



ADAPTATION FUND

# IS THE PROJECT/PROGRAMME ALIGNED WITH AF'S STRATEGIC RESULTS FRAMEWORK (SRF)?

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# Overview

- **1** • **Background**
- **2** • **Findings from Analysis and Consultations**
- **3** • **Revised Core Indicators**
- **4** • **Next Steps**

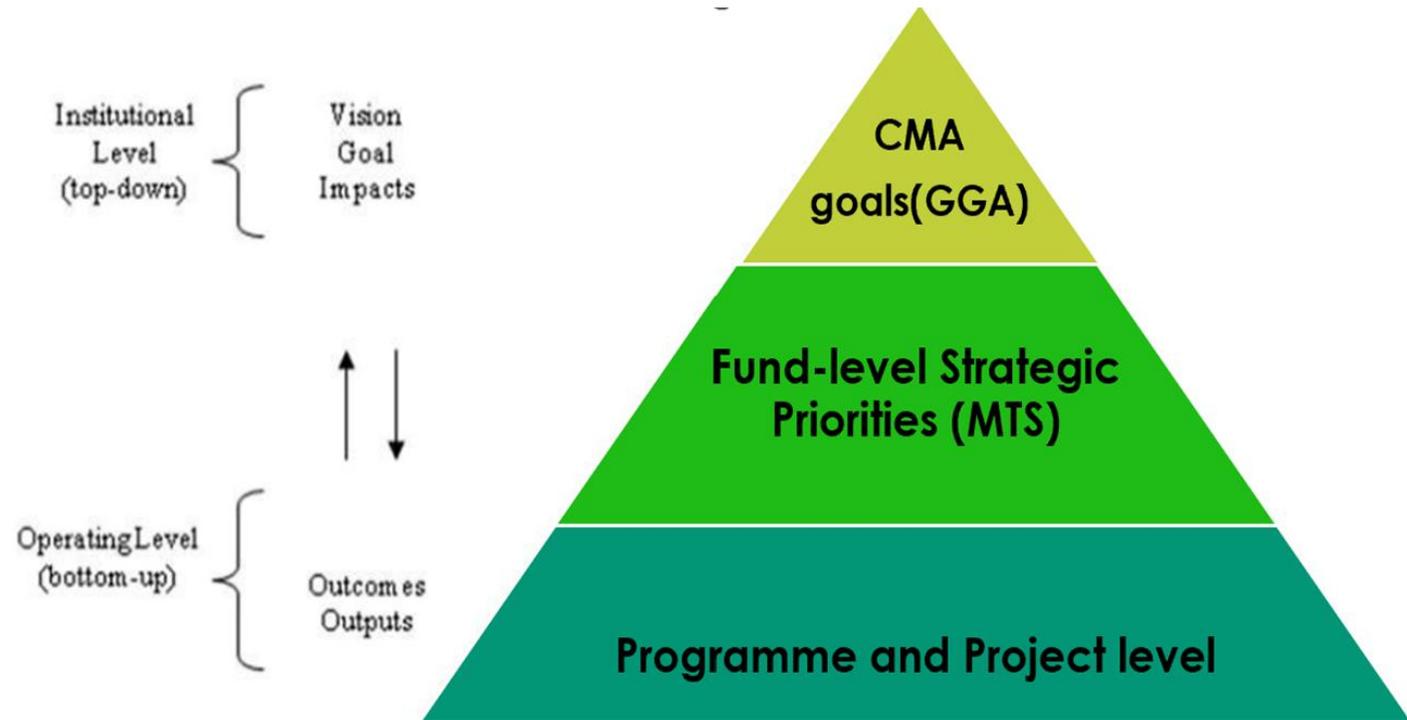


# BACKGROUND



# Results-Based Management System

- The current RBM approach operates at **three main levels**:
- Conference of Parties serving as the meeting of the Parties the Paris Agreement (CMA).
- Portfolio (Fund-level) ensuring alignment with the AF strategic priorities (MTS).
- Projects/ Programme level.



