



ADAPTATION FUND

Theory of Change

Write-shop
Manila, Philippines
May 2026

Theory of Change for Adaptation Fund

A Theory of Change (ToC) explains **how** and **why** project activities are expected to lead to adaptation outcomes and impact.

Not mandatory – but recommended as it helps explain the adaptation rationale, and the logical framework.

No mandated template for the ToC diagram- choose the one that works best for you and the project.

A ToC gives a shared reference point throughout implementation. It is the foundation for monitoring and evaluation, as it can help test whether your project has achieved what was intended.



Theory of Change: Key Points

- Define the problem and context
- Identify outcomes and pathways
- Link activities to impacts

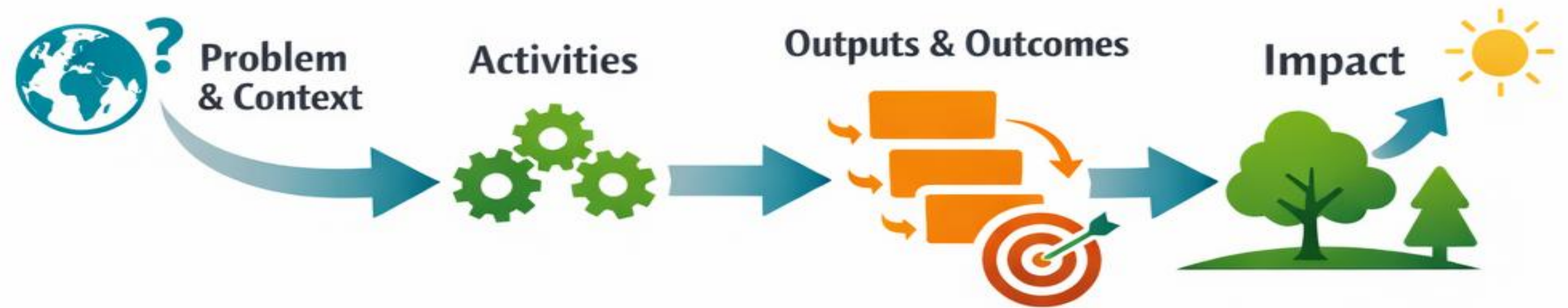
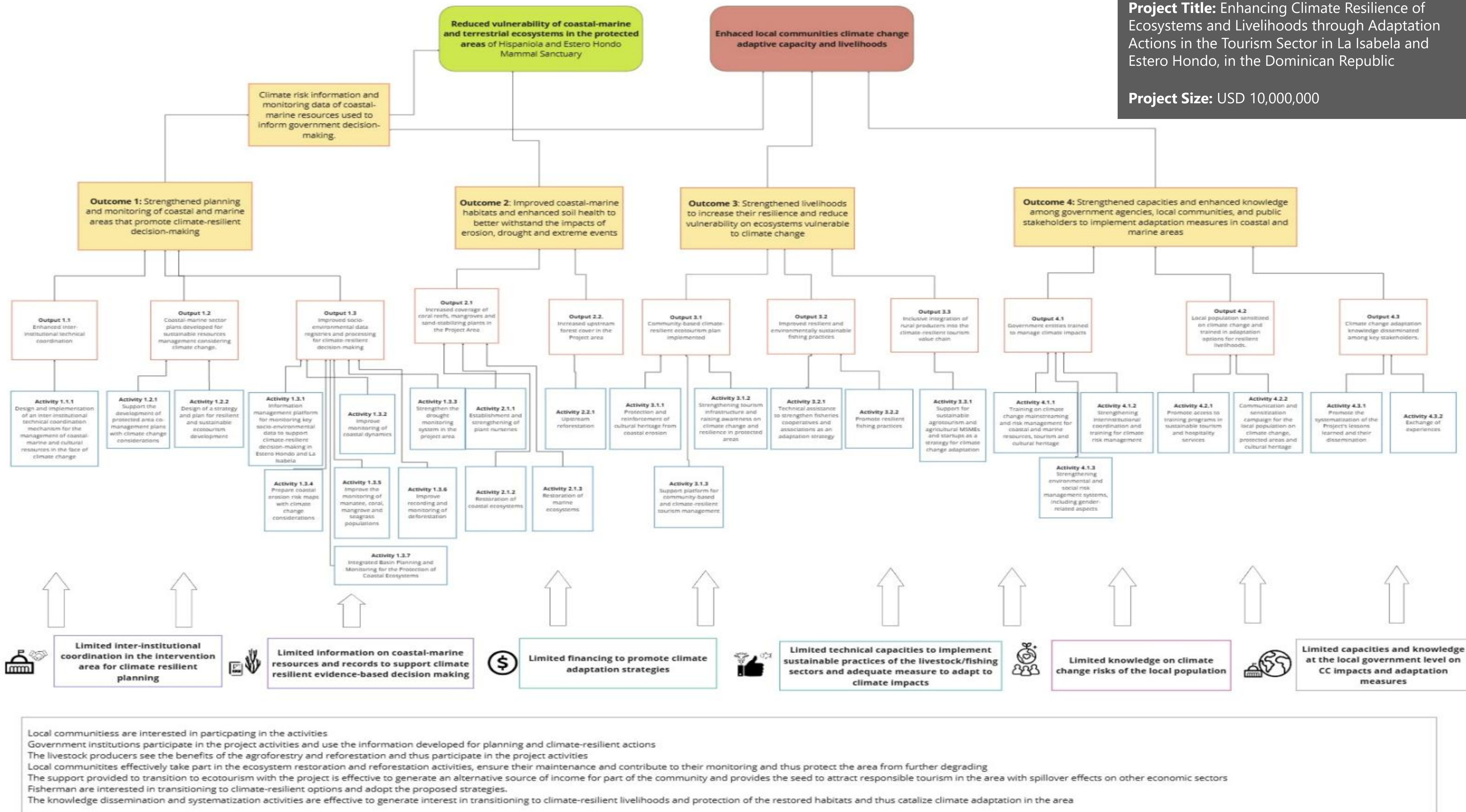


