



ADAPTATION FUND

Results Based Management in the Adaptation Fund

Readiness National Implementing Entities Annual Seminar

28 September 2022

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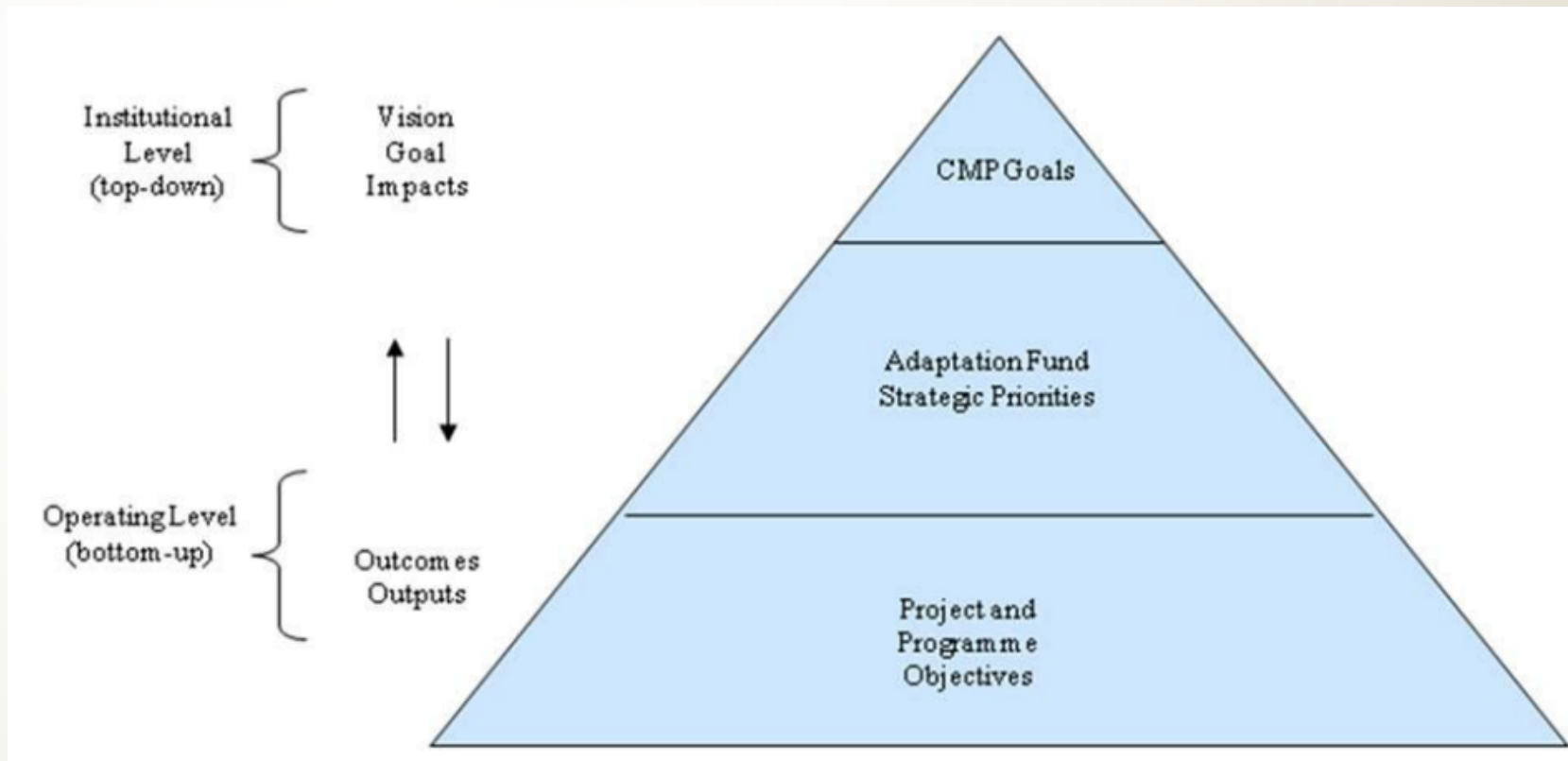
Adaptation Fund Board Secretariat



