



ADAPTATION FUND

Developing the theory of change and elaborating a logical framework

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Theory of Change



Not mandatory – but recommended as it helps you articulate the adaptation reasoning, and the logical framework



No mandated template for the TOC diagram- choose the one that works best for you and the project rational

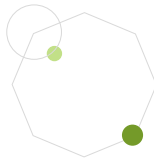
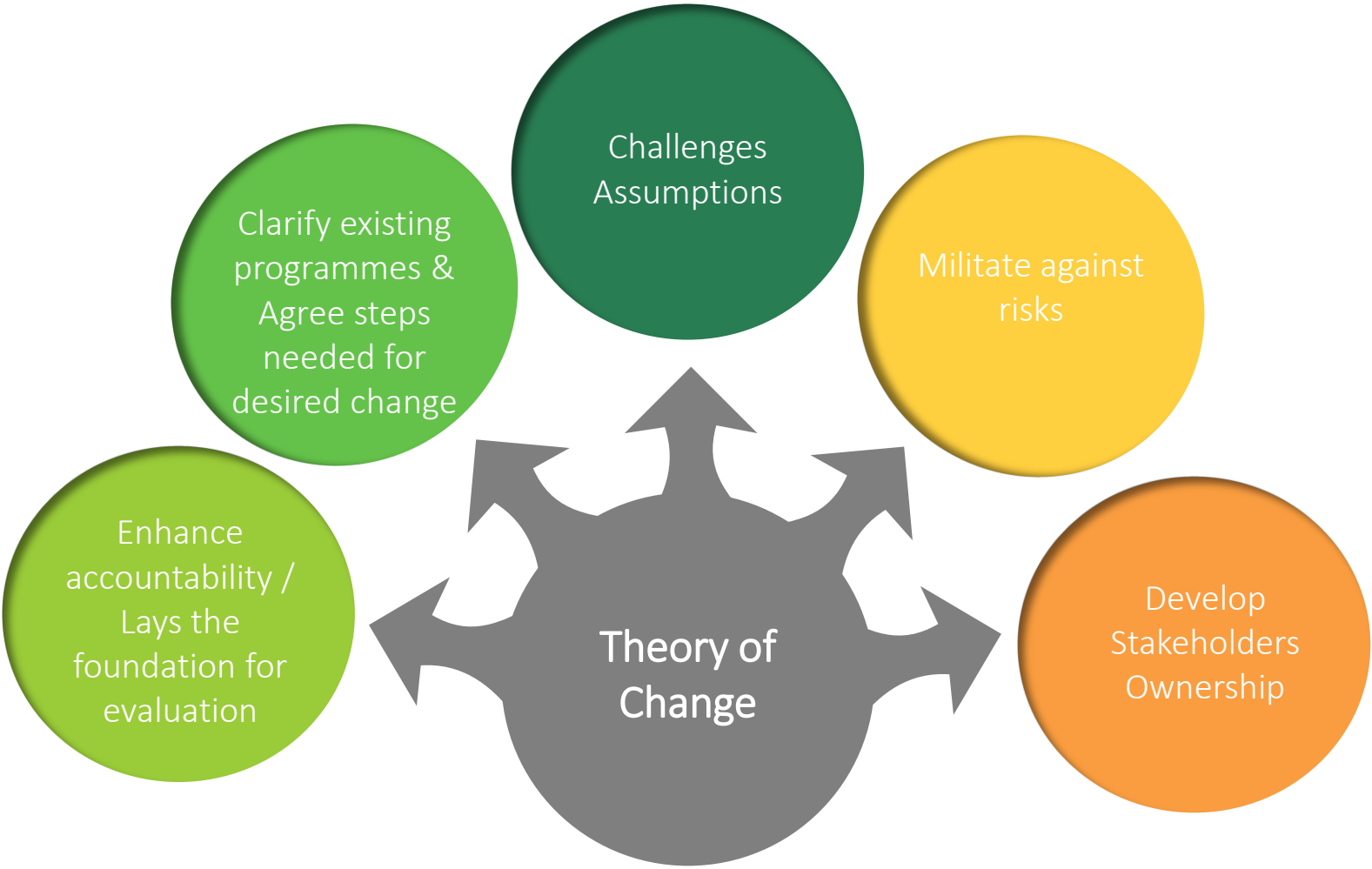


A TOC lays the foundation for evaluation, which will test whether your project has achieved what was intended.



