



ADAPTATION FUND

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

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Climate Finance Readiness Seminar for NIEs #4
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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

RISK ASSESSMENT

IDENTIFIED RISKS
List all Risks identified in project preparation phase and what steps are being taken to mitigate them

| 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

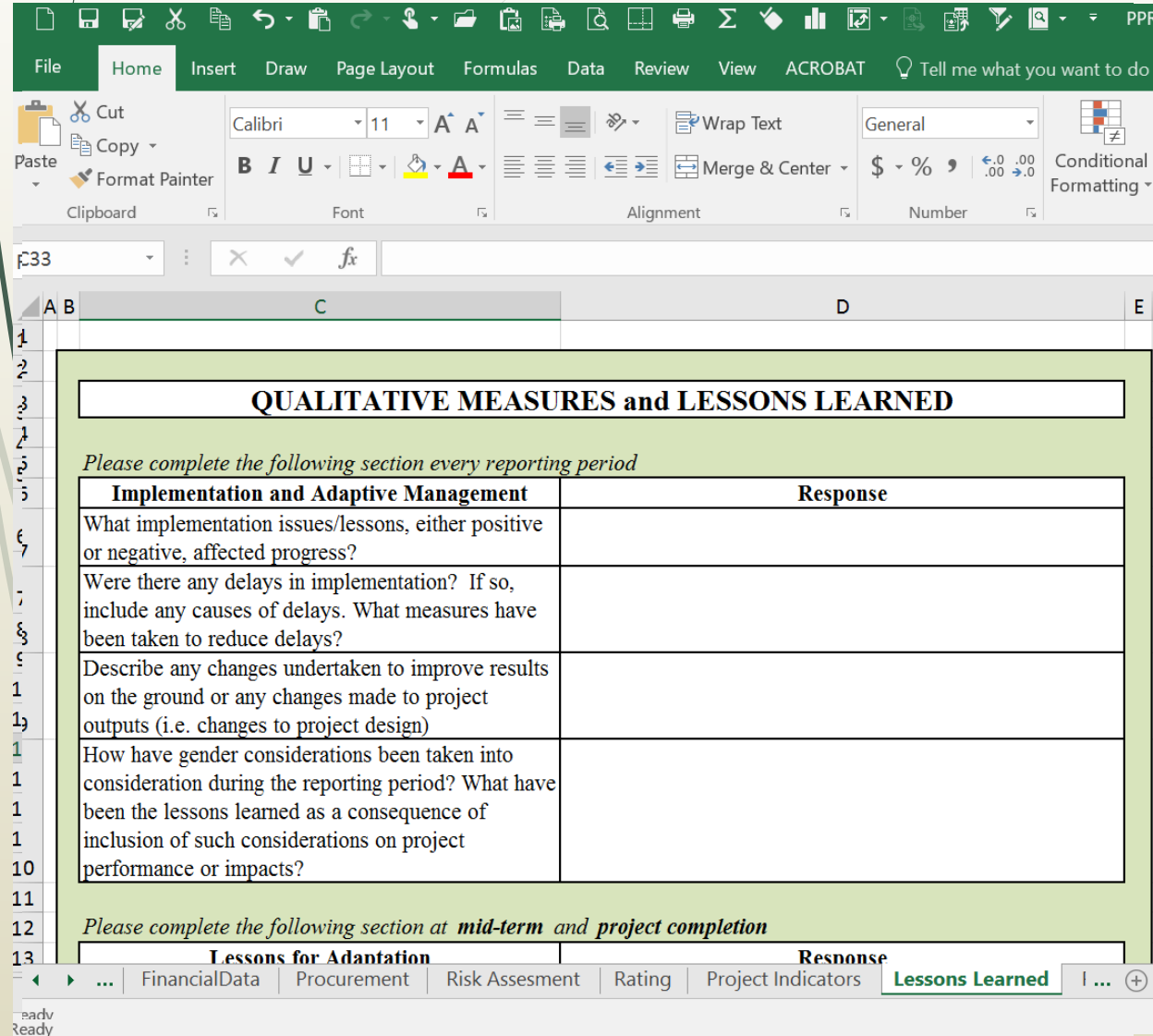
| Identified Risk | Current Status | Steps Taken to Mitigate Risk |
|-----------------|----------------|------------------------------|
| | | |
| | | |

Navigation: Overview | FinancialData | Procurement | **Risk Assessment** | Rating | Project Indicators | Lessons

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)



The screenshot shows an Excel spreadsheet with the following structure:

- Worksheet Name:** PPR
- Table Title:** QUALITATIVE MEASURES and LESSONS LEARNED
- Instructions:** Please complete the following section every reporting period
- Table Structure:**

| Implementation and Adaptive Management | Response |
|--|----------|
| What implementation issues/lessons, either positive or negative, affected progress? | |
| Were there any delays in implementation? If so, include any causes of delays. What measures have been 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? What have been the lessons learned as a consequence of inclusion of such considerations on project performance or impacts? | |
- Additional Instructions:** Please complete the following section at mid-term and project completion
- Table Structure (Bottom):**

| Lessons for Adaptation | Response |
|------------------------|----------|
| | |
- Navigation Bar:** FinancialData | Procurement | Risk Assessment | Rating | Project Indicators | **Lessons Learned** | I ... +

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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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 | | | |

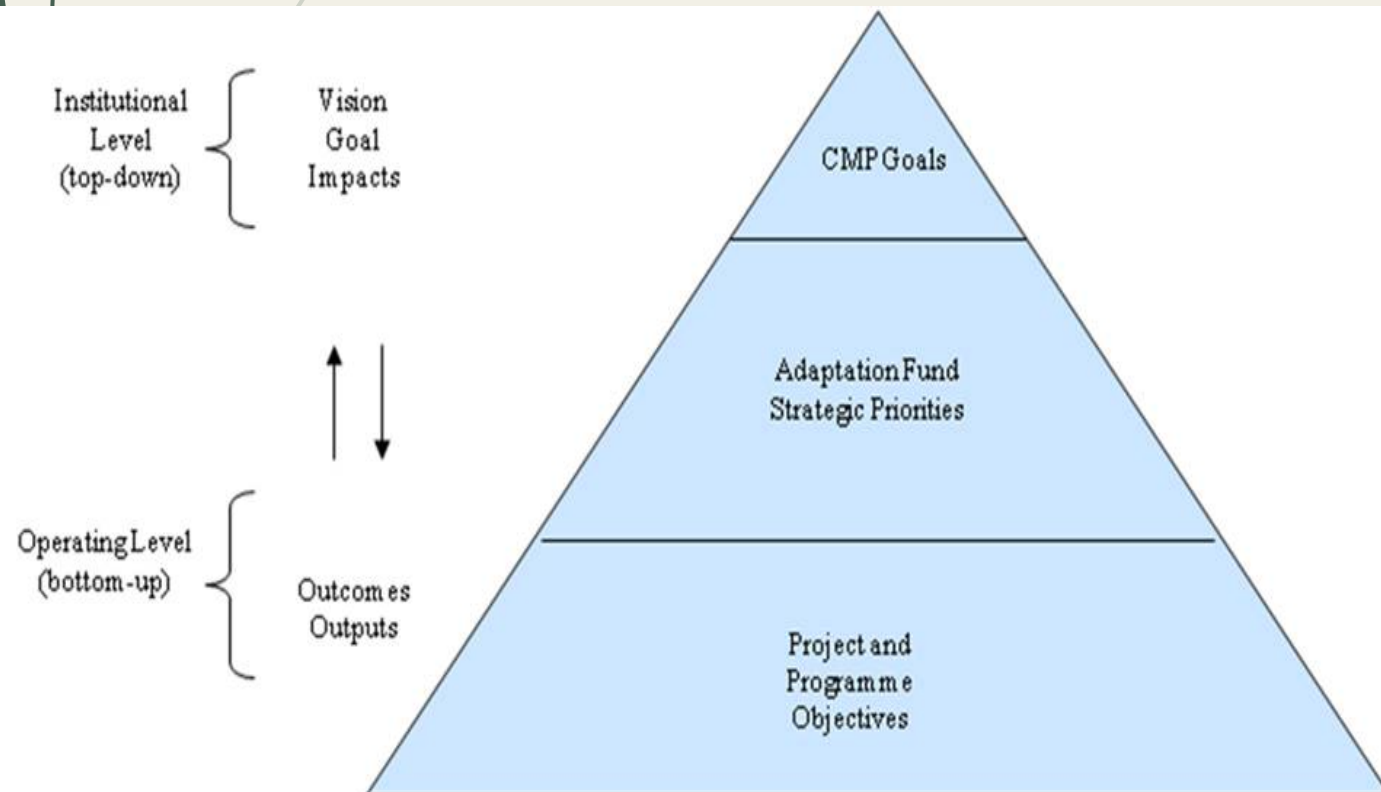
| | | | | | | | | | |
|--|--|---|--|---|----------------------------------|---------------------------------|-------------------|---|-------------------|
| Outcome 1: Reduced exposure to climate-related hazards and threats | Indicator 1: Relevant threat and hazard information generated and disseminated 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