# Value preposition for RF

Approval

Alignment to global processes  
(KP/PA)

Alignment with MTS, SRF, EP, ESP,  
GP, etc

Adaptation rational –Bankability

Implementation

Performance Monitoring and  
Reporting System

Integrate Evaluation into the  
project cycle

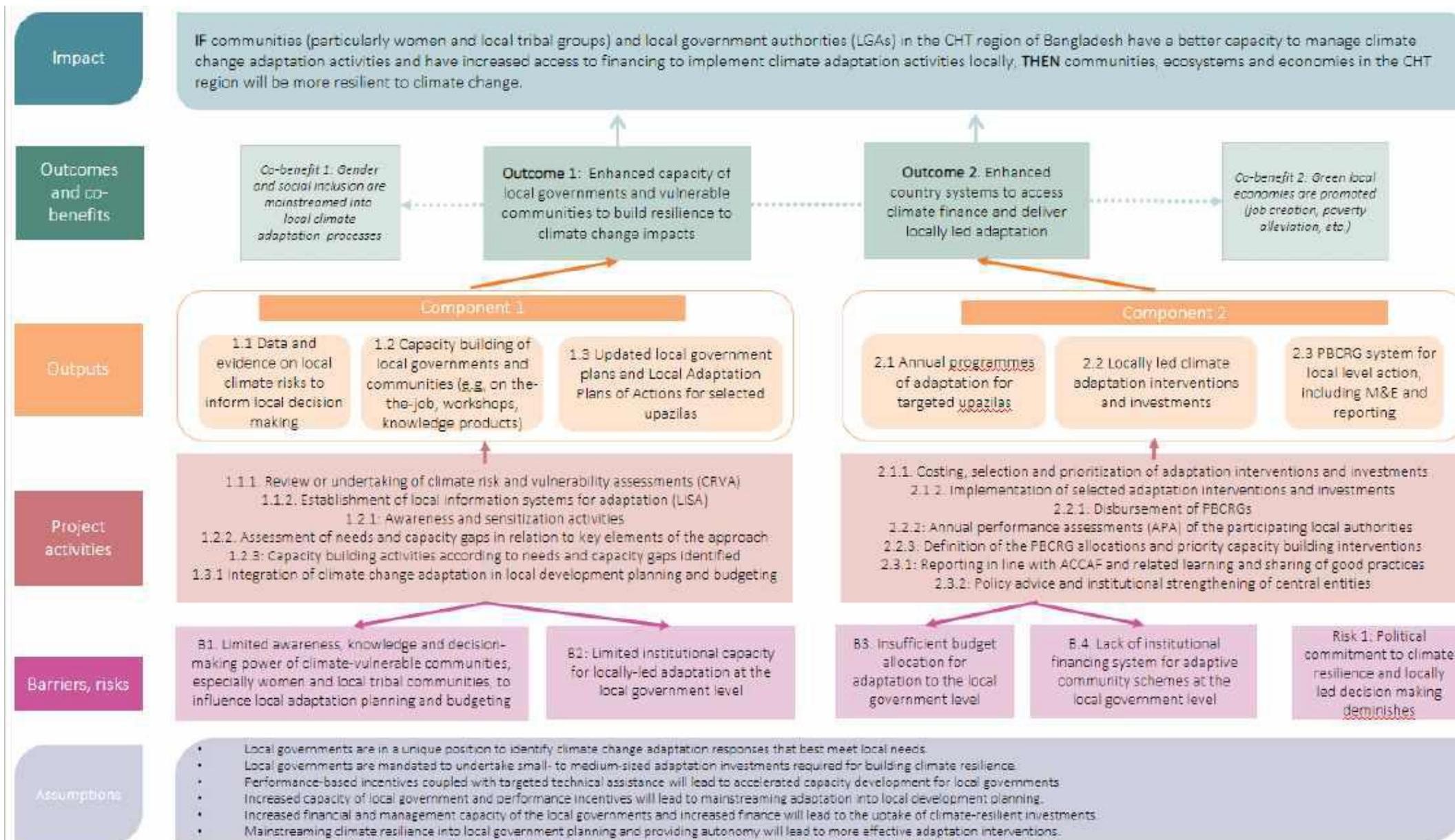
Basis for Project Performance  
Report (PPR) development