THEORY OF CHANGE

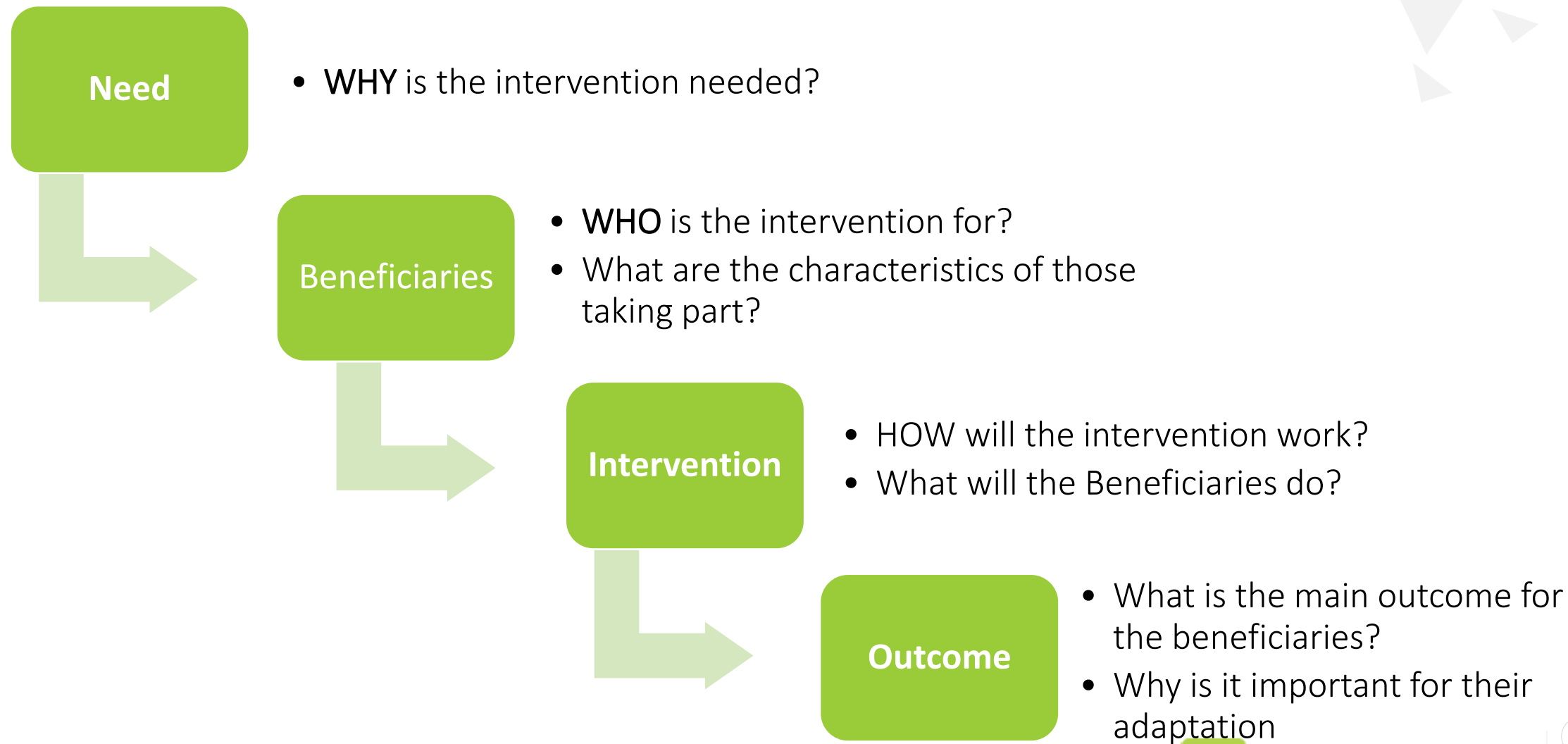
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Key Principles to think about when developing a TOC

