ADAPTATION FUND

Ethics and Finance Committee
Twenty-Fifth Meeting
Bonn, Germany, 8-9 October 2019

Agenda item 4

COMPLIANCE WITH THE AF STRATEGIC RESULTS FRAMEWORK: UPDATE OF THE PROJECT/PROGRAMME PERFORMANCE REPORT AND RESULTS TRACKER GUIDANCE

Background

<u>Strategic Results Framework of the Adaptation Fund</u>

1.   At its tenth meeting, the Adaptation Fund Board (the Board) approved a Results-Based Management (RBM) framework and an approach to its implementation (AFB/EFC.1/3/Rev.2). The RBM framework includes a Strategic Results Framework which describes, at the Fund level, goals, expected impact, outcomes, and outputs, as well as indicators and targets.

2.   At its thirty-second meeting in October 2018, the Board, after having reviewed and approved the Fund's Annual Performance Report (APR) for fiscal year 2018 (AFB/EFC,10/4), requested the secretariat to provide:

> *"(a) A review of the Strategic Results Framework of the Adaptation Fund and the Adaptation Fund Level Effectiveness and Efficiency Results Framework, which were approved by the Board in decision B.10/13, to reflect the progress made by the Adaptation Fund; […]*

> *(Decision B.32/25)*

3.   At its thirty-third meeting in March 2019, the Board, having considered the comments and recommendation of the Ethics and Finance Committee (EFC) on the revision to the strategic results framework (SRF) as contained in document AFB/EFC.24/4/Rev.1), decided:

> *(a) "To approve the Review of the Strategic Results Framework and the Adaptation Fund Level Effectiveness and Efficiency Results Framework as contained in document AFB/EFC.24/4/Rev.1; and*

> *(b) To request the secretariat to prepare a document on a proposed revision of the results tracker and an updated document on guidance on the revised results tracker, to be presented to the Ethics and Finance Committee at its twenty-sixth meeting".*

> *(Decision B.33/46)*

4.   The Adaptation Fund's results tracker is a core part of the annual Project Performance Report (PPR) that AF-funded projects/programmes have to submit to the secretariat yearly, for the disbursement of the next tranches of funding[1].

<u>The project/programme reporting requirements: project/programme performance reports (PPRs)</u>

5.   The Board at its sixteenth meeting had considered the first Annual Performance Report of the Fund[2], which provided the details of the performance monitoring and reporting system for the Fund. After reviewing the report, the Board approved the reporting process requirements outlined, and requested the secretariat to develop a review process of the project performance reports (PPRs) and establish a set of criteria for clearing PPRs.

---

[1] The Board decided to delegate to the secretariat its authority to approve technical review and clearance of the Project Performance Reports (PPRs) prior to authorization by the Chair of the cash transfer of funding tranches and request the secretariat to notify the Board accordingly, through decision Decision B.28/47.
[2] Document AFB/EFC.7/4/Rev2

6.   The Board subsequently decided at its eighteenth meeting to approve:

(a) *The process for the secretariat's review of project performance reports (PPRs) as outlined in the amendment to document AFB/EFC.9/4/Rev.1; and*

(b) *The guidance document to complete PPRs and the revised PPR template as contained in Annex IV of the present report.*

(Decision B.18/29)

7.   The approved template for PPRs was updated when the Board, at its twenty-first meeting, had approved a proposal for steps to take to improve the Fund's results tracking system. As part of that work, the secretariat had identified a preliminary set of six indicators to track at the Fund level. Document AFB/EFC.14/6 including the methodology for measuring each of those indicators was then presented at the twenty-third meeting of the Board, which decided to approve the use of the proposed core indicators and request[ed] the secretariat to:

"(a) Make the necessary changes to incorporate the core indicators and revised results tracker into the Fund's results management system;

(b) Inform implementing entities of the changes to the results tracking system including the requirements to provide indicative core indicator targets for fully developed project proposals and their inclusion in project performance reports (PPRs);

(c) *Request implementing entities already implementing projects and programmes to provide project-level information as it relates to the core indicators; and*

(d) *Complete the development of guidance for the modified results tracker and an exit survey for the accreditation process".*

(Decision B.23/19)

8.   The results tracker was included in the PPR in 2014, following Board Decision B.23/19 and has been revised in 2015 following Board Decision B.25-26/14.

9.   The Project Performance Report template was subsequently updated in April 2015, during Board Meeting 25-26, to allow implementing entities to report on the investment income generated by the project grant on an annual basis (Decision B.25-26/14); in October 2017, following Board decision B.30/45, 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. Finally, it was last updated in March 2019 in order to be compliant with the reporting requirements of the Environmental and Social Policy and the Gender Policy of the Fund at project/programme level (Decision B.32-33/17). Nevertheless, the guidance to complete project performance reports, which was approved in 2012 through Decision B.18/29, has never been updated since then.

