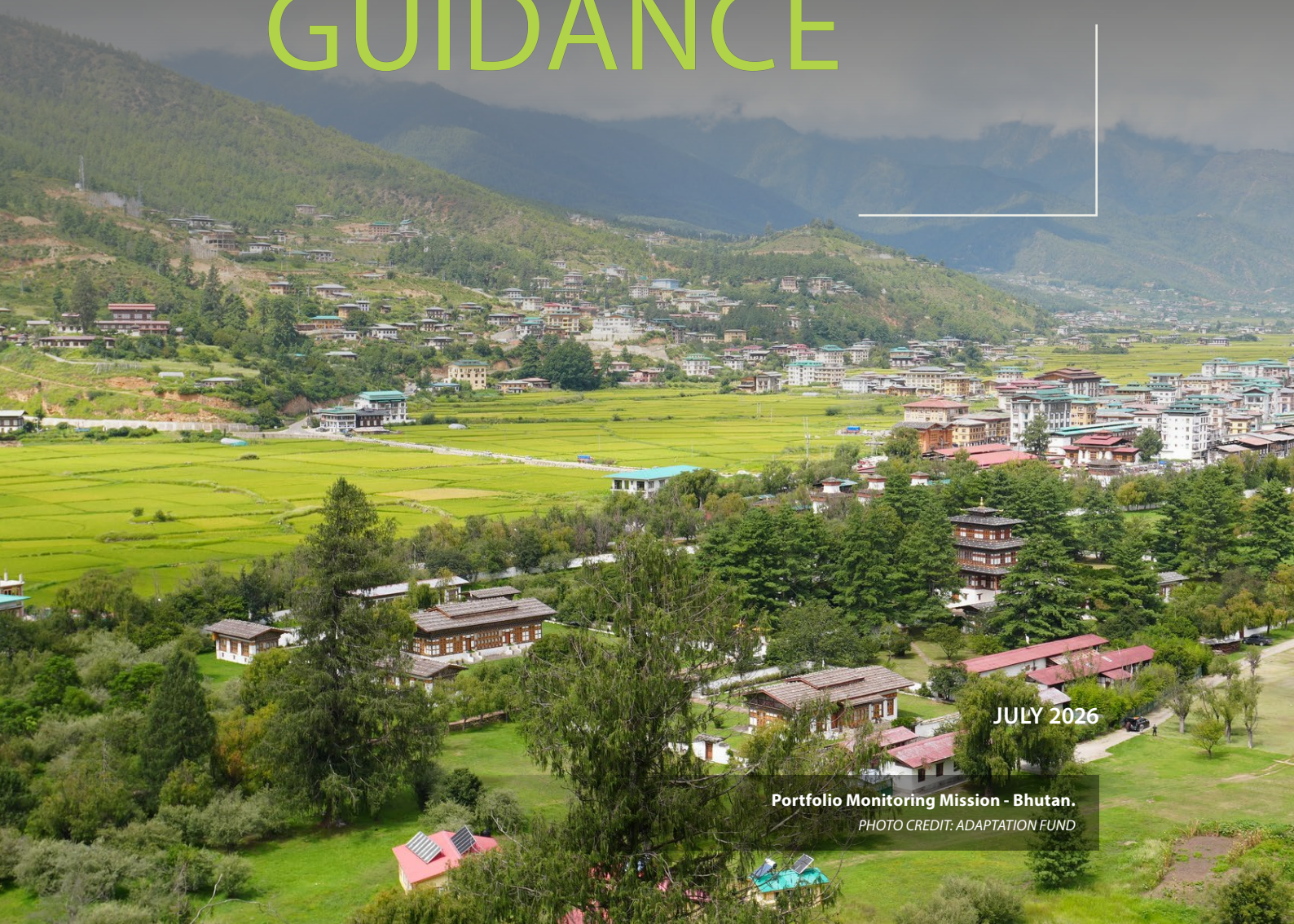
ADAPTATION FUND

STRATEGIC RESULTS FRAMEWORK

GUIDANCE



JULY 2026

Portfolio Monitoring Mission - Bhutan.
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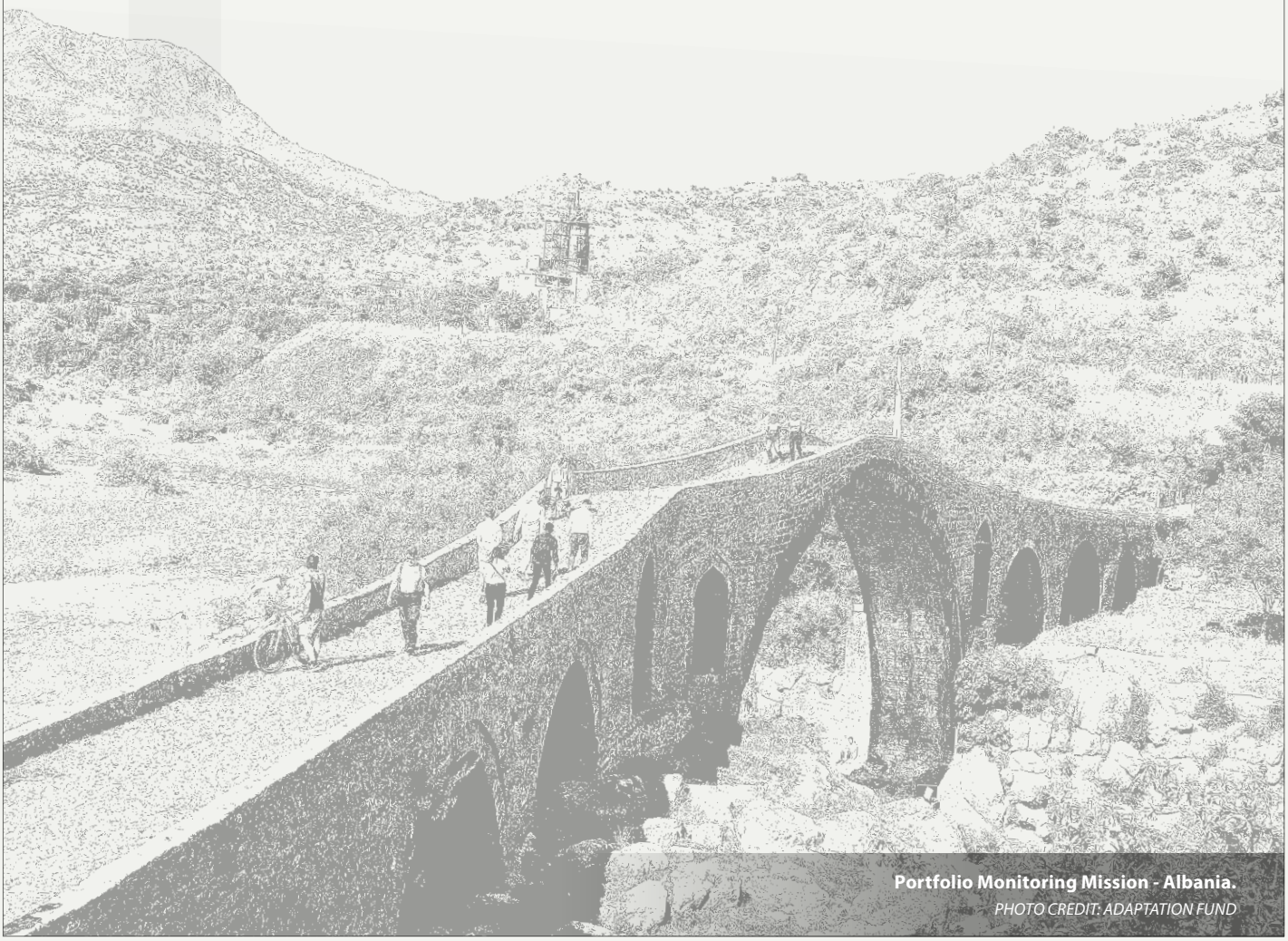
BACKGROUND

This guidance document is developed for Adaptation Fund (AF) Implementing Entities (IEs) seeking to appropriately use the Fund's Strategic Results Framework (SRF). At its 45th meeting, in October 2025, the AF Board (AFB) approved the revised SRF, which defines the Fund's goals, expected impacts, outcomes, and outputs, along with indicators for measuring these results. All concrete projects and programmes submitted by IEs must align with the Fund's SRF to enable tracking and assessing impact across portfolio. The Adaptation Fund takes a principles-based approach to results management, incorporating flexibility that enables IEs to adapt and contextualize the guidance to the specific circumstances of their projects and programmes.

This revised guidance supersedes earlier versions and offers greater alignment with the revised SRF, covering all funding windows for concrete projects including innovation and locally led adaptation (LLA). This guidance document should henceforth be used by IEs throughout project and programme cycles (design, monitoring, and evaluation).



Portfolio Monitoring Mission - Albania.
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CONTENTS

1 INTRODUCTION

Country Exchange and Project Visits - Tanzania.
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CHAPTER OVERVIEW

This chapter offers an overview of this guidance document, including its objective, the intended audience, and where to find different types of information.

This document provides guidance to Implementing Entities (IEs) on meeting the requirements for project[1] monitoring and reporting against the Adaptation Fund's (AF) Strategic Results Framework (SRF). It offers a comprehensive overview of Adaptation Fund's approach to results-based management (RBM), focusing on how to develop, monitor, report, and communicate project results against the SRF. This document has been developed in consultation with National, Regional, and Multilateral IEs. The Adaptation Fund takes a principles-based approach to RBM, incorporating flexibility that enables IEs to adapt and contextualize the guidance to the specific circumstances of their projects and programmes.

This guidance covers the SRF approved through AF Board Decision B.45/3 and is effective for projects approved from AFB47 onwards. IEs are encouraged to apply the guidance to projects approved prior to this date, where feasible.

Previous Materials that this Guidance Replaces	▮ Methodologies for Reporting Adaptation Fund Core Impact Indicators ▮ Project-Level Results Framework and Baseline Guidance ▮ Results Tracker Guidance Document

The rest of the document is organized into three chapters (linked below) and supported by annexes.

2. **Overview of the Adaptation Fund's Approach to Results-based Management**
   This chapter describes the Adaptation Fund's overall approach to RBM and introduces the revised SRF.

3. **How to Apply the Strategic Results Framework**
   This chapter breaks down the step-by-step process for implementing the SRF, including roles and responsibilities. These include developing a project-level results framework, reporting against the SRF via Project Performance Reports (PPRs) and evaluations, using SRF reporting data for adaptive management, planning and budgeting for monitoring and evaluation (M&E) at the project level, and Fund-level aggregation and reporting requirements.

1 This document uses "projects" to refer to both projects and programmes funded by the Adaptation Fund.

4. Indicator Reference Sheets

This final chapter provides detailed monitoring methodologies and guidance for every SRF indicator in the form of indicator reference sheets. These reference sheets include definitions, actionable methodologies, and guidance on setting baseline and target values and reporting against the indicator. This section also provides definitions for disaggregation categories (e.g., sex, vulnerable groups, and others) mentioned in the reference sheets.

Annexes

Annex 1 provides a glossary with definitions of key terms used throughout the document, and Annex 2 offers extended guidance and project-level examples for using Core Indicator 1: Number of beneficiaries.

Portfolio Monitoring Mission - Lao PDR.
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2
OVERVIEW OF THE ADAPTATION FUND'S APPROACH TO RESULTS-BASED MANAGEMENT

Project Visit - Ghana.
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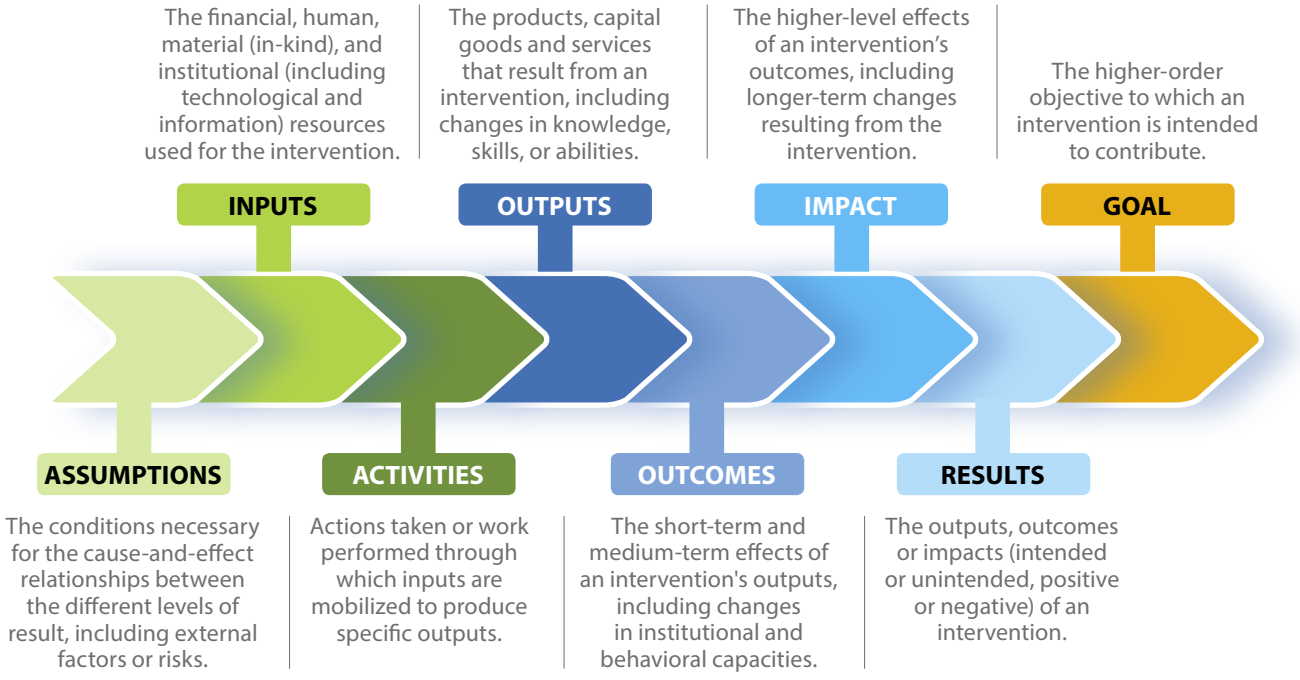
CHAPTER OVERVIEW

This chapter describes the Adaptation Fund's overall approach to results-based management (RBM) and contextualizes the Strategic Results Framework (SRF) within that broader approach. It also presents the revised SRF (2025).

The Adaptation Fund (AF) uses RBM as a framework for strategic planning and management that improves learning and accountability. In RBM, both the management strategy and implemented activities should reflect a commitment to achieving planned results. For AF projects, the core of RBM is a results chain that shows the intended causal relationship between activities, outputs, outcomes, and impact over time. These and other key RBM terms are defined in Figure 1.

Figure 1. Key RBM Term Definitions



Source: Definitions adapted from OECD. (2022). Glossary of Key Terms in Evaluation and Results-Based Management. Available at: https://one.oecd.org/document/DCD/DAC/EV(2022)2/en/pdf.

Once Implementing Entities (IEs) have established their project results chain, they identify indicators to report on the expected outputs, outcomes, and impact. This enables IEs to answer questions about how project interventions contribute to desired results and identify lessons learned, best practices, and areas of improvement. IEs are expected to develop a project-level results framework that reflects this results chain and demonstrates how the project aligns with the Fund's overall mandate (see Section 3 for more detailed guidance and requirements). At the same time, project design must remain driven by local context and ensure that interventions are responsive to community needs and climate vulnerabilities, rather than being shaped by SRF indicators.

What the SRF is and is not

The SRF is not a blueprint for developing a project. Rather, the SRF is a tool to help the AF Board and its Secretariat:

- Strengthen planning, management, and results monitoring across the portfolio.
- Clarify overarching objectives and priorities.
- Demonstrate contributions to the overall goals of the AF, including those articulated in its Medium-term Strategy.
- Aggregate project-level results to translate the Fund's mandate into meaningful, Fund-level outcomes.

IEs should keep the intended use of SRF data in mind and commit to providing high-quality information.

Further, the SRF is not a tool for project selection. The Adaptation Fund does not favor, in reviewing project proposals or otherwise, projects covering larger populations over those projects that address acute climate vulnerability, existential risk, or geographic exposure for smaller populations. All indicators must be contextualized according to the size and unique vulnerabilities and conditions of the country/region. The target for each indicator is set according to the contextualized and unique circumstances of the area and population that it covers. Moreover, in addition to the SRF indicators covered in this document, project proponents are encouraged to include other project-specific indicators that help to fully present the expected impact of the project in their national and local contexts.

The AF SRF complements project-level results frameworks by serving as a Fund-level guide to monitoring and reporting aggregate results, organized around 8 outcome areas (see Figure 2) across the Fund's portfolio. It tracks the Fund's collective effort towards meeting its mandate of delivering concrete adaptation solutions to people in vulnerable countries. The SRF (Table 1) consists of a Fund-level goal plus a total of 28 indicators across impact, outcome, and output levels. These include:

- 6 core indicators tracking key areas of AF support.
- 22 indicators mapping to a set of 8 strategic outcomes and corresponding outputs.

In the SRF, most core indicators are incorporated as outcome and output indicators under relevant outcome areas, except for the core indicator on beneficiaries. All AF-funded projects or programmes must align with the Fund's results framework by identifying a clear connection between their intended results and relevant SRF outcomes areas. The next section provides more detailed guidance on how to align with the SRF through indicator selection.