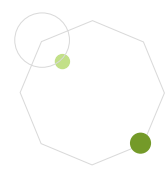
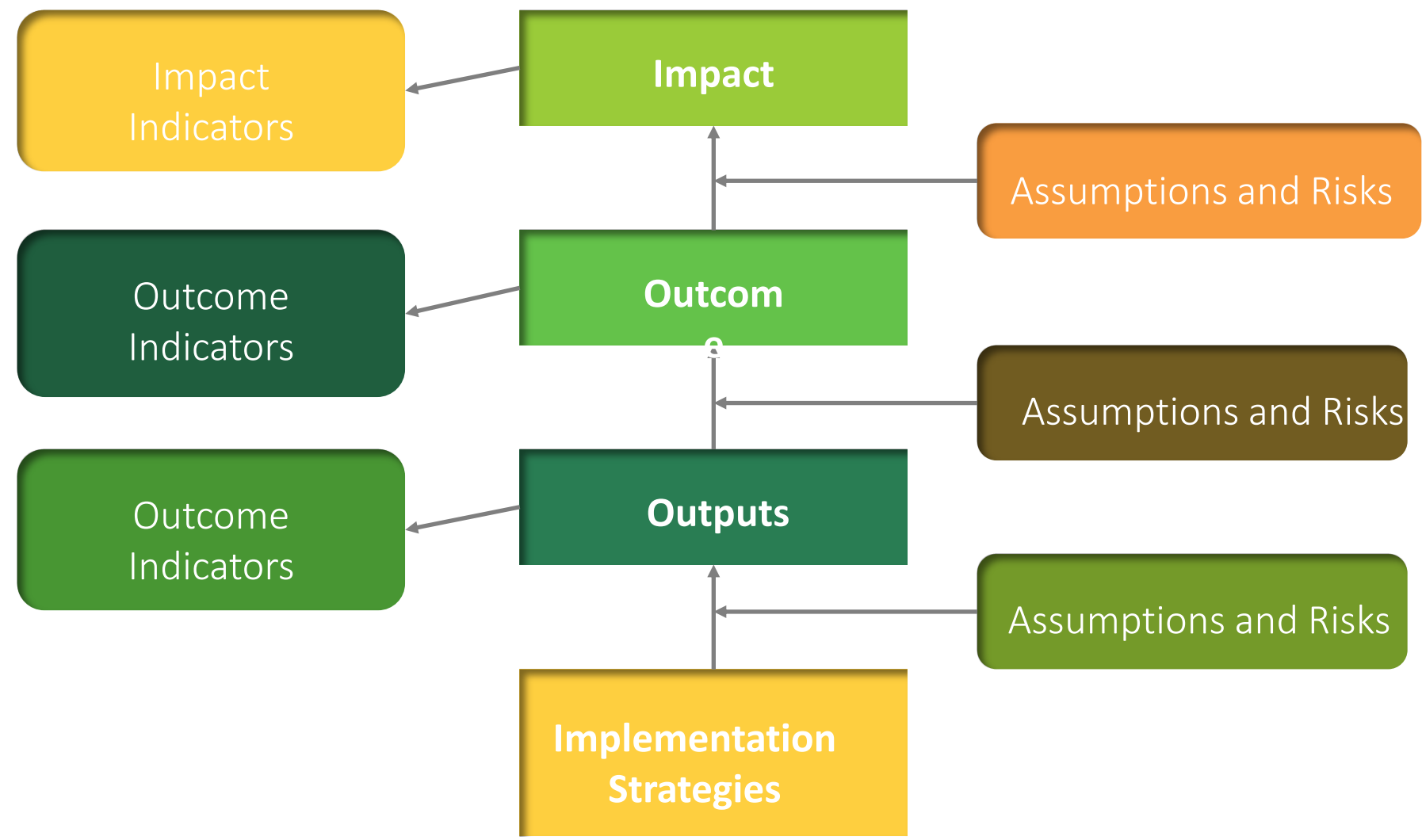
- The theory of change should include information on why a project or activity is needed and why it will add value; what the activity is, how it works, and who it is for; and what are the intended outcomes.
- Intended outcomes should be both short-term and long-term, and focused on addressing the adaptation needs. These should be both plausible and measurable.
- A theory of change should be based on scientific evidence. This will help to challenge any assumptions you have made about why or how an activity or service works to improve outcomes.





THEORY OF CHANGE

Schematic Depiction of Theory of Change



LOGICAL FRAMEWORK FOR THE ACTION				
	Intervention Logic	Objectively Verifiable Indicators of Achievement	Sources and Means of Verification	Assumptions
Overall Objective	What <u>is</u> the overall broader objectives to which the action will contribute?	What are the key indicators related to the overall objective?	What are the sources of information for these indicators?	Which external factors and conditions are necessary for the action to contribute to the overall objective?
Specific Objectives	What specific objectives are the actions intended to achieve to continue to the overall objective?	Which indicators clearly show that the objectives of the actions have been achieved?	What are the sources of information that exist or can be collected? What are the methods required to get this information?	Which factors and conditions outside the Beneficiaries' responsibility (external conditions) are necessary to achieve the objectives? Which risks should be taken? into consideration?
Expected Results	What are the outputs envisioned to achieve the specific objectives? List the expected results.	What are the indicators to measure whether / to what extent the action achieves the expected results?	What are the sources of information for these indicators?	What external conditions must be met to obtain the expected results on schedule?
Activities	What are the key activities to be carried out in order to produce the expected results? Group activities by result and in the correct sequence.	Means: What are the means required to implement these activities (e.g., personnel, equipment, training, studies, supplies, operational facilities, etc.)	What are the sources of information for action progress? Costs: What are the action costs? How are they classified? Breakdown the budget for the action.	What pre-conditions are required before the action starts? What conditions outside the Beneficiaries' direct control have to be met for the implementation of the planned? activities?

