



ADAPTATION FUND

Extract from AFB/EFC.24/4/Rev.1

**STRATEGIC RESULTS FRAMEWORK
(AMENDED IN MARCH 2019)**

Introduction

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.1). 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. As part of the implementation plan, the Board requested that a monitoring and evaluation framework and guidelines for final evaluations be developed.

The RBM framework includes monitoring the efficiency and effectiveness of the Adaptation Fund (the Fund), or process monitoring, which assists the Board in tracking efficiency and effectiveness based on the set indicators and targets. Process monitoring takes place on an ongoing basis to track whether the Fund's portfolio is being implemented as intended, standards are being met, and resources are being used efficiently.

The current RBM approach operates at three main levels:

- Conference of Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) and Conference of Parties serving as the meeting of the Parties to the Paris Agreement (CMA)
- Portfolio (Fund-level)
- Projects/ Programme level

The Fund-level results framework includes seven key outcomes and associated outputs to facilitate aggregation and to present Fund level results that contribute to the overall goal and objectives of the Fund. The Fund's RBM system defines a goal as "the higher- order objective to which a development intervention is intended to contribute", impacts are defined as "positive and negative long-term effects on identifiable population groups produced by a development intervention;" and outcomes are "the intended or achieved short-term and medium-term effects of an intervention's outputs, usually requiring the collective effort of partners;" while outputs are "the products and services which result from the completion of activities within a development intervention". Indicators for Fund level processes will be tracked and reported annually. These indicators will take into consideration strategic relevance, role/contribution to the mandate of the Fund and relevance to the guidance of the CMP and CMA.

At the project/programme-level, monitoring is carried out by project executing entities, supervised by national implementing entities (NIEs), multilateral implementing entities (MIEs) and regional implementing entities (RIEs). Here, project and programme level objectives should align with those outlined for the Fund.

At the thirtieth Adaptation Fund Board meeting in October 2017, the Board adopted the MTS, as contained in the Annex 1 of the document AFB/B.30/5/Rev.1, and at its thirty-first meeting the Board adopted the Implementation Plan of the MTS (AFB/B.31/5/Rev.1). The MTS organizes activities primarily along the three strategic foci (pillars): action, innovation, and learning and sharing, and has four cross-cutting areas: i) Engaging and empowering the most vulnerable communities and social groups; ii) Advancing gender equality and the empowerment of women and girls; iii) Strengthening long-term institutional and technical capacity for effective adaptation; and iv) Building complementarity and coherence with other climate finance delivery channels.

The MTS mentions that during the implementation phase of the strategy (2018-2022), the Fund will improve its RBM system by adding indicators and targets for operational processes, organizational culture, and strategic competencies. The Fund will also endeavor to render its RBM system more inclusive and integrate key principles of Adaptive Management.

Further, the MTS states that it constitutes the Fund’s highest-level Results Framework for the 2018-2022 period (see Annex 1) and, as such, is the basis against which the Fund will be evaluated for both learning and accountability purposes.

At its 32nd 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 review of the Strategic Results Framework of the Adaptation Fund, approved by the Board in decision B.10/13, to reflect the progress made by the Adaptation Fund (Decision B.32/25).

In light of the ad hoc readiness results framework and MTS new strategic areas, it is important to consider whether the current RBM system is comprehensive enough or needs to be revised in accordance with the new pillars of the MTS. The MTS includes a theory of change that combines the Sustainable Development Goal (SDG) 13 with the Paris Agreement, which can be considered a high level framework to which the Adaptation Fund can contribute in the Adaptation part and a summary framework (Annex 1), which constitutes a medium level tool for reporting the results of the Adaptation Fund following the three pillars of Action, Innovation, and Learning & Sharing and the MTS cross-cutting themes.

In the Strategic Results Framework, the higher goal *“Assist developing country Parties to the Kyoto Protocol and the Paris Agreement 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”* and impact at fund level *“Increased resiliency at the community, national, and regional levels to climate variability and change”*, lay out objectives and priorities, supporting the measurement of results, and help demonstrate contributions to higher level goals, for example the CMP and CMA goals. Accordingly, while the fund level goal and impact are deemed still valid, it was important to include additional outcomes, outputs and outcome/output indicators as relevant, to present the Fund level results framework that contribute to the overall goal and objectives of the Fund, in accordance to the MTS framework.

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

These five indicators are:

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 assets protected or rehabilitated

Revision of the Strategic Results Framework and Adaptation Fund Level Effectiveness and Efficiency Results Framework

As outlined in the OPG Annex 4 “Instructions for Preparing a Request for Project or Programme Funding from the Adaptation Fund”, any project or programme must align with the Fund’s results framework and directly contribute to the Fund’s overall objective and outcomes outlined. Not every project/programme outcome will align directly with the Fund’s framework but at least one outcome and output indicator from the Adaptation Fund’s Strategic Results Framework must be included at the project design stage.

The below table presents the current Strategic Results Framework of the Adaptation Fund approved in March 2019, through Board Decision B.33/46.

STRATEGIC RESULTS FRAMEWORK OF THE ADAPTATION FUND	
EXPECTED RESULTS	INDICATORS
Goal: Assist developing country Parties to the Kyoto Protocol and the Paris Agreement 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 targeted institutions 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
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

Annex 1: Summary Framework of the Adaptation Fund’s Medium-Term Strategy 2018-2022.