Figure 2. Strategic Results Framework Strategic Outcomes

OUTCOME 1
Reduced exposure to climate-related hazards and threats

OUTCOME 2
Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses

OUTCOME 3
Strengthened awareness and ownership of adaptation and climate risk reduction processes

OUTCOME 4
Increased adaptive capacity within relevant development sector services and infrastructure assets

OUTCOME 5
Increased ecosystem resilience in response to climate change and variability-induced stress

OUTCOME 6
Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas

OUTCOME 7
Improved policies and regulations that promote and enforce resilience measures

OUTCOME 8
Innovation for effective, long-term adaptation to climate change accelerated, encouraged, and enabled to scale up

Table 1. Strategic Results Framework of the Adaptation Fund, revised October 2025

STRATEGIC RESULTS FRAMEWORK OF THE ADAPTATION FUND	
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 and reduced vulnerability at the community, national, and regional levels to climate variability and change.	
EXPECTED RESULTS	**INDICATORS**
People supported to strengthen their climate resilience	**Core Indicator 1:** Number of beneficiaries *[# of people, disaggregated by direct and indirect beneficiaries, by sex, by vulnerable groups, and by sector]*
Outcome 1: **Reduced exposure to climate-related hazards and threats**	Indicator 1: People using climate-related threat and hazard information *[# of people, by sex, by sector, and by hazard]*
Output 1.1: Risk and vulnerability assessments conducted and updated	Indicator 1.1: Risk and vulnerability assessments conducted or updated *[# of assessments, by sector and by scale]*
Output 1.2: Targeted population groups covered by warning and advisory services for climate-related hazards and threats	Indicator 1.2A (**Core Indicator 2**): Early warning systems established or improved [*# of systems, disaggregated by hazard and by scale*]
	Indicator 1.2B: People covered by new or improved early warning systems *[# of people, disaggregated by sex and by hazard]*
Outcome 2: **Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses**	Indicator 2: Institutions with strengthened capacity to understand and better address climate risks and resilience *[# of institutions, disaggregated by scale, by sector, and by type of institution]*
Output 2.1: Strengthened capacity of institutions to understand and better address climate risks	Indicator 2.1: Institutions supported to strengthen capacity to understand and address climate risks and resilience *[# of institutions, disaggregated by scale, by sector, and by type of institution]*
Output 2.2: Increased readiness and capacity of national and sub-national entities to directly access and programme adaptation finance	Indicator 2.2: Local institutions receiving funding or other direct support under the locally led adaptation modality *[# of institutions]*

Outcome 3: **Strengthened awareness and ownership of adaptation and climate risk reduction processes**	Indicator 3A: People with strengthened awareness of climate change risks and how to better address them *[# of people, disaggregated by sex, by vulnerable groups, and by sector]*
	Indicator 3B: People implementing new or improved adaptation actions *[# of people, disaggregated by sex and by vulnerable groups]*
Output 3.1: Targeted population groups participating in adaptation and risk reduction awareness activities	Indicator 3.1: People participating in activities to improve awareness of climate risks and how to address them *[# of people, disaggregated by sex and by vulnerable groups]*
Output 3.2: Strengthened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning	Indicator 3.2: Climate resilience knowledge products and/or tools developed and shared with stakeholders *[# of products/tools, by sector]*
Output 3.3: Increased ownership of adaptation and climate risk reduction processes	Indicator 3.3: Number of local institutions and/or communities responsible for decision-making over how adaptation solutions are defined, prioritized, designed, and/or implemented *[# of local institutions and/or communities, disaggregated by institutions and communities]*
Outcome 4: **Increased adaptive capacity within relevant development sector services and infrastructure assets**	Indicator 4 (**Core Indicator 3**): Physical assets improved or constructed to withstand climate variability and change [*disaggregated by km of linear infrastructure and # of point infrastructure, and by sector*]
Output 4.1: Vulnerable development sector services and infrastructure assets strengthened in response to climate change impacts, including variability	Indicator 4.1: Development sector services strengthened to respond to climate variability and change *[# of sector services, disaggregated by sector and by scale]*

Outcome 5: **Increased ecosystem resilience in response to climate change and variability-induced stress**	Indicator 5 (**Core Indicator 4**): Ecosystems and natural resources brought under protection, restoration, or improved management in response to climate variability and change *[# of hectares, disaggregated by type of ecosystem / natural resource area and by protection, restoration, and management*]
Output 5.1: Vulnerable ecosystem services and natural resource assets strengthened in response to climate change impacts, including variability	Indicator 5.1: Ecosystems and natural resources targeted by activities to improve protection, restoration, and/or management [*# of resources, disaggregated by type of ecosystem / natural resource area and by protection, restoration, and management*]

Outcome 6: **Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas**	Indicator 6A: People adopting improved and/or new climate-resilient livelihood practices *[# of people, disaggregated by sex and by vulnerable groups]*
	Indicator 6B (**Core Indicator 5**): Households with increased income, or avoided decrease in income *[# of households, disaggregated by female-headed households]*
Output 6.1: Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability	Indicator 6.1: People receiving targeted support for new and/or improved livelihoods to manage climate risk *[# of people, disaggregated by sex and by vulnerable groups]*

Outcome 7: **Improved policies and regulations that promote and enforce resilience measures**	Indicator 7: Policies, strategies, and/or plans adopted, implemented, and/or enforced that integrate climate risk and resilience considerations *[#, disaggregated by scale, by policy step, and by sector]*
Output 7.1: Improved integration of climate-resilience strategies into country development plans	Indicator 7.1A (**Core Indicator 6**): Policies, strategies, and/or plans developed or adjusted to integrate climate risk and resilience considerations *[# of policies, strategies, and/or plans, disaggregated by scale and by sector*]
	Indicator 7.1B: Policies, strategies, and/or plans formulated through the participation of one or more vulnerable groups *[# of policies, strategies, and/or plans, disaggregated by scale, by sector, and by vulnerable groups*]

Outcome 8: **Innovation for effective, long-term adaptation to climate change accelerated, encouraged, and enabled to scale up**	Indicator 8A: Innovations successfully reaching scale up that demonstrate local innovation participation and/or local innovation benefit *[# of innovations]*
	Indicator 8B: Institutions created and/or enabled that lead on innovation for adaptation to climate change *[# of institutions, disaggregated by scale and type of institution]*
Output 8.1: Innovations identified and piloted that collectively enhance local innovation capacity and contribute to the development of local, national and regional adaptation innovation ecosystems	Indicator 8.1A: Innovations identified that demonstrate local innovation participation and/or local innovation benefit *[# of innovations]*
	Indicator 8.1B: Innovations piloted that demonstrate local innovation participation and/or local innovation benefit *[# of innovations]*
Output 8.2: Innovations identified and piloted which build the adaptation innovation evidence base and institutional capacity	Indicator 8.2: Innovation-focused knowledge products disseminated and/or learning events facilitated that support and enable innovation capacity at a local, national, and/or regional level *[# of knowledge products disseminated and/or learning events facilitated)*

Country Exchange - Panama.
PHOTO CREDIT: ADAPTATION FUND

3
HOW TO APPLY THE STRATEGIC RESULTS FRAMEWORK

Project Site Visit - Colombia.
PHOTO CREDIT: UNDP COLOMBIA

CHAPTER OVERVIEW

This chapter covers the process and requirements for implementing the Strategic Results Framework (SRF), including during project design, during project implementation, and at the Fund level. Specifically, it details:

- Minimum requirements for using the SRF.
- Roles and responsibilities for the AFB Secretariat and IEs to apply the SRF.
- Guidance on developing a project-level results framework aligned with the SRF, including developing project-specific indicators, selecting SRF indicators, and identifying baselines and targets.
- Best practices for planning and budgeting for monitoring and evaluation (M&E), in line with guidance on evaluation budgeting from the AF Technical Evaluation Reference Group (AF-TERG).
- Procedures for Implementing Entities (IEs) to report against SRF indicators after the first year of implementation and at mid-term and completion.
- How IEs can use SRF data for project-level adaptive management and how the AFB Secretariat uses SRF data for Fund-level results reporting.

3.1 SUMMARY OF REQUIREMENTS AND PROCESS

Minimum Requirements for Using the SRF

- All projects must monitor and report against at least one core indicator and other core indicators, if relevant. To enable portfolio-wide reporting, all projects are expected to report on:
  - **One indicator related to people supported,** either:
    - Core Indicator 1: Number of beneficiaries (direct and/or indirect), or
    - Output 1.2B: People covered by new or improved early warning systems;
  - **Other core indicator(s)**, if relevant; and
  - **One SRF outcome indicator and one corresponding SRF output indicator** that best reflect the project's intended results.
- Projects are further encouraged to report on **all core indicators and outcome areas** that are relevant to project activities. If project activities are relevant to SRF Strategic Outcomes that have core indicators (1, 4, 5, 6, 7), projects are expected to report on those applicable core indicators.
- When submitting requests for funding, IEs must include the following by stage:

Stage	Required SRF element
Pre-concept note	None
Concept note	Alignment table showing how the project aligns with the SRF (see template in Table 2)
Fully developed project proposal	Alignment table showing how the project aligns with the SRF (see template in Table 2) SRF results framework table (see template in Table 4)

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

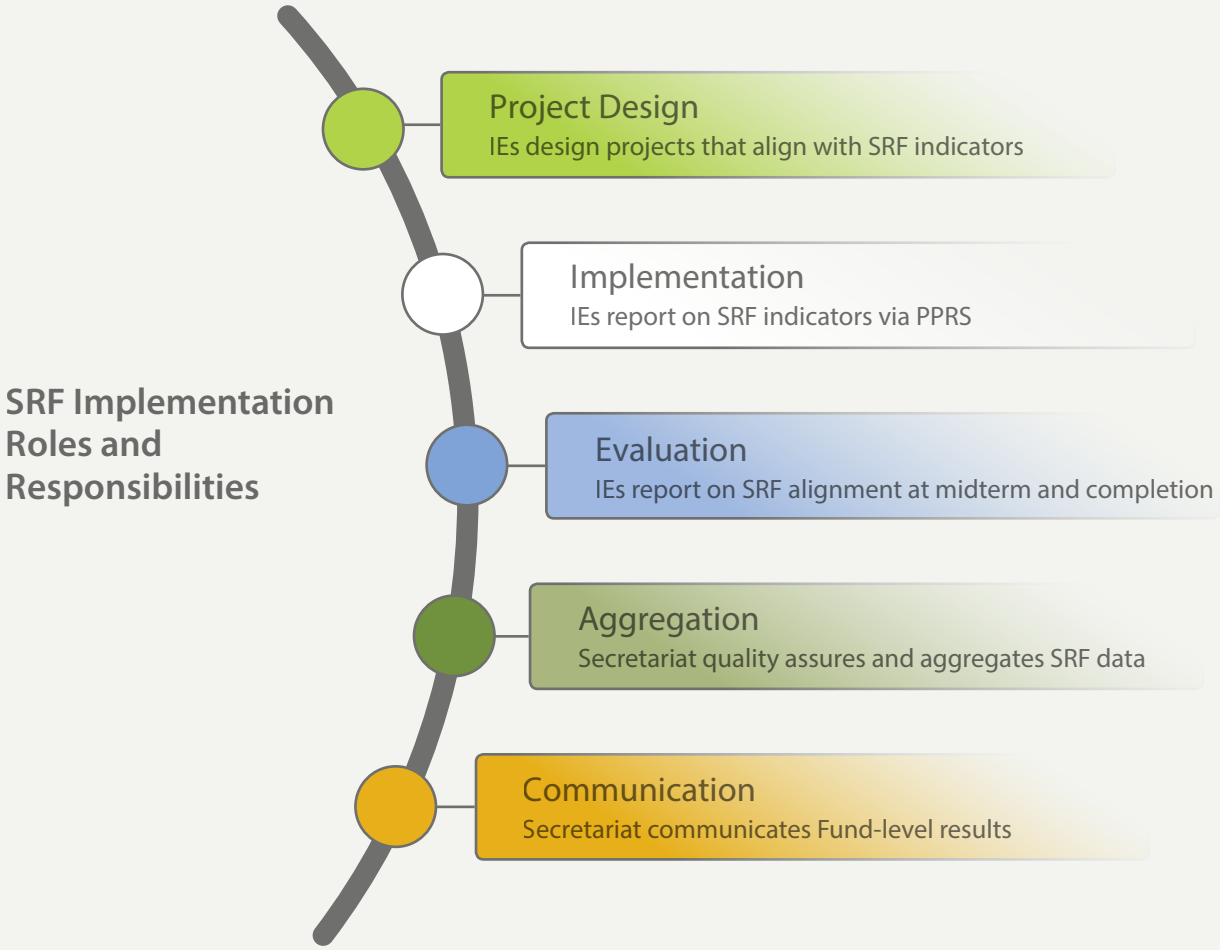
The SRF is the AF's guiding framework to help IEs design, implement, and evaluate projects and programmes that contribute to measurable climate resilience benefits. It acts as a guide for identifying how individual projects/programmes contribute to the AF's Fund-level results and enables the Secretariat to assess the aggregate adaptation benefits delivered to target populations.

The AFB Secretariat and IEs share primary responsibility for putting the SRF into practice (see Figure 3). At the Fund level, the Secretariat oversees SRF implementation, guiding IEs in consistent application of its methodologies and requirements. This includes providing guidance, tools, and technical support to IEs as they design and report on their projects.

IEs are expected to align project-level results frameworks with the SRF, including by incorporating relevant SRF indicators into those frameworks. During project implementation, IEs are expected to collect data for each selected SRF indicator and submit it to the Secretariat through project performance reporting. This means IEs are responsible for working with the Executing Entity to gather and manage that data throughout the reporting period. IEs are also responsible for preparing baseline data and conducting mid-term and final evaluations that assess progress against SRF indicators and identify lessons learned. Mid-term reviews are not required for projects with a duration of less than four years. To meet these requirements, IEs should plan and budget for the M&E activities needed to generate valid and reliable data, both for reporting to the AFB Secretariat and for project-level adaptive management.

Throughout this process, the Secretariat plays a supportive and supervisory role, helping IEs navigate SRF requirements and ensuring that reporting is consistent, accurate, and useful for learning. The Secretariat leads the aggregation and synthesis of results across the entire portfolio, including both data reported through PPRs and findings emerging from evaluations. The Secretariat communicates these consolidated insights to donors, IEs, and other stakeholders to inform decision-making, programming, and learning.

Figure 3. AF SRF Roles and Responsibilities



3.2 APPLYING THE SRF DURING PROJECT DESIGN

IEs first engage with the SRF during project design to ensure that proposed interventions align with the Fund's strategic outcomes and can be monitored and reported against during implementation. This section offers guidance on how to apply the SRF across the key design steps, including developing a project-level results framework and planning and budgeting for the M&E activities needed to track progress against SRF and other project indicators once implementation begins.

3.2.1 Developing a Project-Level Results Framework Aligned with the SRF

The Adaptation Fund recognizes five steps to guide development of a project-level results framework during project design, some of which may require iteration as new information becomes available.

Step 1: Define the intended effect and scale of interventions

Adaptation projects are designed to address climate change risks and adverse impacts through a set of interventions. To define the intended effects and scale of interventions, project proponents should:

1) *Draft the project's goal*, reflected in a singular statement that identifies the overall climate resilience benefits it intends to deliver.

2) *Define the level and timeframe of the intervention*. These will vary across projects and programmes and should reflect the nature and duration of effort needed to accomplish the goal. Projects may focus on local, subnational, national, or transboundary (regional) levels.

Different analyses and assessments may help project teams define these aspects, such as a stakeholder analysis that defines key actors like executing entities, implementation partners, donors, communities, and other entities involved in project execution. Mapping the different project stakeholders, their interests in the project, and their relationships to one another may help project teams better understand who to consult during project or programme design, who to engage for successful implementation, and who stands to benefit from the project or programme. Additionally, IEs may undertake an overall contextual assessment. Some knowledge of current and projected scenarios for the target area and population need to be identified while defining the draft goal, timeframe, and level of intervention. Specifically, contextual data may be used to analyze external risk factors that may affect outcomes and impacts but are beyond the project's direct control. These factors include, for example, other partners' activities, international price changes, or armed conflicts. A contextual assessment may also identify national or sub-national sustainable development strategies and technical standards that are relevant to the project or identify areas for potential economic, social, and environmental benefits (as relevant for the context and project objective) that may result from the project, but are not the explicit aim or focus of the project activities.

Once the project team has determined the project's goal, timeframe, and level of intervention, these data can be recorded in the Project/Programme Proposal to the Adaptation Fund, Part I: Project/ Programme Information, under Project / Programme Background and Context and Project / Programme Objectives. These details will also be used to develop the project-level results framework and select relevant SRF indicators. If an overall contextual assessment is conducted, the findings of that assessment are also likely to feed into Part II: Project / Programme Justification.

Step 2: Formulate intervention logic and analyze alternatives

After defining the overall goal, project teams may find it beneficial to further articulate the causal pathways through which the project is expected to generate change. While not required in the Adaptation Fund's project proposal, a theory of change (ToC) can be an especially useful tool for formulating robust intervention logic. Creating a ToC enhances both design and implementation by prompting project teams to thoroughly examine the drivers of change and by providing a reference point during implementation to evaluate progress and course correct where necessary. This approach is especially relevant for interventions involving locally led adaptation, nature-based solutions, and institutional or behavioral change processes, where change is often non-linear and influenced by complex factors outside of the project's control.

A ToC can take the form of a narrative, diagram, or both, and should clearly delineate how proposed inputs and activities are expected to lead to outputs, outcomes, and impacts (see Example 1). A strong ToC also identifies the assumptions, including contextual factors and enabling conditions, that influence these pathways, as well as any risks to achieving the expected change. When developing the ToC, project teams should also consider alternative causal pathways or strategies for achieving the desired change. Assessing existing evidence (e.g., from other project evaluations) or drawing on previous experience can help determine if the envisioned approach is the strongest pathway.

AF Project Example: Narrative Theory of Change

The project's **goal** is to contribute to sustained food security and climate-resilient rural livelihoods in the target area. To achieve this, the project will implement a set of activities focused on strengthening climate-smart agricultural practices (e.g., drought-tolerant crops, soil and water conservation techniques). These **activities** include trainings and demonstrations for farmers, community members, and agricultural extension service providers, as well as technical support to local governments to strengthen planning and guidance. The activities will draw on **inputs** such as the technical expertise of the delivery team, climate risk information, training materials, and equipment needed for demonstrations (e.g., seeds, irrigation technology).

Through these inputs and activities, the project expects to generate **outputs** such as demonstration plots established, farmers, community members, and extension service providers trained, and local agricultural plans and guidelines updated to incorporate climate change adaptation measures. **Outcomes** envisioned to occur after these outputs include adoption of climate-smart practices by farmers and community members and incorporation of climate information into agricultural extension services, leading to improved capacity of smallholder farmers and agricultural support institutions to adapt to climate variability and climate-related shocks using their new skills, tools, and information. At the same time, incorporating climate change adaptation measures into local planning processes is expected to enable their implementation, which in turn helps create the enabling conditions to boost agricultural productivity and livelihoods in the face of climate variability and climate-related shocks. Over time, these outcomes will contribute to the project's intended **impact** of reduced vulnerability of farming households to climate-related risks, as reflected through more stable yields and reduced exposure to climate-induced losses, driving more resilient livelihoods.

These pathways make **assumptions** that farmers have continued access to land, inputs, and labor; that extension services maintain the capacity to deliver climate-informed support after being trained by the project; and that local governments remain committed to implementing climate-responsive planning. Key **risks** include extreme climate events that hinder yields, shifts in policy or community priorities away from climate-smart agriculture, and market fluctuations that affect input availability or crop prices.

Best practices for developing a ToC include:

- **Involving stakeholders**: Consulting stakeholders and partners during the design process can generate agreement on objectives, outcomes, outputs, and activities, as well as other elements. Securing buy-in from a broad array of stakeholders is central to successful implementation. The Adaptation Fund encourages broad participation in ToC development, including different management levels and project stakeholders.
- **Problem tree analysis**: Undertaking a problem tree analysis can help project teams understand the target problem at all levels, especially at the defined intervention level. In this brainstorming technique, project planners and stakeholders create graphic tree diagrams (problem trees) to identify the causes and effects of problems and then structure project objectives to resolve those problems. Remaining problems (that the project cannot directly address) then become risks or assumptions identified in the intervention logic.
- **Sustainability factors analysis**: Project design can be strengthened by understanding pathways to ensuring durable outcomes and benefits after the project ends. This can be done by analyzing sustainability factors and incorporating measures to plan for sustainability during design and implementation. Sustainability factors manifest across various levels (individual, institutional, community, ecosystem, etc.) and can be classified into the following categories:
  - Stakeholders' **ownership** of project outcomes and interventions.
  - Development and maintenance of **capacities**.
  - Development and maintenance of **partnerships**.
  - Availability of tangible and intangible **resources**.
- **Staying flexible**: Using the resulting ToC and its elements as a flexible tool rather than a permanent map of interventions and results facilitates adaptive management. Project teams should be open to adapting the ToC during project implementation.

Although not required, project teams are strongly encouraged to articulate this logic in a way that can be understood and validated by stakeholders. A well-constructed ToC serves as a strong foundation for developing a project-level results framework (see Step 5), which is reviewed as part of the proposal assessment process.

Step 3: Align project outcomes and outputs with SRF outcomes and outputs

Project teams are expected to align project outcomes and outputs with the Fund-level outcomes and outputs in the SRF to ensure that the project contributes to Fund-level expected results.

Teams are asked to present that alignment in the table format shown in Table 1, also available in the Results Framework Alignment Table (including additional instructions and examples) and in the Adaptation Fund project proposal template. The Adaptation Fund recommends conducting a similar exercise to align project outcomes with other national, regional, and/or local strategic framework elements (for example, NAPs), which would connect the project to other identified priorities.

Table 2. SRF Alignment Table Template

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				

Based on the outputs, outcomes, and impacts identified in the intervention logic developed under Step 2, the project team should develop project-level indicators using the guidance below. Indicators identify what qualitative and quantitative data points are needed to assess change resulting from the project (e.g., number of staff trained to respond to the impacts of climate related events, disaggregated by sex). The results framework provides a structure to build these indicators for each expected result.

Project teams should then map project-level indicators to relevant SRF indicators, consulting the SRF indicator reference sheets in Section 4 for more detailed descriptions. When selecting SRF indicators, project teams should consider that all projects must monitor and report against at least one core indicator and other core indicators, if relevant. To enable portfolio-wide reporting, all projects are expected to report on:

- **One indicator to measure people supported**.
  - Most projects are expected to report on Core Indicator 1 for number of beneficiaries.
  - If a project improves people's coverage by early warning systems (EWS) and demonstrates that its interventions do not support people in other ways,[2] the project may instead report on Output Indicator 1.2B on people covered by new or improved early warning systems.
- **Other core indicator(s)**, if relevant.
- At least **one outcome indicator** and **one corresponding output indicator** from the SRF menu that most closely align with the project's objectives and outcomes.
  - If the most relevant outcome or output indicator is also a core indicator, this selection satisfies the core indicator requirement. In such cases, projects would report on two indicators in addition to the one measuring people supported.