Figure 8. Theory of Change of the Project

Implementing Entity: CAF

Project Title: Enhancing Climate Resilience of Ecosystems and Livelihoods through Adaptation Actions in the Tourism Sector in La Isabela and Estero Hondo, in the Dominican Republic

Project Size: USD 10,000,000



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Sustainability & Scale-up

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Sustainability

- The Adaptation Fund focuses on **building local capacities** and implementing sustainable interventions that **catalyse impact beyond the project/programme lifetime**
- The long-term **sustainability** of the proposed intervention, and the potential for **replication and scale-up** need to be considered during project design





Key Considerations

Checklist	Concept Note	Full Proposal
The adaptation benefits achieved with the help of the project/programme can be <u>sustained after its end</u> , and enable <u>replication and scaling up</u> with other funds after its end.	✓	✓
The proposal explains the arrangements through which this would be achieved, taking into account <u>sustainability and maintenance of any infrastructure or installations to be developed</u> , <u>policies and governance arrangements to be developed and implemented</u> , <u>knowledge to be generated</u> , management and other capacity to be improved, etc.	✓	✓
All key areas of sustainability are addressed, including but not limited to <u>economic, social, environmental, institutional, and financial</u> .	✓	✓

Check notes



Sustainability

Financial Sustainability:

- How will recurrent costs be covered?

Institutional Sustainability:

- Which entity will take ownership and have capacity to continue the interventions?

Social Sustainability:

- Do communities have buy-in and ability to sustain behaviours?

Environmental Sustainability:

- How will natural resources and ecosystems be managed long-term?





Sustainability Example (Bhutan)

Economic & Financial Sustainability

- Local government bodies and Water Users Associations share ownership of infrastructure, directly reducing reliance on continued donor financing after project close.
- Innovative financing mechanisms, including premium discounts for communities adopting adaptation measures, are being explored to sustain benefits independently of external funding.