Post  
implementation

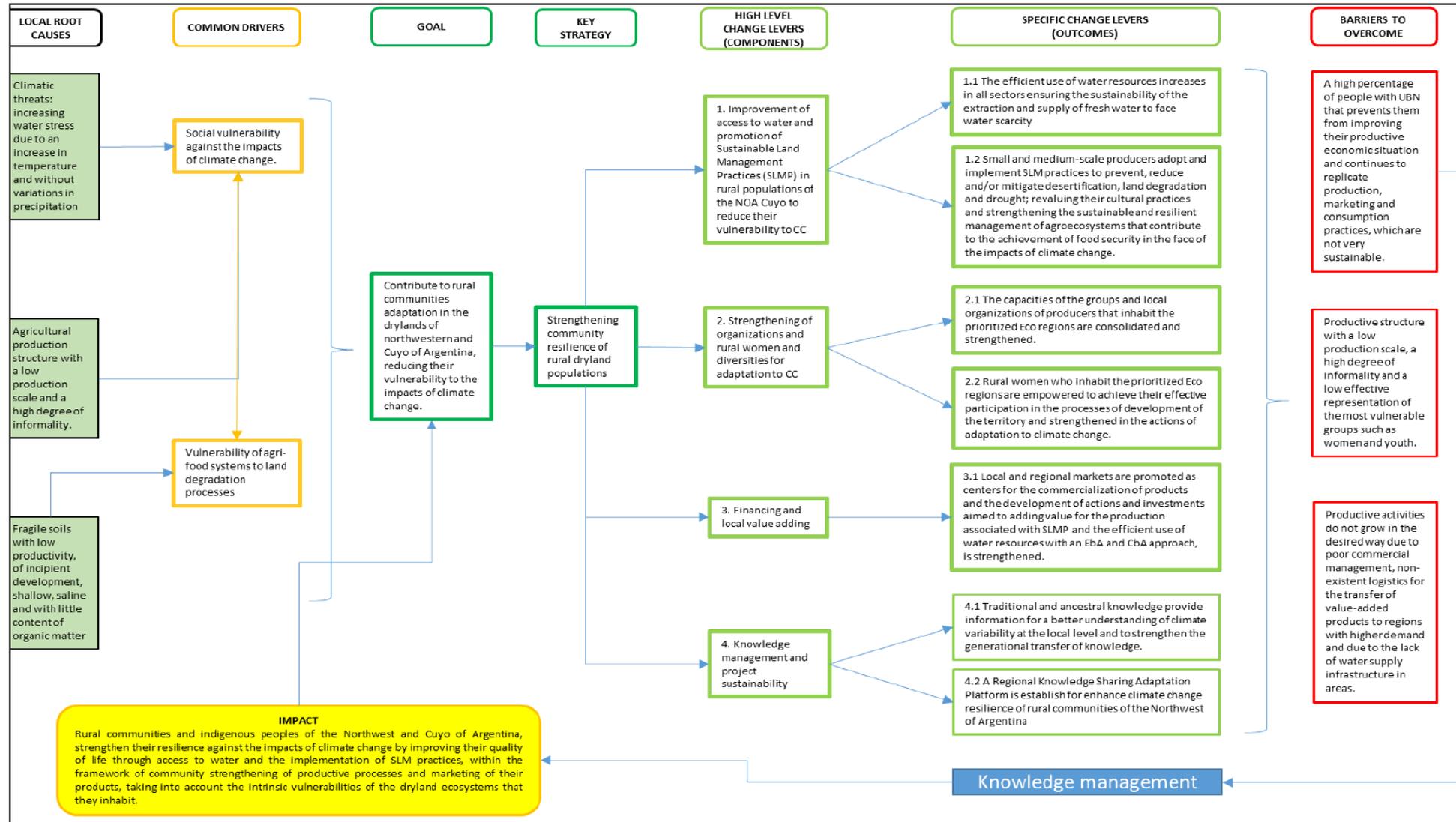
M&E – Reaccreditation

Scaling up the project

# A. What comes to mind when you see something like this?



# B. What comes to mind when you see something like this?



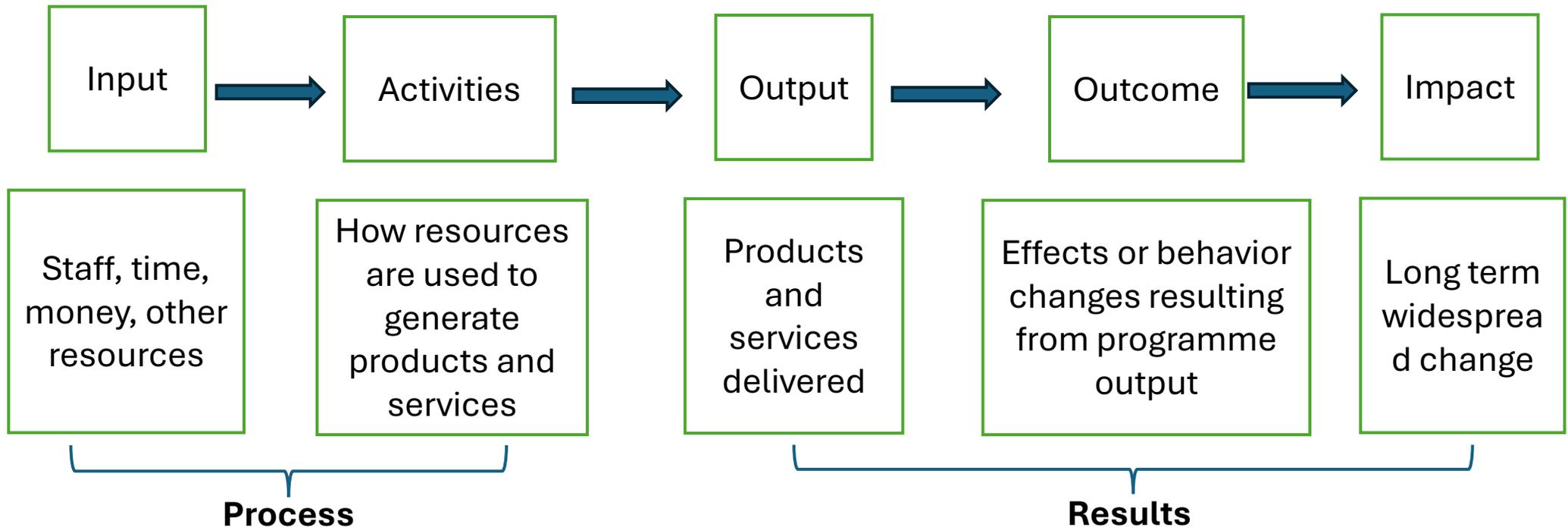
# Theory of Change driving SF system thinking

- ❑ **Theory of Change (ToC):** Describes how project interventions drive change in a specific context.
  - ❖ Utilizes critical thinking in project design, implementation, and evaluation.
  - ❖ Based on evidence like PEST analysis, gender analysis, and evaluations.
  - ❖ **ToC** shows a hierarchy of results - causal pathways between actions and short/long-term changes.
- ❑ A good ToC sets the foundation for the **Results Framework (RF)**.
- ❑ **RF** defines project's expected impact, outcomes, and outputs to plan and track progress effectively
  - ❖ Breaks down change into **Impact → Outcome → Outputs**
  - ❖ Helps us **track progress and plan better**
  - ❖ Clarifies the project's main deliverables



# Components of RF

- Whilst a ToC gives sight of the ‘bigger picture’, the **RF** zooms in on what the project is going to achieve, and how progress will be measured.
- RF consists of the following elements: **Impact → Outcome → Outputs** with clear Indicators, baselines, milestones and targets, data sources and **assumptions**.



# Impact statements

## **Issues to consider** when developing **impact statement**:

- √ The impact statement should reflect the problem statement, specifically the climatic issue the project aims to address.
- √ The link with the country-level Theory of Change (ToC) should be clearly articulated.

