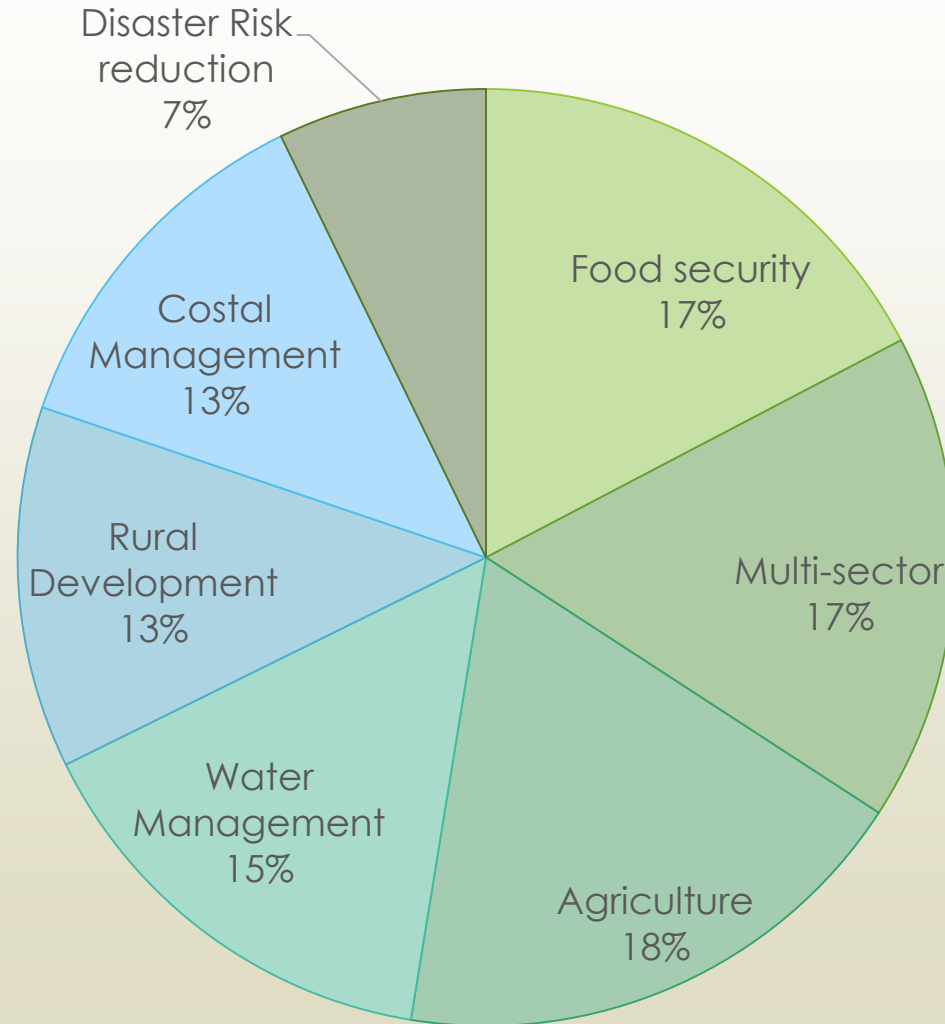


# AF PORTFOLIO – GEOGRAPHICAL BREAKDOWN





# AF portfolio – Sectoral breakdown





# AF PORTFOLIO - RESULTS FRAMEWORK BREAKDOWN

Fund Outcome	Total
Outcome 1: Reduced exposure at national level to climate-related hazards & threats	24.1
Outcome 2: Strengthened capacity to reduce risks associated with climate-induced socioeconomic & environmental losses	30.5
Outcome 3: Strengthened awareness & ownership of adaptation and climate risk reduction processes at local level	30.3
Outcome 4: Increased adaptive capacity within relevant development & natural resource sectors	74.7
Outcome 5: Increased ecosystem resilience in response to climate change and variability-induced stress	66.5
Outcome 6: Diversified and strengthened livelihoods & sources of income for vulnerable people in targeted areas	33
Outcome 7: Improved policies and regulation that promote and enforce resilience measures	7.2
<b>Total</b>	<b>267.6</b>