Results Based Management Approach

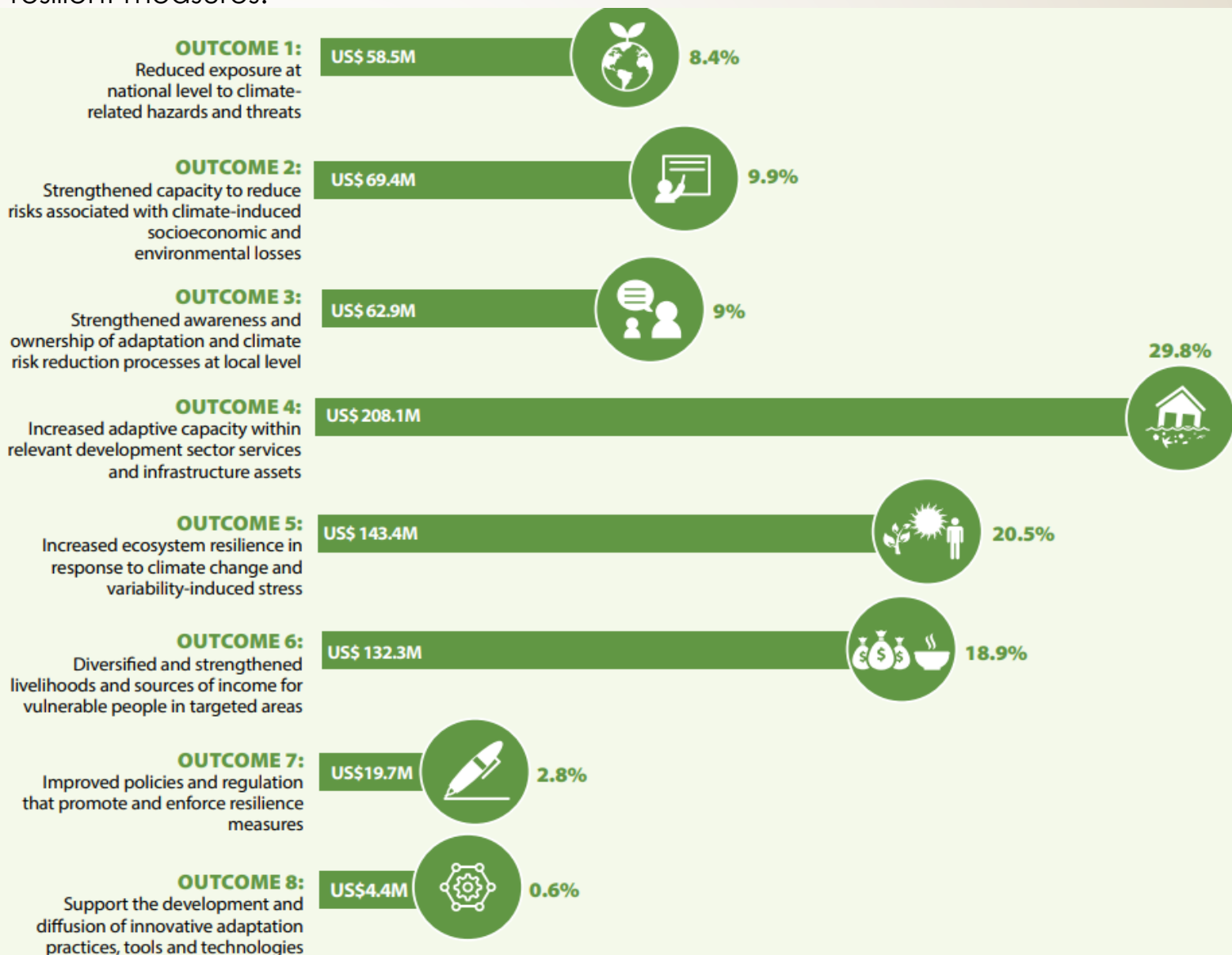
The current RBM approach operates at **three main levels**:

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



Fund Level Strategic Results Framework

Goal: Assist developing country Parties to the KP and the PA 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.