**IMPACT:** The positive (or negative), primary and secondary long-term effects that an intervention contributes to, directly or indirectly, intended or unintended. Adapted from OECD, 2002 (p.24)



# Outcome statement

## Issues to consider when developing **outcomes indicators**:

- √ Outcomes should be clear, precise and straightforward. Does it make clear what change the project intends to occasion, and for who, and how the project will address obstacles to reform?
- √ The project outcome(s) should be achievable within the lifetime of the project (if stated assumptions hold true)
- √ The outcome(s) should be pitched at an appropriate level of ambition? (e.g. is it not an output).
- √ It should be clear how outcome-level changes will contribute to the defined longer-term goal and intended impact.
- √ Outcomes SMART (Specific, measurable, realistic, timebound)

**OUTCOMES** are the effects or changes in exposure resulting from projects outputs (e.g. doing things differently, changes in performance)



# Output statement

## **Issues to consider** when developing **outcomes indicators**:

- ✓ The output statements should reflect the specific, direct deliverables of the project, rather than simply describing activities.
- ✓ Outputs should provide the necessary conditions to achieve the outcomes.
- ✓ The defined outputs should be clearly deliverable by the project based on the project's defined activities and proposed inputs.
- ✓ Output statements should be clearly defined as outputs, rather than assumptions.

**OUTPUTS:** the tangible products, goods and services which result from an intervention's inputs and activities. Adapted from OCED, 2002 (p.28); Bamberger et al (2012).



