



ADAPTATION FUND

AFB/B.30/8
4 October 2017

Adaptation Fund Board
Thirtieth Meeting
Bonn, Germany, 12-13 October 2017

Agenda item 8 d)

**READINESS PROGRAMME RESULTS FRAMEWORK
AMENDED IN OCTOBER 2017**

BACKGROUND

1. At the seventh meeting of the Adaptation Fund Board (the Board) through Decision B.7/2 decided to approve the Operational Policies and Guidelines for Parties to Access Resources from the Adaptation Fund (the Fund). As outlined in these operational guidelines, the Board will need to develop a Results-based Management (RBM) framework to support the Strategic Priorities, Policies and Guidelines of the Fund.

2. At its tenth meeting, the Board adopted the Strategic Results Framework for the Adaptation Fund through Decision B.10/13 and decided at its thirteenth meeting through Decision B.13/19, to adopt the guidance document on how project baselines and project results frameworks may be prepared. The strategic Results Framework contains objectives and a set of measurable indicators to measure achievement of results.

3. At its twenty-second meeting the Board approved Phase 1 of the Readiness Programme and through Decision B.22/24, adopted document AFB/B.22/6 which outlined options for the programme to support direct access to climate finance. The document also included a framework through which the Readiness Programme would be evaluated over two years.

4. At its at its twenty-seventh meeting the Board had decided to institutionalize the Readiness Programme and make it a more permanent feature of the Fund through Decision B.27/38, and at its twenty-ninth meeting, subsequently requested the Adaptation Fund Board Secretariat (the Secretariat) to take further steps to integrate the Readiness Programme into the Adaptation Fund work plan and budget. At this meeting, the Board decided:

(a) *To approve the framework for the Readiness Programme as contained in document AFB/B.29/8;*

(b) *To request the secretariat:*

(i) *To implement further steps to integrate the Readiness Programme into the Adaptation Fund's operations, policies and guidelines, strategies, work plan and budget;*

[...]

(ii) *To update the results framework of the Readiness Programme to align with the Adaptation Fund medium term strategy when complete;*

(iii) *To update the results framework of the Readiness Programme in line with the Adaptation Fund Results-Based Management System (RBM) and knowledge management strategy for consideration by the Board at its thirtieth meeting. This includes updating the Adaptation Fund's project performance report (PPR) template to enable national implementing entities to capture and evaluate their experience and lessons learnt from using readiness grants and the resulting added benefits of the grants for the implementing entities to achieve desired outcomes or results from regular projects/programmes of the Adaptation Fund;*

[...]

(iv) To proceed with the implementation of the Readiness Programme in accordance with the approved framework.

(Decision B.29/42)

5. In response to the request by the Board made in Decision B.29/42, this document, provides an updated Results Framework for the Readiness Programme that outlines the components, objectives, outcomes and indicators for the programme. The Results Framework is consistent with the approach to implementing results based management adopted by the Board at its tenth meeting through Decision B.10/13 and would enable the Board to monitor and evaluate the performance of the Readiness Programme over time and as a component of the overall results based management (RBM) system of the Fund.

RESULTS FRAMEWORK OF THE READINESS PROGRAMME

6. The Readiness Programme is implemented under four key components which are: Support to Accredited Implementing Entities; Cooperation/Partnership with Climate Finance Readiness Providers; Support to Countries Seeking Accreditation; and Knowledge Management. A description of the key components is provided in Annex 3 of this document.

7. The Results Framework for the Readiness Programme is intended to enable the Adaptation Fund Board to measure and evaluate performance of the Readiness Programme. It is underpinned by the Adaptation Fund approach to implementing RBM and signifies an extension of the Fund RBM system to encompass the impact of the Readiness Programme on Fund level goal and objectives. The results framework of the Readiness Programme is therefore closely linked to the different components of the Fund RBM approach as relevant. These components include Fund's Strategic Results Framework, the performance monitoring and reporting system, the Evaluation Framework of the Fund, and the Knowledge Management Strategy. These links are described as relevant, in the subsequent paragraphs below.

8. It should be noted that whilst it is beyond the scope of this current document, as per Decision B.29/42 by the Board, it is foreseen that the results framework for the Readiness Programme should be further revisited following approval of the Fund's medium term strategy (MTS) to enable further clarification of the contribution of the Readiness Programme to overall achievement of the Fund vision, goal and objectives.

Link to Adaptation Fund Strategic Results Framework

9. The strategic results framework of the Fund identifies one high level Fund goal and aligns objectives and appropriate indicators, all essential for utilization of resources, monitoring progress toward results and evaluating these results.