Project teams are strongly encouraged to report on all core indicators and outcome areas relevant to project activities.

The selected SRF indicators should be identified in the project proposal using the alignment table template (Table 2). The selected SRF indicators should also be included in the SRF Indicator Results

2 See Annex 2 for detailed guidance on determining if an individual is a direct or indirect beneficiary.

Framework (see template in Table 4 below). IEs may also choose to embed select SRF indicators in the Project-specific Results Framework (see template in Table 3 below), if desired and appropriate for measuring the project-specific results.

Developing Project-Specific Indicators

Project teams should select project-specific indicators tailored to the project's objectives and context-specific monitoring and reporting systems and requirements (e.g., local data availability, national reporting needs). Whenever possible, indicators and targets should be gender responsive and disaggregated by sex. A helpful process for identifying and selecting indicators includes these steps:

1. Brainstorm to develop a list of possible indicators for each objective and result. Both quantitative and qualitative indicators may be useful; selecting one or the other should depend on the nature of the desired result.
2. Assess each indicator on the initial list against a checklist of criteria for judging its suitability and effectiveness. Projects should also aim to make their indicators specific, measurable, achievable, relevant, and time-bound (SMART). Teams can use the SMART criteria (see below) as a guide, asking whether each indicator clearly reflects the expected change, whether progress can realistically be observed or measured, and whether the targets are achievable within the project's scope and timeframe.
3. Select the "best" indicators that will provide useful information at an affordable cost. IEs should choose a manageable number of project-specific indicators, focusing on the minimum needed to track "what really matters" in terms of adaptation outcomes and outputs.

Recognize there is probably no "ideal" indicator, and no perfect technique for developing it. Project teams will need to balance monitoring ambition with available capacity and resources, while ensuring a robust and credible approach.

Criteria	Consider
Specific	Does the indicator measure a discrete aspect of the project?
Measurable	Does the indicator have a quantifiable unit of measurement?
Achievable	Is measurement realistic given the available resources and data?
Relevant	Is there a clear and meaningful relationship between the indicator and the project's goals and objectives?
Time-bound	Is there a timeframe for measurement to track progress?

AF Project Example: Selecting SRF-Aligned Project-Level Indicators

In this example, the project aims to strengthen climate information systems, expand gender-responsive awareness and education on the climate-food security-gender-nutrition (CC-FS-GEN-NUT) nexus, and scale up local adaptation actions such as asset creation and livelihood diversification. These activities seek to enhance the adaptive capacity of vulnerable and food-insecure households and communities, generating different types of benefits for different groups. As a result, the project can contribute to reporting on both Core Indicator 1: Number of Beneficiaries and Indicator 1.2B: People covered by new or improved early warning systems, as demonstrated in the following table. This example shows how a project can use multiple project-specific indicators to build a comprehensive and credible account of who benefits and how.

Category	Project-Specific Indicator	Relevant SRF Indicator
A – Receives benefits from cash transfers, inputs, tools, and technical assistance	3.1.2.c: # of HHs with natural and physical livelihood assets created or improved	Core Indicator 1: Number of Beneficiaries (direct)
B – Receives benefits from inputs, tools, and technical assistance	2.2.1.a: # of teachers trained on using updated CC-FS-GEN-NUT toolkits	Core Indicator 1: Number of Beneficiaries (direct)
C – Receives benefits from community assets and climate services	1.3.1.c: # of smallholder farmers with enhanced access to last mile climate services	Indicator 1.2B: People covered by new or improved early warning systems
D – Receives benefits from general awareness raising	2.2.1.d: # of primary and secondary school children receiving enhanced teaching on CC-FS-GEN-NUT nexus	Core Indicator 1: Number of Beneficiaries (indirect)

Step 4: Set baselines and targets

Once indicators have been developed, project teams should establish baseline and target values for each SRF and project-specific indicator. SRF indicator baselines and targets should be developed using the guidance provided in the SRF Indicator Reference Sheets and in the forthcoming guidance document from the Adaptation Fund Technical Evaluation Reference Group (AF-TERG).

Baseline values assess initial project conditions before implementation, enabling accurate measurement of project contributions to changes over the project lifetime. Baselines are also needed to set realistic results targets within project resource and time constraints. Ideally, baselines are established during project development, before Board approval. If that is not feasible, project teams should collect (or update) baseline information immediately after approval and establish baselines in the first PPR, before obtaining any results.

In adaptation projects, baselines could take two primary forms:

1. **Project indicator baselines:** Project indicator baselines answer the question: where is the project starting from? They generally focus only on the system targeted by the project, making them site-specific and limited to the project's duration. Depending on a project's approach, a baseline could be described by a set of quantitative or qualitative indicators. Project indicator baselines should be set for both SRF and project-specific indicators. These baselines are often established based on information from vulnerability and needs assessments, feasibility studies, and existing secondary sources.
2. **Reference and adaptation scenarios:** Depending on project needs and design, project proponents may choose to use reference and adaptation scenarios to measure system-level change. Reference scenarios represent future conditions in the priority system in the absence of climate adaptation, while adaptation scenarios are those that apply various adaptation measures. Establishing these scenarios requires a clear understanding of current conditions, which may take the form of a vulnerability baseline, a climate-risk baseline, an adaptive capacity baseline, or an adaptation baseline. Since reducing vulnerability is the foundation of adaptation, it calls for a detailed understanding of who is vulnerable and why. This involves both analysis of current exposure to climate shocks and stresses, and model-based analysis of future climate impacts. With this information, proponents can design and implement appropriate adaptation strategies. Unlike project indicator baselines, scenarios deal with the longer term and can inform policy decisions at the strategic planning level.

Why should I collect baseline data?

Baseline data are important for:

- Characterizing the prevailing conditions that inform an intervention.
- Describing average conditions, spatial, and temporal variability and anomalous events, some of which can affect the intervention significantly.
- Identifying possible ongoing trends or cycles.
- Creating a reference with which to compare future changes.

Once baselines are determined, project teams set targets to represent the expected change from that baseline during the life of the project. Targets are a commitment that helps clarify what needs to be achieved and by when. Final targets are values or conditions to be achieved by the end of the project, while mid-term or interim targets are anticipated values at various points-in-time over project implementation.

Effective target setting requires grounding expectations in reality. Mid-term and/or final targets should be developed through consultation with participating actors, including identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, assessments undertaken in Step 1 and/or relevant external evidence. As with other sections of the results framework, targets may need to revisited throughout implementation to ensure they remain appropriate. In some instances, project teams may need to modify targets upwards or downwards, such as when projects reach targets more quickly than anticipated and need to set more ambitious final targets, or when external factors (e.g., global pandemic, disasters in target area, economic shocks) hinder delivery of activities.

Considerations for target setting

Setting the right targets can help projects:

- Focus on the right objectives.
- Gain buy-in by concretely describing the desired impact.
- Orient managers and staff to the desired tasks.
- Clarify the results for which managers will be held responsible.
- Tell stakeholders how well a project is progressing.

Unrealistically high targets will affect integrity and confidence, while targets that are too low may threaten project credibility and limit ambition. Projects should seek to set attainable targets that reflect the right level of ambition.

AF Project Example: Baseline and Target Setting

Improving Adaptive Capacity of Vulnerable and Food-Insecure Populations in Lesotho, Phase II (IACoV-2)

(*Approved April 2025; Implemented by UN World Food Programme)*

This project demonstrates how examining existing conditions can lead to realistic, datadriven baselines that reflect the true starting point for change. During project design, the team assessed the current status of climate information services, community awareness, and local institutional capacity to understand what was already working well and where gaps remained. The proposal offers a robust explanation of the project's theory of change and how each project component and activity is expected to contribute to that change in the specific project context. While the team could reference information generated by earlier initiatives in the same areas, the broader lesson applies to all projects: baseline setting should draw on any available evidence, including government statistics, previous donorfunded projects, national policies, academic studies, and stakeholder consultations. These sources help project teams quantify existing conditions and set targets that represent meaningful improvement, as demonstrated by the indicators under Output 2.1.1.

Output 2.1.1: Strengthened national and districtlevel institutional structures and systems for climate change awareness raising and communication

Indicator	Baseline	Target (Mid-Term)	Target (End)
2.1.1.a. Percentage of targeted population aware of predicted adverse impacts of climate change and appropriate responses	25%	50%	60%
2.1.1.b. Number of district Climate Change Action Plans updated and fully operationalized	3	5	10
2.1.1.c. Number of people reached through interpersonal SBCC approaches on the CCFSGENNUT nexus (sex and agedisaggregated)	135,602	400,000	1,109,760
2.1.1.d. Number of news outlets in local press and media covering climaterelated topics	10	20	40
2.1.1.e. Number of people trained and active as climate champions (sex and agedisaggregated)	0	50	100

To further strengthen accuracy, the project also planned a baseline assessment after approval to refine and finalize the baselines and targets using updated data. This two-step approach of an initial baseline estimation during design followed by validation and adjustment early in implementation ensures that targets remain realistic and aligned with the project's objectives.

Step 5. Develop results frameworks

As part of the project proposal, project teams should provide two tables demonstrating how indicators will be monitored during implementation:

- The **project-specific results framework** includes all project-specific indicators, defining for each one the disaggregation categories, baselines, targets, and means of verification, including methods and sources, responsible party, and frequency. Table 3 provides a results framework template to be included in Part III(E) of the fully developed project proposal.
- The **SRF indicator monitoring table**[3] includes the SRF indicators selected in the SRF alignment table (see Table 2 above), defining for each SRF indicator the project-specific indicators that will inform reporting on this SRF indicator, as well as the disaggregation categories, baselines, targets, and means of verification. Table 4 provides an illustrative example of the SRF monitoring template to be included in Part III(E) of the fully developed project proposal. Project teams should complete the table only for the SRF indicators included in the alignment table in Part III(F); other SRF indicators not used by the project do not need to be included.

Within both tables, project teams are encouraged to provide as much disaggregated data as feasible at the time of proposal—recognizing that targets can change during project implementation, if needed. Doing so will help prepare project teams to complete the first PPR, as discussed in Section 3.3.1 below.

3 This table replaces the "Tables for Reporting Adaptation Fund Core Impact Indicators" included in now outdated *Methodologies for Reporting Adaptation Fund Core Impact Indicators from March 2014.*

Portfolio Monitoring Mission - Lesotho.
PHOTO CREDIT: ADAPTATION FUND

Table 3. Project-specific results framework template

Project Results	Indicator	Disaggregation Categories	Baseline	Target		Means of Verification			Risks, Assumptions, Notes
				Mid-term	Final	Methods and Sources	Responsible Party	Frequency	
Impact									
Impact 1									
Impact 2									
Outcomes and outputs									
Outcome 1	*Project-specific indicators*	*Disaggregation categories relevant for indicator*	*The starting value of the indicator before project implementation* *Include baselines for disaggregation categories*	*The estimated value of the indicator at the mid-point of implementation* *Include targets for disaggregation categories*	*The estimate value of the indicator at the end of implementation* *Include targets for disaggregation categories*	*Sources of information and methods used to measure and report progress against targets*	*Project team responsibilities for measuring and reporting progress against targets*	*Frequency of data collection / reporting*	*If needed, factors that may affect feasibility of monitoring and reporting*
Output 1.1									
Output 1.2									
Outcome 2									
Output 2.1									
Output 2.2									
Outcome 3									
Output 3.1									
Output 3.2									

Table 4. Illustrative SRF indicator monitoring template

SRF Result	SRF Indicator	Linked Project-Specific Indicator(s)	Disaggregation Categories	Baseline	Target		Responsible Party	Risks, Assumptions, Notes
					Mid-term	Final		
Impact								
Increased resiliency and reduced vulnerability at the community, national, and regional levels to climate variability and change	**Core Indicator 1: Number of beneficiaries**	*The project-specific indicators mapped to this SRF indicator in the SRF Alignment Table*	Direct/indirect, sex, sector, vulnerable group	*The starting value of the indicator before project implementation* *Include baselines for disaggregation categories*	*The estimated value of the indicator at the mid-point of implementation* *Include targets for disaggregation categories*	*The estimate value of the indicator at the end of implementation* *Include targets for disaggregation categories*	*Project team responsibilities for collecting and reporting data on SRF indicator baseline and targets.*	*If needed, factors that may affect feasibility of monitoring and reporting*
Outcomes and outputs								
Outcome 4: Increased adaptive capacity within relevant development sector services and infrastructure assets	**Indicator 4 (Core Indicator 3):** Physical assets improved or constructed to withstand climate variability and change		Linear infrastructure type, point infrastructure type, sector					
Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas	**Indicator 6B (Core Indicator 5):** Households with increased income or avoided decrease in income		Female-headed households					
Output 6.1: Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability	**Indicator 6.1:** People receiving targeted support for new and/or improved livelihoods to manage climate risk		Sex, vulnerable group					

IEs should consider the following in completing their project-specific and SRF results frameworks.

Data Sources: Projects will draw on different data sources depending on the level of results being measured. Both quantitative and qualitative data offer value, and combined approaches often provide the most complete picture. Output data often originate from project field reports and records, which may include sources like training attendance sheets or progress reports from service providers. Outcome and impact data typically require sources that capture changes in behavior, capacity, practices, or institutions. Impact data may sometimes be drawn from external sources like national demographic or sectoral statistics. Contextual data, such as environmental conditions or policy shifts, can help explain variations in project performance and whether external factors influenced results. Planned use of such contextual data may be noted in the final column for risks, assumptions, and notes.

Data Collection Methods: Output data are typically gathered through document review, while outcome and impact data often require more intensive methods like surveys, focus groups, rapid appraisals, or participatory techniques. These methods may require trained staff and should be planned and budgeted for during project design. Impact data are typically collected through project evaluation processes using similar techniques as for outcome data. When selecting data collection methods, project teams must balance validity, reliability, timeliness, and cost. For example, a formal survey may provide statistically robust data, while reviewing extension agents' reports may offer a more affordable but less rigorous alternative.

Criteria/Attributes	Consider
Validity	Do the data mean what we think? Do the measurement techniques indeed measure what they declare to measure?
Reliability	Is it a consistent measure over time? Does the measure, after applied repeatedly to a given situation, consistently yield the same results if the circumstances remained unchanged between applications?
Timeliness	Can the data be collected routinely enough to inform management's decision-making? Some methods can be implemented more quickly, which makes them better when data are needed regularly or immediately.
Costs	Is there any budget constraint to consider before selecting methods? Some methods are more expensive, such as complex surveys.
Formal versus informal methods	Informal methods include casual conversations or unstructured site visits, which tend to be inexpensive and quick to implement, but can compromise credibility. Formal methods consist of censuses and sample surveys, which have high reliability and validity, but are more expensive, require extensive technical skills, and are time consuming. Between the formal and informal methods are rapid appraisals, which include focus groups, community interviews, key informant interviews, and direct observation.

Frequency: The timing of data collection depends on the type of information needed and its intended use. Output data are typically compiled and reported annually to inform short- and medium-term management decisions. Outcome data take longer to emerge and are often collected less frequently, usually at mid-term and completion, or when specific feedback is needed to adjust implementation. Lastly, impact data are generally gathered during final or follow-up evaluations, when enough time has passed to observe longer-term changes.

Responsible Party: Responsibility for data collection should be placed as close as possible to those who use the information. Output data are often gathered by field staff who maintain routine reporting systems and have direct visibility into implementation. Outcome data may be collected by project staff as well, or may require support from specialists trained in survey design, qualitative research, or participatory methods. Impact data fall under the responsibility of project managers and evaluators, with independent evaluators typically leading final or follow-up assessments.

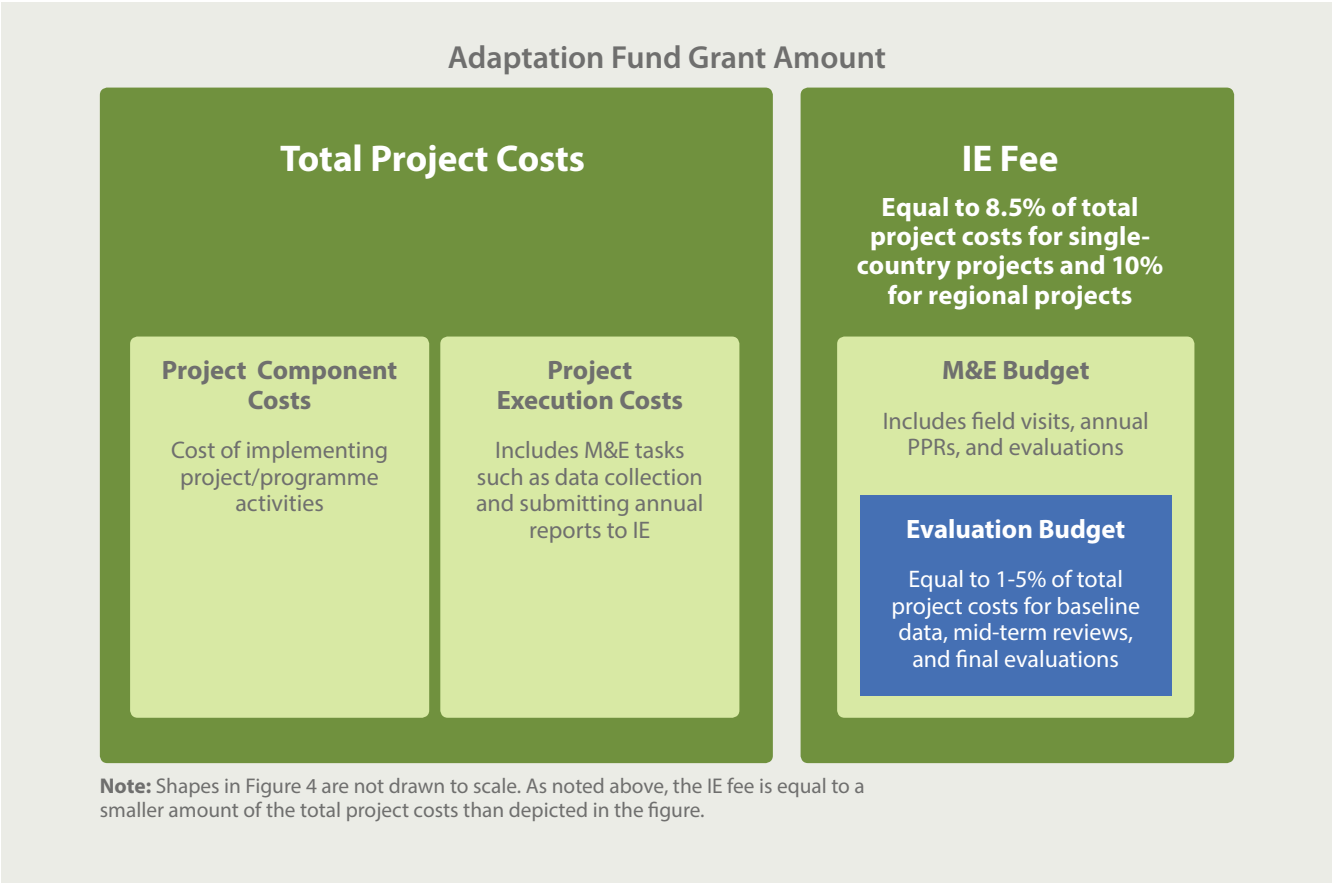
Risks, Assumptions, and Notes: Project teams are also responsible for assessing risks, identifying assumptions, and recording any other relevant notes for the operationalization of their project-level M&E systems.

3.2.2 Planning and Budgeting for M&E

Project teams will need to present project/programme components and corresponding financing in the AF project proposal template, with explicit linkage to expected concrete outputs and outcomes requested in a table in Part I: Project/Programme Information. In addition, funding proposals must describe the M&E arrangements and provide a budget for the mandatory evaluations in Part III.D, while monitoring activities should be budgeted for under Part III.G.

There is a distinction made between the different types of M&E costs, as M&E costs are covered under both project execution costs and IE fee. This distinction helps to distribute the costs for M&E between IEs and Executing Entities. Costs for project-level M&E execution, such as those related to data collection enumeration, are captured under total project execution costs, and costs associated with mandatory evaluation requirements and IE responsibility related to data collection, validation, PPR submission come from the IE fee (see Figure 4 and Fund guidance on costs and fees).