Proposed Additional Update of the Project Performance Report Template to Comply with the Revised Strategic Results Framework and Revised Results Tracker Guidance

10.   Following the approval of the SRF, the secretariat has prepared a revised results tracker to the PPR for it to be aligned with the MTS. Moreover, a revised guidance to the results tracker for implementing entities was prepared and it is contained in annex 2 of the present document.

11.   As a parallel activity, the secretariat has been monitoring reporting consistency in the PPRs and noticed that some sections needed to be partially revised in order to enhance the consistency in the reporting. Provided that some of the information included in the PPRs is used by the secretariat to develop reports such as the Annual Performance Reports and might be used by external stakeholders to conduct different types of analysis, the consistency of the data provided is pivotal. Needless to say, some areas of the PPR had to be aligned with the MTS and will allow to capture key information on, for example, lessons learned on innovation stemming form projects or ways to enhance complementarity with other climate funds, for example, to detect if projects/programs developed scale-up opportunities during project implementation.

12.   The proposed changes and their purpose, as identified in Annex 1, are in the PPR sections named "overview; financial data; rating; lessons learned; and results tracker" and are in red font. The latter change, was mandated by Board Decision B.33/46, as referred to above. The inclusion of reporting elements and guidance notes for the implementing entities, aims to ease the completion of PPRs by the implementing entities.

13.   These additional changes to the report template was delayed, partly due to the fact that it was considered appropriate to combine all necessary changes together, in a coordinate manner.

14.   The present document, therefore, introduces proposed amendments to the PPR to address the areas above mentioned, such as an increase in information consistency and capturing information on the new strategic areas and cross-cutting themes introduced in the MTS.

Recommendation

The Ethics and Finance Committee may want to consider the document *Compliance with the AF strategic results framework: update of the project/programme performance report and results tracker guidance* (document AFB/EFC.25/4) and recommend that the Board:

> (a) Approves the amendments made to the project/programme performance report (PPR) template, included in Annex 1 of document AFB/EFC.25/4;
>
> (b) Approves the guidance document for implementing entities on the results tracker, as presented in Annex 2 of document AFB/EFC.25/4;
>
> (c) Requests the secretariat to inform implementing entities of the amendments to the PPR template and to make available the amended template and the guidance document, referred to above, on the Adaptation Fund website; and
>
> (d) Requests the secretariat to revise the Draft Guidance to Complete PPRs as contained in document AFB/EFC.9/4/Add.1, for it to be aligned with the new PPR template and to circulate it for intersessional Board approval during its thirty-fourth and thirty-fifth meeting.

Annex 1

<u>Overview:</u> the revisions will allow to consider whether the project milestones have been revised and if the proposal was approved with conditions to be met upon submission of the 1st PPR.

Project Milestones	
Milestone	
AFB Approval Date:	
IE-AFB Agreement Signature Date:	
Start of Project/Programme:	
Actual Mid-term Review Date (if applicable):	
Original Completion Date:	
Revised Completion Date after approval of extension request (if appl.)	

List each approval condition, if any, and report on the status of meeting them (duplicate table as nec)

Category of condition	
Condition or Requirement	
Current Status	
Planned actions, including a detailed time schedule	

List (only) inception report/ extension request(s)/ MTR that have been prepared for the project and provide date(s) of submission for each

Government(s) DA *[if regional project/program add rows as necessary]*	
Name:	
Email:	
Date:	
Implementing Entity	
Name:	
Email:	
Date:	
Executing Agency	
Name:	
Email:	
Date:	
Executing Agency	
Name:	
Email:	
Date:	
Executing Agency	
Name:	
Email:	
Date:	

Financial data: presenting all the information graphically in one page, allows to have a comprehensive chronological financial flow.

Financial information PPR 1: cumulative from project start to [insert date]

DISBURSEMENT OF AF GRANT
How much of the total AF grant as noted in Project Document plus any project preparation grant has been spent to date?

Estimated cumulative total disbursement as of [enter Date]

Add any comments on AF Grant Funds. (word limit=200)

INVESTMENT INCOME
Amount of annual investment income generated from the Adaptation Fund's grant

EXPENDITURE DATA
List ouput and corresponding amount spent for the current reporting period

ITEM / ACTIVITY / ACTION	AMOUNT
TOTAL	0

PLANNED EXPENDITURE SCHEDULE
List outputs planned and corresponding projected cost for the upcoming reporting period

ITEM / ACTIVITY / ACTION	PROJECTED COST	Est. Completion Date

Financial information PPR 2: cumulative from project start to [in

DISBURSEMENT OF AF GRANT
How much of the total AF grant as noted in Project Document plus any project preparation grant has been spent to date?