Adaptation Fund 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.

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

10. In line with the Fund's strategic results framework, the results framework for the Readiness Programme as provided in document AFB/B.22/6 identifies one high level goal for readiness and aligns objectives and appropriate indicators for monitoring progress toward results and evaluating these results. It adopts the same terminology for goals, impact, objectives and indicators in line with the Fund's strategic results framework. The terminology is included in Annex 2 of this document.

11. It is proposed that the results framework terminology of the Readiness Programme be amended to reflect the contribution of Readiness Programme goal and objectives to the Fund level objective and outcomes in the Fund strategic results framework as outlined below:

Readiness programme Goal: Increase the ~~opportunity~~ **capacity** of developing country Parties to directly access climate adaptation finance **and their overall capacity to develop and initiate** implementation of concrete projects and programmes that increase the resilience of vulnerable communities to the impacts of climate change

Readiness Programme Impact: Increased **resilience at the global community, national, and regional levels from** concrete adaptation undertaken in developing countries through direct access modality.

Readiness Programme Objective (i): to increase the preparedness of applicant national implementing entities seeking accreditation by the Adaptation Fund.

Readiness Programme Objective (ii): to increase the number of high quality project/programme proposals submitted to the Board ~~within a reasonable time period~~ after accreditation.

Link to the Knowledge Management Strategy

12. At its twenty-eighth meeting, the Board approved the Knowledge Management Strategy (KM strategy) of the Fund through Decision B.28/37. Three of the goals of the KM strategy as outlined in Annex V of document AFB/B.28/9 include:

- To enable countries and institutions with knowledge management tools and strategies to promote knowledge capture and sharing on adaptation and climate finance issues.
- To influence the adaptation and climate change space through the knowledge captured, shared and transferred.
- To enhance the transparency of the Fund through the generation and sharing of knowledge and lessons learnt on its key processes.

13. Strategic component II¹ and IV² of the KM framework which is part of the KM strategy are relevant for the Readiness Programme. The Fund's knowledge management and action

¹ Fostering Broader Knowledge Sharing with countries and all climate change stakeholders including CSOs, Governments, other Funds, Research institutions amongst others.

² Promoting a supportive knowledge sharing and learning culture within the Fund

plan already includes action 2.1.10³, which directly refers to capturing knowledge generated through the Readiness Programme.

14. The proposed results framework for the Readiness Programme makes a direct link to the Fund KM strategy and includes a specific outcome (outcome 3) and related outputs on knowledge management.

Link to the Evaluation Framework of the Fund

15. As part of the Fund's operations, the Readiness Programme is therefore systematically linked with the Evaluation Framework of the Fund. For instance, at its thirteenth meeting the Board decided through Decision B.13/20 that an overall evaluation of the Fund should be conducted. Whilst the first phase of the overall evaluation was completed and had not included evaluation of the Readiness Programme, the Terms of Reference of the second phase of the comprehensive overall evaluation of the Fund, which is underway, included the Readiness Programme among the questions to be focused on during the evaluation. The proposed results framework of the Readiness Programme would provide information that would contribute to such overall evaluations which assess the overall performance, efficiency and effectiveness of the entire Fund, and are therefore inclusive of results from the Readiness Programme. As part of the Evaluation Framework, it could also be envisaged at one point a targeted, thematic evaluation of the Readiness Programme.

Link to Adaptation Fund performance monitoring and reporting system

16. The Evaluation Framework for the Adaptation Fund identified three main levels of performance monitoring and reporting that are closely linked through shared objectives. These are: Project/Programme level; Country or Portfolio level; and the Organization/Fund level. As outlined in annex IV of document AFB/EFC.1/3/Rev.1 adopted by the Board through Decision B.10/13, during initial phase of implementing an RBM system, the Fund has been focusing on the project level and Fund level. Project level monitoring would be carried out by the entity implementing an actual project (the NIE, RIE or MIE) and Fund level monitoring would be carried out by the secretariat under the direction of the Board.

17. Projects implemented under the Readiness Programme already include performance monitoring and reporting using templates approved by the Board through Decision B.29/42. These reports contribute to informing activities of the programme to meet outcomes 2 and 3 in the proposed results framework for the Readiness Programme. Further, whilst reporting at the Fund level draws on information provided by implementing entities through the Fund project performance report (PPR), it is proposed that the section on lessons learnt in the PPR template be amended to include, for a specific project and its related IE, the capture of lessons learnt from the implementation of relevant readiness grants. The proposed amended section of the PPR template, which corresponds to outcome 3 of the proposed results framework for the Readiness Programme, is included in Annex 1 of this document.