Figure 4. Monitoring and Evaluation Costs



Note: Shapes in Figure 4 are not drawn to scale. As noted above, the IE fee is equal to a smaller amount of the total project costs than depicted in the figure.

Monitoring:
The monitoring plan for projects should include Inception Workshops, Project Monitoring and Reporting, Supervision of Preparation of Annual Project Reports and project completion summaries, and audited/annual financial statements, as well as monitoring of the project's Environmental and Social Management Plan (ESMP), Gender Action Plan, and Grievance and Redress Mechanism (GRM), and Other Monitoring Costs.

Evaluation:
The evaluation plan for projects should include provisions for baseline data collection (where applicable), mid-term review (where applicable), and final evaluation. Evaluation budgets can be 1-5% of total project costs, to be counted against the IE fee, and in alignment with ranges approved by the AF Board in Decision B.41/30.

When estimating both M&E supervision and implementation needs, project teams are encouraged to consider factors that may influence M&E costs, such as project/programme size, geographic challenges, institutional capacity, and familiarity with and complexity of indicators and methodologies.

3.3 REPORTING AGAINST THE SRF DURING PROJECT IMPLEMENTATION

The Adaptation Fund requires project teams to monitor results for all SRF and project-specific indicators for the duration of the project, starting just after implementation. Project teams are expected to develop an M&E plan and reporting system at the beginning of the project that explain how, when, and who will collect data on project-specific and SRF indicators. Reporting frequencies vary depending on the type of indicator:

- **Project-specific indicators**: should be reported annually.
- **SRF Indicators**: should be reported only at project approval, mid-term, and completion.

3.3.1 Annual Project Performance Reports

IEs must complete and submit an online PPR on an annual basis for review and clearance by the Secretariat. Project teams should keep in mind the following:

- The PPR should be submitted on a rolling basis one year after the start of project implementation, which is marked by the date of inception workshop.
- PPRs shall be submitted no later than two months after the end of the reporting year.
- The last PPR should be submitted six months after project completion. In addition to the final PPR, IEs are requested to prepare a project completion summary.

The PPR template consists of 10 sections (see box below), including dedicated sections for reporting on project-specific indicators and on SRF indicators for measuring Fund-level results. All project-specific indicators should be reported annually. Project teams report against any SRF indicators identified in the SRF alignment table of the project proposal **three times** throughout implementation:

- **When submitting the 1st PPR**. Project teams report data under the columns "baseline information" and "target performance at completion" only. The rest of the tracker does not need to be filled yet.

- **At project mid-term**. Project teams report data under the column "performance at mid- term". This data should be reported when the project undergoes its scheduled Mid-Term Review (MTR), if applicable.[4] If implementation delays mean that little or no progress can be reported at the mid-point, IEs may request a postponement of the MTR. In such cases, the mid-term results tracker should be submitted in line with the revised MTR schedule.
- **When submitting the last PPR**. Project teams report data under the column "performance at completion".

Project teams should use the results frameworks developed in Step 5 to guide data collection for the PPR.

For further guidance, refer to the *Guidance Document To Complete Project Performance Report (PPR) for Projects Funded by the Adaptation Fund*.

PPR Sections

1. **Overview:** Provides high-level information on the project (e.g., title, summary, IE, database number, AFB approval date, project contacts)
2. **Financial information:** Contains estimated cumulative total disbursement, expenditure data, planned and actual co-financing, and other information in US dollars (USD).
3. **Procurement data:** Details procurement information (e.g., contract type, name of contracted party, total amount of contract) for contracts and bids over $2,500.
4. **Risk assessment:** Aligns with Section III.B of the project proposal on financial and project/programme risk management.
5. **Environmental and Social Policy (ESP) compliance:** Reports on environmental and social risk identification, management, and monitoring.
6. **Gender Policy (GP) compliance:** Details gender-responsive actions taken by the project at design, during implementation, and at exit.
7. **Rating:** Reflects the project's progress against the project components/outcomes based on self-assessment by both the IE and the EE(s).
8. **Project indicators:** Provides information on all indicators outlined in the project results framework in the project document approved by the Board, including project-specific indicators and, where applicable, SRF indicators.
9. **Lessons learned:** Includes questions on adaptive management and project/programme implementation and on lessons for adaptation, knowledge management, innovation, and complementarity/coherence with other climate finance sources.
10. **Results tracker:** Collects data on SRF indicators, allowing the Fund to aggregate data from individual projects/programmes at the portfolio level.

4 Mid-term reviews are not required for projects with a duration of less than four years.

3.3.2 Mid-term and Final Evaluations

Monitoring and evaluation are mutually reinforcing, as monitoring generates the data needed to assess progress, while evaluations use that evidence to validate and judge both intended and unintended results, such as increased resilience or decreased vulnerability. The Fund's Evaluation Policy notes that one of its evaluation criteria, effectiveness, should consider the extent to which the project/programme has accomplished SRF indicator targets. Adaptation Fund projects typically use two types of evaluation: mid-term reviews (MTR) and final evaluations.

An MTR is a formative evaluation to assess project performance and context to inform project management decision-making and course correction during the remaining implementation period. MTRs are mandatory for any project lasting four or more years and optional for shorter projects, though they may be especially useful for projects facing implementation challenges. The Fund recommends including SRF indicators in MTR assessments of effectiveness by drawing upon data from mid-term PPRs. MTRs may be conducted independently or semi-independently in projects with four or more years of implementation, or self-conducted in projects with shorter durations. Once cleared by the AFB Secretariat, they are posted on the project's microsite. Further information about MTRs can be found in the Evaluation Policy Guidance Note: Mid-Term Review.

Final evaluations are required for all completed projects and programmes to assess overall performance, impact, and contribution to Fund goals. Final evaluations must assess how project/programme indicators have aligned with Adaptation Fund strategic outcomes and outputs indicators and targets. They serve a broad audience, including the IE, the Fund, beneficiaries, partners, and other relevant stakeholders, by supporting learning and accountability and informing future climate change adaptation interventions. IEs must commission an independent final evaluation and submit it to the Secretariat and DA within nine months of project completion. Guidelines for terminal evaluations were approved at the 14th Board meeting (AFB/EFC.5/5): Guidelines for Project/Programme Final Evaluations and provide the minimum requirements of the Fund for undertaking terminal evaluations.

In addition to MTRs and final evaluations, the Board reserves the right to carry out independent and external reviews or evaluations of projects/programmes whenever it deems these necessary. The Board will cover costs of these reviews. For additional information, see the Evaluation Policy.

3.3.3 Adaptive Management

Project teams are encouraged to use data from SRF and project-specific indicators for adaptive management during project implementation, turning M&E into a continuous feedback loop rather than a compliance exercise. As projects generate data on outputs, outcomes, and impact, project teams can use these emerging signals of change to understand whether activities are unfolding as expected, whether assumptions from the intervention logic still hold, and where adjustments would be beneficial. This involves looking at whether targets are being met and complementing indicator reporting data with other information gleaned from implementation experience, consultations with targeted populations, and contextual changes to interpret why performance is unfolding as it is.

In addition to collecting data on SRF and project-specific indicators, project teams are expected to systematically track and report lessons learned to the Fund through Section 9 of the PPR. This is part of the Adaptation Fund's mandate that all projects include knowledge management (KM) and learning dissemination activities, given that KM is considered a core element of achieving Fund-level results. Incorporating a knowledge and learning component both enriches the global knowledge on climate change adaptation and accelerates understanding about what kinds of interventions work where and for whom.

KM and learning activities can be carried out in a variety of ways based on the environment and resources available. They may include documenting lessons through periodic learning briefs, case

studies, or reflection notes; producing communication products such as videos, photos, or radio broadcasts that capture implementation experiences; maintaining project websites, blogs, or social media accounts to share updates and insights; or organizing learning events such as peer-to-peer exchanges or community meetings. Combining several of these tools can help ensure that learning is captured and shared with relevant audiences, and eventually used to inform adaptive management decisions.

Though not required, project teams may choose to develop a KM strategy (see box) to guide KM and learning activities. A core component of such a strategy is obtaining the support of project managers and "willing" actors to increase effectiveness. Having buy-in from these stakeholders can help project teams ensure that lessons reach the intended and most appropriate audiences. Common Project teams should describe planned knowledge management activities, including any strategies, in the Part II: Project/Programme Justification of the proposal to the Adaptation Fund.

Developing a Knowledge Management Strategy

A knowledge management (KM) strategy sets the long-term direction, scope, and objectives (short- and long-term) that are systematically pursued and eventually achieved through proper resource planning. It includes an action plan to achieve the goal of learning from experience and sharing that knowledge with all stakeholders and with the global community as reference for future projects. Consider these principles when developing a KM strategy:

- **Synergy**: Actions by different stakeholders can multiply expected results and impact;
- **Transparency**: KM helps project management and evaluation become more transparent by easing access to data and information on the processes and results obtained;
- **Participation and Inclusion**: Inputs from all stakeholders will help the overall success of the project, as well as enrich local and global knowledge;
- **Flexibility**: The KM strategy is a living document that should adapt to possible changes and unforeseen events during the project;
- **Relevance**: The KM strategy must consider relevance and utility of knowledge for different stakeholders. It should capture and systematize experiences and knowledge that can improve the project itself, as well as future interventions, processes, projects, and policies; and
- **Cost-effectiveness**: While creating the action plan, evaluate the cost-benefit of each KM activity and product to stay realistic, prioritizing activities that could generate the greatest impact for each dollar invested.

3.4 FUND-LEVEL AGGREGATION AND REPORTING

The AFB Secretariat bears responsibility for aggregating project-level data across the portfolio to produce Fund-level results reporting. During project design, the Secretariat offers guidance to project teams in aligning projects with the SRF, including through this document and webinars or other knowledge sharing events. In providing this guidance, the Secretariat does not favor larger project sizes or higher numerical targets; project teams are encouraged to set targets that are appropriate to their context and scope. As projects submit data on the SRF, the Secretariat undertakes a rigorous data quality assurance process to ensure that information provided by IEs is complete and clearly aligned with SRF indicator methodologies. Next, the Secretariat applies a standardized aggregation approach across projects to consolidate results across the SRF indicators. In interpreting these aggregated results, the Secretariat considers contextual conditions to ensure that Fund-level findings

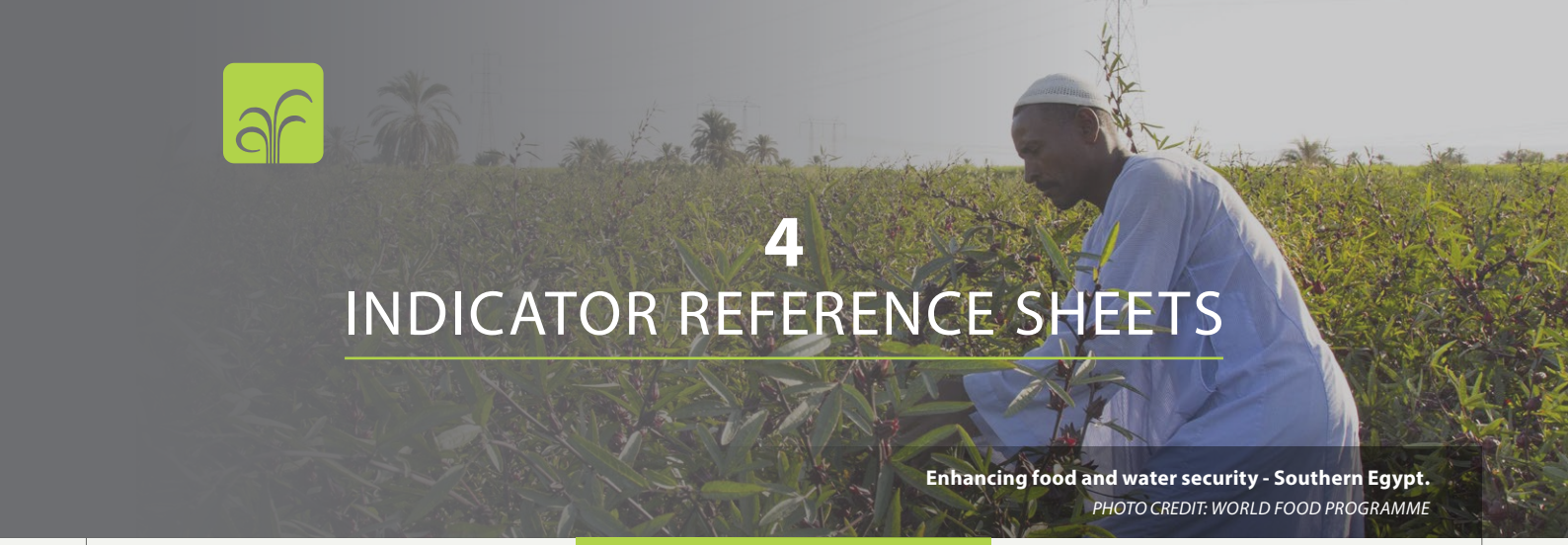
accurately reflect the diversity of project settings. These Fund-level findings provide valuable insight for assessments of institutional effectiveness and impact, helping guide adaptive management in response to gaps and supporting fundraising through demonstration of results.

Aggregated data also feeds into joint reporting efforts with other multilateral climate funds, including the Green Climate Fund (GCF), the Climate Investment Funds (CIF), and the Global Environment Facility (GEF). The Secretariat also bears responsibility for meeting reporting requirements under the United Nations Framework Convention on Climate Change (UNFCCC), including contributions to the UAE Framework for Global Climate Resilience (Global Goal on Adaptation or GGA). The indicator reference sheets provided in Section 4 indicate when disaggregation by sector is requested to enable more nuanced reporting aligned with GGA themes and dimensions.

Links to Key Documents

- Update to the Adaptation Fund Strategic Results Framework
- Alignment of Project Objectives/Outcomes with Adaptation Fund Results Framework
- OPG Annex 5: Project Review Criteria and Project Proposal Template
- Instructions for Preparing a Request for Project/Programme Funding
- PPR Template
- Guidance Document to Complete PPR
- Evaluation Policy Guidance Note: Mid-Term Review
- Guidelines for Project/Programmes Final Evaluation
- Instruction for project completion summary

Project Site Visit - Colombia.
PHOTO CREDIT: UNDP COLOMBIA



4
INDICATOR REFERENCE SHEETS

Enhancing food and water security - Southern Egypt.
PHOTO CREDIT: WORLD FOOD PROGRAMME

CHAPTER OVERVIEW

This chapter provides indicator reference sheets for each core, outcome, and output indicator in the Strategic Results Framework (SRF). These reference sheets include actionable methodologies for measuring and reporting against the indicator, as well as indicator-specific guidance on setting baseline and target values. They also offer definitions of key terms, guidance on reporting frequency, and descriptions of alignment with other SRF indicators. This section also provides definitions for suggested disaggregation categories mentioned in the reference sheets.

Select any linked indicator below to navigate directly to its reference sheet.

Core Indicators

1. Number of beneficiaries
2. Early warning systems established or improved
3. Physical assets improved or constructed to withstand climate variability and change
4. Ecosystems and natural resources brought under protection, restoration, or improved management in response to climate variability and change
5. Households with increased income or avoided decrease in income
6. Policies, strategies, and/or plans developed or adjusted to integrate climate risk and resilience considerations

Select any linked indicator below to navigate directly to its reference sheet.

Strategic Outcomes

Strategic Outcome 1:
Reduced exposure to climate-related hazards and threats

Strategic Outcome 2:
Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses

Strategic Outcome 3:
Strengthened awareness and ownership of adaptation and climate risk reduction processes

Strategic Outcome 4:
Increased adaptive capacity within relevant development sector services and infrastructure assets

Strategic Outcome 5:
Increased ecosystem resilience in response to climate change and variability-induced stress

Strategic Outcome 6:
Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas

Strategic Outcome 7:
Improved policies and regulations that promote and enforce resilience measures

Strategic Outcome 8:
Innovation for effective, long-term adaptation to climate change accelerated, encouraged, and enabled to scale up

Climate smart actions and strategies - India.
PHOTO CREDIT: BAIF DEVELOPMENT RESEARCH FOUNDATION

4.1 ADAPTATION FUND BENEFICIARIES

Core Indicator 1: Number of beneficiaries
Unit: Number of people

Definition

This indicator counts the **total number of people who have been supported by AF-funded interventions** to strengthen their resilience to climate change impacts.[5]

People reported under this indicator are divided into two categories: **direct beneficiaries** and **indirect beneficiaries**. Whether people are counted as direct or indirect beneficiaries is determined based on the **targeting** and **intensity** of support provided.

Targeting. Targeted support is the intentional assistance of a project to people who are:

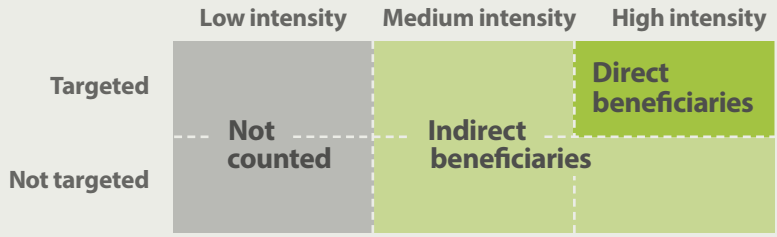
- Explicitly identified by the project, and
- Aware they are receiving support and/or use the specific resources provided by the project.

Intensity. Intensity of support refers to the level of assistance provided, ranging from high to medium to low based on:

- *Relevance:* how closely linked the support and/or benefit is to strengthening people's climate resilience.
- *Duration/frequency:* Duration and/or frequency of support and/or benefit.
- *Extent:* Whether people receive multiple forms of support and/or benefit.

Methodology

Project teams should determine whether beneficiaries are direct or indirect according to (a) whether beneficiaries are **targeted**, and (b) the **intensity of support** provided to beneficiaries, as follows:



IEs are expected to apply professional judgment in assessing the intensity of support. They should support their assessments with a short qualitative description in the core indicator reporting form. **Additional practical guidance is provided in Annex 2 to help project teams make judgments**. This Annex includes guiding questions for assessing relevance, duration, and extent of support across the high-medium-low intensity continuum, as well as concrete examples of typical AF-funded activities classified as high, medium, or low intensity.

The **beneficiary core indicator applies to all activities under the project**. Projects may support beneficiaries through multiple, different resilience-focused activities. For example, one component of a project may support direct beneficiaries with adopting new livelihood practices, while a second component may support beneficiaries with access to new community assets. In practice, this means that projects may need to **use more than one project-specific indicator** to capture the total number of beneficiaries from that project. In such cases, IEs should clearly demonstrate in the core indicator reporting form which project-specific indicators they will use to measure their total direct and/or indirect beneficiaries.

(continued on following page)

5 While this specific indicator does not seek to explicitly measure whether AF-funded support was successful in strengthening people's resilience to climate change impacts, these higher-level changes should be captured through project reporting on relevant outcome indicators.

Core Indicator 1: Number of beneficiaries
Unit: Number of people

Methodology (*continued*)

IEs should **aggregate data across relevant project-specific indicators** to set targets and measure the total number of direct and/or indirect beneficiaries. Aggregation procedures should **avoid duplication** as follows:

- Regardless of whether an individual benefits from one or multiple types of support/benefit, **each person should only be counted as one unique beneficiary**. For example, if several project activities support the same person in different ways, that person should only be counted as one unique beneficiary.
- If a person benefits from multiple types of support, **each person should be counted based on the highest intensity support received**. For example, if a person receives targeted support for both high- and medium-intensity activities, that person should only be counted as one direct beneficiary (and not double-counted also as one indirect beneficiary).

IEs should **measure results** (total count and disaggregation of direct and/or indirect beneficiaries) based on actual records of project activities (e.g., records from project implementation units, administrative records from government agencies, project surveys) and/or methods for relevant project-specific indicators. For indirect beneficiaries that are not targeted, results reporting may include extrapolation based on membership in a group (e.g., cooperative, household) or residence in an administrative area (e.g., village, community, district). IEs should extrapolate the number of indirect beneficiaries conservatively and with consideration to the beneficiaries' climate exposure and vulnerability. For example, in an administrative district, a project might only count those people exposed to a certain type of climate hazard or exhibiting a certain type of vulnerability—rather than the entire district population—as beneficiaries.

If applicable, project teams can apply a conversion from households to number of people using locally available census or administrative data, or the latest United Nations Population Division Database on Household Size and Composition.