Following Board Decision B.38/43, a revised outcome 8 and associated outputs of the Strategic Results Framework (SRF) is available in document [AFB/PPRC.29/44](#)

Outcome 8: Support the development and diffusion of innovative adaptation practices, tools and technologies

8.1 No. of new, adapted or improved adaptation solutions developed contextually and with the inclusion of the communities most vulnerable to climate change

8.2 No. of key findings on effective, efficient adaptation practices, products, and technologies generated and/or “learning and sharing” innovation initiatives undertaken

8.3 No. of individuals or organizations (disaggregated by gender) that submit an application to an innovation competition or challenge



Fund Level Strategic Results Framework- Outcome 8 updated (October 2021)

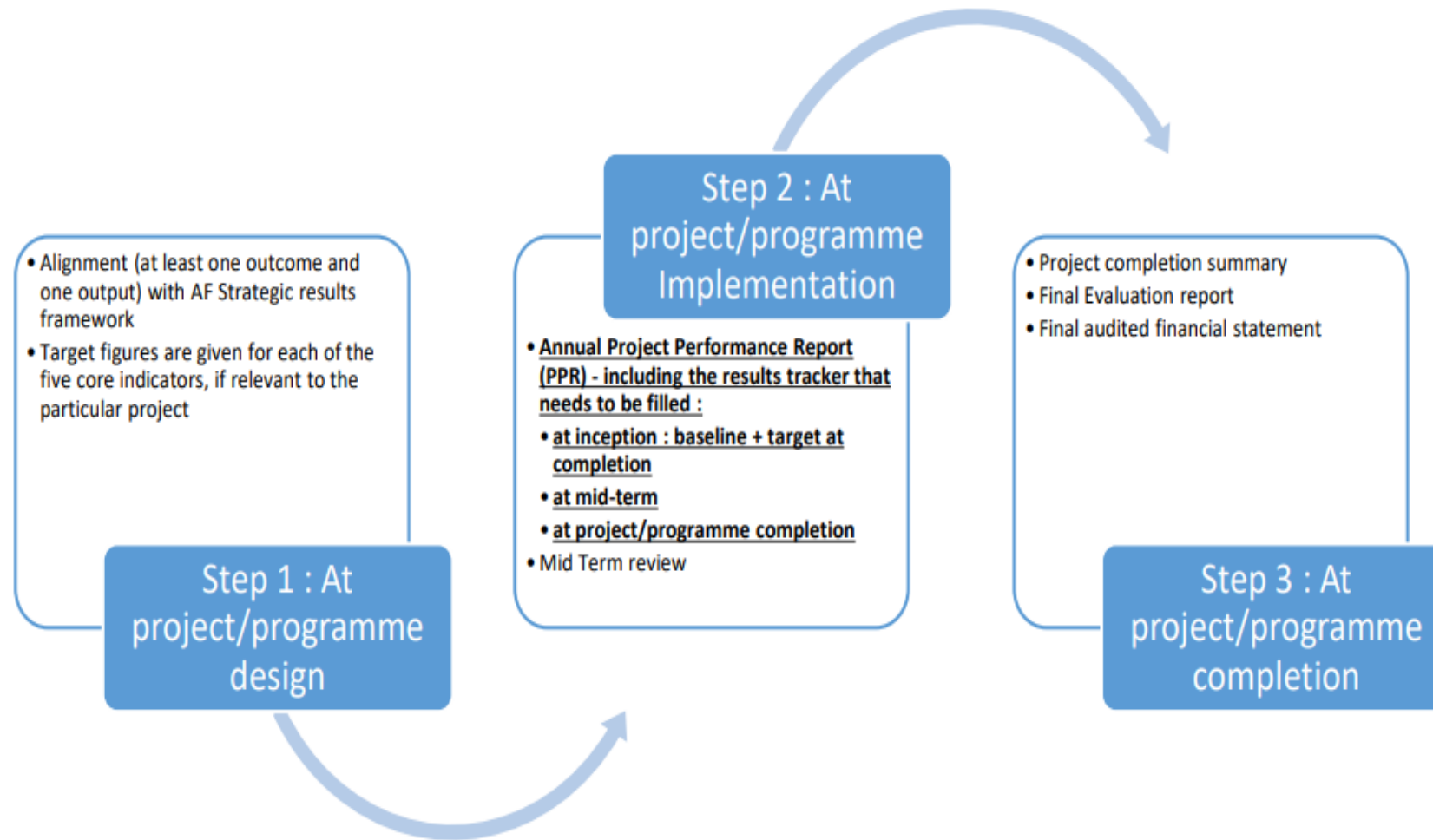
Guidance to IEs for the Application of Innovation Indicators:
https://www.adaptation-fund.org/wp-content/uploads/2022/03/AFB.PPRC_.29.44-Guidance-to-IEs-for-inclusion-of-objectives-and-Indicators-for-Innovation.pdf

