



ADAPTATION FUND

Results Based Management and Strategic Results Framework in the Adaptation Fund Session 6.1

Readiness NIE Annual Seminar

Dominican Republic – 13 September 2023

Martina Dorigo

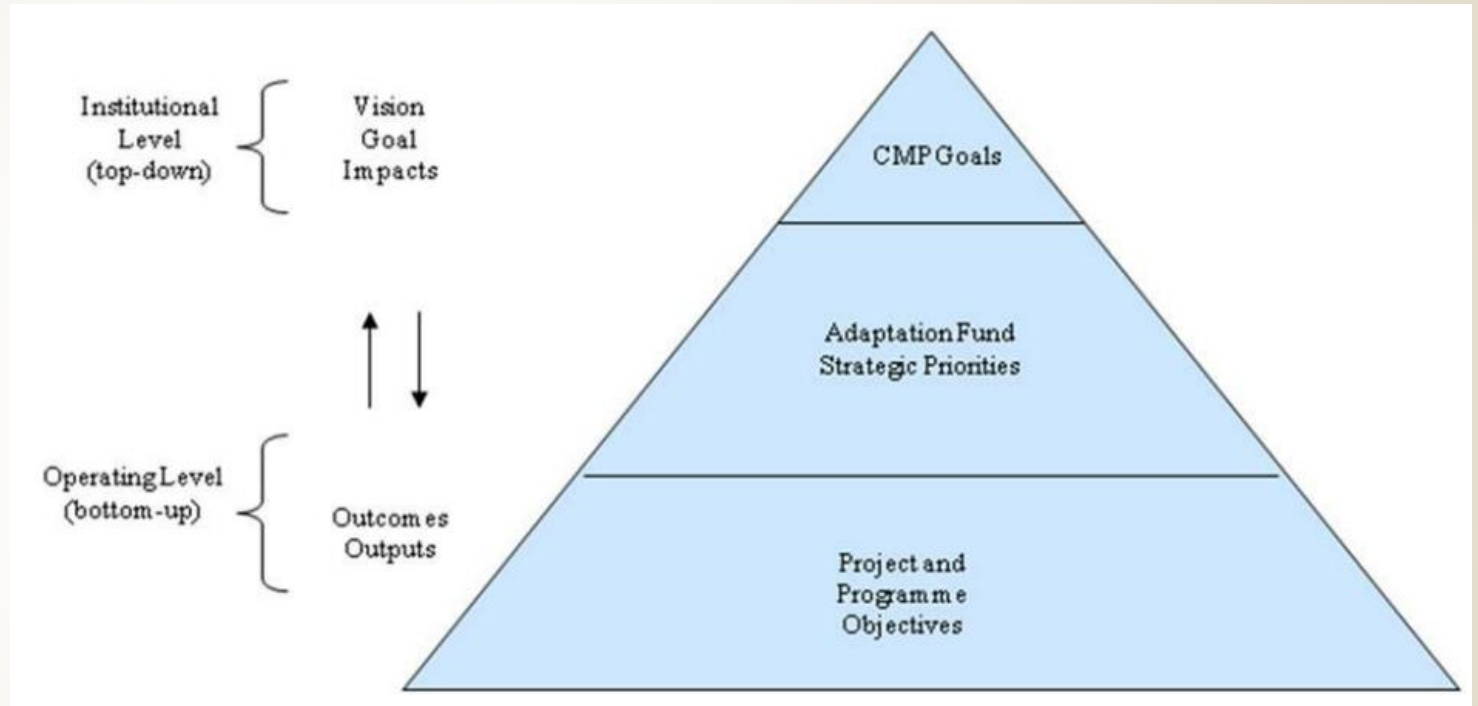
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Results Based Management Approach

- 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



Investments at Fund Level Strategic Results Framework level

► **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.