# PRELIMINARY AGGREGATIONS OF TARGETS

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

PRELIMINARY INDICATORS	TARGET IN DOCUMENTS	PROJECT COMMENTS
No. of Direct Beneficiaries	3.57 million	NOT ALL PROJECTS HAVE REPORTED ON DIRECT BENEFICIARIES AND SOME REPORT AS NO. OF HOUSEHOLDS.
No. Early Warning Systems	99	Includes projects targeting several small scale EWS at the village level as well as those targeting one large regional system

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

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

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

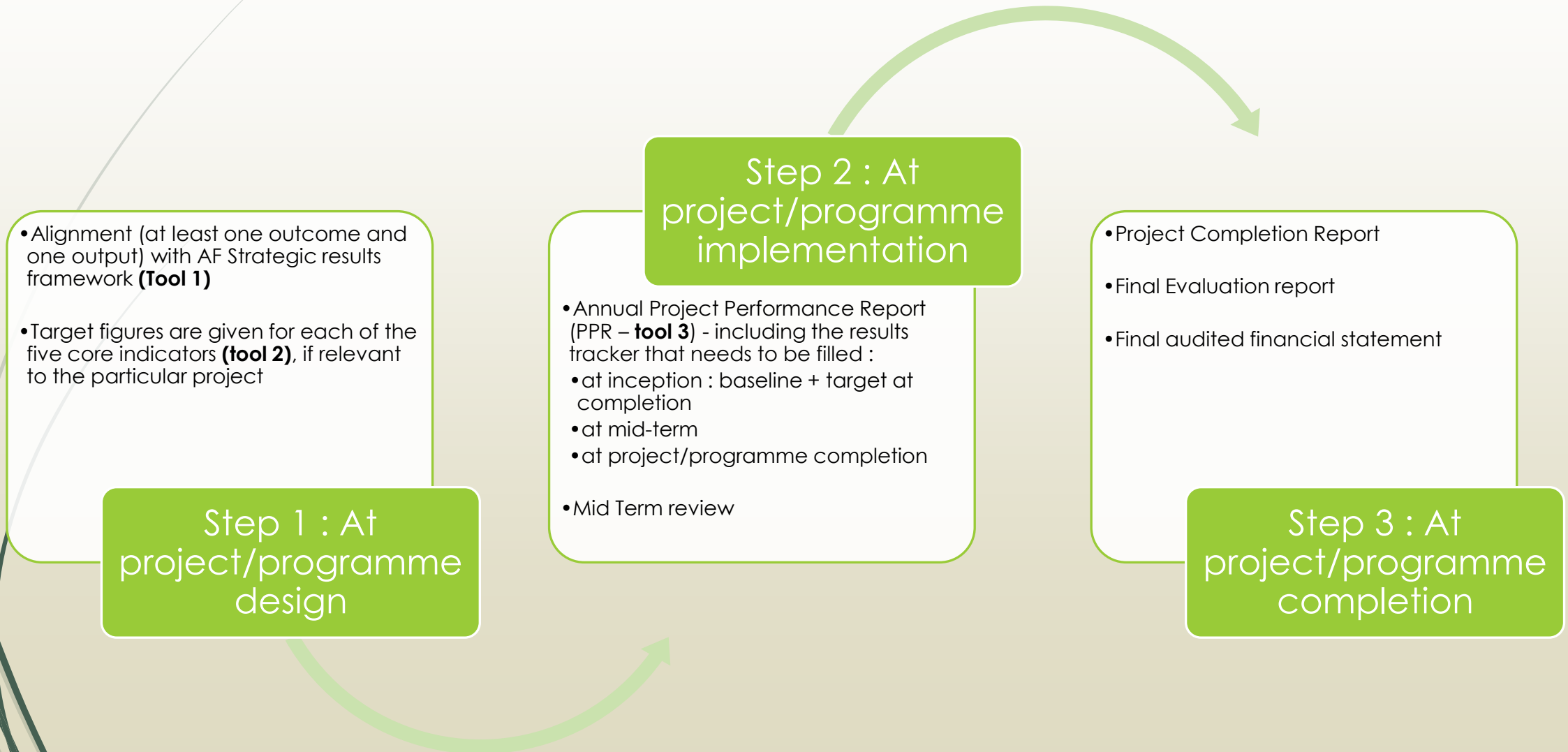
PRELIMINARY INDICATORS	TARGET IN DOCUMENTS	PROJECT COMMENTS
ha of natural habitats protected or rehabilitated	119,845 HA	
m of coastline protected	121,025 M	