Institutional Sustainability

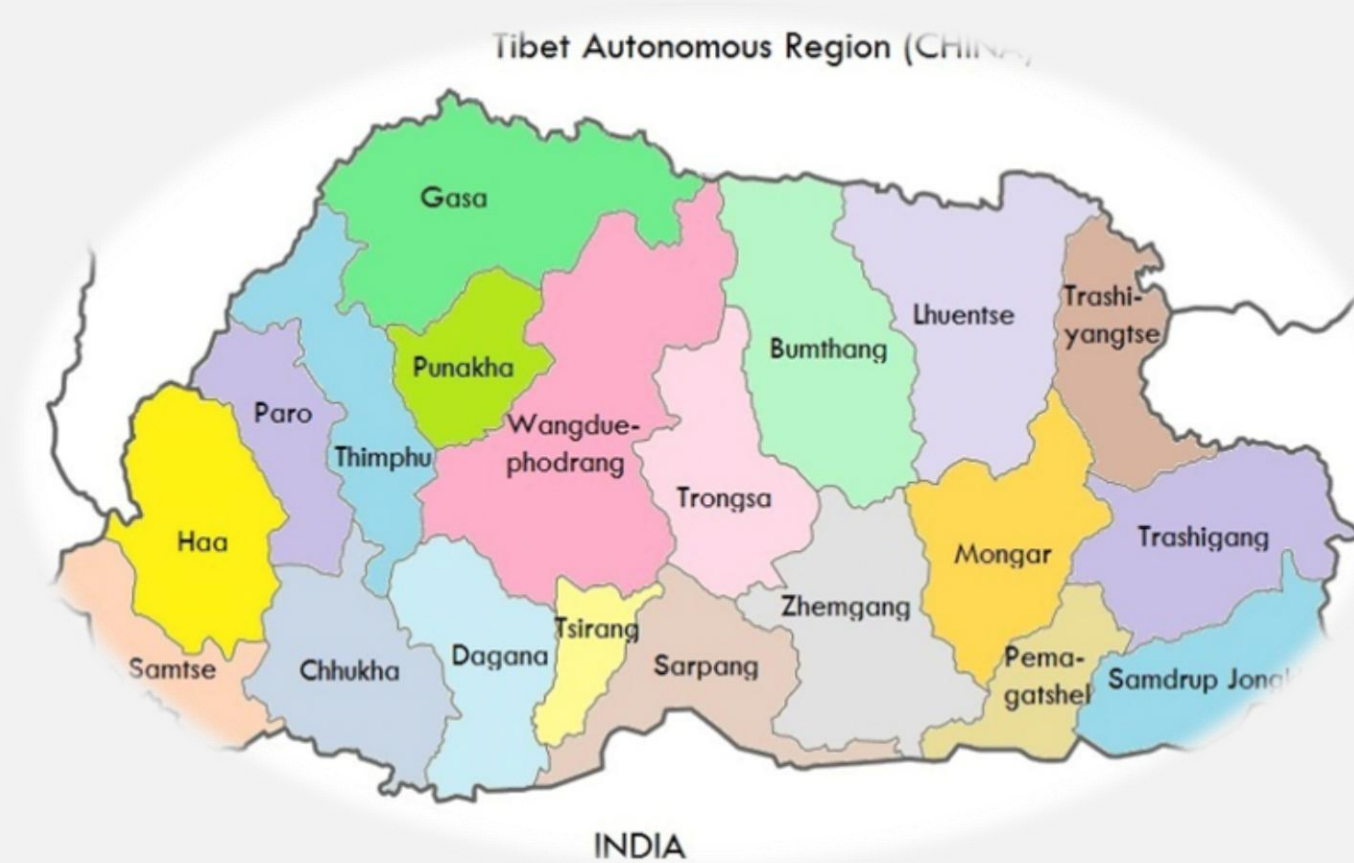
- Built entirely on existing Royal Government of Bhutan systems. No parallel structures created. Ensuring long-term institutional continuity rather than project-dependent capacity.
- Lessons are actively fed into the GCF-supported CARE-LG programme, guaranteeing that results are institutionalised and scaled nationally beyond the project period.

Social Sustainability

- Community-driven participatory planning ensures local ownership from design to implementation.
- Gender-specific needs are explicitly embedded in local development plans, ensuring the most vulnerable populations across all three target districts benefit equitably and durably.

Environmental Sustainability

- 21,251 hectares of natural habitat rehabilitated through ecosystem-based adaptation, with sustainable land management practices actively arresting degradation and securing long-term water resources.
- All solutions are aligned with Bhutan's national carbon-neutral development commitment, embedding environmental gains within permanent national policy frameworks.



BHUTAN

Project Title: Adaptation to Climate-Induced Water Stresses through Integrated Landscape Management in Bhutan

Project Amount: USD 5,000,000

Implementing Entity: Bhutan Trust Fund for Environmental Conservation

Implementation Period: 2023 – 2028

Funding Window: Regular Single-country



Scaling

- Developing countries need more than **USD 300 billion by 2035**, so we are often thinking about how we can maximise impact for each dollar provided.
- One area where the Adaptation Fund can be particularly catalytic is by having its projects and programmes used as **blueprints to be scaled up**.
- At least 30 Adaptation Fund projects and programmes have been scaled up on some level. These have been via:
 - 1) Another MCF (e.g. GCF)
 - 2) Taken on and financed by another partner (e.g. IFAD)
 - 3) Adaptation Fund scales its own projects – same funding window (e.g. WFP Lesotho) or different funding windows (e.g. Burundi SlamDam)
- There are **many pathways to scaling** e.g. MCFs, MDBs, bilateral donors, and of course, the private sector.