Disaggregation categories

- Direct / Indirect
- Sex
- Thematic sector
- Vulnerable groups

Baseline and target setting

The **baseline** should be set at zero since this indicator counts the number of people supported by AF-funded projects.

Targets should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

People reported under **Outcome Indicator 1** (*People using improved climate-related threat and hazard information*), **Indicator 3A** (*People with strengthened awareness of climate change risks and how to better address them*), **Indicator 3B** (*People implementing new or improved adaptation actions*), and **Indicator 6A** (*People adopting improved and/or new climate-resilient livelihood practices*) should be reported as direct beneficiaries under this core indicator. These indicators require people to be targeted to be counted, and because people are experiencing the results at an outcome-level, the activities are considered high-intensity (see also **Annex 2**).

People reported under **Output Indicator 1.2B** (People covered by new or improved early warning systems) should not be reported as beneficiaries under this core indicator (see also **Annex 2** for further guidance).

4.2 STRATEGIC OUTCOMES

Strategic Outcome 1:

Reduced exposure to climate-related hazards and threats

Indicator 1: People using climate-related threat and hazard information

Associated AF result: ***Outcome 1: Reduced exposure to climate-related hazards and threats***
Unit: ***Number of individuals***

Definition

This indicator measures the number of individuals that **actively use** climate-related threat and hazard information as a direct result of an AF-funded intervention.

An individual can be considered to **actively use** information when they (i) deliberately **access** that information and (ii) **use** that information to inform their own concrete adaptation-related decisions and responses. For example, a farmer accesses rainfall forecasting data, which then helps them to determine their cropping patterns.

Climate-related threat and hazard information comprises information and knowledge that has been generated, managed, and/or distributed with the explicit purpose of supporting improved adaptation responses.

Methodology

The indicator is primarily for use by AF interventions that support individuals to **access and apply climate information**. AF interventions that are focused on **improving information generation, management and/or distribution** (for example through new research or strengthened communication systems) can also use the indicator, if it can be demonstrated that targeted individuals subsequently **access and apply** that improved information.

Data for this indicator should be collected through **surveys** or other forms of **consultation** (such as focus group discussions) of the beneficiaries targeted through the AF-funded intervention. Surveys/consultations should ascertain whether (i) beneficiaries **accessed** the climate-related threat and hazard information that the intervention focused on, and (ii) whether and how they **used** that information. Where it is not feasible to survey/consult all targeted beneficiaries, a representative sample of beneficiaries can be surveyed/consulted, with the indicator value based on an extrapolation of that sample. In such instances, the IE should describe the sampling and calculation methodology in detail.

Quantitative reporting should be supported by qualitative detail on the targeted beneficiaries, the type(s) of information accessed, and how beneficiaries applied the information.

Disaggregation categories

- Sex
- Thematic sector
- Hazard

Baseline and target setting

If the intervention is providing access to **new** information sources, and/or **opening access** to sources that were previously not publicly available, then the **baseline** will be **zero**. If the intervention is introducing new beneficiaries to pre-existing sources and/or is empowering beneficiaries to apply that pre-existing information, then the baseline will be the **number of individuals that accessed and used that pre-existing information source prior to the intervention**.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

People counted against this indicator should also be counted as direct beneficiaries against **Core Indicator 1: Number of beneficiaries**.

Indicator 1.1: Risk and vulnerability assessments conducted or updated

Associated AF result: ***Output 1.1 Risk and vulnerability assessments conducted and updated***
Unit: ***Number of assessments***

Definition

This indicator measures the total number of climate risk and vulnerability assessments (CRVAs) that have been conducted and/or updated with the direct support of AF- funded interventions.

Methodology

For a CRVA to be counted against this indicator, it should least:

- Identify climate hazards.
- Assess exposures, vulnerabilities and adaptative capacities.
- Analyze risks and possible impacts and prioritize identified risks.

CRVAs should provide a sufficient level of detail and clarity to inform the development of relevant and country/sector-specific adaptation measures and/or to help a country/sector make risk-based choices to address vulnerabilities, mitigate hazards, and prepare for response to, and recovery from, hazard events.

A single intervention can conduct and/or update multiple CRVAs that cover – for example – different geographical areas or different sectors. Every distinct CRVA should be counted against this indicator.

The **geographical coverage** (km^2) of each CRVA should also be recorded, even if a CRVA is ostensibly sector-focused.

Disaggregation categories

- Thematic sector
- Geographic scale

Baseline and target setting

The **baseline** will be **zero**, even where work is focused on updating existing CRVAs.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

CRVAs may have been conducted as part of the establishment/improvement of EWSs that are also tracked through **Core Indicator 2: EWS established or improved**. In such instances, it is acceptable to use this indicator (1.1) to record the number of distinct CRVAs conducted/updated as part of that EWS improvement process.

Some CRVAs measured through this indicator may also involve concurrent development of climate resilience knowledge products and tools. Any related knowledge products or tools – but not CRVAs – should be reported under **Indicator 3.2** (Climate resilience knowledge products and/or tools developed and shared with stakeholders).

Indicator 1.2/ Core Indicator 2: Early warning systems established or improved

Associated AF result: ***Output 1.2 Targeted population groups covered by warning and advisory services for climate-related hazards and threats***
Unit: ***Number of systems***

Definition

This indicator measures the absolute number of early warning systems (EWS) that have been newly established, extended, or otherwise improved with AF-funded support.

An **EWS** is defined within the Sendai Framework as "*an integrated system of hazard monitoring, forecasting and prediction, disaster risk assessment, communication and preparedness activities systems and processes that enables individuals, communities, governments, businesses and others to take timely action to reduce disaster risks in advance of hazardous events.*"

Methodology

For a system to be counted against this indicator, the AF-funded intervention should have established, extended or otherwise improved **at least one** of the following **five key pillars** of a complete and effective EWS, as defined by the Sendai Framework and the related Early Warnings for All (EW4All) Initiative. Moreover, only systems that comprise **all five pillars** of a complete and effective EWS should be counted under this indicator, even where AF support has been limited to one or more individual pillars:

- **Disaster risk knowledge**, based on the systematic collection of data and disaster risk assessments. This element can also include hazard and threat identification; exposure, vulnerability and capacity assessment; and consolidation of risk information.
- **Detection, monitoring, analysis and forecasting of the hazards and possible consequences.** This element can also include the development of monitoring systems; development of forecasting and warning services; and development of institutional mechanisms.
- **Warning, dissemination and communication**, by an official source (a national or sub-national government or delegated authority), of authoritative, timely, accurate and actionable warnings and associated information on likelihood and impact. This element can also include development of organizational and decision-making processes; and establishment of communications systems and equipment.
- **Preparedness and response capabilities** to respond to the warnings received at all relevant levels (whether national, sub-national, community, household, and/or individual) within the EWS's area of coverage. This element can also include development of response plans; public awareness and communication campaigns; and testing of public awareness and responses.
- **Cross-cutting enablers** to bring all pillars together, including a clear institutional, policy, and legislation framework; financed and operationalized plans for the development and implementation of EWS; and effective coordination between relevant agencies.

Detailed guidance on each of these pillars, and on EWS implementation more broadly, is available within the UNDRR's Words Into Action publication. Detailed guidance on EWS monitoring is available within EW4All's Toolkit for Monitoring & Evaluation. IEs should report which of the five key pillars were supported and in what way in the PPR.

An EWS can cover one or multiple of the following **climate-related hazards**:

- Floods
- Droughts
- Increased temperature
- Storms
- Cyclones
- Landslides
- Other extreme climate events

Only systems that cover **at least one climate change related hazard** should be counted against this indicator.

The **geographical coverage** (km^2) of each EWS should also be recorded.

Disaggregation categories

- Hazard
- Geographic scale

Indicator 1.2/ Core Indicator 2: Early warning systems established or improved

Baseline and target setting

The **baseline** is the number of complete EWS (i.e., including all five key pillars) that are fully operational within the targeted geographical area. If the AF-funded intervention is extending or otherwise improving an existing EWS, do not include that system in the baseline.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

Any intervention monitoring this indicator should also monitor **Indicator 1.2B** (*People covered by new or improved early warning systems).*

Indicator 1.2B: People covered by new or improved early warning systems

Associated AF result: ***Output 1.2 Targeted population groups covered by warning and advisory services for climate-related hazards and threats***

Unit: ***Number of people***

Definition

This indicator measures the total number of individuals that are covered by an EWS that was established, extended or otherwise improved with the support of AF-funded interventions.

An individual is "**covered**" by the EWS if they are able to **access** the **official source** of authoritative, timely, accurate and actionable warnings, as provided through the key EWS pillar of **warning, dissemination, and communication**.

Methodology

This indicator should only report people covered by AF-supported EWSs, as recorded against Core Indicator 2.

To be counted against this indicator an individual should **live** in the geographical area covered by the EWS **and** have access to at least one of the systems or methods used by authorities (e.g., TV, radio, cell phone, internet, sirens) to deliver the EWS's **warning, dissemination and communication**. Individuals should only be counted when the EWS is fully operational.

Where possible, this indicator should be based on official population data for the geographical area(s) covered by the EWS, in combination with any national International Telecommunication Union (ITU) analysis on communication channel reach, and/or analogous data/studies.

Disaggregation categories

- Sex
- Hazard

Baseline and target setting

The **baseline** will be zero.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

Indicator 1.2B should be monitored if the intervention is monitoring **Core Indicator 2: Early warning systems established or improved**.

People counted against this indicator should **not** be counted against **Core Indicator 1: Number of beneficiaries**. See **Annex 2** for further guidance.

Strategic Outcome 2:

Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses

Indicator 2: Institutions with strengthened capacity to understand and better address climate risks and resilience

Associated AF result: ***Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses***

Unit: ***Number of institutions***

Definition

This indicator counts the number of institutions that demonstrate strengthened capacity to understand and better address climate risks.

Institutions may include public or private sector organizations operating at national and local levels.

Strengthened capacity may be reflected through improvements in relevant institutional functions, such as:

- Resource management, including financial, human, or technical resources dedicated to understanding and addressing climate risks and resilience.
- Staff competencies, including skills and knowledge at all levels, to understand climate adaptation concepts, identify and assess climate risks, and design and implement appropriate adaptation measures.
- Planning frameworks that incorporate climate risk information, including the development or use of risk and vulnerability assessments, and the integration of adaptation priorities into plans or budgets.
- Management systems, procedures, and tools that support effective and efficient implementation of adaptation measures, including through leadership engagement and internal coordination.
- Service delivery and responsiveness to the adaptation needs of targeted populations.

Methodology

To be counted under this outcome indicator, an institution must show measurable change in its capacity and not simply participation in AF-funded activities. Note that Output Indicator 2.1.1 tracks all institutions that received capacity building support under the AF-funded project, while the current indicator counts only those institutions that demonstrate strengthened capacity as a result of that support.

Methods used to measure this indicator should be appropriate for assessing changes in knowledge, perceptions, and practices, such as surveys, key informant interviews, and/or focus group discussions. For example, surveys of institutional staff may be deployed to capture perceptions of improved resource management, staff capacity, and management systems. Where feasible, perceptions from communities or groups served by the institution should be captured to assess improvements in service delivery and responsiveness.

If feasible, a baseline capacity assessment should be conducted for each targeted institution at project inception, ideally including both qualitative and quantitative measures of capacity across the relevant dimensions. This assessment can document the institution's starting point and serve as a comparison against which to measure strengthened capacity after the project intervention.

Disaggregation categories

- Geographic scale
- Thematic sector
- Type of institution

Baseline and target setting

The **baseline** value for this indicator is zero, as it measures the number of institutions that demonstrate strengthened capacity as a result of the project.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Indicator 2: Institutions with strengthened capacity to understand and better address climate risks and resilience

Links with other SRF indicators

Indicator 2.1 (*Institutions supported to strengthen capacity to understand and address climate risks and resilience)* tracks all institutions that received capacity building support from the AF-funded project, the current indicator counts only those institutions that demonstrate strengthened capacity as a result of that support. As a result, the value reported under this indicator may be lower than Indicator 2.1 if some supported institutions do not show evidence of improved capacity.

This indicator focuses on institutional-level capacity change and does not count individual staff members within those institutions. IEs should use **Indicator 3A** (*People with strengthened awareness of climate change risks and how to better address them)* to capture the number of staff from targeted institutions who have strengthened awareness or competencies related to climate risks and adaptation.

Indicator 2.1: Institutions supported to strengthen capacity to understand and address climate risks and resilience

Associated AF result: ***Output 2.1 Strengthened capacity of institutions to understand and better address climate risks***
Unit: ***Number of institutions***

Definition

This indicator measures the number of institutions that have received AF-funded support to strengthen their capacity to understand and address climate risk. This indicator does not measure whether an institution's participation has resulted in improvement in capacity, which is instead captured under Outcome Indicator 2.1.

Institutions may include public or private sector organizations operating at national, sub-national, and/or local levels.

Methodology

To be eligible to be counted under this indicator, the institution must:

- Be the **target** of the AF-funded intervention. If an intervention supports staff member(s) from an institution (for example, to participate in a training or workshop), the broader institution can also be counted as targeted.
- Have been supported through at least one project-delivered **activity**. Examples of support may include participation in capacity building activities such as training, workshops, technical assistance, mentoring, peer-to-peer exchanges, information sessions, and other structured learning or support activities designed to improve understanding of climate risks and how to address them.

Institutions supported should be identified and tracked through project records. For example, participation may be confirmed by reviewing attendance sheets, training or technical assistance reports, meeting minutes, memoranda of understanding, project progress reports or secondary human resource records from targeted institutions to confirm participation. Each institution should be counted once, regardless of how many activities they participated in.

Disaggregation categories

- Geographic scale
- Thematic sector
- Type of institution

Baseline and target setting

The **baseline** for this indicator should be zero, as no institutions have been supported prior to project implementation.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Indicator 2.1: Institutions supported to strengthen capacity to understand and address climate risks and resilience

Links with other SRF indicators

While Indicator 2.1 tracks all institutions that received capacity building support from the AF project, the effectiveness of that support is captured under **Indicator 2** (*Institutions with strengthened capacity to understand and better address climate risks and resilience)*. As a result, the value reported under this indicator may be higher than Indicator 2.1 if some supported institutions do not show evidence of improved capacity.

This indicator focuses on institutional-level capacity and does not count individual staff members within those institutions. IEs should use **Indicator 3.1** (*People participating in activities to improve awareness of climate risks and how to address them*) to capture the number of staff from targeted institutions who have participated in capacity building activities related to climate risks and adaptation.

Indicator 2.2: Local institutions receiving funding or other direct support under the locally led adaptation modality

Associated AF result: ***Output 2.2: Increased capacity of national and sub-national entities to directly access and programme adaptation finance***

Unit: ***Number of institutions***

Definition

This indicator measures the total number of local institutions that receive funding or other direct support from the AF-funded project under the locally led adaptation (LLA) modality.

The following methodology for this indicator is aligned with the LLA Principles, which the AF endorsed through decision B.35-36/14, and the practical guidance for aligning operations with the LLA principles, which provides these definitions:

Local is "an umbrella term to capture local communities and the organizations, institutions and local government units that represent or work directly with communities pursuing LLA, who are often best placed to determine the most appropriate responses for their situation and needs."

AF-funded adaptation initiatives are **locally led** "when local people design, implement and monitor them, not when funds are allocated by national/regional/global institutions and local communities are mere beneficiaries and not agents of change."

Methodology

The methodology for this indicator specifically aligns with **LLA Principle 3 – Providing patient and predictable funding that can be accessed more easily**.

An institution may be counted under this indicator if the:

- Institution has received funding and/or direct support from the project in line with the definitions and principles of LLA. In practice, this means that the institution represents or works directly with communities pursuing LLA and that local people design, implement and monitor the use of these funds.
- Funding stems from the AF LLA modality. Funding and direct support provided under the AF LLA Modality is explained here - https://www.adaptation-fund.org/apply-funding/locally-led-adaptation/

Project teams should create and maintain a tracking system to monitor the count of local institutions receiving funding under the LLA modality and quantitative and qualitative information regarding the institution and the nature of support. For example, this might include institutional information (name, location, contact information), a qualitative explanation of why the institution is considered "local", the size and nature of the LLA funding and/or direct support provided, the date the support was provided, and how the funding and/or direct support is aligned with and contributes to advancing LLA Principle 3.

Projects may provide multiple types of support to institutions or support to institutions at multiple points in time. However, each unique institution should only be counted once, regardless of the number of types of support it receives.

Indicator 2.2: Local institutions receiving funding or other direct support under the locally led adaptation modality

Disaggregation categories: None

Baseline and target setting

The **baseline** value for this indicator is zero as it measures the number of local organizations receiving funding and/or direct support from the project.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

Some institutions reported under this indicator may also be counted under **Indicator 3.3** if they demonstrate responsibility for local decision-making over adaptation solutions.

Portfolio Monitoring Mission - Rwanda.
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Strategic Outcome 3:

Strengthened awareness and ownership of adaptation and climate risk reduction processes

Indicator 3A: People with strengthened awareness of climate change risks and how to better address them

Associated AF result: ***Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes***

Unit: ***Number of people***

Definition

This indicator counts the number of people who report strengthened awareness of climate change risks and how to better address them after participating in AF-supported interventions. It is a measure of the knowledge and capacity of the targeted population to respond to climate risks through appropriate adaptation responses.

Awareness is having or showing realization, perception or knowledge.

How to better address climate risks refers to adaptation actions that are appropriate for adjusting to actual or expected climate and its effects, such as those described in national or local adaptation plans.

Methodology

To be counted under this indicator, people must:

- Be **targeted** by AF-funded activities to improve awareness of climate risks and how to better address them.
- Demonstrate **strengthened awareness** of climate change risks and how to better address them.

Methods used to measure this indicator should be appropriate for assessing changes in knowledge and perceptions, such as project-level surveys, key informant interviews, and/or focus group discussions. Both self-assessment and applied assessment of strengthened awareness are acceptable methods. For example, a survey could be administered before and after training session(s) measuring the change in participants' knowledge. In this case, the number of people reported should only be those demonstrating a positive change in measured knowledge. As another example, focus group discussions could be held in communities that have participated in AF-funded interventions at the end of the project to assess whether participants' awareness of climate change risks and how to better address them has increased.

Where it is not feasible to survey/consult all targeted beneficiaries, a representative sample of beneficiaries can be surveyed/consulted, with the indicator value based on an extrapolation of that sample. In such instances, the IE should describe the sampling and calculation methodology in detail.

Each individual should only be counted and reported once, regardless of how many AF-funded activities they have participated in or how many climate risks they have strengthened awareness of.

Disaggregation categories

- Sex
- Vulnerable group
- Thematic sector

Baseline and target setting

The **baseline** value for this indicator is zero, as it measures the number of individuals that demonstrate strengthened awareness as a result of the project.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Indicator 3A: People with strengthened awareness of climate change risks and how to better address them

Links with other SRF indicators

People counted against this indicator should also be counted as direct beneficiaries against **Core Indicator 1: Number of beneficiaries**.

People reported under **Indicator 3B** (*People implementing new or improved adaptation actions*) may also be reported under this Indicator 3.1 if they demonstrate both strengthened awareness AND implementation of new or improved actions. Data collection methods may also be implemented in tandem (e.g., a survey that assesses changes in awareness/knowledge and practices).

People reported under this **Indicator 3.1** are a subset of those reported under Indicator 3.1 (*People participating in activities to improve awareness of climate risks and how to address them*). Compared to the corresponding output-level Indicator 3.1, reporting for Indicator 3A is at the outcome-level and distinguished by using an assessment tool that demonstrates increased awareness.

Indicator 3B: People implementing new or improved adaptation actions

Associated AF result: ***Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes***

Unit: ***Number of people***

Definition

This indicator measures the number of people who report adoption of new or improved adaptation actions after participating in AF-supported activities. It is a measure of behavioral change, reflecting the extent to which people adopt adaptation actions promoted by the AF project.

Adaptation actions are defined as measures, practices, or behaviors used to adjust to actual or expected climate conditions and their impacts. These actions may align with priorities identified in NAPs and other relevant national or local adaptation policies/strategies/plans. **New** adaptation actions are those that people were not applying prior to the project and began implementing during/after the AF-funded intervention. **Improved** adaptation actions are those that people were applying prior to the project but have since modified based on awareness or knowledge gained from the AF-funded intervention.