Estimated cumulative total disbursement as of [enter Date]

Add any comments on AF Grant Funds. (word limit=200)

INVESTMENT INCOME
Amount of annual investment income generated from the Adaptation Fund's grant

EXPENDITURE DATA
List ouput and corresponding amount spent for the current reporting period

ITEM / ACTIVITY / ACTION	AMOUNT
TOTAL	0

PLANNED EXPENDITURE SCHEDULE
List outputs planned and corresponding projected cost for the upcoming reporting period

ITEM / ACTIVITY / ACTION	PROJECTED COST

Rating: entities will report the expected and to date progress against the project outcomes, this will ensure conformity of information. In addition, the alignment with the AF outcome(s) will be helpful when conducting portfolio analysis.

RATING ON IMPLEMENTATION PROGRESS

For rating definitions and text of AF outcomes please see bottom of page.
Click above the columns captions in every table for guidance on reporting.

	Project components/outcomes	Alignment with AF outcome(s)	Expected Progress	Progress to Date	Rating
Implementing Entity:					
				Overall Rating	

Please Provide the Name and Contact information of person(s) reponsible for completeling the Rating section

Name:
Email:

Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps. (word limit=500)

	Project components/outcomes	Alignment with AF outcome(s)	Expected Progress	Progress to Date	Rating
Executing Entity/Project Coordinator:					

			Overall Rating	

Please Provide the Name and Contact information of person(s) reponsible for completeling the Rating section

Name:

Email:

Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps. (word limit=500)

	Project components/outcomes	Alignment with AF outcome(s)	Expected Progress	Progress to Date	Rating
Other (If there is more than one executing entity a rating should be provided from each EE for the outputs/outcomes of the project for which the entity is responsible; the Designated Authority can also provide a rating)					
				Overall Rating	

Please Provide the Name and Contact information of person(s) reponsible for completeling the Rating section

Name:

Email:

Please justify your rating and address the following points:
1. Indicate trends, both positive and negative, in achievement of outcomes as per the project indicators.
2. Detail critical risks that have affected progress.
3. Outline response to MTR undertaken this reporting period.
4. Outline action plan to address projects with a rating of HU, U or MU. Please keep your input to 1200 words

AF Outcomes		Rating Definitions	
Outcome 1	Reduced exposure to climate-related hazards and threats	Highly Satisfactory (HS)	Project actions/activities planned for current reporting period are progressing on track or exceeding expectations to acheive all major outcomes/outputs for given reporting period, without major shortcomings. The project can be presented as "good practice".
Outcome 2	Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses	Satisfactory (S)	Project actions/activities planned for current reporting period are progressing on track to achieve most of its major outcomes/outputs with only minor shortcomings.
Outcome 3	Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level	Marginally Satisfactory (MS)	Project actions/activities planned for current reporting period are progressing on track to achieve most major relevant outcomes/outputs, but with either significant shortcomings or modest overall relevance.
Outcome 4	Increased adaptive capacity within relevant development sector services and infrastructure assets	Marginally Unsatisfactory (MU)	Project actions/activities planned for current reporting period are not progressing on track to achieve major outcomes/outputs with major shortcomings or is expected to achieve only some of its major outcomes/outputs.
Outcome 5	Increased ecosystem resilience in response to climate change and variability-induced stress	Unsatisfactory (U)	Project actions/activities planned for current reporting period are not progressing on track to achieve most of its major outcomes/outputs.

Outcome 6	Diversified and strengthened livelihods and sources of income for vulnerable people in targeted areas	Highly Unsatisfactory (U)	Project actions/activities planned for current reporting period are **not** on track and shows that it is **failing** to achieve, and is not expected to achieve, any of its outcomes/outputs.
Outcome 7	Improved policies and regulations that promote and enforce resilience measures		
Outcome 8	Support the development and diffusion of innovative adaptation practices, tools and technologies		

<u>Lessons learned</u>: the new areas of reporting on knowledge management, innovation and complementarity and coherence with other climate funds, follow the new strategic areas and cross-cutting themes of the Medium-term Strategy of the Adaptation Fund.

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)*	
Have the environmental and social safeguard measures that were taken been effective in avoiding unwanted negative impacts?	
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? List lessons learned specific to gender, detailing measures and project/programme-specific indicators highlighting the role of women as key actors in climate change adaptation.	