# The Fund's RBM approach

- ▶ The RBM approach operates at three main levels :
  - ▶ Guidance from CMP
  - ▶ Portfolio (fund-level)
  - ▶ Projects/programmes-level
- ▶ Project/programme-level monitoring: carried out by the NIEs, MIEs, RIEs
- ▶ Fund-level monitoring: carried out by the secretariat under the direction of the Board
- ▶ Actions at these levels will be discussed throughout the following slides

# Implications of the RBM strategy for IEs

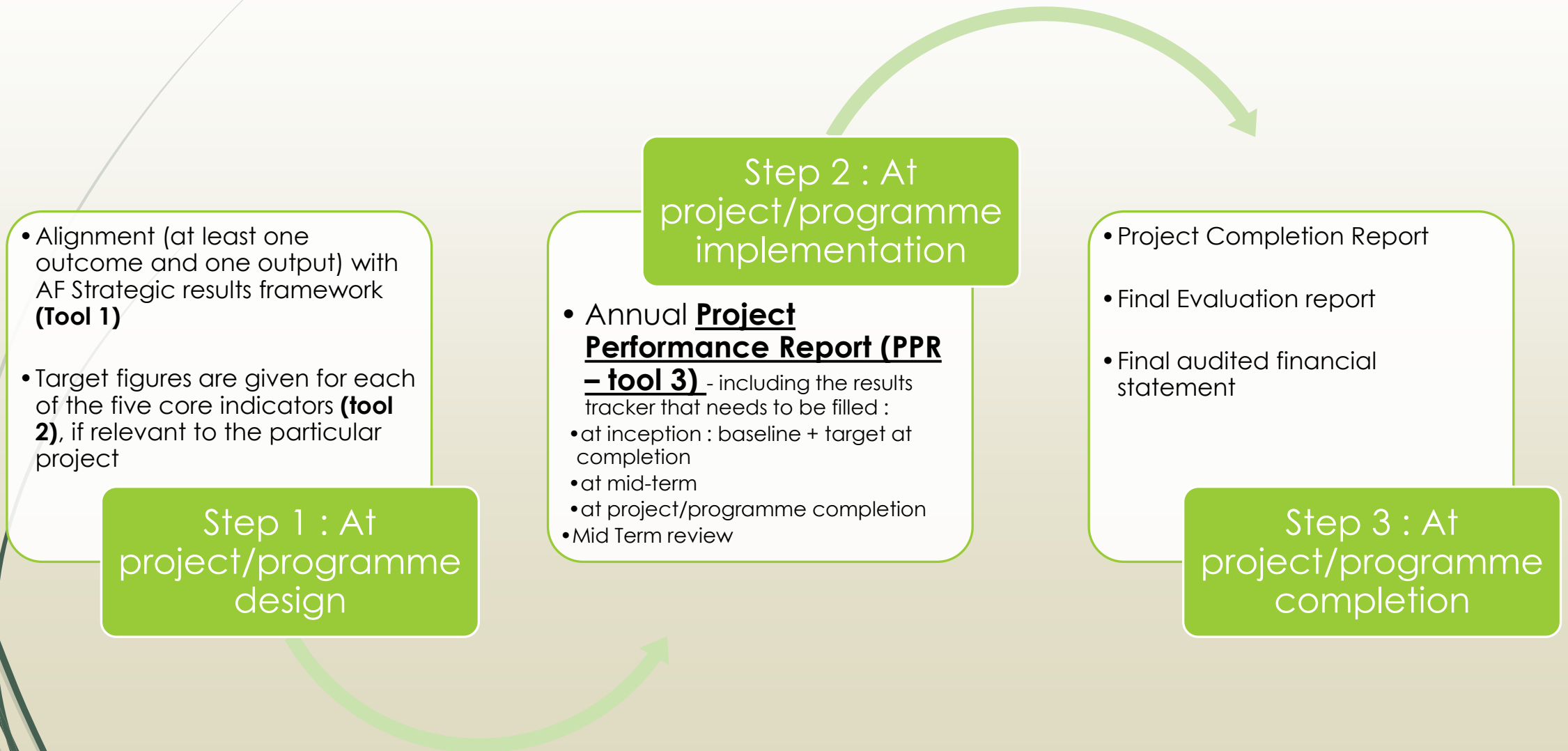




# AF's RBM tools

- ▶ Tool 1 : Strategic results framework ([https://www.adaptation-fund.org/sites/default/files/AFB.EFC\\_.13.4%20Results%20Tracking.pdf](https://www.adaptation-fund.org/sites/default/files/AFB.EFC_.13.4%20Results%20Tracking.pdf))
- ▶ Tool 2 : 5 core indicators (methodologies available at: [https://www.adaptation-fund.org/sites/default/files/AFB.EFC\\_.14.6%20Core%20Indicator%20Methodologies.pdf](https://www.adaptation-fund.org/sites/default/files/AFB.EFC_.14.6%20Core%20Indicator%20Methodologies.pdf))
- ▶ Tool 3 : Project Performance Report (PPR)

# Implications of the RBM strategy for IEs



# Tool 3 – Project Performance Report (PPR)

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

# PPR content

➤ 8 sections:

1. Basic Data: project title, project summary, milestones, contact information
2. Financial Data: cumulative disbursement to date, expenditure data, planned disbursements schedule for the following year
3. Procurement Data: call for proposals, number of contracts issued, number of bidders
4. Project risk: identified risks through project design, additional risks faced by the project during implementation, and risk mitigation measures taken



# PPR content (cont'd)

5. Project implementation rating: self-rating from the project management and implementing entity on implementation progress and any project delays
6. Project indicators: track progress against project level outputs and outcomes, according to project document as agreed by AFB
7. Qualitative Questions and Lessons Learned: open-ended questions on implementation progress, adaptive management measures taken, and gender considerations undertaken. Also, success of the project results, contributions towards climate resiliency, and lessons learned.
8. Results Tracker: tracks indicators that aligns both (i) the Adaptation Fund Strategic Results Framework, and the (ii) Fund's five core indicators.



# PPR review process

- Procedures approved in June 2012
- Checklist used by the secretariat to review PPRs



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## PPR AF Checklist

Section 2: FINANCIAL INFORMATION		Assessment