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

► The Fund is currently in the process of **revising the SRF** for a better alignment with new MTS (2023-2027)

Fund Outcome	Total US\$ millions	% of the total portfolio
Outcome 1: Reduced exposure at national level to climate-related hazards and threats	67.4	8.1
Outcome 2: Strengthened capacity to reduce risks associated with climate-induced socioeconomic and environmental losses	80.8	9.7
Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level	78.4	9.4
Outcome 4: Increased adaptive capacity within relevant development sector services and infrastructure assets	240.5	28.9
Outcome 5: Increased ecosystem resilience in response to climate change and variability-induced stress	164.9	19.8
Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas	165.4	19.9
Outcome 7: Improved policies and regulation that promote and enforce resilience measures	25.1	3
Outcome 8: Support the development and diffusion of innovative adaptation practices, tools and technologies	8.9	1.1

Figures up to 30 June 2023

Fund Level Strategic Results Framework Outcome 1- 3

EXPECTED RESULTS	INDICATORS
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) 1.2 No. of early warning systems (by scale) and no. of beneficiaries covered and scale)
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

Fund Level Strategic Results Framework Outcome 4 - 7

EXPECTED RESULTS	INDICATORS
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


Following Board Decision B.38/43, a revised outcome 8 and associated outputs of the Strategic Results Framework (SRF) was approved (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