PROBLEM STATEMENT			EXPECTED RESULTS			MONITORING & EVALUATION			BUDGET
Goal	Objectives	Activities /Inputs	Outputs	Outcomes	Impact	Indicators	Means of Verification	Risks & Assumptions	Costs
Overall Objective	Specific Objective A	Activity 1	Output Outcome Impact			Indicator 1	Means 1	Risk A.1.1	Cost A.1
						Indicator 2	Means 2	Risk A.1.2	
		Activity 2	Output	Outcome	Impact	Indicator 1	Means 1	Risk A.2.1	Cost A.2
						Indicator 2	Means 2	Risk A.2.2	
	Specific Objective B	Activity 1	Output Outcome Impact			Indicator 1	Means 1	Risk B.1.1	Cost B.1
						Indicator 2	Means 2	Risk B.1.2	
		Activity 2	Output	Outcome	Impact	Indicator 1	Means 1	Risk B.2.1	Cost B.2
						Indicator 2	Means 2	Risk B.2.2	
	Specific Objective C	Activity 1	Output Outcome Impact			Indicator 1	Means 1	Risk C.1.1	Cost C.1
						Indicator 2	Means 2	Risk C.1.2	
		Activity 2	Output	Outcome	Impact	Indicator 1	Means 1	Risk C.2.1	Cost C.2
						Indicator 2	Means 2	Risk C.2.2	



What we particularly check for

- ✓ A results framework with **realistic, quantified expected** results with **indicators and targets that are gender responsive and disaggregated by sex as appropriate**.
- ✓ Projects funded through the AF must align with the Fund's results framework and directly contribute to the Fund's overall objective and outcomes outlined. *Refer to the revised AF's result framework <https://www.adaptation-fund.org/wp-content/uploads/2019/10/Adaptation-Fund-Strategic-Results-Framework-Amended-in-March-2019-2.pdf>*
- ✓ 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.

Project Objective(s)	Project Objective Indicator(s)	Fund Outcome	Fund Outcome Indicator	Grant Amount (USD)
Project Outcome(s)	Project Outcome Indicator(s)	Fund Output	Fund Output Indicator	Grant Amount (USD)



The project result framework must include at least the core impact indicator “Number of beneficiaries including estimations for direct and indirect beneficiaries, and at least one additional core indicator from the list below.

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



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 centres 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 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



Useful Material

<https://www.adaptation-fund.org/apply-funding/project-funding/project-proposal-materials/>

Projects & Programmes [Apply For Funding](#) Readiness Knowledge & Learning News & Events Adaptation Fund at COP27 

Apply For Funding

Enhanced Direct Access (EDA)
Projects >

Accreditation >

Project Funding >

Project Proposal Materials

Innovation Funding >

Readiness Grant Funding

Operational Policies &
Guidelines

Designated Authorities

Implementing Entities >

Project Proposal Materials

- [Instructions for Preparing a Request for Project/Programme Funding \(English, French and Spanish\)](#)
- [Approval and Operations Procedures](#) (137 kB, PDF)
- [Adaptation Fund Project/Programme Review Criteria](#) (71 kB, PDF)
- [Request for Project/Programme Funding from Adaptation Fund](#) (Amended in Oct 2017) (181 kB, DOC)
- [Government Endorsement Letter Template](#) (Submitted through NIEs/RIEs/MIEs) (25 kB, DOC)
- [Guidance document for Environment and Social Policy \(English, French and Spanish\)](#)
- [Guidance Document for Project/Programme with Unidentified Sub-Projects \(English, French and Spanish\)](#)
- [Gender Guidance Document for Implementing Entities on Compliance with the Adaptation Fund Gender Policy](#) (Updated in 2022)

For Fully-Developed Proposals

- [Results Framework Alignment Table](#) (Amended in March 2019) (77 kB, DOC)
- [Submission Instruction Guide](#) (Amended in Oct 2017) (105 kB, PDF)
- [Template for Fully Developed Project Proposals](#) (Amended in Oct 2017) (181 kB, DOC)
- [Disbursement Schedule Template](#) (18 kB, XLS)
- [Methodologies for reporting Adaptation Fund core impact indicators](#) (78 kB, DOC)
- [Methodologies for reporting Adaptation Fund core impact indicators](#) (152 kB, PDF)

For Concept Submissions

- [Template for Concept Note Project Proposals](#) (Amended in Oct 2017) (181 kB, DOC)
- [Submission Instruction Guide](#) (Amended in Oct 2017) (105 kB, PDF)

For NIE Proponents – to Submit Along with Concept Proposal

- [Request for Project Formulation Grant \(PFG\)](#) (57 kB, DOC)

For Submissions for Regional Projects

- [Regional Fully Developed Project Proposal Template](#) (DOC)
- [Regional Concept Note Proposal Template](#) (DOC)
- [Regional Project Pre-Concept Note Template](#) (DOC)
- [Call for proposals of Regional Projects](#) (PDF)



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Thank you!

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