# The RF should record **critical assumptions**

- ❑ Assumptions need to hold true to move up the results chain from activities, to outputs, outcomes and impact.
  - ❖ IF we undertake the activities AND the assumptions hold true, THEN we will deliver the outputs
  - ❖ IF we deliver the outputs AND the assumptions hold true, THEN we will achieve the outcome
  - ❖ IF we achieve the outcome(s) AND the assumptions hold true, THEN we will contribute to the impact



# • 2

## • Examples



# Results-Framework in action

Project Objective(s) <sup>1</sup>	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)

Proposals need to demonstrate alignment with the Fund's SRF (Part III F)

- Alignment (at least one outcome and one output) with AF Strategic results framework
- Target figures are given for each of the five core indicators, if relevant to the particular project

**Step 1 : At project/programme design**

- **Annual Project Performance Report (PPR) - including the results tracker that needs to be filled :**
  - at inception : baseline + target at completion
  - at mid-term
  - at project/programme completion
- Mid Term review

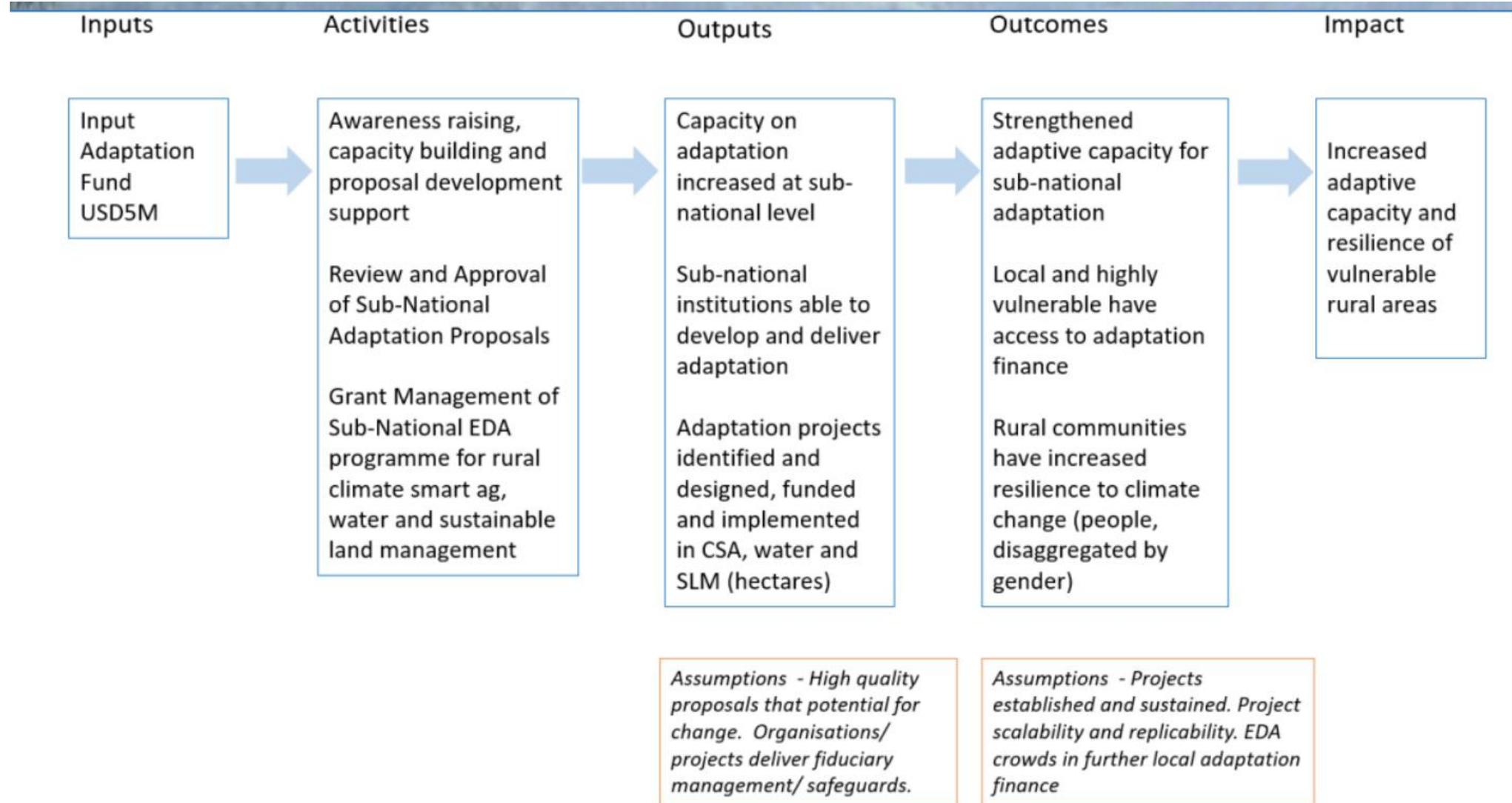
**Step 2 : At project/programme Implementation**