Implementing refers to taking steps to put knowledge or decisions into practice.

Methodology

To be counted under this indicator, people must:

- Have been **targeted** by AF-funded activities aimed at strengthening awareness and adoption of new or improved adaptation actions.
- Demonstrate that they have adopted **at least one new or improved adaptation action** after participating in the AF-supported activities.

Project records should be used to identify the targeted individuals. To determine whether targeted individuals have adopted a new or improved adaptation action, select an appropriate method that can assess changes in behaviors or practices, such as surveys, direct observation, key informant interviews, and/or focus group discussions. Both self-assessment and applied/objective assessments are acceptable approaches to assess whether adaptation actions are adopted.

Once the method is selected, develop and apply a structured assessment tool (e.g., simple set of questions) to assess whether individuals gained awareness or knowledge and whether they have applied it to adopt an adaptation action. Where feasible, based on time elapsed since the AF-supported activity, incorporate sustainability of behavior change into the tool. Where feasible, direct observation may be used to confirm adoption of actions that yield visible outputs, such as water harvesting structures or crop diversification. For actions that are no longer visible (e.g., seasonal practices), reliance on self-reported evidence is acceptable.

Each individual should only be counted and reported once, regardless of how many adaptation actions they have adopted.

Disaggregation categories

- Sex
- Vulnerable groups

Indicator 3B: People implementing new or improved adaptation actions

Baseline and target setting

The **baseline** for this indicator will be zero for most projects, as no individuals will have adopted new or improved adaptation actions based on awareness or knowledge gained through AF-funded activities prior to the start of the project. However, if AF-funded activities aim to improve existing adaptation actions, projects should conduct a baseline assessment of the number of targeted individuals that currently use the adaptation action.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

People counted against this indicator should also be counted as direct beneficiaries against **Core Indicator 1: Number of beneficiaries**.

People reported under Indicator 3B may be a subset of people reported under **Indicator 3A** (*People with strengthened awareness of climate change risks and how to better address them*), as the strengthened awareness enables them to implement new or improved adaptation actions.

People reported under Indicator 3B may be a subset of people reported under **Indicator 3.1** (*People participating in activities to improve awareness of climate risks and how to address them*). Compared to the corresponding output-level Indicator 3.1, reporting for Indicator 3B is at the outcome-level and distinguished by using an assessment tool that demonstrates implementation of adaptation actions.

Indicator 3.1: People participating in activities to improve awareness of climate risks and how to address them

Associated AF result: ***Output 3.1: Targeted population groups participating in adaptation and risk reduction awareness activities***

Unit: ***Number of people***

Definition

This indicator measures the number of people who are reached through activities that target awareness raising and knowledge sharing about climate change risks and how to better address them.

Awareness is having or showing realization, perception or knowledge.

How to better address climate risks refers to adaptation actions that are appropriate for adjusting to actual or expected climate and its effects, such as those described in national or local adaptation plans.

Methodology

To be counted under this indicator, people must:

- Be **targeted** by the AF-funded activities to improve awareness of climate risks and how to address them. Such activities could include training, workshops, information sessions, technical assistance, mentoring, peer-to-peer exchanges, and other structured learning or support activities designed to improve understanding of climate risks and resilience.

Project records should be used to identify the targeted individuals that participated in relevant activities. For example, participation may be confirmed through attendance sheets, training reports, meeting minutes, memoranda of understanding, project progress reports, or secondary human resource data from targeted organizations.

Each individual should only be counted and reported once, regardless of how many AF-funded activities they have participated in (e.g., multiple training sessions).

Disaggregation categories

- Sex
- Vulnerable groups

Indicator 3.1: People participating in activities to improve awareness of climate risks and how to address them

Baseline and target setting

The **baseline** for this indicator should be zero, as no individuals have participated in activities prior to the project implementation.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

People reported under Indicator 3.1 may be a subset of direct or indirect beneficiaries reported under **Core Indicator 1: Number of beneficiaries**, if the activities meet the targeting and intensity principles (see **Annex 2**).

People reported under **Indicator 3A** (People with strengthened awareness of climate change risks and how to better address them) and **Indicator 3B** (People implementing new or improved adaptation actions) may be a subset of people reported as participating in activities intended to improve their awareness of climate risks and how to address them. Compared to the corresponding output-level Indicator 3.1, reporting for Indicators 3A and 3B is at the outcome-level and distinguished by using an assessment tool that demonstrates increased awareness and implementation of adaptation actions.

Indicator 3.2: Climate resilience knowledge products and/or tools developed and shared with stakeholders

Associated AF result: ***Output 3.2: Strengthened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning***

Unit: ***Number of products/tools***

Definition

This indicator measures the number of knowledge products and tools developed and shared with people and institutions to build capacity and awareness related to climate risk and resilience. It aims to capture the extent to which AF-supported interventions generate and disseminate knowledge on climate resilience.

Knowledge products and tools are outputs developed with AF funding in order to share climate resilience knowledge with project stakeholders. They may include white papers, learning briefs, training materials, awareness campaign materials, data analysis and visualization tools, and other similar outputs.

Methodology

To be counted under this indicator, knowledge products/tools must be:

- An output developed by the AF-supported intervention focused on sharing information about climate risks and resilience.
- Shared with stakeholders beyond the originating organization.

Project records should be used to identify and track knowledge products/tools developed and shared with stakeholders. These records could include progress reports from project implementation units or other project service providers. Each knowledge product or tool should be counted once, regardless of how many times it was shared.

Projects should disaggregate by the thematic sector(s) informed by or informing the knowledge products or tools, such as cultural heritage considerations. Projects may check more than one sector during disaggregation or report the product or tool as multi-sector if it covers more than one sector.

Disaggregation categories

- Thematic sector

Indicator 3.2: Climate resilience knowledge products and/or tools developed and shared with stakeholders

Baseline and target setting

The **baseline** for this indicator should be zero, as no products or tools have been developed and shared prior to project implementation.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

Risk and vulnerability assessments should be reported under **Indicator 1.1** (Risk and vulnerability assessments conducted or updated) and not counted as knowledge products and/or tools reported under Indicator 3.2.

Policies, strategies, and/or plans should be reported under **Core Indicator 6: Policies, strategies, and/or plans developed or adjusted to integrate climate risk considerations** and/or under **Outcåome 7** and not counted as knowledge products and/or tools reported under Indicator 3.2.

Innovation-focused knowledge products should be reported **Indicator 8.2** (*Innovation-focused knowledge products disseminated and/or learning events facilitated that support and enable innovation capacity at a local, national, and/or regional level*) and not counted as knowledge products and/or tools reported under Indicator 3.2.

Indicator 3.3: Number of local institutions and/or communities responsible for decision-making over how adaptation solutions are defined, prioritized, designed, and/or implemented

Associated AF result: ***Output 3.3: Increased ownership of adaptation and climate risk reduction processes***

Unit: ***Local institutions and/or communities***

Definition

This indicator measures the number of local institutions and/or communities with responsibility for local decision-making over adaptation solutions. That implies devolved decision-making through the project or intervention cycle, with local decision-making over adaptation solutions from definition through to implementation and monitoring.

The following methodology for this indicator is aligned with the LLA Principles, which the AF endorsed through decision B.35-36/14, and the practical guidance for aligning operations with the LLA principles, which provides these definitions:

Local is "an umbrella term to capture local communities and the organizations, institutions and local government units that represent or work directly with communities pursuing LLA, who are often best placed to determine the most appropriate responses for their situation and needs."

AF-funded adaptation initiatives are **locally led** "when local people design, implement and monitor them, not when funds are allocated by national/regional/global institutions and local communities are mere beneficiaries and not agents of change."

Adaptation solutions are defined as measures, practices, or behaviors used to adjust to actual or expected climate conditions and their impacts.

Indicator 3.3: Number of local institutions and/or communities responsible for decision-making over how adaptation solutions are defined, prioritized, designed, and/or implemented

Methodology

The methodology for this indicator specifically aligns with **LLA Principle 1 – Devolving decision making to the lowest appropriate level**.

An institution and/or community may be counted under this indicator if it:

- Represents or works directly with communities pursuing LLA.
- Demonstrates local-level decision-making across one or more of the following adaptation solution stages: definition, prioritization, design, implementation, and monitoring and learning.

Project teams should create and maintain a tracking system to monitor the count of local institutions and/or communities responsible for decision-making and regarding the institution/community and the nature of adaptation solution. For example, this might include institutional/community information (name, location, contact information), and qualitative explanations of:

- Why each institution/community is considered "local".
- The nature of the adaptation solution and stage of local decision-making, as defined above, supported by the local institution/community.
- Nature of how local decision-making is aligned with and contributes to advancing LLA Principle 1.

Institutions/communities may support multiple adaptation solutions at multiple stages of decision-making over time. However, each unique institution/community should only be counted once, regardless of the number of solutions or stages it supports.

Disaggregation categories

- Local institution / local community

Baseline and target setting

The **baseline** value for this indicator is zero as it measures the number of local institutions and/or communities engaged in local decision-making on adaptation solutions as enabled by the project.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

Some institutions reported under this indicator may also be counted under **Indicator 2.2** if they are local institutions receiving funding or other direct support from the AF-funded project under the LLA modality

Enhancing food and water security - Southern Egypt.
PHOTO CREDIT: WORLD FOOD PROGRAMME

Strategic Outcome 4:

Increased adaptive capacity within relevant development sector services and infrastructure assets

Indicator 4 / Core Indicator 3: Physical assets improved or constructed to withstand climate variability and change

Associated AF result: ***Outcome 4: Increased adaptive capacity within relevant development sector services and infrastructure assets***

Unit: ***Number of point infrastructure / kilometers of linear assets***

Definition

This indicator measures the **total number** and – where relevant – **length** of physical assets / infrastructure that has been improved or newly constructed through AF-funded interventions.

Physical assets comprise **fixed** infrastructure (buildings, bridges, ports, roads, railway systems, seawalls, pipelines, electricity grids, irrigation systems) and/or **movable** assets (machinery, vehicles, equipment, tools). Land, natural resources, crops and food produce are **not** considered as physical assets. Physical assets also comprise **hybrid grey-green infrastructure**, where natural assets are used in combination with human-made assets: for example, irrigation embankments strengthened through tree-planting, or building cooling augmented through extensive greenery.

Methodology

To be counted against this indicator, an asset's construction / improvement must incorporate **design measures** that are **explicitly focused** on improving the asset's ability to withstand climate variability, strengthen its climate resilience, and/or reduce its exposure to climate-related risks. For example, this could include:

- Construction of new resilience-focused infrastructure such as seawalls or flood management systems.
- Realignment of roads to improve resilience to flooding or erosion.
- Upgrading of wastewater treatment facilities to better withstand flooding and/or improve efficiency of water use.
- Introduction of more efficient irrigation systems to reduce water use.

In addition to specifying the number of assets, reporting should also provide narrative detail on the **climate risks** that were identified, and **how** the asset's design and construction addressed those risks.

Only assets that are **fully completed** should be counted. For example, if part of a road is still under construction, that asset should **not** be reported against this indicator until the full construction contract is completed.

Where possible, reporting should also provide the value of each asset constructed, and/or the value of the improvements undertaken.

Disaggregation categories

- Linear assets / point infrastructure
- Type of infrastructure
- Thematic sector

Baseline and target setting

Where an intervention constructs or introduces new assets that were not previously present in the targeted geographical area, or applies improvements that were not previously applied in the area, the **baseline** will be zero. Otherwise, the baseline will be the number of assets / improved assets that already existed in the targeted area.

Where existing linear infrastructure is being extended, the **baseline** should be the length (km) of the existing infrastructure.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Indicator 4 / Core Indicator 3: Physical assets improved or constructed to withstand climate variability and change

Links with other SRF indicators

In some projects, physical asset construction / improvements measured through this indicator may also involve concurrent improvements to development services. Any improvements to development services should be monitored and reported separately, through **Indicator 4.1** (*Development sector services strengthened to respond to climate variability and change).*

Grey-green infrastructure should be monitored through **this core indicator**, rather than through **Core Indicator 4: Ecosystems and natural resources brought under protection, restoration, or improved management in response to climate variability and change**.

Indicator 4.1: Development sector services strengthened to respond to climate variability and change

Associated AF result: ***Output 4.1: Vulnerable development sector services and infrastructure assets strengthened in response to climate change impacts, including variability***

Unit: ***Number of services***

Definition

The indicator measures the **total number** of development sector services within the targeted geographical area that have been strengthened to respond to climate variability and change as a result of AF-funded support.

Development sector services are frontline public or private services including health, education, financial services, agriculture & fisheries extension services, food distribution and public transportation.

Services may have been strengthened with AF-funded support either through **direct** intervention such as capacity building or asset provision, or **indirectly** through a services' response to new/updated policy, legislation or regulation that was developed and/or implemented through an AF-funded intervention.

Methodology

To be counted against this indicator, a service must have implemented **dedicated measures** that are explicitly focused on improving the service's ability to respond to climate variability, strengthen its climate resilience, and/or reduce its exposure to climate-related risks. Measures could include additional resources; strengthened policies and processes; new capacities / capabilities; and new services or products. For example:

- Health services with new capacities to deal with emerging climate-related infectious diseases.
- Banks providing new products such as climate index-based insurance.
- Agricultural extension services providing technical support for newly introduced climate-resilient crops.
- Local water management services implementing groundwater monitoring and community-based allocation systems to manage climate-driven scarcity.
- Coastal planning and protection services integrating shoreline monitoring and climate risk zoning into routine decision making.

In addition to specifying the number of services strengthened, reporting should also provide narrative detail on the **climate risks** that were identified, and **how** the service's strengthening explicitly addressed those risks.

Only "parent" institutions / services should be counted. For example, if a local health authority introduces measures that benefit multiple clinics in the targeted area, only record the health authority against the indicator; if a national bank introduces new insurance products that are rolled out by multiple bank branches, only count the national bank against the indicator.

Disaggregation categories

- Thematic sector
- Geographic scale

Indicator 4.1: Development sector services strengthened to respond to climate variability and change

Baseline and target setting

Where an intervention introduces new services that were not previously present in the targeted geographical area, or applies service improvements that were not previously applied in the area, the **baseline** will be zero. Otherwise, the baseline will be the number of services (or improved services) that already existed in the targeted area.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

It is possible that improvements to development services measured through this indicator also involve the concurrent construction / improvement of physical assets (buildings, equipment, transportation services etc.). However, any improvements to physical assets should be monitored and reported separately, through **Core Indicator 3: Physical assets improved or constructed to withstand climate variability and change**.

Project Monitoring Mission - Lao PDR.
PHOTO CREDIT: ADAPTATION FUND

Strategic Outcome 5:

Increased ecosystem resilience in response to climate change and variability-induced stress

Indicator 5 / Core Indicator 4: Ecosystems and natural resources brought under protection, restoration, or improved management in response to climate variability and change

Associated AF result: ***Outcome 5: Increased ecosystem resilience in response to climate change and variability-induced stress***

Unit: ***Number of hectares***

Definition

This indicator measures the area of natural resources (**terrestrial, inland water, mountain, marine, and coastal** areas and/or **cultural heritage** sites) that is brought under **protection, restoration or improved management** as an **explicit response** to climate variability and change.

Protection is defined as conservation efforts that place resources under protection including via legal protection.

Restoration is defined as efforts to return an area towards its original state and condition.

Improved management is defined as practices that make current use of an area more sustainable, maintaining the area's potential to meet the needs and aspirations of present and future generations. Improved management can **include** protection and restoration.

Methodology

To be counted against this indicator, an area's protection, restoration or improved management must have been delivered as an **explicit response** to climate variability and change. For example, this could include:

- **Protection**: legislation, ecological buffer zones, biodiversity corridors
- **Restoration**: reforestation, extraction and pollution controls, species reintroduction.
- **Improved management**: crop diversity management, sustainable livestock management, soil and water management.

At least two sets of data should be reported: **overall area** and area disaggregated according to whether support was focused on **protection, restoration and/or land management**. Two sets are required as it is possible that a targeted area benefited from a **combination** of protection, restoration, and/or improved management (for example, protection and restoration can be legitimately considered as forms of improved management). However, if a consolidated figure for the overall area is reported, this ensures that double-counting can be avoided, at least for overall area supported by AF interventions.

Where possible, data reported through this indicator should also be disaggregated by **ecosystem type** and – when the work involves improving management practices – by the **type of management practice** applied. For each ecosystem type, any **changes** to the IUCN Red List ecosystem threat category should also be qualitatively reported (see also baseline and target setting section below), where feasible; alternative nationally recognized or scientifically sound classification systems can be used, as long as they support consistent tracking of ecosystem condition and changes over time. Qualitative reporting on the measures undertaken will also be valuable.

To the extent possible, area data should be based on actual measurements from GIS or other mapping tools.

Disaggregation categories

- Type of ecosystem / natural resource area
- Protection, restoration, improved management

Baseline and target setting

The **baseline** will be zero when none of the targeted ecosystems / natural resources are present, and/or where the proposed restoration, protection or improved management practices have never been applied before. Otherwise, the baseline will be the area of ecosystem / natural resources in the targeted geographical area that already benefits from the protection, restoration or improved management practices to be delivered through the intervention.

At baseline, the targeted areas should also be classified according to their current IUCN Red List ecosystem threat category (even if those categories are 'least concern' or 'data deficient'), or alternative classification systems as noted above. Subsequent monitoring should then be used to report any changes to that threat category.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Indicator 5 / Core Indicator 4: Ecosystems and natural resources brought under protection, restoration, or improved management in response to climate variability and change

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

Any intervention monitoring this indicator should also monitor **Indicator 5.1** (*Ecosystems and natural resources targeted by activities to improve protection, restoration, and/or management*), which is used to count the number of targeted resources, rather than the physical area of those resources.

Indicator 5.1: Ecosystems and natural resources targeted by activities to improve protection, restoration, and/or management

Associated AF result: ***Output 5: Vulnerable ecosystem services and natural resource assets strengthened in response to climate change impacts, including variability***

Unit: ***Number of resources***

Definition

The total number of ecosystems and natural resources targeted by interventions being reported through **Core Indicator 4: Ecosystems and natural resources brought under protection, restoration, or improved management in response to climate variability and change.**

While Core Indicator 4 records the **physical area size** being supported, this indicator (5.1.1) records the **number of discrete ecosystems and/or natural resources** within those physical areas.

Methodology

Counts should be based on the number of **non-contiguous** areas belonging to each **area type** (terrestrial, inland water, mountain, marine, and coastal areas and/or cultural heritage sites) reported through disaggregated data collected for Core Indicator 4. For example, a project may have supported restoration in 3 different (non-adjacent) land sites and 1 marine site: the number to report would be 4. Another project may have supported 5 land sites that were all contiguous / adjacent to each other: the number to report in this instance would be 1.

Where possible, reporting should also provide the number of non-contiguous areas belonging to each **ecosystem type**, as reported through disaggregated data collected for Core Indicator 4. Again, non-contiguous areas should be counted separately, even if those areas are of the same ecosystem type.

Disaggregation categories

- Type of ecosystem / natural resource area
- Protection, restoration, improved management

Baseline and target setting

The **baseline** will be the number of targeted ecosystems / natural resources that already exist in the targeted geographical area. The baseline will be zero when none of the targeted ecosystems / natural resources are present.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

Indicator 5.1 should be monitored if the intervention is monitoring **Core Indicator 4: Ecosystems and natural resources brought under protection, restoration, or improved management in response to climate variability and change**.

Strategic Outcome 6:

Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas

Indicator 6A: People adopting improved and/or new climate-resilient livelihood practices

Associated AF result: ***Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas***

Unit: ***Number of people***

Definition

This indicator counts people who have adopted improved and/or new climate-resilient livelihood practices introduced or promoted by AF-funded interventions.

Adoption refers to the mastery and routine use of measures, practices, or behaviors.

New practices include those that people were not using prior to the project and began implementing during/after the intervention. **Improved** practices are those that people were using prior to the project, but have since modified based on awareness or knowledge gained from the intervention.

Climate-resilient livelihood practices are approaches used by individuals and communities in order to survive and thrive, which are strengthened in relation to climate change impacts and variability. While climate-resilient livelihood practices will be context-specific, examples may include climate-smart agriculture techniques, non-timber forest product harvesting, and income diversification, among others.

