

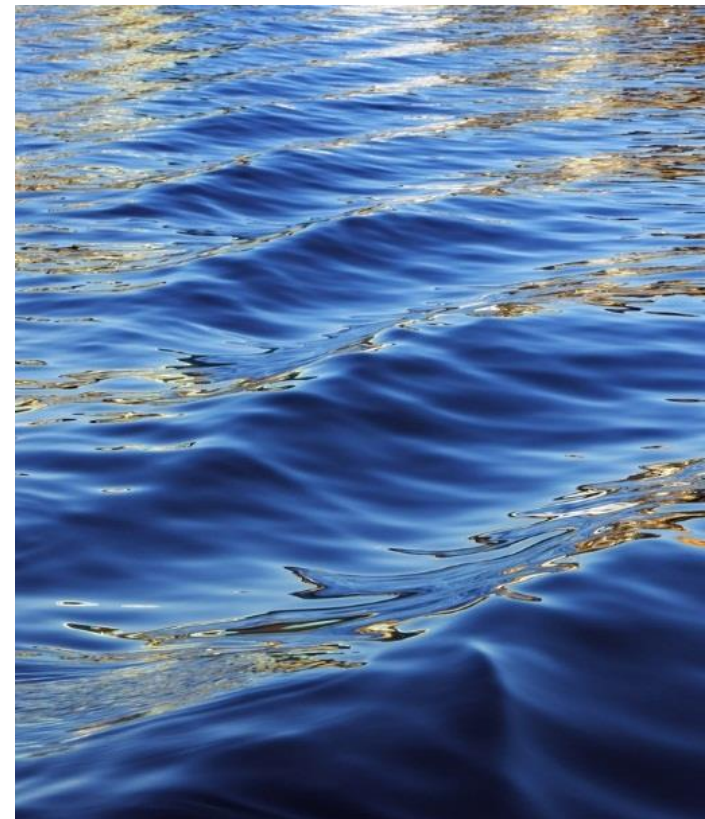


**ADAPTATION FUND**

## **Webinar #4: Monitoring and Evaluation in Adaptation Projects and Programmes**

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

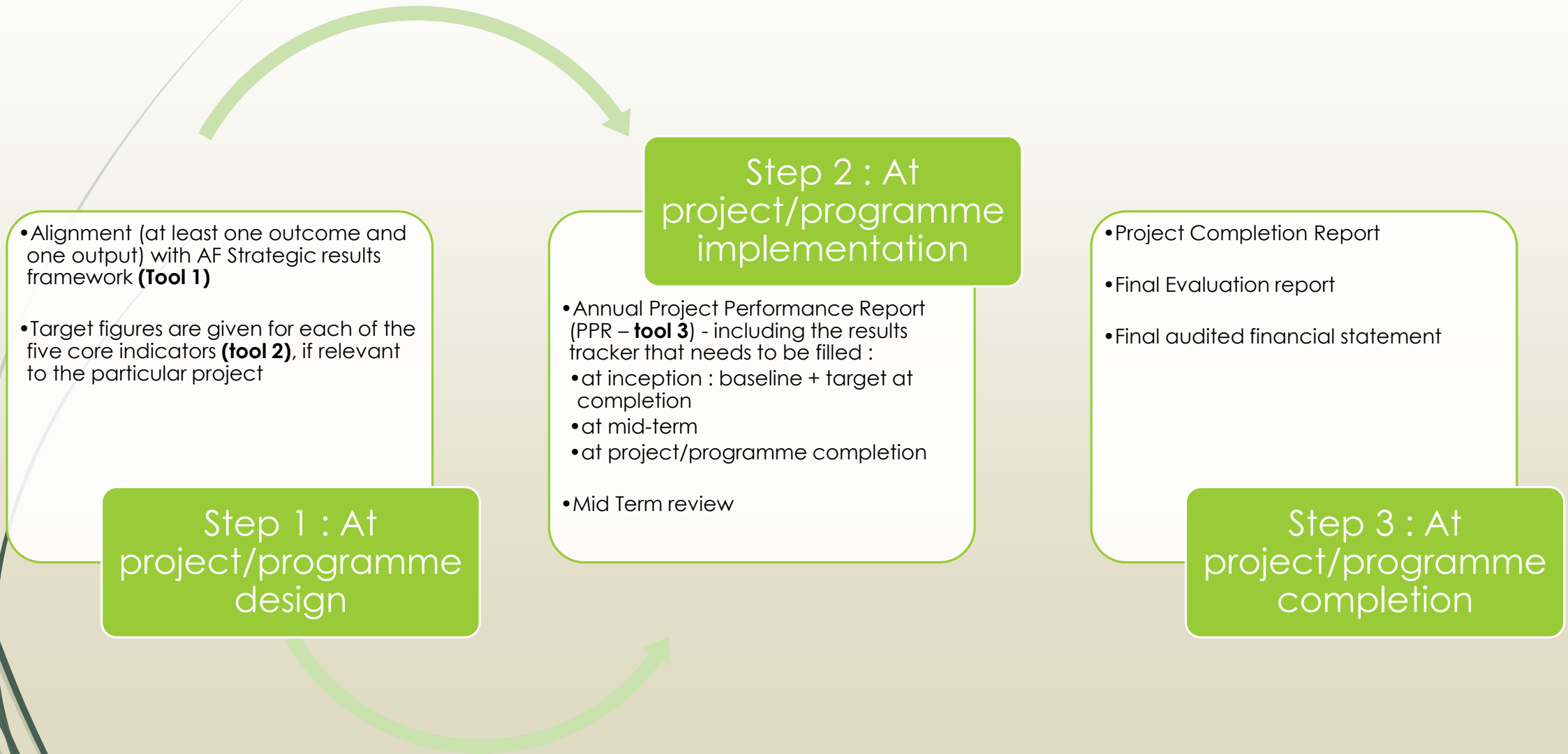
April 20 2017



# 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



# The AF Results Framework

**Objective:** Reduce vulnerability and increase adaptive capacity to respond to the impacts of climate change, including variability at local and national levels.

Expected results	Indicators
<b>Goal:</b> 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.	
<b>Impact:</b> Increased resiliency at the community, national, and regional levels to climate variability and change.	
<b>Outcome 1:</b> Reduced exposure to climate-related hazards and threats	1. Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis
<b>Output 1.1:</b> 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. of early warning systems (by scale) and no. of beneficiaries covered
<b>Output 1.2:</b> Targeted population groups covered by adequate risk reduction systems	1.2.1. Percentage of target population covered by adequate risk-reduction systems
<b>Outcome 2:</b> 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
<b>Output 2:</b> 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)
<b>Outcome 3:</b> 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
<b>Output 3:</b> Targeted population groups participating in adaptation	3.1. No. of news outlets in the local press and media that have

# The AF Results Framework (cont'd)

and risk reduction awareness activities	covered the topic
<b>Outcome 4:</b> 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
<b>Output 4:</b> 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)
<b>Outcome 5:</b> 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
<b>Output 5:</b> 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)
<b>Outcome 6:</b> 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
<b>Output 6:</b> 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
<b>Outcome 7:</b> Improved policies and regulations that promote and enforce resilience measures	7. Climate change priorities are integrated into national development strategy
<b>Output 7:</b> 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



# Alignment of projects with the AF Results Framework

## 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 with 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.

Project Objective(s) <sup>1</sup>	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 of projects with the AF Results Framework (Example)

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 & environmental losses	<u>2.2 No. of people with reduced risk to extreme weather events</u>	500,000
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 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. 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>	