- Project completion summary
- Final Evaluation report
- Final audited financial statement

**Step 3 : At project/programme completion**

		Baseline information		
		Total (direct + indirect beneficiaries)	Direct beneficiaries supported by the project	Indirect beneficiaries supported by the project
Impact: Increased resiliency at the community, national, and regional levels to climate variability and change	<b>Core Indicator:</b> No. of beneficiaries	0	0	0
	% of female beneficiaries	0.00%	0.00%	0.00%
	% of Youth beneficiaries	0.00%	0.00%	0.00%

# Example from AF Project. A



## Bosnia and Herzegovina\_ IFAD: Increasing Climate Change Resilience in the Agricultural sector of Bosnia and Herzegovina

Table 22: Adaptation Fund Core Impact Indicators Reporting Tables

Adaptation Fund Core Impact Indicator "Number of Beneficiaries"				
Date of Report	[Insert date of submission]			
Project Title	Increasing Climate Change Resilience in the Agricultural sector of Bosnia and Herzegovina - STAZA			
Country	Bosnia and Herzegovina			
Implementing Agency	IFAD			
Project Duration	5 years			
Indicator	Baseline (absolute number)	Target at project approval (absolute number)	Adjusted target first year of implementation (absolute number)	Actual at completion (absolute number)
Direct beneficiaries supported by the project	0	18,954 (direct)	TBD during implementation	TBD
Female direct beneficiaries	0	9,477 (50% of total)	TBD during implementation	TBD
Youth direct beneficiaries	0	3,791 (20% of total direct beneficiaries)	TBD during implementation	TBD
Indirect beneficiaries supported by the project	0	56,862 (indirect)	TBD during implementation	TBD
Female indirect beneficiaries	0	28,431 (50% of total)	TBD during implementation	TBD
Youth indirect beneficiaries	0	11,372 (20% of total indirect beneficiaries)	TBD during implementation	TBD

Adaptation Fund Core Impact Indicator "Natural Assets Protected or Rehabilitated"				
Date of Report	[Insert date of submission]			
Project Title	Increasing Climate Change Resilience in the Agricultural sector of Bosnia and Herzegovina - STAZA			
Country	Bosnia and Herzegovina			
Implementing Agency	IFAD			
Project Duration	5 years			
Indicator	Baseline	Target at project approval	Adjusted target first year of implementation	Actual at completion
Natural Asset or Ecosystem (type)	0	1,675 ha (protected/improved climate-resilient practices)	TBD during implementation	TBD
Change in state (Ha or km Protected/rehabilitated, or Effectiveness of protection/rehabilitation - Scale 1-5)	0	1,675 ha of natural assets improved and protected	TBD during implementation	TBD



# Example from AF Project. B

Objective and expected outputs	Indicators	Unit	Targets				Means of verification			Assumptions
			Ref.	Y1	Mid-term	Y4	Source	Frequency	Responsibility	
Project Objective: Restore climate-smart landscapes and support resilient livelihoods in the Shouf-West Beqaa- Mount Hermon corridor  through the adoption of nature-based solution	Natural Assets Protected or Rehabilitated (AF Core Indicator) <sup>129</sup>	Hectare	0	0	900	1,598	MTR and Completion survey, GIS/RS analysis	At mid-term & completion	M&E officer	Initial and continued political commitment and support to project implementation.
	Number of beneficiaries (direct/indirect) (AF Core Indicator)	Person	0/0	0/0	20,000/ 50,000	46,860/ 155,836				Political and economic conditions do not deteriorate or improve.
		Woman	0/0	0/0	6,000/ 25,000	14,058/ 77,918				
<b>Component 1. Capacity development and policies for resilient landscapes and livelihoods.</b>										
Outcome 1.1. Local beneficiaries empowered to adopt climate-smart nature resource management, agriculture production, and marketing through capacity development	% of households reporting adoption of climate-smart management systems	% HH	0	0	50	80	MTR and Completion survey	At mid-term and completion	PMU, Task Force of experts, M&E	Project ability to mobilize a critical mass of extension providers with interest on climate-smart ecosystem restoration sustainable