Methodology

To be counted under this indicator, people must:

- Be **targeted** by AF-funded activities aimed at improved and/or new climate-resilient livelihoods.
- Demonstrate that they have adopted **at least one new or improved climate-resilient livelihood practice** after participating in the AF-supported activities.

Project records should be used to identify the targeted individuals. To determine whether targeted individuals have adopted new or improved climate-resilient livelihood practices, select an appropriate method that can assess changes in behaviors or practices, such as surveys, direct observation, key informant interviews, and/or focus group discussions. Both self-assessment and applied/objective assessments are acceptable approaches to assess whether livelihood practices are adopted.

Once the method is selected, develop and apply a structured assessment tool (e.g., simple set of questions) to assess whether individuals have adopted improved and/or new livelihood practices. Where feasible, based on time elapsed since the AF-supported activity, incorporate sustainability of behavior change into the tool. Where feasible, direct observation may be used to confirm adoption of actions that yield visible outputs, such as agro-processing or fish farming.

Each individual should only be counted and reported once, regardless of how many climate-resilient livelihood practices they have adopted. For example, if a person adopts both dry-season farming and beekeeping practices introduced by the AF-funded intervention, they should only be counted once.

Disaggregation categories

- Sex
- Vulnerable group

Baseline and target setting

The **baseline** for this indicator should be zero, as no individuals have adopted new or improved livelihood practices prior to project implementation. However, if AF-funded activities aim to improve existing livelihood practices, projects should conduct a baseline assessment of the number of targeted individuals that currently use climate-resilient livelihood practices. Projects can use surveys, focus group discussions, and/or consult census information to assess the baseline conditions of livelihood practices in the intervention area.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Indicator 6A: People adopting improved and/or new climate-resilient livelihood practices

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

People reported under this Indicator 6A are a subset of people reported under **Indicator 6.1.** (*People receiving targeted support for new and/or improved livelihoods to manage climate risk*). Compared to the corresponding output-level Indicator 6.1, reporting for Indicator 6A is at the outcome-level and distinguished by using an assessment tool that demonstrates adoption of improved and/or new livelihood practices.

People counted against this indicator should also be counted as direct beneficiaries against **Core Indicator 1: Number of beneficiaries.**

People who adopt new or improved livelihood practices may also experience increased income or avoid decrease of income. Individuals reported under Indicator 6A may be members of the households reported under **Core Indicator 5: Households with increased income or avoided decrease in income.**

Indicator 6B / Core Indicator 5: Households with increased income or avoided decrease in income

Associated AF result: ***Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas***

Unit: ***Number of households***

Definition

This indicator measures the number of households whose income has increased or who have avoided a decrease in income, including increased stability of income, associated with AF-funded support during the project implementation period. Positive changes in income in response to climate impacts and variability are expected to contribute to households' financial resilience.

Household income is the purchasing power available to a household in a given time period. Household income can be derived from multiple sources, including payments received for employment (e.g., labor), agricultural income (e.g., sale of crops/livestock/fish), assets (e.g., leasing of land or property), as well as other sources (e.g., remittances).

Methodology

For a household to be counted against this indicator, they must:

- Be **targeted** by the AF-funded intervention. This means that the project can identify the households, and the households are aware that they are receiving support and/or are using the resources provided by the project.
- Participate in AF-funded **activities that are directly linked to increasing household financial resilience to climate change**. As an example, a household receives capacity building, assets, and/or financial resources for climate-resilient livelihoods or to increase agricultural or fishing productivity in the context of climate change impacts and variability.
- Demonstrate **increased income** or **avoided decrease in income that is closely linked to contributions from the AF-funded activity**. As an example, a household reports that they avoided a decrease in agricultural income during the dry season due in part to project activities that helped them adopt dry season gardening techniques.

Data for this indicator should be collected using surveys or other forms of consultation (such as focus group discussions) administered to targeted households to assess income at baseline, mid-term, and completion. Where it is not feasible to survey/consult all targeted households, a representative sample of households can be surveyed/consulted, with the indicator value based on an extrapolation of that sample. In such instances, the IE should describe the sampling and calculation methodology in detail.

Indicator 6B / Core Indicator 5: Households with increased income or avoided decrease in income

Methodology (continued)

Assessing total household income is a significant socioeconomic census exercise that may not be feasible for project-specific monitoring. Projects may design fit-for-purpose approaches using professional judgment. Selected approaches should attempt to isolate the effect of the AF-funded support on income, to the extent feasible. For example, if an AF-funded project introduces climate-resilient agricultural practices designed to increase yields, the project could estimate changes in agricultural income by surveying households on agricultural yields and crop sale prices at baseline, mid-term, and completion.

Only if it is not feasible to gather baseline income data, projects may alternatively administer a project-specific survey to targeted households at completion that gathers household perceptions of changes in income resulting from AF-funded activities. For example, a project might survey households to estimate how their consumption or expenditures changed from the previous year(s) and to assess whether positive changes in consumption and expenditure are associated with AF-funded support.

Disaggregation categories

- Female-headed households

Baseline and target setting

The **baseline value** for this indicator will be established through a project-specific survey. In some cases, the value may be zero if projects use a perceptions-based survey to assess changes in income only at mid-term and completion.

Targets should be set based on:

- The number of households planned to receive targeted support that is directly linked to increasing household financial resilience to climate change; and
- Consultation with participating actors to identify what is feasible within the implementation timeframe and resource allocation, as well as experience and evidence from previous interventions and/or relevant external evidence.

For example, if a project targets 100 households with alternative livelihood activities and expects 80% of them to experience increased income, the target should be set at 80 households.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

Households counted against this indicator may include people counted under **Outcome Indicator 6A** (People adopting improved and/or new climate-resilient livelihood practices), **Output Indicator 6.1** (People receiving targeted support for new and/or improved livelihoods to manage climate risk), and people counted as direct beneficiaries under **Core Indicator 1: Number of beneficiaries**.

Indicator 6.1: People receiving targeted support for new and/or improved livelihoods to manage climate risk

Associated AF result: ***Output 6: Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability***

Unit: ***Number of people***

Definition

This indicator measures the number of people who receive targeted support through AF-funded activities aimed at strengthening knowledge, capacity, and practices related to new and/or improved climate-resilient livelihoods. This indicator measures reach of the AF-supported intervention, but it does not capture the application of any skills, knowledge, or other benefits gained from participation.

Climate-resilient livelihood practices are approaches used by individuals and communities in order to survive and thrive, which are strengthened in relation to climate change impacts and variability. While climate-resilient livelihood practices will be context-specific, examples may include climate-smart agriculture techniques, non-timber forest product harvesting, and income diversification, among others

Methodology

To be counted under this indicator, people must:

- Be **targeted** by the AF-funded support for new and/or improved livelihoods to manage climate risk. Examples of such activities include but are not limited to demonstration/pilot interventions, trainings and awareness raising events, and investments in equipment and small-scale infrastructure (e.g., irrigation systems, on-farm structures).

Only individuals directly receiving support from the AF-supported intervention should be counted. For example, other household members of supported individuals are not eligible to be counted under this indicator unless they have also participated directly in the support (e.g., through training attendance).

Project records should be used to identify the targeted individuals that participated in relevant activities. For example, participation may be confirmed through attendance sheets, training reports, meeting minutes, memoranda of understanding, project progress reports, or secondary human resource data from targeted organizations.

Each individual should only be counted and reported once, regardless of how many AF-funded activities they have participated in (e.g., multiple training sessions).

Disaggregation categories

- Sex
- Vulnerable group

Baseline and target setting

The **baseline** for this indicator should be zero, as no individuals have participated in activities prior to the project implementation.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

People reported under **Indicator 6A** (People adopting improved and/or new climate-resilient livelihood practices) are a subset of people reported under this indicator 6.1. Compared to the corresponding outcome-level Indicator 6.1, reporting for Indicator 6.1 is at the output-level and counts everyone reached by the project's targeted livelihood support activities, regardless of adoption.

People reported under Indicator 6.1 may be a subset of direct or indirect beneficiaries reported under **Core Indicator 1: Number of beneficiaries**, depending on the intensity assessment (see Core Indicator definitions and Annex 2 for supplemental guidance).

Strategic Outcome 7:

Improved policies and regulations that promote and enforce resilience measures

Indicator 7: Policies, strategies, and/or plans adopted, implemented, and/or enforced that integrate climate risk and resilience considerations

Associated AF result: *Outcome 7: Improved policies and regulations that promote and enforce resilience measures*

Unit: *Number of policies, strategies, and/or plans*

Definition

This indicator measures the **total number** of policies, strategies and/or plans that (i) have integrated climate risk and resilience considerations through AF-funded support and (ii) are **adopted, implemented and/or enforced**. The indicator **only** measures the policies, strategies and/or plans of **government (local, sub-national, or national**), including **semi-autonomous entities** (e.g., national banks, regulatory bodies).

A policy/strategy/plan is considered to be **adopted** when it attains **formal approval** from the relevant governmental body. It is considered **implemented** when **resources are formally allocated** to deliver the policy/strategy/plan. It is considered to be enforced when those resources are finally **deployed to deliver** the policy/strategy/plan.

Methodology

This indicator should only track policies/strategies/plans that are **also** tracked through **Core Indicator 6: Policies, strategies, and/or plans developed or adjusted to integrate climate risk considerations**.

To be counted against this indicator, the policy/strategy/plan must be owned by – and intended for adoption and implementation by – local or national government, and must identify principles and/or actions that will influence or determine the actions of government, the private sector, and/or individuals.

The indicator should be used to count local or national government policies, strategies and plans that are focused on **any sector or theme**. While the indicator is therefore sector-neutral, to be counted a policy/strategy/plan should **explicitly identify and address climate risk considerations** that are of **direct relevance** to the thematic sector focus of the policy/strategy/plan.

The indicator should be monitored in conjunction with **Core Indicator 6 Policies, strategies, and/or plans developed or adjusted to integrate climate risk** considerations so that the development or adjustment of a policy (as measured through the Core Indicator) can be linked with whether that policy was ultimately implemented (as measured through this indicator).

Reporting should also aim to provide a qualitative description and assessment of the policies/strategies/plans supported, with particular emphasis on the expected or actual influence or results that will be (or have been) delivered by the policy. This analysis should include assessment of whether and how the incorporated climate risk considerations influenced the delivery and/or results of the policy.

Disaggregation categories

- Geographical scale
- Policy step
- Thematic sector

Baseline and target setting

The **baseline** will be zero.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence. Where possible and relevant, targets should be developed for policies/strategies/plans to be **adopted** and policies/strategies/plans to be **implemented**.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

This indicator should be measured by any intervention that is also monitoring **Core Indicator 6: Policies, strategies, and/or plans developed or adjusted to integrate climate risk considerations.**

Indicator 7.1A / Core Indicator 6: Policies, strategies, and/or plans developed or adjusted to integrate climate risk and resilience considerations

Associated AF result: ***Output 7.1: Improved integration of climate-resilience strategies into country development plans***

Unit: ***Number of policies, strategies, and/or plans***

Definition

This indicator measures the **absolute number** of policies, strategies and/or plans that are developed or adjusted to integrate climate risk and resilience considerations, with support from AF-funded interventions. The indicator **only** measures the policies, strategies and/or plans of **government (local, sub-national, or national),** including **semi-autonomous entities** (e.g., national banks, regulatory bodies).

Developed policies, strategies or plans are those that are entirely **new**, whereas adjusted policies, strategies, or plans comprise **existing** ones that have been materially amended to explicitly integrate climate risk considerations.

Methodology

To be counted against this indicator, the policy/strategy/plan must be owned by – and intended for adoption and implementation by – local or national government, and must identify principles and/or actions that will influence or determine the actions of government, the private sector, and/or individuals.

The indicator should be used to count local or national government policies, strategies, and/or plans that are focused on **any sector or theme**. While the indicator is therefore sector-neutral, to be counted a policy/strategy/plan should **explicitly identify and address climate risk and resilience considerations** that are of **direct relevance** to the thematic sectoral focus of the policy/strategy/plan.

The indicator should be monitored in conjunction with Outcome Indicator 7.1 (*Policies, strategies, and/or plans adopted, implemented, and/or enforced that integrate climate risk and resilience considerations*) so that the development or adjustment of a policy (as measured through this indicator) can be linked with whether that policy was ultimately implemented (as measured through Indicator 7.1). Where relevant, this indicator should also be measured in conjunction with Output Indicator 7.1.2.

Reporting should also aim to provide a qualitative description and assessment of the policies/strategies/plans supported, with particular emphasis on the expected or actual influence or results that will be (or have been) delivered by the policy/strategy/plan. This analysis should include assessment of whether and how the incorporated climate risk considerations influenced the delivery and/or results of the policy/strategy/plan.

Disaggregation categories

- Geographic scale
- Thematic sector

Baseline and target setting

The **baseline** will be **zero**, even where work is focused on adjusting existing policies/strategies/plans.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

Any intervention monitoring this indicator should **also** monitor **Indicator 7** (*Policies, strategies, and/or plans adopted, implemented, and/or enforced that integrate climate risk and resilience considerations*), and **Indicator 7.1B** (*Policies, strategies, and/or plans formulated through the participation of one or more vulnerable groups*).

An EWS counted through **Core Indicator 2: Early warning systems established or improved** might have been mandated or specified by a policy/strategy/plan that is counted through **this core indicator**. However, these are two discrete elements – a policy/strategy/plan and an actual EWS – so they should be counted separately against the respective indicators.

A policy/strategy/plan counted through **this core indicator** may have been based on or informed by a CRVA counted through **Indicator 1.1** (*Risk and vulnerability assessments conducted or updated*). However, these are two distinct documents, and should be counted separately against the respective indicators.

Indicator 7.1B: Policies, strategies, and/or plans formulated through the participation of one or more vulnerable groups

Associated AF result: ***Output 7.1: Improved integration of climate-resilience strategies into country development plans***

Unit: ***Number of policies, strategies, and/or plans***

Definition

This indicator measures the **absolute number** of policies, strategies and/or plans formulated to integrate climate risk and/or resilience considerations, where an AF intervention facilitates the direct participation of vulnerable groups in the formulation of that policy/strategy/plan. The indicator **only** measures the policies, strategies and/or plans of **government (local, sub-national, or national)**, including **semi-autonomous entities** (e.g., national banks, regulatory bodies).

Countries should define **vulnerable groups** in their own contexts, but these might include youth, poor, Indigenous People, refugees, and people with disabilities.

Methodology

This indicator should only track policies/strategies/plans that are **also** tracked through **Core Indicator 6: Policies, strategies, and/or plans developed or adjusted to integrate climate risk considerations**.

For a policy/strategy/plan to be counted against this indicator, consultation **specifically** with vulnerable groups should be a **formal step** in the policy/strategy/plan development process, and **should have been undertaken**. Consultation can be undertaken directly by the national or local authority developing the policy, or through an intermediary including – for example – Implementing Entities or their delivery partners.

A policy/strategy/plan should only be counted against this indicator once it has been **fully developed or adjusted** (i.e. if policy consultation or formulation is still underway it should not be counted, even if consultation with vulnerable groups has been completed).

Disaggregation categories

- Geographical scale (of policy/strategy plan)
- Vulnerable group
- Thematic sector

Baseline and target setting

The **baseline** will be **zero**.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

This indicator should be measured by any intervention that is also monitoring **Core Indicator 6: Policies, strategies, and/or plans developed or adjusted to integrate climate risk considerations.**

Strategic Outcome 8:

Innovation for effective, long-term adaptation to climate change accelerated, encouraged, and enabled to scale up

Indicator 8A: Innovations successfully reaching scale up that demonstrate local participation and/or local innovation benefit

Associated AF result: ***Outcome 8: Innovation for effective, long-term adaptation to climate change accelerated, encouraged, and enabled to scale up***

Unit: ***Number of innovations***

Definition

This indicator counts the number of adaptation innovations supported by the AF-funded intervention that have demonstrably reached scale up, either with participation by local stakeholders and/or in order to deliver an innovation benefit at the local level.

Innovation is understood as the creating, testing, deployment or diffusion of new, adapted or improved adaptation solutions, developed contextually and with the inclusion of the communities most vulnerable to climate change, to enable those communities to become more resilient to climate change. Innovation solutions may include approaches, technologies and mechanisms. (Decision B.36/39)

An **innovation** features at least one of the following characteristics:

- Newness or novelty (e.g., new adaptation solutions or adaptation solution use/application in a new location or transfer to a new system or context).
- Improvement and/or adjustment to products, processes, practices, or partnerships.

This and other SRF indicators on innovation are based on an **innovation pathway funnel**—a conceptual framework that suggests that innovations progress from identification to piloting to scale up. Through this funnel, a larger number of initial innovation ideas (*identified*) will be filtered through a process (*piloting*), to emerge as a few viable innovations (*scale up*) that demonstrate effective long-term adaptation to climate change. This pathway closely aligns with the underlying AF Innovation strategy and objectives: to accelerate, encourage and enable scaled-up innovation for effective, long-term adaptation to climate change.

An innovation **reaching scale up** is one that has successfully progressed through an innovation pathway (identification – piloting – scale up) to be implemented at scale and demonstrably support effective, long-term adaptation to climate change. Defining scale up is subjective and context-specific but is likely to relate to broader system or context integration or uptake (e.g. adaptation solution replication across sites, institutional uptake, integration into new or broader systems or contexts, and/or sustained financial/funding support). A similarly valid interpretation of scale up in the context of LLA could be a significantly larger number or proportion of direct beneficiaries of the adaptation solution in comparison to the piloting stage.

A particular feature of the AF innovation strategy and objectives is the link to locally led adaptation (LLA). The innovation indicators therefore also relate innovation to long-term adaptation to climate change by specifically demonstrating local innovation participation and/or local innovation benefit (LLA Principles 2 and 4).

Local innovation participation refers to innovations that demonstrate they have been informed by the meaningful participation of target/priority groups such as women, youth, poor, people with disabilities, refugees, and Indigenous Peoples.

Local innovation benefit refers to innovations that demonstrate they have enhanced the adaptive capacity of local institutions and communities to ensure they can understand climate risks and uncertainties, generate solutions, and facilitate and manage adaptation initiatives.

Indicator 8A: Innovations successfully reaching scale up that demonstrate local participation and/or local innovation benefit

Methodology

For innovations to be counted against this indicator, they must:

- Have **successfully reached scale up** and demonstrate progress through an innovation pathway to be implemented at scale. Project teams will need to describe and/or quantify cumulative adopters or beneficiaries at the scale up stage, compared to piloting.
- Demonstrate either **local participation** in and/or **local benefit** from the innovation.

Innovations identified, piloted and reaching scale up should be tracked through project records, enabling reporting against this indicator as well as under Output Indicators 8.1.1 and 8.1.2. This system should capture quantitative and qualitative information regarding the innovations and their scale up. For example, this might include:

- **Information about the extent of scale up, capturing the uptake of adopters and beneficiaries.** Projects are not required to quantify the cumulative number of adopters or beneficiaries, but should at minimum qualitatively demonstrate the increasing uptake as justification for reporting scale up. This means few or none at identification, growing yet direct pilot numbers at piloting, and some sense of the system-wide adoption numbers at scale up.
- **Qualitative information about the drivers and constraints for innovation scale up.** This could include narrative description of the context or system in which the innovation is situated, and the climate change adaptation challenge(s) that the innovation (contributes to) addressing. It might also include description of the combination of scientific, local and indigenous knowledge, technology and practices have led to a successfully scaled up adaptation intervention. This qualitative narrative should also consider and describe any wider catalytic effects the innovation may have contributed to – spurring wider innovation products, practices or processes – or crowding in other organizations/institutions into the innovation ecosystem.
- **Qualitative information about the anticipated and actual local participation and/or local benefit associated with the innovation.** This should be driven by the innovation project theory of change and traced throughout the project implementation.

Data for reporting on this indicator will be collected using project-specific surveys, interviews, and/or focus group discussions with local communities and/or institutions to confirm successful scale up and local participation and/or benefit.

One AF-funded project may comprise several distinct innovations. Each innovation successfully reaching scale should be counted as a distinct unit, and the sum of the innovations at the scale up stage should be reported.

Disaggregation categories: None

Baseline and target setting

The **baseline** value for this indicator is zero as it measures the number of innovations successfully reaching scale up as a result of the project.

