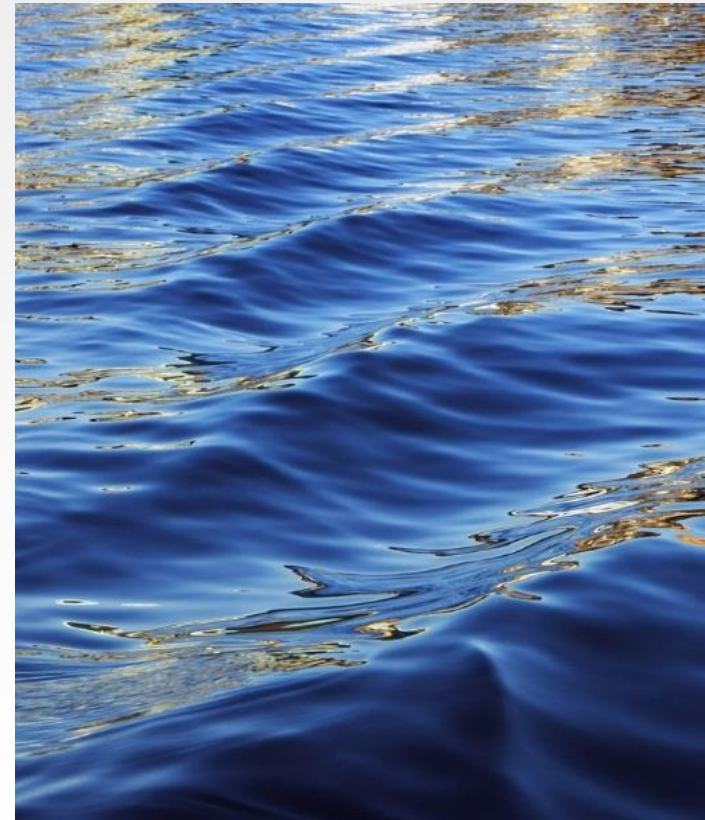




# Overview of the AF Monitoring Project Performance

Climate Finance Readiness Caribbean  
Regional Workshop  
Barbados, 25 October 2017



# I. THE AF RBM STRATEGY

- 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

# I. THE AF RBM STRATEGY

- 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

## IV. 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.



# V. PPR CONTENT

**RISK ASSESMENT**

**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

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



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# V. PPR CONTENT

**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 Adantation	Response

Navigation: 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.

## V. PPR CONTENT

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 would be relevant to the preparation, design and implementation of future concrete adaptation projects/programmes?	
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 concrete projects/programmes for enhanced resilience to climate change?	

- Approved by the AF Board on 13 October, 2017;
- Qualitative measures and lessons learned at mid-term and project completion.





# V. PPR CONTENT

PPR-Resulttracker-4Feb15\_final - Excel

FILE

HOME

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PAGE LAYOUT

FORMULAS

DATA

REVIEW

VIEW

DEVELOPER

MACROS

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Alignment

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

12

A

B

C

D

E

F

G

H

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K

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Adaptation Fund Strategic Results Framework

Project ID

Implementing agency

Type of implementing agency

Country

Region

Sector

Baseline information

Total (direct + indirect beneficiaries)

Direct beneficiaries supported by the project

Indirect beneficiaries supported by the project

Target performance at completion

Total (direct + indirect beneficiaries)

Direct beneficiaries supported by the project

Indirect beneficiaries supported by the project

Impact: Increased resiliency at the community, national, and regional levels to climate variability and change

Core Indicator: No. of beneficiaries

Total

% of female beneficiaries

% of Youth beneficiaries

Total

% of female beneficiaries

% of Youth beneficiaries

Baseline information

Number of targeted stakeholders

Hazards information generated and disseminated

Overall effectiveness

Target performance at completion

Number of targeted stakeholders

Hazards information generated and disseminated

Overall effectiveness

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

Total

% of female targeted

Total

% 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

Scale

States

No. of adopted Early Warning

Category targeted

Hazard

No. of adopted Early Warning

Category targeted

Hazard

Aggregated data

PPR results tracker

5. **Results Tracker:** tracks indicators that aligns both (i) the Adaptation Fund Strategic Results Framework, and the (ii) Fund's five core indicators.



## VI. AF RESULTS FRAMEWORK

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

## VII. 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.




## VII. 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

## VII. PPR REVIEW PROCESS

- ▶ Checklist used by the secretariat to review PPRs

  
ADAPTATION FUND

### 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	

## VIII. AF 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) available at the AF website, and results tracker guidance document, available at: <https://www.adaptation-fund.org/wp-content/uploads/2016/04/AF-ResultstrackerGuidance-final2.pdf>



Thank you for listening!