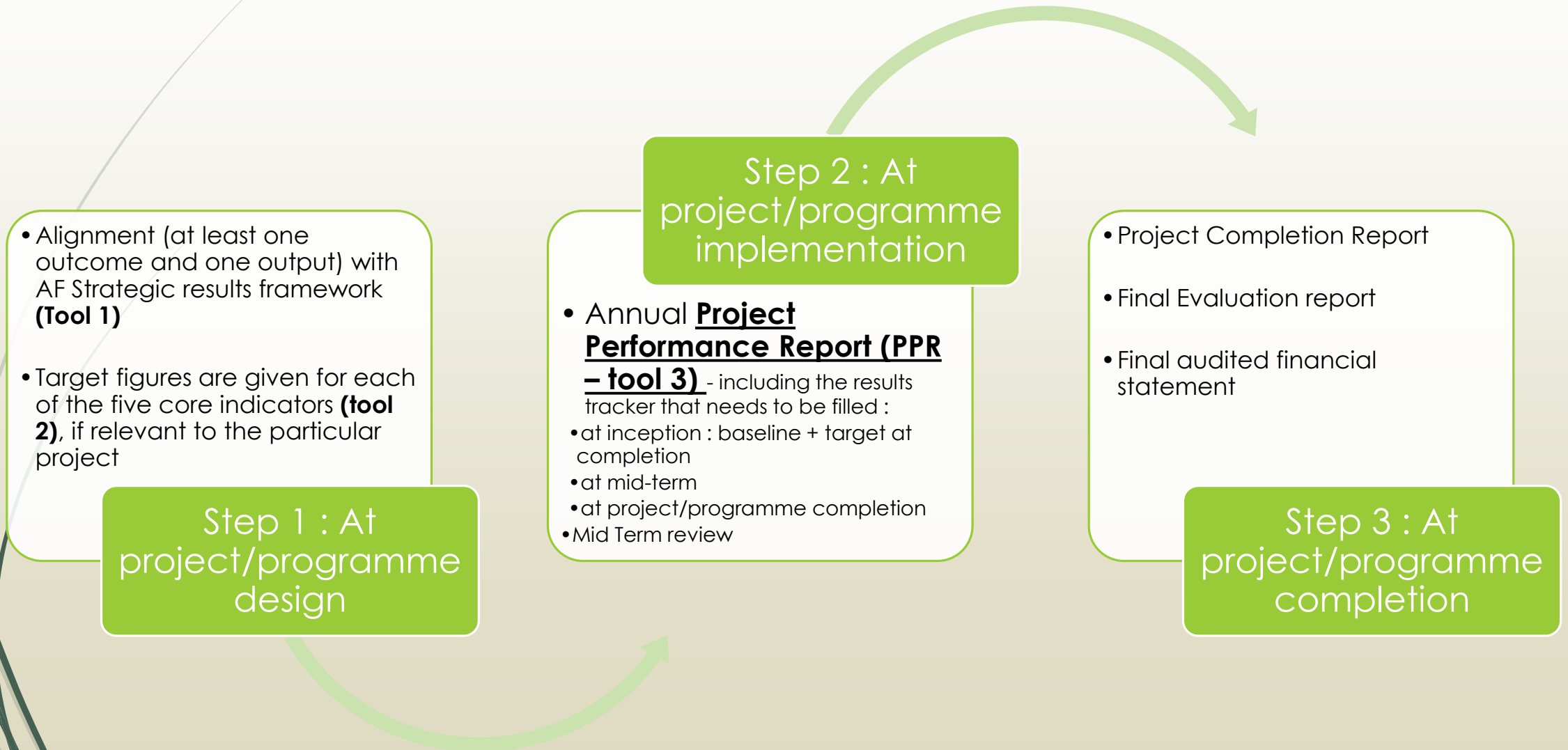
# Five Adaptation Fund Core Indicators

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



# Reporting on AF Core Indicators

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



## 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

INVESTMENT INCOME																														
<b>Financial information: cumulative from project start to [insert date]</b>																														
<p><b>DISBURSEMENT OF AF GRANT</b></p> <p><i>How much of the total AF grant as noted in Project Document plus any project preparation grant has been spent to date?</i></p> <p>Estimated cumulative total disbursement as of [enter Date]</p> <p>Add any comments on AF Grant Funds. (word limit=200)</p>																														
<p><b>INVESTMENT INCOME</b></p> <p><i>Amount of annual investment income generated from the Adaptation Fund's grant</i></p>																														
<p><b>EXPENDITURE DATA</b></p> <p>List output and corresponding amount spent for the current reporting period</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 80%;">ITEM / ACTIVITY / ACTION</th> <th style="width: 20%;">AMOUNT</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr> <td style="text-align: right;"><b>TOTAL</b></td> <td style="text-align: center;">0</td> </tr> </tbody> </table>				ITEM / ACTIVITY / ACTION	AMOUNT																	<b>TOTAL</b>	0							
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<b>TOTAL</b>	0																													
<p><b>PLANNED EXPENDITURE SCHEDULE</b></p> <p>List outputs planned and corresponding projected cost for the upcoming reporting period</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">ITEM / ACTIVITY / ACTION</th> <th style="width: 30%;">PROJECTED COST</th> <th style="width: 20%;">Est. Completion Date</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>				ITEM / ACTIVITY / ACTION	PROJECTED COST	Est. Completion Date																								
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➤ 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)

Microsoft Excel interface showing the PPR content form.

**PROCUREMENT DATA**

Please provide information for all contracts over \$2,500 USD  
Please provide the number of contracts under \$2,500, signed during this reporting period:

**LIST OF CONTRACTS**  
List all contracts related to the project/program with signature dates

Contract Type	Agency / Contract party	Contract Value/Amount (USD)	Signature Date	Payment to Date	Remaining Balance