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

AF's goal and expected impact



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

AF's RBM tools

- Tool 1 : Strategic results framework (
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
)
- Tool 3 : Project Performance Report (PPR)

AF results framework

- Includes long-term goal, outcome, outputs and a small set of indicators for the Fund as a whole
- The AF works toward the achievement of the overall goal and outcomes
- As such, any project or programme funded through the AF must align with the Fund's results framework and directly contribute to the overall objective and outcomes outlined.
- The Fund's strategic results framework guidance document is available online at <https://www.adaptation-fund.org/sites/default/files/Results%20Framework%20and%20Baseline%20Guidance%20final%20compressed.pdf>. This framework has been slightly amended (see AFB/EFC.13/4: https://www.adaptation-fund.org/sites/default/files/AFB.EFC_13.4%20Results%20Tracking.pdf)



AF results framework – cont'd

| Expected results | Indicators |
|---|---|
| Goal: Assist developing-country Parties to the Kyoto Protocol that are particularly vulnerable to the adverse effects of climate change in meeting the costs of concrete adaptation projects and programmes in order to implement climate-resilient measures. | |
| Impact: Increased resiliency at the community, national, and regional levels to climate variability and change. | |
| Outcome 1: Reduced exposure to climate-related hazards and threats | 1. Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis |
| Output 1.1: Risk and vulnerability assessments conducted and updated | 1.1. No. of projects/programmes that conduct and update risk and vulnerability assessments (by sector and scale) |
| Output 1.2: Targeted population groups covered by adequate risk reduction systems | 1.2 No. early warning systems (by scale) and no. beneficiaries covered |
| Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses | 1.2.1. Percentage of target population covered by adequate risk-reduction systems |
| Output 2: Strengthened capacity of national and sub-national centres and networks to respond rapidly to extreme weather events | 2.1. Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased |
| | 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 | AF Outcome 4: Increased adaptive capacity within relevant development and natural resources sectors | 4.2. Physical infrastructure improved to withstand climate change and variability-induced stress | USD ... million |
| Increase climate resilience in production landscapes and socioeconomic systems in vulnerable communities through a small grants mechanism | Number of vulnerable community members in project target areas with reduced risk to extreme weather events | AF Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses | 2.2. Number of people with reduced risk to extreme weather events | USD ... million |
| Project Outcome(s) | Project Outcome Indicator(s) | Fund Output | Fund Output Indicator | Grant Amount (USD) |
| Water infiltration, storage and flow in the targeted water basin are improved by the rehabilitation of water canals and opening up silted channels and obstructed ponds | The number of kilometers of water channel cleared and improved ponds | AF Output 4: Vulnerable physical, natural, and social assets strengthened in response to climate change impacts, including variability | 4.1.2. No. of physical assets strengthened or constructed to withstand conditions resulting from climate variability and change (by asset types) | USD ... million |
| Small Grant Recipients and associated institutions are empowered to identify response measures to climate induced vulnerabilities, and implement relevant climate change adaptation projects. | Number of grant recipients with increased capacity to implement climate change adaptation projects | AF Output 2.1: Strengthened capacity of national and regional centers and networks to respond rapidly to extreme weather events | 2.1.1. No. of staff trained to respond to, and mitigate impacts of, climate-related events. | USD ... million |

5 core indicators: background

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



5 core indicators

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

5 Core indicators - Methodologies

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



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| | | Total | | | | Total | | | |
| | | % of female beneficiaries | | | | % of female beneficiaries | | | |
| | | % of Youth beneficiaries | | | | % of Youth beneficiaries | | | |

| | | | | | | | | | |
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Aggregated dataPPR results tracker



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)

| 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 | |



PPR review process (cont'd)

| | | |
|---|--|--|
| If yes, are the steps taken to mitigate risks those adequate? | 1. Not Adequate 2. Somewhat Adequate 3. Adequate | |
| Section 5: RATING ON IMPLEMENTATION PROGRESS | | |
| 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 | |
| Section 6: PROJECT INDICATORS | | |
| 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 | |
| Section 7: QUALITATIVE MEASURES and LESSONS LEARNED | | |
| 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 | |
| Section 8: Results Tracker | | |
| If project is at the mid-term or completion, has the results tracker been submitted? | 0. No 1. Yes | |



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Thanks for listening!