# Example from AF Project. C

## E. Results Framework

**Table 16: GRACE results framework**

Expected Result	Indicators	Baseline Data	Targets	Risks and Assumptions	Data collection method	Frequency
<b>Project Objective: To strengthen the climate resilience of vulnerable hill communities (particularly women and local tribal communities), ecosystems, and economies in the CHT region of Bangladesh by establishing a <u>performance based</u> climate resilience top-up financing mechanism targeting concrete climate change adaptation interventions</b>						
Increased	AF <b>core indicator</b> : Number of beneficiaries (disaggregated by sex)	In 2022, the CHT population was 1,842,815 (937,011 male, 904,717 <u>female</u> , 101 transgender): <u>Bandarban</u> 481,109, <u>Khagrachhari</u>	276,222 people (110,500 direct, 165,722 indirect, with half being women.	If women are not engaged throughout project implementation it may affect their ability to access and benefit from the project's interventions. The project will place focus on ensuring participation of vulnerable	Survey	End of project

84

Expected Result	Indicators	Baseline Data	Targets	Risks and Assumptions	Data collection method	Frequency
		714,119, Rangamati 647,587		groups throughout the whole implementation cycle, ensuring equal participation of both women and men.		
	AF <b>core indicator</b> : Assets produced, developed, improved or strengthened to withstand conditions resulting from climate change and variability (by sectors and	0	20 participating Upazilas have a LAPA in place.	If CRVAs are not used systematically and consistently, this can lead to maladaptation. The project will be addressing this by ensuring the consistent use of CRVAs as part of the LAPA development and prioritization	CRVA report, and LAPAs	End of project

3

# RF management during project implementation



# How do we Report Portfolio Estimated Results?

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

## OUTCOME 1

### IMPACT 1:

Reduction in vulnerability of communities and increased adaptive capacity of communities to respond to the impacts of climate change



**11.59 million**

DIRECT BENEFICIARIES

**28.91 million**

INDIRECT BENEFICIARIES

Number of direct beneficiaries is a conservative estimate, as it is not consistently reported (i.e. some projects report as no. of households)



**526**

EARLY WARNING SYSTEMS

Includes projects targeting several small-scale EWS at the local level as well as those targeting one large regional system

## OUTCOME 7

### IMPACT 2:

Strengthened policies that integrate climate resilience strategies into local and national plans



**107**

POLICIES INTRODUCED OR ADJUSTED TO ADDRESS CLIMATE CHANGE RISKS

Includes any policy whether at the local, regional or national level

## OUTCOME 5

### IMPACT 3:

Increased ecosystem resilience in response to climate change induced stresses



**635,296 ha**

HA OF NATURAL HABITATS CREATED, PROTECTED OR REHABILITATED RESTORED

**163,775 m**

M OF COASTLINE PROTECTED



3

# Forward looking



# Rationale for revising the SRF

- Last revision was in 2019; since that time Medium Term Strategy II (2023-27) was approved; the innovation portfolio is more mature; there is enhanced focus on locally based and locally led adaptation.
- Need for better alignment with the Global Goal on Adaptation (GGA) and other climate adaptation funders.
- Feedback from implementing entities and experience: need for more flexibility to meet local conditions and realities; more clarity on measurement challenges; removing duplication of information collected.



# We are not overhauling the entire SRF system and process

- The current SRF is still broadly aligned with the Fund's goals
- We are in the middle of the current MTS period
- Experience from other funders shows the challenges and complications of overhauling results systems mid-strategy
- We need to continue to report on impacts and results at the portfolio level in a comparable way





# **PROPOSED REVISIONS TO THE CORE INDICATORS**

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# Core Indicators

The AF core indicators allow the Fund to aggregate quantitative indicators for a portfolio that is, by nature, diverse. Minor revisions are recommended to the core indicators to:

- a) **Support better alignment with the MTS II, GGA,** and other adaptation funders' results frameworks through introducing disaggregation and slight modifications to indicator language.
- b) **Improve the ability of IEs to report on the core indicators and the ability of the Secretariat to aggregate results** by modifying the units of measurement for indicators related to income and physical infrastructure assets, addressing key challenges identified through consultations.
- c) **Introduce a new core indicator on policies, strategies, and/or plans,** given that the Secretariat is already reporting aggregated results on this theme and given the alignment with the GGA planning dimension of the iterative adaptation cycle.