Inform promptly the secretariat of any changes in the budget or project results framework in accordance with the Project Implementation Policy https://www.adaptation-fund.org/wp-content/uploads/2017/11/OPG-ANNEX-7-Project-Programme-Implementation-Approved-Oct-2017.pdf

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 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?	
Concrete Adaptation Interventions	
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?	
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?	
Community/National Impact	
What would you consider to be the most successful aspects for the target communities?	
What measures are/have been put in place to ensure sustainability of the project/program results?	
What measures are being/could have been put in place to improve project/program results?	
Knowledge Management	
How has existing information/data/knowledge been used to inform project development and implementation? What kinds of information/data/knowledge were used?	
Has the existing information/data/knowledge been made available to relevant stakeholder? If so, what chanels of dissemination have been used?	
Please list any knowledge products generated and include hyperlinks whenever posssible (e.g. project videos, project stories, studies and technical reports, case studies, tranining manuals, handbooks, strategies and plans developed, etc.)	
If learning objectives have been established, have they been met? Please describe.	
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.	
Has the identification of learning objectives contributed to the outcomes of the project? In what ways have they contributed?	
Innovation	
Describe any innovative practices or technologies that figured prominently in this project.	
Complementarity/ Coherence with other climate finance sources	
Has the project been scaled-up from any other climate finance? Or has the project build upon any other climate finance initiative?	☐ Yes ☐ No

Results tracker: new outcomes, associated indicators and ways to measure them are aligned with the revised Strategic Results Framework of the Adaptation Fund, last revised in March 2019

		Baseline information			
		Number of staff targeted		Sector	Capacity level
Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses	Indicator 2: Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased	*Total*			
		% of female targeted			
Output 2.1 Strengthened capacity of national and sub-national centres and networks to respond rapidly to extreme weather events	Indicator 2.1.1: No. of staff trained to respond to, and mitigate impacts of, climate-related events	Total staff trained	% of female staff trained	Type	
	Indicator 2.1.2: No. of targeted institutions with increased capacity to minimize exposure to climate variability risks	Type	Scale	Sector	Capacity level
Output 2.2. Increased readiness and capacity of national and sub-national entities to directly access and program adaptation finance	Indicator 2.2.1: No. of people benefitting from the direct access and enhanced direct access modality	Number of targeted people	Scale	Sector	Capacity level

		Baseline information		
		Percentage of targeted population applying adaptation measures		Sector
Outcome 3: Strengthened awareness and owernship of adaptation and climate risk reduction processes	Indicator 3.1: Increase in application of appropriate adaptation responses			
Output 3: Targeted population groups participating in adaptation and risk reduction awareness activities	Indicator 3.1.1: Percentage of targeted population awareness of predicted adverse impacts of climate change, and of appropriate responses	No. of targeted beneficiaries	% of female participants targeted	Level of awareness
Output 3.2: Stengthened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning	Indicator 3.2.1: No. of technical committees/associations formed to ensure transfer of knowledge	No. of technical committees/associations	% of committees/associations focusing on gender	Level of awareness
	Indicator 3.2.2: No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders	No. of tools and guidelines	Type	Scale

Baseline information

		Baseline information			
		Sector of innovative practice	Geographic Scale	Type	Secto
Outcome 8: Support the development and diffusion of innovative adaptation practices, tools and technologies	Indicator 8: Innovative adaptation practices are rolled out, scaled up, encouraged and/or accelerated at regional, national and/or subnational level				
Output 8: Viable innovations are rolled out, saled up, encourages and/or accelerated	Indicator 8.1: No. of innovative adaptation practices, tools and technologies accelerated, scaled-up and/or replicated	No. of innovative practices/tools technologies	Sector	Status	Effectiveness
	Indicator 8.2: No. of key findings on effective, efficient adaptation practices, products and technologies generated	No. of key findings generated	Type	Effectiveness	

Annex 2

Results tracker guidance document

<mark>(Amended in October 2019)</mark>

This guidance document is intended to help implementing entities of the Adaptation Fund (AF) fill the AF's results tracker, as part of their reporting requirements. The results tracker is a reporting tool included in the Project Performance Report template (currently available at: https://www.adaptation-fund.org/page/project-performance-and-reporting) requested annually by any AF-funded projects/programmes. This guidance document is structured as follow:

This document:
• Briefly explains the Adaptation Fund's results tracker tool that is part of the Project Performance Report (PPR) template;
• Explains how the tracker fits into the Fund's RBM procedures;
• Clarifies when and how the results tracker needs to be completed;
• Provides practical tips for using the Results tracker;
• Complements rather than replaces the existing M&Erelated guidelines (i.e. results framework and baseline guidance – project level (http://www.adaptationfund.org/wpcontent/uploads/2015/01/Results%20Framework%20and%20Baseline%20Guidance%20final%20compressed.pdf), and core indicator methodologies (https://www.adaptation-fund.org/wpcontent/uploads/2016/

This document does not:
• Include the results tracker itself – please refer to the latest version of the PPR template: https://www.adaptation-fund.org/page/project-performance-and-reporting.