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

CONTRACT & Procurement Method	Submitted Bids	Bid Amount (USD)	Winning Bid Amount (USD)	Selection Justification for the Winner
Name of Contract, Procurement Method, Date of Call				
Name of Contract, Procurement Method, if applicable Date of Call				
Name of Contract, Procurement Method, if applicable Date of Call				
Name of Contract, Procurement Method, if applicable Date of Call				
Name of Contract, Procurement Method, if applicable Date of Call				

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.

# The PPR results tracker

PPR-Resultstracker-4Feb15\_final - Excel

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Clipboard

Font

Alignment

Protection

Number

Styles

Cells

Editing

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

Adaptation Fund Strategic Results Framework

Project ID	
Implementing agency	
Type of implementing agency	
Country	
Region	
Sector	

Impact: Increased resiliency at the community, national, and regional levels to climate variability and change	Core Indicator: No. of beneficiaries	Baseline information			Target performance at completion				
			Total (direct + indirect beneficiaries)	Direct beneficiaries supported by the project	Indirect beneficiaries supported by the project		Total (direct + indirect beneficiaries)	Direct beneficiaries supported by the project	Indirect beneficiaries supported by the project
		Total				Total			
		% of female beneficiaries				% of female beneficiaries			
		% of Youth beneficiaries				% of Youth beneficiaries			

Outcome 1: Reduced exposure to climate-related hazards and threats	Indicator 1: Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis	Baseline information			Target performance at completion				
		Number of targeted stakeholders		Hazards information generated and disseminated	Overall effectiveness	Number of targeted stakeholders		Hazards information generated and disseminated	Overall effective
		Total				Total			
		% of female targeted				% of female targeted			
		Output 1.1 Risk and vulnerability assessments conducted and updated	Indicator 1.1: No. of projects/programmes that conduct and update risk and vulnerability assessments	No. of projects/programmes that conduct and update risk and vulnerability assessments	Sector	Scale	States	No. of projects/programmes that conduct and update risk and vulnerability assessments	Sector
		No. of adopted Early Warning	Category targeted	Hazard		No. of adopted Early Warning	Category targeted	Hazard	