Current core indicator	Proposed core indicator	Rationale
<b>Number of beneficiaries (direct and indirect)</b>	<b>Number of beneficiaries</b> [# of people, disaggregated by direct and indirect beneficiaries, by gender, by vulnerable groups, and by sector]	<p>Further disaggregation recommended, with guidance on direct versus indirect beneficiaries and identification of vulnerable groups and sectors.</p> <p>Alignment: Number of beneficiaries is a common core indicator between GCF, GEF, and CIF. Supports GGA reporting on the implementation dimension and addresses the “people” part of the MTS goal.</p> <p>Disaggregation supports alignment with the MTS cross-cutting themes on gender, most vulnerable people, and LLA.</p>
<b>Number of Early Warning Systems</b>	<b>Early warning systems established or improved</b>  [# of systems, disaggregated by hazard and scale]	<p>Changes clarify that the early warning systems are those that are <b>newly</b> established or improved through Fund activities. Disaggregation by hazard (including multi-hazard systems) and scale (such as local, sub-national, national, and regional) recommended. Projects reporting on this should also report on “People covered by new or improved early warning systems [# of people, disaggregated by gender].”</p> <p>Alignment: Highly relevant for reporting on the GGA impact, vulnerability, and risk assessment dimension. “People covered” indicator is consistent with the WMO Early Warnings for All Initiative and GCF IRMF Outcome 2.4.</p>

<p><b>Assets produced, developed, improved, or strengthened</b></p>	<p><b>Physical assets improved or constructed to withstand climate variability and change</b></p> <p>[disaggregated by km of linear infrastructure and # of point infrastructure, and by sector]</p>	<p>Changes to use more specific language. “Produced” and “developed” are similar, as are “improved” and “strengthened.” Reporting on physical assets should be disaggregated by asset type.</p> <p>Alignment: Indicator relevant for GGA implementation dimension and GGA target (e) on infrastructure and human settlements. Required reporting by specific asset types, such as: no. of public buildings, no. of irrigation or water structures, no. of fishery or aquaculture structures, no. of bridges, ports, or landing sites, km of roads, km of riverine or coastal assets will support GGA sector-specific reporting.</p>
<p><b>Increased income, or avoided decrease in income</b></p>	<p><b>Households with increased income, or avoided decrease in income</b></p> <p>[# of households, disaggregated by # of female-headed households]</p>	<p>Revising this indicator to respond to reporting challenges and feedback received from IEs. The IEs have recommended counting number of households with increased income, which could be measured through surveys and interviews frequently done at the household level.</p> <p>Alignment: Disaggregated reporting consistent with the MTS gender theme. Indicator enables GGA reporting against target (f) poverty eradication and livelihoods and GGA implementation dimension of the iterative adaptation cycle.</p>

<p><b>Natural assets protected or rehabilitated</b></p>	<p><b>Ecosystems and natural resources brought under protection, restoration, or improved management in response to climate variability and change</b></p> <p>[# of hectares, disaggregated by land, marine, coastal, and cultural heritage area]</p>	<p>Changes reflect common strategies for enhancing ecosystems and natural resources. Reporting disaggregated by land, marine, coastal, and cultural heritage area, to help with interpretation of area values and GGA reporting.</p> <p>Alignment: “improved management” consistent with indicators in the GCF IRMF, MDB Common Approach, and GEF LDCF. Ecosystems and natural resources would be inclusive of terrestrial, inland water, mountain, marine and coastal areas, consistent with GGA target (d) on ecosystems. Disaggregated reporting will enable reporting against GGA target (g) on cultural heritage, and indicator is useful for reporting on GGA implementation dimension and address “ecosystems” part of the MTS.</p>
<p><b>N/A</b></p>	<p><b>Policies, strategies, and/or plans introduced or adjusted to integrate climate risk considerations</b></p> <p>[# of policies, strategies, and/or plans, disaggregated by scale]</p>	<p>New core indicator- Fund has already been tracking aggregated policy-related results. Over 70 percent of IE survey respondents supported including a policy indicator as a core indicator.</p> <p>Alignment: In line with the delivery model highlighted in the MTS. The proposed indicator language of “policies, strategies, and/or plans” is directly aligned with that of the GGA planning dimension of the iterative adaptation cycle.</p>



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