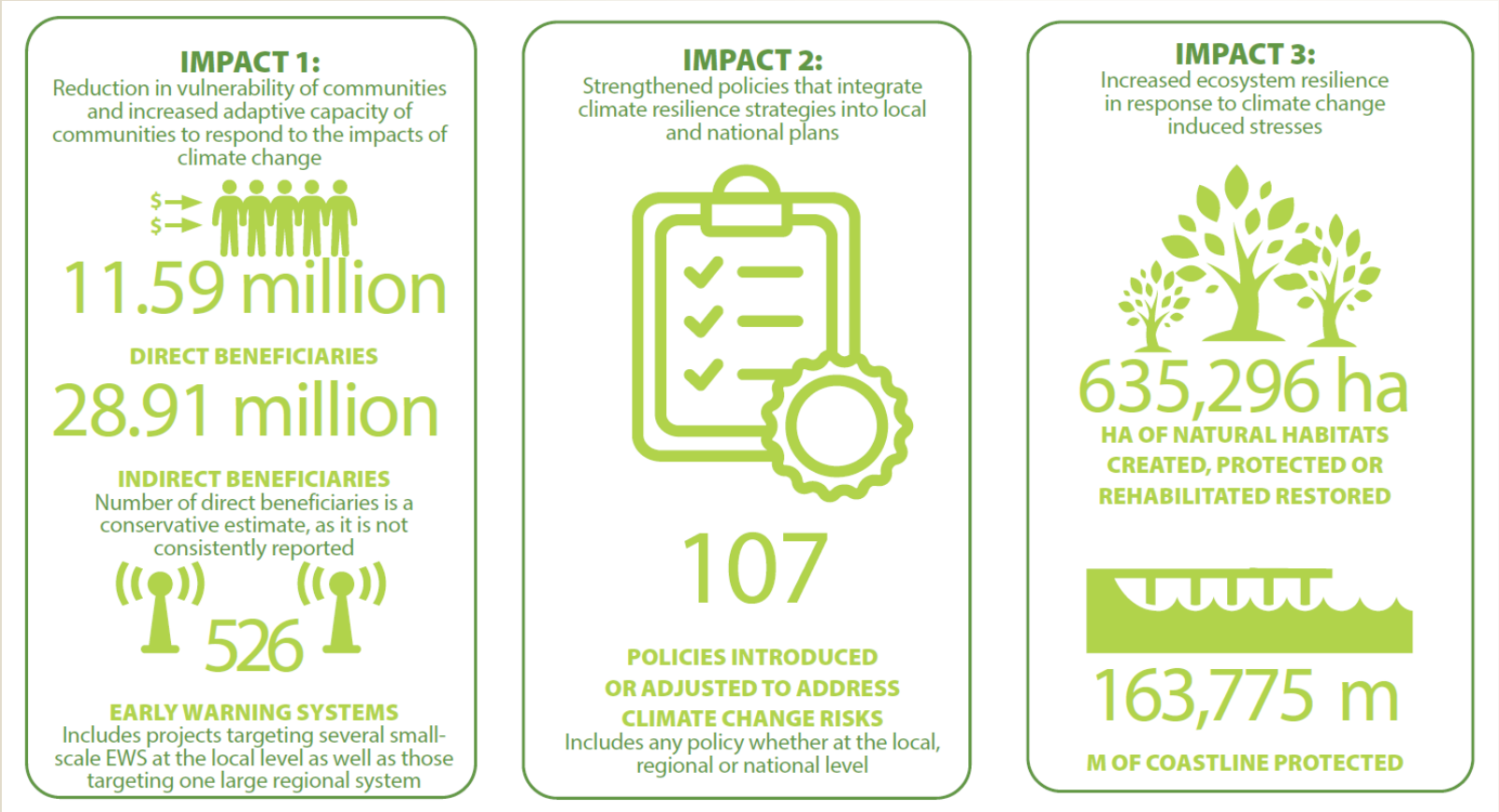
Core Impact Indicators

Core Indicators
Number of beneficiaries (direct and indirect) – <i>overarching</i>
Number of Early Warning Systems (<i>linked to output 1.2</i>)
Assets produced, developed, improved, or strengthened (<i>linked to outcome 4</i>)
Increased income, or avoided decrease in income (<i>linked to output 6</i>)
Natural assets protected or rehabilitated (<i>linked to output 5</i>)



Fund Level
Strategic
Results
Framework

Core Impact Indicators




Aggregated
core
indicators as
of 30 June
2023

Instructions for preparing a project proposal

➤ Section F - Demonstrate how the project / programme aligns with the Results Framework of the Adaptation Fund

➤ In addition, projects need to include two core impact indicators

Project Objective(s)	Project Objective Indicator(s)	Fund Outcome	Fund Outcome Indicator	Grant Amount (USD)
Strengthened ability of coastal communities to undertake concrete actions to adapt to climate change-driven hazards	Number of risk-exposed coastal communities protected through adaptation measures	Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic & environmental losses	2.2 No. of people with reduced risk to extreme weather events	500,000
Strengthened ability of coastal communities to make informed decisions about climate change-driven hazards affecting their specific locations	Number of communities with improved climate-related planning and policy frameworks in place	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	250,000
Project Outcome(s)	Project Outcome Indicator(s)	Fund Output	Fund Output Indicator	



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, for the disbursement of the next tranches of funding.

The results tracker fits within a broader series of reporting requirements that projects have to comply with, as per the Fund's Results Based Management and Monitoring and Evaluation policies.

Project design stage:

The project-level results be aligned at least with one outcome and one output of the AF SRF and to two core impact indicators.


Project implementation:

PPR submitted on an annual basis includes a results tracker which needs to be filled:

- (i) at inception
- (ii) at mid-term
- (iii) at project completion

Project completion:

Each project should provide a final PPR, project completion summary, final evaluation report and audited financial statement.



RBM Guiding Documents and Policies


- Strategic Results Framework (amended in 2019):
<https://www.adaptation-fund.org/wp-content/uploads/2019/10/Adaptation-Fund-Strategic-Results-Framework-Amended-in-March-2019-2.pdf>
- Results Tracker Guidance Document: https://www.adaptation-fund.org/wp-content/uploads/2019/10/Results-Tracker-Guidance-Document-Updated_July-2019.pdf
- Methodologies for Reporting Adaptation Fund Core Indicators: <https://www.adaptation-fund.org/wp-content/uploads/2016/04/AF-Core-Indicator-Methodologies.pdf>
- Annual Performance Report for FY2022: https://www.adaptation-fund.org/wp-content/uploads/2022/09/AFB.EFC_30.3-Annual-Performance-Report-for-FY22_final-1.pdf