- Section 1: Overview of the results tracker;
- Section 2: Context of the results tracker with the Fund's RBM system;
- Section 3: Structure of the tracker and how to fill the necessary information;
- Section 4: Frequently asked questions about the use of the Excel file.

Section 1: Overview of the Adaptation Fund Results tracker

The Adaptation Fund's results tracker is a core part of the annual Project Performance Report (PPR) that AF-funded projects/programmes have to submit to the secretariat yearly, <mark>for the disbursement of the next tranches of funding</mark>.

The results tracker allows the Adaptation Fund to track specific indicators across its portfolio. It includes indicators from both (i) the Adaptation Fund Strategic Results Framework, and (ii) the Fund's five core indicators.

(i)   The Adaptation Fund Strategic 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. Consequently, 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.24/4/Rev.1 https://www.adaptation-fund.org/wp-content/uploads/2019/03/AFB.EFC_.24.4.Rev1_Review-of-the-Strategic-Results-Framework-and-Fund-Level-Efficiency-Framework.pdf. The latest version of the framework is summarized in Table 1 below.

Table 1 : The Adaptation Fund Strategic Results Framework

Expected results	Indicators
Goal: Assist developing country Parties to the Kyoto Protocol and the Paris Agreement[3] 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. of early warning systems (by scale) and no. of 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 2.1: Strengthened capacity of national and sub-national 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 (by gender)
	2.1.2 No. of targeted institutions with increased capacity to minimize exposure to climate variability risks (by type, sector and scale)
Output 2.2: Increased readiness and capacity of national and sub-national entities to directly access and program adaptation finance	2.2.1 No. of people benefitting from the direct access and enhanced direct access modality
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 3.1: Targeted population groups participating in adaptation and risk reduction awareness activities	3.1.1 No. of news outlets in the local press and media that have covered the topic

---

[3] This is to reflect COP 24 CMA Decision that the "Adaptation Fund shall serve the Paris Agreement under the guidance of, and be accountable to, the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement with respect to all matters relating to the Paris Agreement effective 1 January 2019."

Output 3.2: Strengthened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning	3.2.1 No. of technical committees/associations formed to ensure transfer of knowledge
	3.2.2 No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders
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
Outcome 8: Support the development and diffusion of innovative adaptation practices, tools and technologies	8. Innovative adaptation practices are rolled out, scaled up, encouraged and/or accelerated at regional, national and/or subnational level.
Output 8: Viable innovations are rolled out, scaled up, encouraged and/or accelerated.	8.1. No. of innovative adaptation practices, tools and technologies accelerated, scaled-up and/or replicated
	8.2. No. of key findings on effective, efficient adaptation practices, products and technologies generated

(ii)   The AF five core indicators allow the Fund to aggregate quantitative indicators for a portfolio that is, by nature, diverse (spanning from agriculture to water management, coastal management, rural development, food security, and Disaster Risk Reduction, among others). To increase transparency and demonstrate value for money, the Board has approved two impact-level results

and five associated indicators to track under these impacts. These five indicators, summarized in Table 2 below, and their associated methodologies are available publicly at: (https://www.adaptation-fund.org/sites/default/files/AF%20Core%20Indicator%20Methodologies.pdf).

Table 2 : AF 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

The current results tracker is based on the Fund Strategic Results Framework and to the five core indicators. It is an integral part of the Project Performance Report Excel template. This tracker includes most of the indicators from the strategic results framework and the five core indicators, with certain exceptions, as the approved "core" indicators already capture indicators in the strategic results framework. In fact:
- Indicators 1.2 and 1.2.1 from the Strategic Results Framework are captured under the core indicator 1.2 included in the tracker;
- Indicators 4.2 and 4.1.2 from the Strategic Results Framework are captured under the core indicator 4.2 included in the tracker;
- Indicator 5.1 from the Strategic Results Framework is captured under the core indicator 5.1 included in the tracker;
- Indicator 6.2.1 from the Strategic Results Framework is captured under the core indicator 6.1.2 included in the tracker.

The list of indicators that are included in the results tracker are summarized in table 3.