Aggregated dataPPR results tracker





# PPR review process



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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?		
Have the expenditures for the reporting period been completed?		
Does the expenditure for the reporting period correlate with the original project document?		
Has the estimated planned disbursement schedule been provided?		
Based on the year of implementation, is the planned disbursement schedule reasonable?		
If applicable, has the cofinancing section been completed?		
Section 3: PROCUREMENT DATA		
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	
Section 4: RISK ASSESMENT		
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	

- Alignment (at least one outcome and one output) with AF Strategic results framework **(Tool 1)**
- Target figures are given for each of the five core indicators **(tool 2)**, if relevant to the particular project

Step 1 : At  
project/programme  
design

Step 2 : At  
project/programme  
implementation

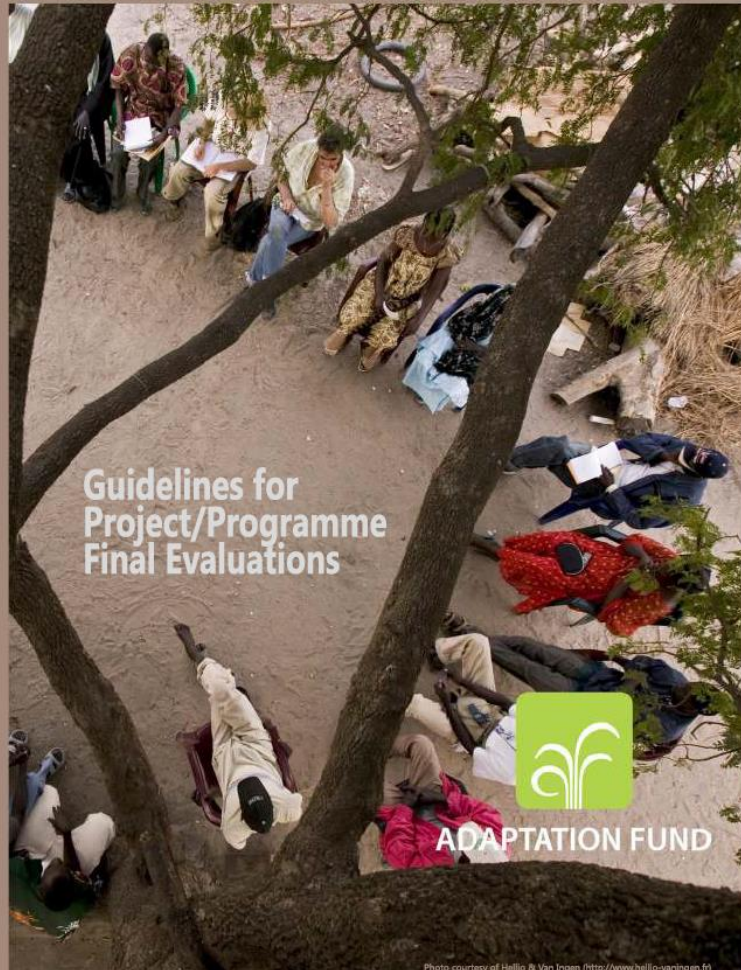
- Annual **Project Performance Report (PPR – tool 3)** - including the results tracker that needs to be filled :
  - at inception : baseline + target at completion
  - at mid-term
  - at project/programme completion
  - Mid Term review

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

Step 3 : At  
project/programme  
completion

# AF Reporting requirements

- **Project Performance Reports:** on an annual basis
- **Project completion report**, including any specific Project implementation information, within six (6) months after Project completion
- **Mid-term review or evaluation report**, for projects of 4 year duration or more
- **Final evaluation report**, prepared by an independent evaluator. Shall be submitted within 9 months after Project completion. Copies of these reports shall be forwarded by the IE to the Designated Authority for information; and
- **Final audited financial statement**, prepared by an independent auditor or evaluation body, within 6 months of the end of the IE's financial year during which the Project is completed
- The reporting process fits into a broaden Results Based Management scheme at Fund's level





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Thanks for listening!