Proposed Readiness Programme results framework

18. The proposed Results Framework for the Readiness Programme is provided in Table 1 below.

³ Capturing Readiness Knowledge

Table 1: Proposed Readiness Programme Results Framework

Goal: Increase the opportunity capacity of developing country Parties to directly access climate adaptation finance and their overall capacity to develop and initiate implementation of concrete projects and programmes that increase the resilience of vulnerable communities to the impacts of climate change.			
Impact: Increased resilience at the global community, national, and regional levels from concrete adaptation undertaken in developing countries through the direct access and RIE modalities.			
Objective (i): to increase the preparedness of applicant national implementing entities seeking accreditation by the Adaptation Fund			
Objective (ii): to increase the number of high quality project/programme proposals submitted to the Board after accreditation.			
Outcome	Outcome Indicator	Output	Output Indicator
Outcome 1: Increased capacity of national entities to meet the Fund's fiduciary standards.	1. Percentage of developing countries with an accredited direct access entity of the Fund.	<p>1.1. Workshops, seminars and other readiness events are convened to raise awareness, share knowledge and enhance understanding on the accreditation process.</p> <p>1.2. Cooperation with multilateral bilateral and civil society organizations currently providing accreditation support to national institutions is increased.</p> <p>1.3. South-South cooperation through accredited NIEs to support non-accredited entities is enhanced.</p>	<p>1.1.(a) Number of applications for NIE accreditation received per year.</p> <p>1.1.(b) Number of readiness events per year targeting developing countries without an accredited NIE.</p> <p>1.2. Number of partner organizations co-funding or participating at readiness events per year.</p> <p>1.3. Number of readiness grants approved for South-South Cooperation per year.</p>
Outcome 2: Increased capacity of accredited national and regional organizations to develop and implement concrete adaptation projects/programmes.	2. Number of fully developed concrete projects/programmes prepared by NIEs/RIEs and approved by the Board.	<p>2.1. Workshops, seminars and other readiness events are convened to raise awareness, share knowledge and enhance understanding on the Fund's project full cycle process.</p> <p>2.2. The quality of gender considerations, environmental and social risk screening and risk management in proposals submitted for approval by the Board is improved.</p>	<p>2.1. Number of readiness events per year covering the AF project full cycle process.</p> <p>2.2. Percentage of accredited NIEs/RIEs with procedures, manuals, policies or guidelines for screening and mitigating projects from causing adverse gender, social</p>

		<p>2.3. Cooperation with multilateral, bilateral and civil society organizations currently providing project support to national or regional institutions is increased.</p>	<p>and environmental impacts.</p> <p>2.3. Number of national and regional institutions that have received project support from partner organizations.</p>
<p>Outcome 3: Improved knowledge, knowledge sharing, and skills and performance of the readiness programme to enhance for accessing direct access to adaptation finance, and the implementing implementation of concrete adaptation projects.</p>	<p>3.(a) Improved understanding of the accreditation process and accessing the Fund's resources, (as measured through surveys from workshops/trainings)</p> <p>(b) Improved sharing of knowledge and lessons learnt to improve the effectiveness of the readiness programme</p>	<p>3.1. Tools, and guidelines on the Fund's direct access modality have been developed and/or shared with developing countries.</p> <p>3.2. A platform for the community of practice and knowledge sharing for accredited implementing entities of the Fund has been established and is operational (is sharing information, lessons learnt and knowledge on Fund processes and procedures).</p> <p>3.3. Knowledge and lessons learnt from implementation of readiness grants have been captured throughout the Fund's RBM system, including overall or thematic evaluations, AF project PPRs, readiness event feedbacks, etc.</p> <p>3.4. The Adaptation Fund is coordinating knowledge and information sharing within the network of organizations that provide readiness and adaptation support to developing countries.</p>	<p>3.1. Number of tools, guidelines translated and shared with NIEs.</p> <p>3.2.(a) Number of NIE visits to the online platform for the community of practice.</p> <p>3.2.(b) Volume of traffic on CoP and Climate Finance Ready platform</p> <p>3.3. Level of improvement of the readiness programme work plans as a result of the knowledge and experience gained through implementing readiness grants.</p> <p>3.4. Number of meetings, activities or events held with members of the network of providers of readiness support for adaptation.</p>

19. Having considered document AFB/B.30/8, the Adaptation Fund Board (the Board) may wish to:
- (a) Approve the results framework of the Readiness Programme as amended in document AFB/B.30/8
 - (b) Approve the project performance report template as amended in document AFB/B.30/8
 - (c) Notify all implementing entities of the amendment to the project performance report template
 - (d) Request the secretariat to implement the Readiness Programme in line with the amended results framework.