Table 3 : List of Indicators Included in the Results Tracker

Indicators from the results tracker
Core Indicator: No. of beneficiaries
Indicator 1: Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis
Indicator 1.1: No. of projects/programmes that conduct and update risk and vulnerability assessments
Core Indicator 1.2: No. of Early Warning Systems
Indicator 2: Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased
Indicator 2.1.1: No. of staff trained to respond to, and mitigate impacts of, climate-related events
Indicator 2.1.2: No. of targeted institutions with increased capacity to minimize exposure to climate variability risks
Indicator 2.2.1: No. of people benefitting from the direct access and enhanced direct access modality
Indicator 3.1: Increase in application of appropriate adaptation responses

Indicator 3.1.<mark>1</mark>: Percentage in targeted population awareness of predicted adverse impacts of climate change, and of appropriate responses
<mark>Indicator 3.2.1: No. of technical committees/associations formed to ensure transfer of knowledge</mark> <mark>Indicator 3.2.2: No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders</mark>
Indicator 4.1: Increased responsiveness of development sector services to evolving needs from changing and variable climate
Core Indicator 4.2: Assets produced, developed, improved or strengthened
Indicator 4.1.1: No. and type of development sector services to respond to new conditions resulting from climate variability and change
Indicator 5: Ecosystem services and natural resource assets maintained or improved under climate change and variability-induced stress
Core Indicator 5.1: Natural Assets protected or rehabilitated
Indicator 6.1: Increase in households and communities having more secure access to livelihood assets
Indicator 6.2: Increase in targeted population's sustained climate-resilient alternative livelihoods
Indicator 6.1.1: No. and type of adaptation assets created or strengthened in support of individual or community livelihood strategies
Core Indicator 6.1.2: Increased income, or avoided decrease in income
Indicator 7: Climate change priorities are integrated into national development strategy
Indicator 7.1: No. of policies introduced or adjusted to address climate change risks
Indicator 7.2: No. of targeted development strategies with incorporated climate change priorities enforced
<mark>Indicator 8: Innovative adaptation practices are rolled out, scaled up, encouraged and/or accelerated at regional, national and/or subnational level</mark>
<mark>Indicator 8.1: No. of innovative adaptation practices, tools and technologies accelerated, scaled-up and/or replicated</mark>
<mark>Indicator 8.2: No. of key findings on effective, efficient adaptation practices, products and technologies generated.</mark>

Section 2: How does the results tracker fit into the RBM procedures of the AF?

The results tracker is an integral part of the Project Performance Reports (PPR) that AF-funded projects/programmes have to submit annually to the AF Secretariat, <mark>for the disbursement of the next</mark> tranches of funding. The results tracker <mark>fits within a broader series of reporting requirements that projects have to comply with,</mark> as per the Fund's Results Based Management and Monitoring and Evaluation policies. These requirements are summarized in the Figure 1 below, and can be synthesized as follow:

- Step 1: During project/programme design, project-level results framework should reflect outputs/outcomes included in the AF Strategic Results Framework. In particular, project/programme proponents should:
  - o Fill the table "*Alignment of Project Objectives/Outcomes with Adaptation Fund Results Framework*"(available at https://www.adaptation-fund.org/page/results-framework-alignment-table), and submit it to the Board as part of the project/programme proposal. Not every project/programme outcome will align directly with the Fund's framework but at least one outcome and output indicator from the Framework must be included at the project design stage. In addition, project specific indicators would also be selected to reflect country specific objectives and reporting requirements.
  - o Provide indicative target figures for each of the five core indicators that are relevant to the particular project.

- Step 2: Once the project/programme is approved and the first funds allocated, proponents should monitor projects continually, and:
  - o Submit a PPR each year to chart progress. The PPR includes, among others, information related to financial data, procurement, risk assessment, rating, project indicators, lessons learned. In addition, it includes the results tracker that needs to be filled:
    - at inception: baseline-related information needs to be informed, as well as planned targets at project/programme completion;
    - at mid-term;
    - at project/programme completion.
  - o For projects over three years in duration, perform a mid-term evaluation

- Step 3: At project/programme completion, each project/programme should provide:
  - o final PPR;
  - o project completion summary;
  - o final evaluation report;
  - o final audited financial statements.

These different requirements are summarized in the Figure 1 below. The requirements vis-à-vis the results tracker are underlined in this figure.