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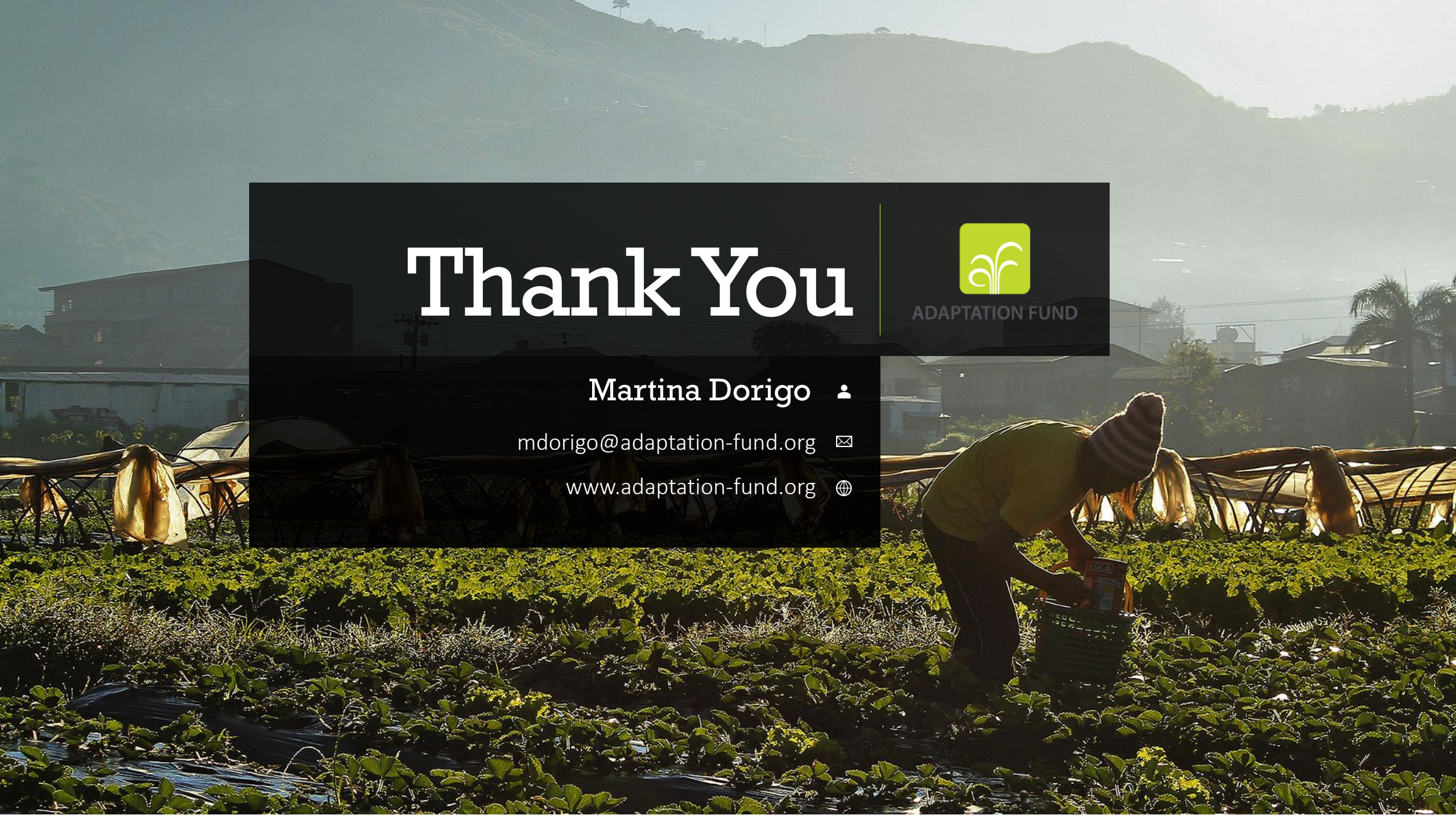


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Group exercise Session 6.1

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1. When designing projects/programmes proposals, what are/were the challenges encountered:
 - a. Aligning proposals with the AF Strategic Results Framework (see part III F of the [instructions for preparing a request for project/programme funding](#));
 - b. Assigning targets and baselines for Core Indicators.
2. When implementing projects/programmes, what are/were the challenges encountered:
 - a. Monitoring and reporting on Core Indicators;
 - b. Using the PPR results tracker.
3. Would you have any suggestions on how the Fund could:
 - a. Facilitate alignment of projects/programmes proposals with the AF strategic Results Framework at project design;
 - b. Facilitating monitoring and/or reporting on Core Indicators.
 - c. Improve its PPR results tracker?