Has the estimated cumulative total disbursement been provided?	0. No 1. Yes	
Based on the year of implementation (i.e. 1st, 2nd ... final year), is the estimated cumulative total disbursement reasonable?	1. Not Reasonable 2. Somewhat Reasonable 3. Reasonable	
Have the expenditures for the reporting period been completed?	0. No 1. Yes	
Does the expenditure for the reporting period correlate with the original project document?	1. Low 2. Medium 3. High	
Has the estimated planned disbursement schedule been provided?	0. No 1. Yes	
Based on the year of implementation, is the planned disbursement schedule reasonable?	1. Not Reasonable 2. Somewhat Reasonable 3. Reasonable	
If applicable, has the cofinancing section been completed?	0. No 1. Yes	



# PPR review process (cont'd)

<b>Section 3: PROCUREMENT DATA</b>		
Have any contracts more than \$2,500 been issued or awarded for this reporting period?	0. No 1. Yes	
If yes, have names of submitted bids, bid amounts, winning bids, and justification for the selection of the winner been fully provided?	0. No 1. Yes	
How reasonable is the justification of selection of the winner?	1. Not Reasonable 2. Somewhat Reasonable 3. Reasonable	
<b>Section 4: RISK ASSESMENT</b>		
Have all risks in project preparation phase been identified?	0. No 1. Yes	
If yes, are the steps taken to mitigate those risks adequate?	1. Not Adequate 2. Somewhat Adequate 3. Adequate	
Have any critical risks been identified (outside of project design)?	0. No 1. Yes	





# PPR review process (cont'd)

If yes, are the steps taken to mitigate risks those adequate?	1. Not Adequate 2. Somewhat Adequate 3. Adequate	
<b>Section 5: RATING ON IMPLEMENTATION PROGRESS</b>		
Has an overall IP rating been given?	0. No 1. Yes	
Has a rating been given from (at a minimum) the implementing entity and one from the executing entity?	0. No 1. Yes	
Based on expenditures over the reporting period is the rating reasonable?	1. Not Reasonable 2. Somewhat Reasonable 3. Reasonable	
<b>Section 6: PROJECT INDICATORS</b>		
Are all indicators identified in the project document accounted for?	0. No 1. Yes	
Are the targets that were set in the project document being tracked?	1. Not tracked 2. Mostly Tracked 3. All tracked	
<b>Section 7: QUALITATIVE MEASURES and LESSONS LEARNED</b>		
Have qualitative measures been addressed?	0. No 1. Yes	
If project is at the mid-term or completion, have the lessons for the 'adaptation section' been adequately addressed?	1. Not Adequate 2. Somewhat Adequate 3. Adequate	
<b>Section 8: Results Tracker</b>		
If project is at the mid-term or completion, has the results tracker been submitted?	0. No 1. Yes	