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ADAPTATION FUND REVISED STRATEGIC RESULTS FRAMEWORK GUIDANCE

AF Write shop, Manila, May 15, 2026

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Overview

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Background



Rationale for SRF Revision

1

Align with Medium Term Strategy II (2023-27) (MTS II) and Global Goal on Adaptation (GGA)

2

Reflect the Fund's enhanced focus on locally led adaptation and innovation

3

Introduce more flexibility to meet local conditions and more clarity on measurement/attribution





What is changing?



Not much is changing!

Same Core Structure

Key goals, impact statements, and outcome areas remain unchanged to preserve strategic direction.

Same reporting requirements

Projects continue choosing relevant indicators, avoiding unnecessary reporting burdens.

Portfolio Comparability

Portfolio-level aggregation remains consistent, with some improvements, enabling measurement and comparability over time.

Revised SRF is an Improved version of the previous SRF

- ✓ **It is less burdensome**

The number of indicators decreased to enhance focus on quality and usability rather than quantity (from 33 to 27) and increase in core indicators (from 5 to 6).

- ✓ **It is easier to apply**

More clarity in wording, removal of indicators where we were not getting any meaningful information or that were redundant.

- ✓ **New Indicators for Locally-Led Adaptation and Innovation**

Introduction of new indicators captures outcomes related to local decision-making and innovation.

- ✓ **It retains flexibility to local context**

Expanded disaggregation and flexibility allow projects to reflect local realities and adaptation challenges effectively.

- ✓ **It supports better alignment between the project specific results framework and the Fund-level one**

Having a stronger reporting framework provides a stronger basis for learning and adaptive management generated from project results.

Revisions to Core Indicators

Original core indicator	Revised core indicator	Disaggregation	What has changed?
Number of beneficiaries (direct and indirect by gender)	Number of beneficiaries	Direct/indirect, gender, vulnerable groups, sector	More detailed guidance provided including for disaggregation
Number of Early Warning Systems (# of systems; category targeted; hazard; geographic coverage; # of municipalities)	Early warning systems established or improved	Hazard, scale	Clearer language in the indicator (implicit made more explicit)
Assets produced, developed, improved, or strengthened (sector; targeted asset; change in asset)	Physical assets improved or constructed to withstand climate variability and change	Linear km, point infrastructure (#), sector	Different unit of measurement



Revisions to Core Indicators (continued)

Original core indicator	Revised core indicator	Disaggregation	What has changed?
Increased income, or avoided decrease in income (# of HH; income source; income level)	Households with increased income, or avoided decrease in income	# of households, disaggregated by female-headed households	Shift from income to HH tracking
Natural assets protected or rehabilitated (type; # of natural assets or ecosystems; unit; effectiveness of protection)	Ecosystems and natural resources brought under protection, restoration, or improved management in response to climate variability and change	Land, marine, coastal, cultural heritage area	Clearer indicator and more detailed guidance provided for disaggregation
N/A	Policies, strategies, and/or plans developed or adjusted to integrate climate risk considerations	# of policies, strategies, and/or plans, disaggregated by scale	Included as a Fund core indicator



Enhanced Inclusion of Locally Led Adaptation

- Previous SRF had key gaps with respect to principles of locally led adaptation, including:
 - Devolving decision-making to the lowest appropriate level
 - Addressing structural inequalities faced by vulnerable and marginalized groups
 - Investing in local capabilities to leave an institutional legacy
- Opportunities to capture results of locally led adaptation activities through further disaggregation