Figure 1 : AF M&E Procedures
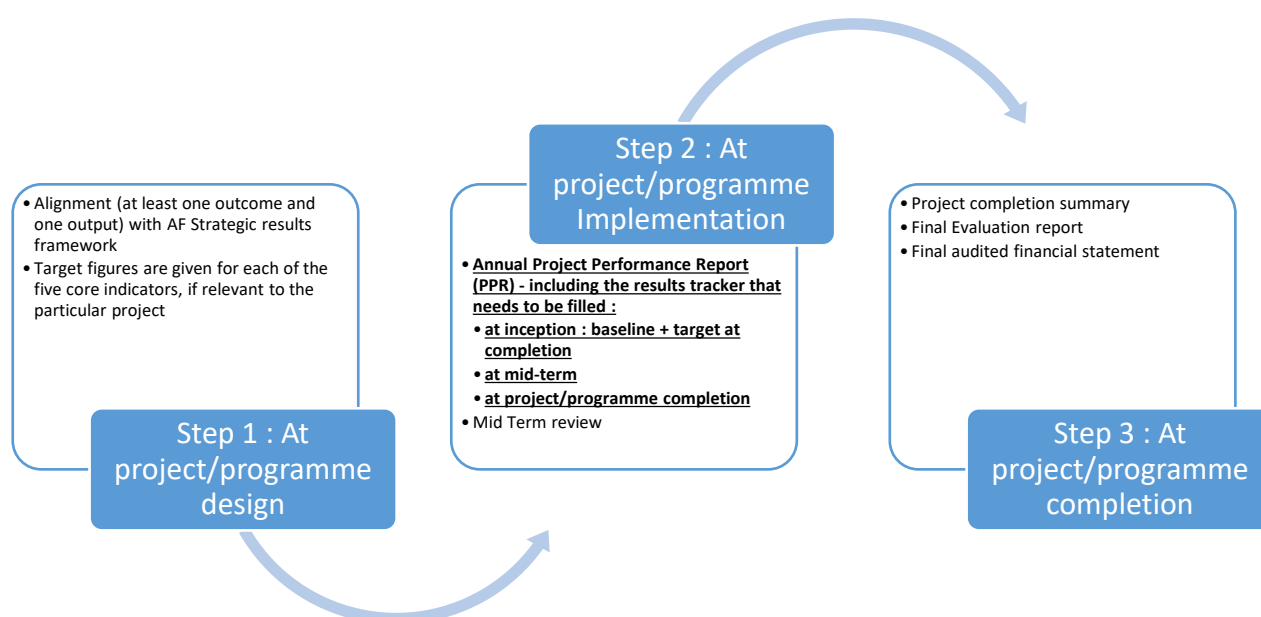
Section 3: How to Complete the Results Tracker?
The Excel spreadsheet is composed of three different sections (see figure 2 below):

Figure 2 : Overall Structure of the Results Tracker
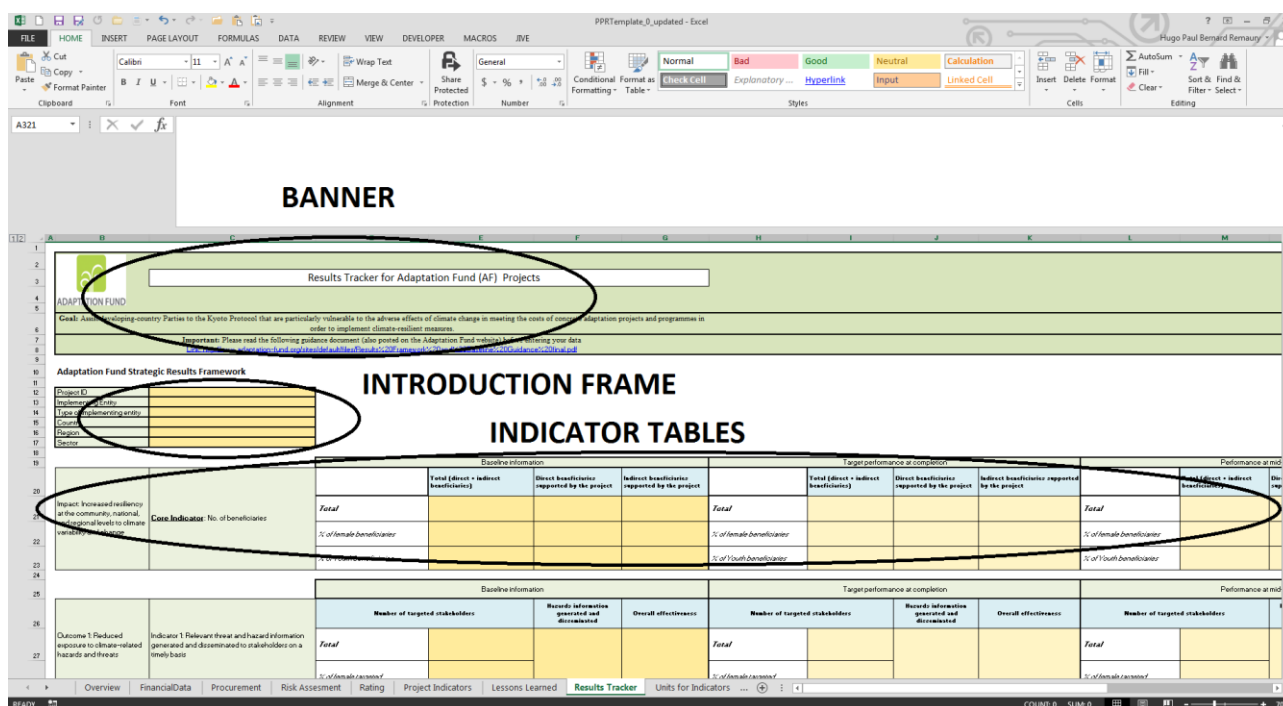
It is made of the following three sub-sections:
- **A** large green **banner** (see figure 3 below) that include basics instructions about the tracker, and gives a link to the appropriate guidance document (see screenshot below);