# References

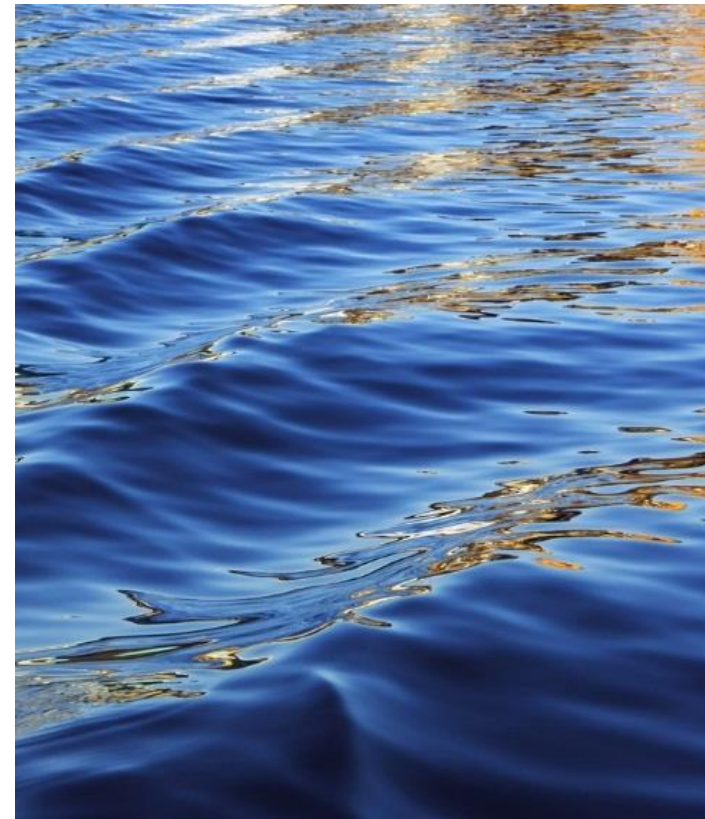
- ▶ Project Performance Report (PPR) review process: [http://www.adaptation-fund.org/wp-content/uploads/2015/01/AFB.EFC\\_.9.4.Rev\\_.1%20PPR%20Review%20Process.pdf](http://www.adaptation-fund.org/wp-content/uploads/2015/01/AFB.EFC_.9.4.Rev_.1%20PPR%20Review%20Process.pdf)
- ▶ Results framework and Baseline Guidance Document (2011): <https://adaptation-fund.org/document/results-framework-and-baseline-guidance-project-level>
- ▶ Evaluation Framework: <https://www.adaptation-fund.org/document/evaluation-framework/>
- ▶ Guidelines for Project Final Evaluations (2011): <https://www.adaptation-fund.org/document/guidelines-for-projectprogramme-final-evaluations/>
- ▶ Methodologies for Reporting Adaptation Fund Core Impact Indicators (March 2014) Project Performance Report Template: <https://www.adaptation-fund.org/projects-programmes/project-performance/>
- ▶ Guidance to Complete Project Performance Report: <https://www.adaptation-fund.org/document/draft-guidance-to-complete-project-performance-reports-ppr/>
- ▶ Methodologies for Reporting Adaptation Fund Core Impact Indicators (March 2014): <https://www.adaptation-fund.org/wp-content/uploads/2016/04/AF-Core-Indicator-Methodologies.pdf>
- ▶ Results tracker guidance document: <http://www.adaptation-fund.org/wp-content/uploads/2014/09/AF-ResultstrackerGuidance-final.pdf>



**ADAPTATION FUND**

Thanks for listening!  
Any questions?

Hugo Remaury – Adaptation Fund Board Secretariat





# AF results framework – cont'd

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

# Alignement table

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



# Alignment table - an example

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

# Tool 2 - 5 core indicators

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