Previous SRF	Revised SRF
Outcome Indicator 2: Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased	Outcome Indicator 2: Institutions with strengthened capacity to understand and better address climate risks and resilience <i>[# of institutions, disaggregated by scale and sector]</i>
Output Indicator 2.1.1: No. of staff trained to respond to, and mitigate impacts of, climate-related events (by gender)	Output Indicator 2.1.1: Institutions supported to strengthen capacity to understand and address climate risks and resilience <i>[# of institutions, disaggregated by scale and sector]</i>
Output Indicator 2.2.1: No. of targeted institutions benefitting from the direct access and enhanced direct access modality	Output Indicator 2.2.1: Local organizations receiving funding or other direct support under the locally led adaptation modality <i>[# of institutions]</i>
N/A	Output Indicator 3.3.1: Number of local institutions and/or communities responsible for decision-making over how adaptation solutions are defined, prioritized, designed, and/or implemented <i>[# of local institutions and/or communities]</i>
Outcome Indicator 7: Climate change priorities are integrated into national development strategy	Outcome Indicator 7: Policies, strategies, and/or plans adopted, implemented, and/or enforced that integrate climate risk and resilience considerations <i>[#, disaggregated by scale and by policy step, i.e., developed, adopted, implemented, enforced]</i>

Enhanced Inclusion of Locally Led Adaptation

Previous SRF	Revised SRF
Output Indicator 7.1.1: No. of policies introduced or adjusted to address climate change risks (by sector)	Core/Output Indicator 7.1.1: Policies, strategies, and/or plans developed or adjusted to integrate climate risk considerations <i>[# of policies, strategies, and/or plans, disaggregated by scale]</i>
Output Indicator 7.1.2: No. of targeted development strategies with incorporated climate change priorities enforced	Output Indicator 7.1.2: Policies, strategies, and/or plans formulated through the participation of one or more vulnerable groups <i>[# of policies, strategies, and/or plans, disaggregated by scale]</i>
Outcome Indicator 8.1: No. of new, adapted or improved adaptation solutions developed contextually and with the inclusion of the communities most vulnerable to climate change	Outcome Indicator 8.1: Innovations successfully reaching scale up that demonstrate local participation and/or local innovation benefit <i>[# of innovations]</i>
N/A	Outcome Indicator 8.2: Institutions created and/or enabled that lead on innovation for adaptation to climate change <i>[# of institutions, disaggregated by scale]</i>
Output Indicator 8.1.1 No. of innovators supported (disaggregated by gender (male/female/other) and youth status (youth/non-youth)).	Output Indicator 8.1.1: Innovations identified that demonstrate local participation and/or local innovation benefit <i>[# of proposed innovations]</i>
Output Indicator 8.1.2: No. of innovation related partnerships leveraged for exchange of goods or services or ideas, consultations, and assistance between grantee and stakeholder/s	Output Indicator 8.1.2: Innovations piloted that demonstrate local participation and/or local innovation benefit. <i>[# of innovations]</i>
Output Indicator 8.2.1: No. of key findings generated from an innovation practice, tool, and/or technology	Output Indicator 8.2.1: Innovation-focussed knowledge products disseminated and/or learning events facilitated that support and enable innovation capacity at a local, national, and/or regional level <i>[# of knowledge products disseminated and/or learning events facilitated]</i>

Alignment with Adaptation Fund SRF

Project Outcomes	Project Outcome Indicator(s)	Fund Outcome	Fund Outcome Indicator	Grant Amount (USD)
Outcome 1:				
Outcome 2:				
Outcome 3:				
Total outcome-level grant amount				
Project Outputs(s)	Project Output Indicator(s)	Fund Output	Fund Output Indicator	Grant Amount (USD)
Output 1:				
Output 2:				
Output 3:				
Total output-level grant amount				

<https://www.adaptation-fund.org/document/alignment-with-adaptation-fund-results-framework-template-and-guidance-dec-2025/>

SRF Roll-out process



How will we transition to new SRF application?

1

Same SRF for all Projects

All projects under implementation, which still need to submit a PPR, will see the revised results tracker in the PPR portal to start applying the revised SRF.

2

Streamlined Reporting Requirements

Projects will stop reporting on indicators that are not part of the revised SRF (to reduce reporting burdens).

3

No Re-Baselining Needed

or retrofitting indicators where data are not available.

How to apply the SRF: reporting Frequency

Minimum requirements for using the SRF

- During implementation, project teams should report against SRF indicators:
 - In the first Project Performance Report (PPR).
 - Project mid-term (PPR covering the project mid-term).
 - Project completion (last PPR).



Next Steps



The Adaptation Fund PPR template is being revised to reflect the new SRF and Guidance Note.



Webinars and targeted trainings will be held to launch the final Guidance Note and help IEs understand how to use the revised SRF and PPR template.



A 'helpdesk' service will be made available to implementing and executing entities to help answer customized questions that they might have, for a period of 6 months.



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