Core Impact 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 assets protected or rehabilitated



Fund Level
Strategic
Results
Framework



Adaptation
Fund Results
Based
Management
System



Project Performance Reports: on an annual basis



Project completion summary report, including any specific Project implementation information, within six (6) months after Project completion



Mid-term review or evaluation report, for projects of 4-year duration or more



Final evaluation report, prepared by an independent evaluator. Shall be submitted within 9 months after Project completion. Copies of these reports shall be forwarded by the IE to the Designated Authority for information; and



Final audited financial statement, prepared by an independent auditor or evaluation body, within 6 months of the end of the IE's financial year during which the Project is completed



The reporting process fits into a broaden **Results Based Management** scheme at Fund's level



Reporting
requirements
at a glance

Section 1: Project
Milestones

Section 2: Financial
Information

Section 3 :
Procurement

Section 4: Risk
Management

Section 5:
Environmental and
Social Policy (ESP)
compliance

Section 6:
Gender Policy
(GP)
compliance

Section 7: Rating

Section 8: Project
Indicators

Section 9:
Lessons
learned

Section 10: Results
Tracker



PPR
Template

- Projects/programmes with **more than 4 years** of implementation funded by the Adaptation Fund will be evaluated at their mid point of implementation
- Should be prepared by an independent evaluator, independent from project/programme management, but selected by the Implementing Entity.
- Should contain information on:
- Mid-term evaluations should assess at a minimum:
 - Initial outputs and results of the project
 - Quality of implementation, including financial management
 - Assumptions made during the preparation stage, particularly objectives and agreed indicators, against current conditions
 - Factors affecting the achievement of objectives
- The mid-term evaluations should be prepared **no later than 6 months after the mid point of the project** and send to the AF Secretariat.



Mid-term
evaluations

- Final Evaluations should assess at a minimum:
 - i. **Achievement of outcomes**, including ratings and with particular consideration of achievements related to the proposed concrete adaptation measures, if applicable;
 - ii. Likelihood of **sustainability** of outcomes at project completion, including ratings;
 - iii. Contribution of project achievements to the Adaptation Fund targets, objectives, impact and goal, including report on AF standard/core indicators; and
 - iv. Assessment of the **M&E systems** and its implementation.
- Final Evaluations shall be prepared and submitted to the Fund's Secretariat **within nine (9) months** after project completion.




Terminal
evaluations

- Covers the entire project timeframe.
- Gives the IEs the opportunity to express and share insights from the project implementation.
- Provides information on **lessons learned** (best practices, adaptive management, what worked during the implementation and what did not, what corrective actions were taken during implementation).
- Informs on **sustainability, scalability and replicability**.



Project
completion
summary

- Mid-term Evaluations can provide a good base for:
 - i. Changes within the project/programme log-frame to better reflect the goal and ground-level reality;
 - ii. A **reinforcement of the monitoring plan**;
 - iii. Revisions of budget allocation;
 - iv. Thinking if the project/programme strategies in place to ensure outcomes' long-term **sustainability**, KM dissemination, stakeholder engagement, among others, are effective (both in the Mid-term and Final Evaluations).
- Final Evaluation can provide a base for:
 - i. Thinking about possibilities to further **improve future initiatives**;
 - ii. **Assess the scalability/replicability** of the existing project/programme.
- Cross-check the information on actual results reported in the final PPR, project completion summary and terminal evaluation
- Annually report on **efficiency and effectiveness indicators, core indicators and actual results** in the Annual Performance Report



Ensure
effectiveness
in evaluation
reports and
results
management

RBM Guiding Documents and Policies



Policy for Projects and Programmes Delays:

<https://www.adaptation-fund.org/wp-content/uploads/2013/07/Project-delays-policy-Amended-October-2017.pdf>



Project Performance documents: <https://www.adaptation-fund.org/projects-programmes/project-performance/>

Report (PPR) guidance document: <https://www.adaptation-fund.org/wp-content/uploads/2020/03/Guidance-Document-to-Complete-PPR-2.pdf>



Guidelines for project/programme final evaluations, available at: <http://www.adaptation-fund.org/document/guidelines-projectprogramme-finalevaluations;>




OPG Annex 7, project/programme implementation available at: <https://www.adaptation-fund.org/wp-content/uploads/2017/11/OPG-ANNEX-7-Project-Programme-Implementation-Approved-Oct-2017.pdf>

Thank You



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