ANNEX 1: PROPOSED AMENDMENT TO THE PROJECT PERFORMANCE REPORT (PPR) TEMPLATE

QUALITATIVE MEASURES and LESSONS LEARNED

Please complete the following section every reporting period

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?	

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

Lessons for Adaptation	Response
Climate Resilience Measures	
What have been the lessons learned, both positive and negative, in implementing climate adaptation measures that would be relevant to the design and implementation of future projects/programmes for enhanced resilience to climate change?	
What is the potential for the climate resilience measures undertaken by the project/programme to be replicated and scaled up both within and outside the project area?	
Readiness Interventions (Applicable only to NIEs that received one or more readiness grants)	
What have been the lessons learned, both positive and negative, in accessing and implementing climate finance readiness support that have been relevant to the preparation, design and implementation of this project/programme?	

<p>How have the outputs (such as manuals, guidelines, procedures or the experience from providing peer support, etc) from employing readiness grants been used to inform institutional capacity needs, gender issues, and environmental and social aspects in developing and implementing this project/programme?</p>	
Concrete Adaptation Interventions	
<p>What have been the lessons learned, both positive and negative, in implementing concrete adaptation interventions that would be relevant to the design and implementation of future projects/programmes implementing concrete adaptation interventions?</p>	
<p>What is the potential for the concrete adaptation interventions undertaken by the project/programme to be replicated and scaled up both within and outside the project area?</p>	
Community/National Impact	
<p>What would you consider to be the most successful aspects for the target communities?</p>	
<p>What measures are/have been put in place to ensure sustainability of the project/program results?</p>	
<p>What measures are being/could have been put in place to improve project/program results?</p>	
Knowledge Management	
<p>How has existing information/data/knowledge been used to inform project development and implementation? What kinds of information/data/knowledge were used?</p>	
<p>If learning objectives have been established, have they been met? Please describe.</p>	
<p>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.</p>	
<p>Has the identification of learning objectives contributed to the outcomes of the project? In what ways have they contributed?</p>	

ANNEX 2: RESULTS BASED MANAGEMENT TERMINOLOGY

Impact - sometimes referred to as vision, goal, objective, longer term outcome, long- term result, ultimate outcome

Questions such as: What are we trying to achieve? Why are we working on this problem? What is our overall goal?

Outcome - first, positive result or immediate result, prerequisites, short and medium- term results

Questions such as: Where do we want to be in five years? What are the most immediate things we are trying to change? What are the things that must be in place first before we can achieve our goals and have an impact?

Output - interventions, programmes

Questions such as: What are the things that need to be produced or provided through projects or programmes for us to achieve our short- to medium-term results? What are the things that different stakeholders must provide?

Activities - actions

Questions such as: What needs to be done to produce these outputs?

Indicator - measure, performance measurement, performance standard

Questions such as: How will we know if we are on track to achieve what we have planned?

Means of verification - data sources, evidence

Questions such as: What precise information do we need to measure performance? How will we obtain this information? How much will it cost? Can the information be monitored?

Outcomes

An outcome statement should ideally use a verb expressed in the past tense, such as “improved”, “strengthened” or “increased”, in relation to a global, regional, national or local process or institution. An outcome should specify the result of Adaptation Fund efforts and that of other stakeholders for the people of that country.

Outcomes cannot normally be achieved by only one agency or funding source, and are not under the direct control of a project manager. Since outcomes occupy the middle ground between outputs and impact, it is possible to define outcomes with differing levels of ambition.

- An outcome statement should avoid phrases such as to assist/support/develop/monitor/ identify/follow up/prepare.
- Similarly, an outcome should not describe how it will be achieved and should avoid phrases such as “improved through” or “supported by means of”.

Box 1: Key RBM Terms

Results: Changes in a state or condition which derive from a cause-and- effect relationship. There are three types of such changes which can be set in motion by a development intervention – its output, outcome and impact.

Goal: The higher-order objective to which a development intervention is intended to contribute.

Impact: Positive and negative long-term effects on identifiable population groups produced by a development intervention. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types.