Figure 3: The Results Tracker Banner
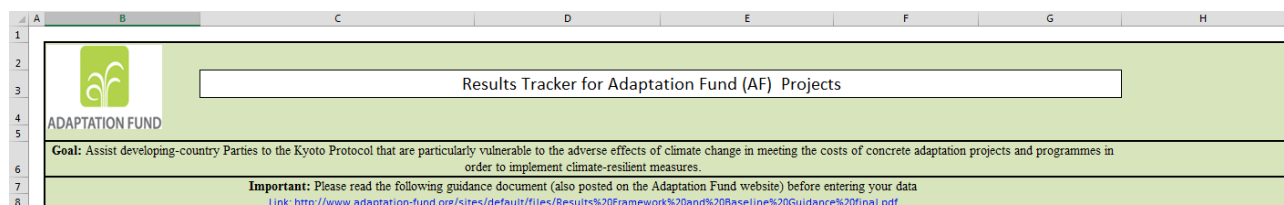
- **A** green and orange **introduction frame** (see figure 4 below) that requires project/programme-related information, namely project ID, implementing entity, type of Implementing entity, country, region, sector;

Figure 4: The Introduction Frame

Project ID	
Implementing Entity	
Type of implementing entity	
Country	
Region	
Sector	

- A series of green and orange **indicator tables** (see figure 5) that include the different indicators listed in table 3, Section 1 of this document. Columns B and C list the indicators, whereas columns D to G request baseline-related information (to be filled at project/programme inception), H to K request target at completion (to be filled at

project/programme inception), L to O request performance at mid-term, and P to S request performance at completion.

Figure 5: The indicators Tables

Orange fields should be filled out by the Implementing Entities. They may include drop-down lists, normal cells where qualitative/quantitative information can be entered, and cells where "data validation" is in place (and in which values can be restricted to a range of numbers, a percentage, or a specific quantitative measure for instance). When hovering and clicking on orange cells, some input messages may guide the user to what action is expected from him/her.

Section 4: Frequently Asked Questions

General questions about the tracker
Where can I find the Results Tracker?
The results tracker is part of the Project Performance Report Excel spreadsheet that is available on the AF website at: https://www.adaptation-fund.org/page/project-performance-and-reporting

When are users expected to fill the Results Tracker tab of the Project Performance Reports?
Projects and programmes are required to fill in the results tracker three times: at project approval, midterm, and terminal evaluation (see figure 1, section 2).

What sections need to be filled in the results tracker?
Depending on the stage of the project/programme (i.e., inception phase, mid-term, completion), cells filled with orange color are expected to be filled by users. Core indicators (underlined and bold) are mandatory, when relevant and applicable to the project/programme. In addition, other indicators reported to align with the projects outcomes need to be filled as well.

Introduction frame
How do I know my project ID/type of Implementing Entity (IE) and sector?
A project ID ("AF project ID" below) has been assigned by the AF Secretariat to your project/programme during the proposal review cycle. Please refer to the technical review

document to get this information.

ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT/PROGRAMME PROPOSAL

PROJECT/PROGRAMME CATEGORY: Regular-sized Project Concept

Country/Region: XXXXXX
Project Title: "XXXXXXXX"
AF Project ID: COUNTRY/TYPE OF IE/SECTOR/YEAR/NUMBER

What are the different types of Implementing Entity?

The Implementing Entity can be classified as Regional Implementing Entity (RIE), National Implementing Entity (NIE), or Multilateral Implementing Entity (MIE).

Indicators tables

How do I know what type of information I am supposed to enter into the cells?

For most of the cells, a message will let you know what sort of data is expected from you (i.e. percentage, number, item in a drop-down list etc.).

I want to enter additional information in the cells, what should I do?

For certain cells, when applicable, users can enter different items. For instance, in the case of the Core Indicator 1.2. No of Early Warning System (EWS), some projects/programmes may be implementing different types of EWS. In that case, please click on the "plus" sign on the left-hand side of the table such as illustrated below on the screenshot:

Additional lines will appear (see screenshot below). This will allow you entering additional information about other EWS (or other indicators that allow multiple lines of information).

Please note that you can also collapse these lines if you wish by clicking the "minus" sign, as illustrated in the screenshot below:

Troubleshooting

I encounter the following message: *"The value you entered in not valid. A user has restricted values that can be entered into this cell"*. **What should I do?**

Most of the cells have been configured to allow only specific data to be entered (i.e. from a drop-down list, percentage, number within a specific range etc.). Make sure that the data you entered comply with these requirements.