Outcome: The intended or achieved short-term and medium-term effects of an intervention’s outputs, usually requiring the collective effort of partners. Outcomes represent changes in development conditions which occur between the completion of outputs and the achievement of impact.

Outputs: The products and services which result from the completion of activities within a development intervention.

Activities: Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs

Inputs: The financial, human, and material resources used for the development intervention.

- An outcome should be measurable using indicators. It is important that the formulation of
- the outcome statement takes into account the need to measure progress in relation to the outcome and to verify when it has been achieved. The outcome should therefore be
- specific, measurable, achievable, relevant and time bound (SMART).
- Indicators should be selected based on 6 criteria: validity, reliability, sensitivity, simplicity, utility, affordability.
- An outcome statement should ideally communicate a change in institutional or individual
- behavior or quality of life for people—however modest that change may be.

Outputs

Outputs reflect an appropriate strategy for attaining the outcome, thus there should be a proper cause and effect relationship between output and outcome. Again, outputs should be SMART—specific, measurable, achievable, relevant and time-bound. It is important to consider:

- Outputs must be deliverable within the respective programming cycle.
- Typically, more than one output is needed to obtain an outcome.
- If the result is mostly beyond the control or influence of the programme or project, it cannot be an output.
- Outputs generally include a noun that is qualified by a verb describing positive change. For example: “Study of environment-poverty linkages *completed*”, “National, participatory forum *convened to discuss draft national adaptation policy*”, etc.

ANNEX 3: KEY COMPONENTS OF THE READINESS PROGRAMME

Component 1:	<u>Support to Accredited Implementing Entities</u>
<u>Description:</u>	Under this component, the Readiness Programme will seek to increase the capacity of newly accredited entities including entities that are in the first five years of accreditation, and those that are seeking re-accreditation with the Fund, to design, develop and implement adaptation projects/programmes and to comply with the Fund's policies and procedures, in particular the environmental and social policy (ESP) and the gender policy (GP). Instruments and tools that could be used to advance this component include: NIE introduction seminars, webinars, workshops, small grants to support project technical design and implementation of the Fund's policies, and cooperation with partners to support project design and implementation and provide on-going support to the Fund's NIE community of practice.
<u>Activities:</u>	Activities under this component could be approved by the Board annually and simultaneously with the Readiness Programme annual administrative budget.
Component 2:	<u>Cooperation/Partnership with Climate Finance Readiness Providers</u>
<u>Description:</u>	Under this component, the Readiness Programme will strive to enhance capacity building for project development, monitoring and evaluation by accredited entities and entities seeking accreditation with the Fund through partnerships with other organizations providing readiness support for climate finance and/or working on climate change adaptation. Tools that could be used to advance this component include: Working with various partners on joint activities, build upon existing partnerships, and forging new partnerships to reach more vulnerable communities from developing countries across the globe.
<u>Activities:</u>	Activities under this component could be approved by the Board annually and simultaneously with the Readiness Programme annual administrative budget.
Component 3:	<u>Support to Countries Seeking Accreditation</u>
<u>Description:</u>	Under this component, the Readiness Programme will advance progress to meet the rising demand by developing countries for climate finance from the Fund, and particularly encourage Direct Access, taking due consideration to also support least developed countries (LDCs) and Small Island Developing States (SIDS). The Readiness Programme will seek to increase the capacity of national implementing entities to meet the Fund's fiduciary standards and comply with policies and procedures of the Fund, in particular the environmental and social policy (ESP) and the gender policy. Instruments and tools that could be used to advance this component include: Workshops, guidance documents, and where possible, facilitating capacity building for the application of such guidance documents by entities, and providing South-South cooperation grants to support accreditation with the Fund.
<u>Activities:</u>	Activities under this component could be approved by the Board annually and simultaneously with the Readiness Programme annual administrative budget.
Component 4:	<u>Knowledge Management</u>
<u>Description:</u>	Under this component, the Readiness Programme will seek to enhance implementation of the Fund's Knowledge Management Strategy by supporting capacity enhancement for implementing entities in the generation and management of knowledge, and the dissemination of adaptation experience and lessons learnt. The programme will continue to contribute towards raising awareness of the Fund's Climate Finance Ready microsite (an online collaboration and knowledge sharing platform) and providing content to the microsite. Tools that could be used to advance this component include: Media outreach, case studies, webinars, as well as various social media and web-based tools such as the Climate Finance Ready microsite, the Fund's website and Facebook.
<u>Activities:</u>	Activities under this component could be approved by the Board annually and simultaneously with the Readiness Programme annual administrative budget.