Targets should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

Aligned with the innovation pathway framework, innovations reported under this indicator are the progression of innovations reported under output **Indicator 8.1A** (*Innovations identified that demonstrate local participation and/or local innovation benefit*) and **Indicator 8.1B** (*Innovations piloted that demonstrate local participation and/or local innovation benefit*).

Indicator 8B: Institutions created and/or enabled that lead on innovation for adaptation to climate change

Associated AF result: ***Outcome 8: Innovation for effective, long-term adaptation to climate change accelerated, encouraged, and enabled to scale up***

Unit: ***Number of institutions***

Definition

This indicator counts the number of institutions created and/or enabled that lead on innovation for climate change adaptation.

The rationale for this indicator is that it complements indicators counting number of innovations by capturing institutional change in the wider innovation ecosystem. An institution supporting innovation in climate change adaptation may ultimately contribute to wider catalytic effects, such as spurring on wider innovation products, practices or processes, or crowding in other organizations/institutions into the innovation ecosystem.

Institutions may include public or private sector organizations operating at national, sub-national, and/or local levels.

Created refers to new institutions that are established with AF-funded support. **Enabled** refers to institutions whose mandate and resources (financial, human, capacity building, and knowledge) are strengthened with AF-support with the objective to enable them to lead on innovation for climate change adaptation. This could include, for example, demonstrable changes in institutional mandate, resource allocation, or sustained innovation-related functions.

Wider innovation **ecosystem** refers to the context or system in which an institution is situated, and the climate change adaptation challenge(s) that the institution's innovations contribute to addressing.

See Indicator 8A for a definition of **innovation**.

Methodology

To be eligible to be counted under this indicator, an institution must:

- Be the **target** of the AF-funded intervention. This means that the project team can identify the institution and the institution is aware they are receiving support.
- Have been supported through at least one project-delivered **activity**. Examples of support may include participation in capacity building activities such as training, workshops, technical assistance, mentoring, peer-to-peer exchanges, and other structured support activities designed to strengthen mandate and capacity for innovation.
- Be **newly created** and have an explicit mandate to lead on innovation for adaptation to climate change, or be **enabled** through AF-funded support to further lead on a mandate for innovation for adaptation to climate change.

Project teams should create and maintain a tracking system to monitor the count of institutions created and/or enabled, along with quantitative and qualitative information regarding the institution and the nature of support. For example, this might include institutional information (name, location, contact information), a narrative description of the institution's innovation leadership role and mandate, and how AF-funded support has created or enabled this leadership.

The nature of the innovation leadership of the created/enabled institution(s) may also be captured through project monitoring using project-specific surveys, interviews, and/or focus group discussions with institutions, and/or through mid-term (where applicable) and final evaluations.

If feasible, a baseline assessment should be conducted at project inception or early in implementation for each institution that will be enabled to lead on innovation for climate change adaptation. This assessment can document the institution's starting point and serve as a comparison against which to measure strengthened mandate and capacity after the project intervention. Each institution should be counted once, regardless of how many activities they participated in or how many innovations they may have catalyzed.

Indicator 8B: Institutions created and/or enabled that lead on innovation for adaptation to climate change

Disaggregation categories

- Geographic scale
- Type of institution

Baseline and target setting

The **baseline** value for this indicator is zero as it measures the number of institutions created or enabled to lead on innovation as a result of the project. For institutions enabled, a baseline assessment should be conducted as feasible, as described above.

Targets should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

Innovations identified, piloted, and reaching scale up that are supported by institutions reported under this indicator may be reported under **Indicator 8A** (*Innovations successfully reaching scale up that demonstrate local participation and/or local innovation benefit*), **Indicator 8.1A** *(Innovations identified that demonstrate local participation and/or local innovation benefit)*, and **Indicator 8.1B** (*Innovations piloted that demonstrate local participation and/or local innovation benefit*).

Indicator 8.1A: Innovations identified that demonstrate local participation and/or local innovation benefit

Associated AF result: ***Output 8.1: Innovations identified and piloted which collectively enhance local innovation capacity & contribute to the development of local, national and regional adaptation innovation ecosystems***

Unit: ***Number of proposed innovations***

Definition

This indicator measures the total number of innovations identified that demonstrate local participation and/or local innovation benefit.

An **innovation identified** is an innovation at the first stage of an innovation pathway (identification – piloting – scale up) and that demonstrates local participation and/or benefit in its innovation identification process.

See Indicator 8A for explanations of the **innovation pathway** and definitions of innovation, **local participation** and **local innovation benefit**.

Methodology

The methodology for reporting against indicator 8.1.1 is derived from the Indicator 8.1 reporting methodology. As noted in Indicator 8.1, project teams should create and maintain a tracking system to monitor the count of innovations identified, piloted, and reaching scale up. See the Indicator 8.1 methodology for more details.

Note that for innovations identified, it may be too early to demonstrate local innovation benefit. Project teams may instead describe anticipated local benefits.

Disaggregation categories: None

Baseline and target setting

The **baseline** value for this indicator is zero as it measures the number of innovations at the identification stage as a result of the project.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Indicator 8.1A: Innovations identified that demonstrate local participation and/or local innovation benefit

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

Aligned with the innovation pathway framework, as innovations reported under this indicator progress, they may also be reported under output **Indicator 8.1B** (*Innovations piloted that demonstrate local participation and/or local innovation benefit*)—if they have reached the stage of piloting—and outcome **Indicator 8A** (*Innovations successfully reaching scale up that demonstrate local participation and/or local innovation benefit*)—if they have successfully reached the stage of scale up.

Indicator 8.1B: Innovations piloted that demonstrate local participation and/or local innovation benefit

Associated AF result: ***Output 8.1: Innovations identified and piloted which collectively enhance local innovation capacity & contribute to the development of local, national and regional adaptation innovation ecosystems***

Unit: ***Number of innovations***

Definition

This indicator measures the number of innovations piloted that demonstrate local participation and/or local innovation benefit.

An **innovation piloted** is an innovation at the second stage of an innovation pathway (identification – piloting – scale up) that demonstrates local participation and/or benefit in its innovation piloting process.

See Indicator 8A for explanations of the **innovation pathway** and definitions of **innovation**, **local participation**, and **local innovation benefit**.

Methodology

The methodology for reporting against Indicator 8.1.2 is derived from the Indicator 8.1 reporting methodology. As noted in Indicator 8.1, project teams should create and maintain a tracking system to monitor the count of innovations identified, piloted, and reaching scale up. See the Indicator 8.1 methodology for more details.

Disaggregation categories: None

Baseline and target setting

The **baseline** value for this indicator is zero as it measures the number of innovations at the piloting stage as a result of the project.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

Aligned with the innovation pathway framework, the innovations reported under this indicator may be a sub-set of those reported under output **Indicator 8.1A** (*Innovations identified that demonstrate local participation and/or local innovation benefit*). As innovations progress, they may also be reported under outcome **Indicator 8A** (*Innovations successfully reaching scale up that demonstrate local participation and/or local innovation benefit*)—if they have successfully reached the stage of scale up.

Indicator 8.2: Innovation-focused knowledge products disseminated and/or learning events facilitated that support and enable innovation capacity at a local, national, and/or regional level

Associated AF result: ***Output 8.2: Innovations identified and piloted which build the adaptation innovation evidence base and institutional capacity***

Unit: ***Number of knowledge products disseminated and/or learning events facilitated***

Definition

This indicator counts the number of innovation-focused knowledge products disseminated and/or learning events facilitated.

The rationale underlying the indicator is that the capture of innovation-focused knowledge and subsequent dissemination of appropriate knowledge products will contribute to building an adaptation innovation evidence base, and that facilitating learning events will build individual and institutional capacity in adaptation innovation across a range of scales – local, national, and/or regional levels depending on the nature of the stakeholders engaged.

Methodology

To be counted under this indicator, **knowledge products** must be:

- An **output** developed (or revised/repurposed) by the AF-supported intervention. The output should capture innovation learning generated by the AF-funded intervention and be focused on sharing information about innovation in climate adaptation.
- **Disseminated** to people either within or beyond the originating institution through an identified dissemination channel (e.g., knowledge feedback loops, digital platforms such as websites, email, and social media, engagement methods such as workshops, presentations, or webinars, or other channels).

To be counted under this indicator, **learning events** must be:

- A **planned intervention** developed and facilitated with AF-funded support (e.g., a workshop, knowledge exchange, dialogue, roundtable, training course, webinar, or conference).
- Designed to enable the **acquisition of new knowledge**, skills, or behaviors related to an innovation in climate adaptation.

Project records should be used to identify and track knowledge products disseminated and learning events facilitated. These records could include progress reports from project implementation units or other project service providers. Each knowledge product should be counted once, regardless of how many times it was shared.

Qualitative reporting—including through mid-term and final evaluations—on how knowledge products and events contribute to learning, influence practice, or support scaling of innovations is encouraged.

Disaggregation categories: None

Baseline and target setting

The **baseline** value for this indicator is zero as it measures the number of products disseminated and events facilitated as a result of the project.

Annual, mid-term, and/or final **targets** should be based on consultation with participating actors, identifying what is feasible within the implementation timeframe and resource allocation. Targets should also be informed by experience and evidence from previous interventions, and/or relevant external evidence.

Reporting frequency

At project approval/first PPR, mid-term, and completion/last PPR.

Links with other SRF indicators

Innovation knowledge products reported under this indicator should not be reported under **Indicator 3.2** *(Climate resilience knowledge products and/or tools developed and shared with stakeholders).*

4.3 SUGGESTED DISAGGREGATION CATEGORY DEFINITIONS

This section presents suggested disaggregation categories for guidance to be used across multiple SRF indicators.

Definition	Relevant Indicators
Category 1: Sex	
Defines the biological label of individuals involved in the AF-funded project: ▮ Female ▮ Male	**Core Indicator 1:** Number of beneficiaries **Outcome Indicator 1:** People using improved climate-related threat and hazard information **Output Indicator 1.2B:** People covered by new or improved early warning systems **Outcome Indicator 3A:** People with strengthened awareness of climate change risks and how to better address them **Outcome Indicator 3A:** People implementing new or improved adaptation actions **Output Indicator 3.1:** People participating in activities to improve awareness of climate risks and how to address them **Outcome Indicator 6A:** People adopting improved and/or new climate-resilient livelihood practices **Output Indicator 6.1:** People receiving targeted support for new and/or improved livelihoods to manage climate risk
Category 2: Vulnerable group	
Defines the population groups that may have a propensity or predisposition to be adversely affected by hazards and lack a capacity to cope with those effects. Countries may use national definitions to characterize groups who are vulnerable in their contexts and may require more targeted support within AF-funded interventions. These might include: ▮ Youth ▮ Poor ▮ Refugees ▮ Indigenous Peoples ▮ People with disabilities ▮ Other nationally defined vulnerable group	**Core Indicator 1:** Number of beneficiaries **Outcome Indicator 3A:** People with strengthened awareness of climate change risks and how to better address them **Outcome Indicator 3B:** People implementing new or improved adaptation actions **Output Indicator 3.1:** People participating in activities to improve awareness of climate risks and how to address them **Outcome Indicator 6A:** People adopting improved and/or new climate-resilient livelihood practices **Output Indicator 6.1:** People receiving targeted support for new and/or improved livelihoods to manage climate risk **Output Indicator 7.1B:** Policies, strategies, and/or plans formulated through the participation of one or more vulnerable groups

Definition	Relevant Indicators
Category 3: Thematic sector	
Defines the primary domain in which the intervention operates to help classify adaptation actions according to the systems they aim to strengthen: ▮ Water ▮ Food and agricultural production and access ▮ Health ▮ Ecosystems and biodiversity ▮ Infrastructure and human settlements ▮ Poverty and livelihoods ▮ Cultural heritage ▮ Multi-sector ▮ Other	**Core Indicator 1:** Number of beneficiaries **Core Indicator 3:** Physical assets improved or constructed to withstand climate variability and change **Core Indicator 6:** Policies, strategies, and/or plans developed or adjusted to integrate climate risk considerations **Outcome Indicator 1:** People using improved climate-related threat and hazard information **Output Indicator 1.1:** Risk and vulnerability assessments conducted or updated **Outcome Indicator 2:** Institutions with strengthened capacity to understand and better address climate risks and resilience **Output Indicator 2.1:** Institutions supported to strengthen capacity to understand and address climate risks and resilience **Outcome Indicator 3A:** People with strengthened awareness of climate change risks and how to better address them **Output Indicator 4.1:** Development sector services strengthened to respond to climate variability and change **Outcome Indicator 7:** Policies, strategies, and/or plans adopted, implemented, and/or enforced that integrate climate risk and resilience considerations **Output Indicator 7.1B:** Policies, strategies, and/or plans formulated through the participation of one or more vulnerable groups
Category 4: Scale	
Defines the geographic or administrative level at which the intervention is operating: ▮ Regional (i.e., more than one country) ▮ National ▮ Sub-national ▮ Local	**Outcome Indicator 1:** People using improved climate-related threat and hazard information **Output Indicator 1.1:** Risk and vulnerability assessments conducted or updated **Outcome Indicator 2:** Institutions with strengthened capacity to understand and better address climate risks and resilience **Output Indicator 2.1:** Institutions supported to strengthen capacity to understand and address climate risks and resilience **Output Indicator 4.1:** Development sector services strengthened to respond to climate variability and change **Outcome Indicator 7:** Policies, strategies, and/or plans adopted, implemented, and/or enforced that integrate climate risk and resilience considerations **Core Indicator 6:** Policies, strategies, and/or plans developed or adjusted to integrate climate risk considerations **Output Indicator 7.1B:** Policies, strategies, and/or plans formulated through the participation of one or more vulnerable groups **Outcome Indicator 8B:** Institutions created and/or enabled that lead on innovation for adaptation to climate change

Definition	Relevant Indicators
Category 5: Type of ecosystem / natural resource area	
Defines the category of ecosystem relevant to the intervention based on its ecological characteristics: ▮ Terrestrial ▮ Inland water/freshwater ▮ Mountain ▮ Marine ▮ Coastal ▮ Cultural heritage area	**Core Indicator 4:** Ecosystems and natural resources brought under protection, restoration, or improved management in response to climate variability and change **Output Indicator 5.1:** Ecosystems and natural resources targeted by activities to improve protection, restoration, and/or management
Category 6: Type of institution	
Defines the organizational classification of the entities involved in the AF-funded interventions, distinguishing between: ▮ Public institutions (i.e., government-owned) ▮ Private institutions (i.e., for-profit firms) ▮ Civil society organizations (e.g., non-governmental organizations [NGOs], academia, Indigenous peoples groups, and community-based organizations) ▮ Other (e.g., community groups without legal registration)	**Outcome Indicator 2:** Institutions with strengthened capacity to understand and better address climate risks and resilience **Output Indicator 2.1:** Institutions supported to strengthen capacity to understand and address climate risks and resilience
Category 7: Type of hazard	
Defines the primary climate-related physical event or trend that the project aims to address. Projects may target a single hazard or take a multi-hazard approach. Climate-related hazard types include: ▮ Flood ▮ Drought ▮ Increased temperature ▮ Storm ▮ Cyclone ▮ Landslides ▮ Other extreme climate event ▮ Multi-hazard	**Core Indicator 2:** Early warning systems established or improved **Outcome Indicator 1:** People using improved climate-related threat and hazard information **Output Indicator 1.2B:** People covered by new or improved early warning systems

Definition	Relevant Indicators
Category 8: Type of infrastructure	
Defines the functional category of the physical asset supported by the AF-funded intervention, including: ▮ Buildings (e.g., schools, clinics, community centers) ▮ Transport infrastructure (e.g., roads, bridges, culverts) ▮ Protective infrastructure (e.g., seawalls, flood embankments, stormwater drains) ▮ Productive and service infrastructure (e.g., fishery or aquaculture structures, water catchment systems, energy generation/ distribution, agricultural production systems)	**Core Indicator 3:** Physical assets improved or constructed to withstand climate variability and change
Category 9: Policy step	
Defines the latest stage of the policy cycle which the policy/strategy/plan has reached: ▮ Developed (i.e., drafting is complete, but no formal approval) ▮ Adopted (i.e., formal approval by relevant decision-making body) ▮ Implemented (i.e., resources have been allocated) ▮ Enforced (i.e., resources have been deployed)	**Outcome Indicator 7:** Policies, strategies, and/or plans adopted, implemented, and/or enforced that integrate climate risk and resilience considerations

ANNEXES

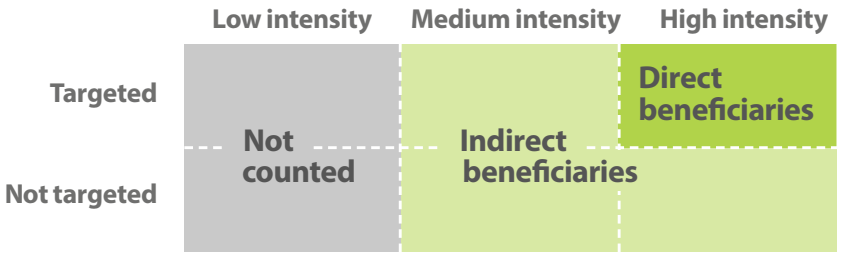
ANNEX 1. GLOSSARY

Term	Definition
Assumptions (external factors or risks)	A set of (untested) factors and beliefs that form the basis of the intervention logic, and factors or risks, which affect its relevance, progress or success. Assumptions are the conditions necessary for the cause-and-effect relationships between the different levels of results (i.e., to move from activities to outputs, outputs to outcomes, and outcomes to impacts).
Climate change risks	Risks are factors that affect or are likely to affect the achievement of an intervention's objectives. Climate change risks specifically refer to the potential for adverse consequences for human or ecological systems resulting from dynamic interactions between climate-related hazards with the exposure and vulnerability of the affected human or ecological system.
Climate resilience	Capacity of human or ecological systems to cope with the adverse consequences resulting from dynamic interactions between climate-related hazards with the exposure and vulnerability of the affected human or ecological system.
Evaluation	The systematic and objective assessment of a planned, ongoing or completed intervention, its design, implementation and results. The aim is to determine relevance, coherence, effectiveness, efficiency, impact and sustainability.
Goal	The higher-order objective to which a development intervention is intended to contribute.
Impact	Positive and negative long-term effects on identifiable population groups produced by a development intervention. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types.
Monitoring	A continuing process that involves the systematic collection or collation of data on specified indicators or other types of information to provide project stakeholders with indications of the extent of implementation progress, achievement of intended and unintended results, use of allocated funds and other important intervention and context-related information.
Outcome	The intended or achieved short-term and medium-term effects of an intervention's outputs, usually requiring the collective effort of partners. Outcomes represent changes in development conditions that occur between the completion of outputs and the achievement of impact.
Output	The products and services resulting from the completion of activities within a development intervention.
Results	Changes in a state or condition that derive from a cause-and-effect relationship. A development intervention can set three types of change into motion: output, outcome, and impact.

Definitions based on the OECD/DAC Glossary of Key Terms in Evaluation and Results-Based Management and the IPCC Sixth Assessment Report.

ANNEX 2.
SUPPORTING PRACTICAL GUIDANCE FOR CORE INDICATOR 1 ON BENEFICIARIES

Project teams should determine whether beneficiaries are direct or indirect according to (a) whether beneficiaries are **targeted**, and (b) the **intensity of support** provided to beneficiaries, as follows:



The Adaptation Fund uses a **principles-based approach** to determining direct and indirect beneficiaries for several key reasons, including:

- Climate adaptation is context-specific; consequently, support deemed high intensity in one local context may be considered low or medium intensity in a different context.
- Ongoing advancements and innovations in climate adaptation actions necessitate flexibility, since rigid definitions of which actions are associated with direct or indirect beneficiaries may rapidly become outdated.

Therefore, project teams are expected to apply professional judgment when applying the targeting and intensity principles and to provide a clear, qualitative description of their assessment in the core indicator reporting form.

Below is practical guidance for project teams making these assessments, including:

- Guiding questions to assess whether beneficiaries are targeted.
- Guiding questions to assess relevance, duration, and extent of support across the high-medium-low intensity continuum.
- Concrete examples of common adaptation project activities and their targeting and intensity assessments.

Guiding Questions to Assess Targeting

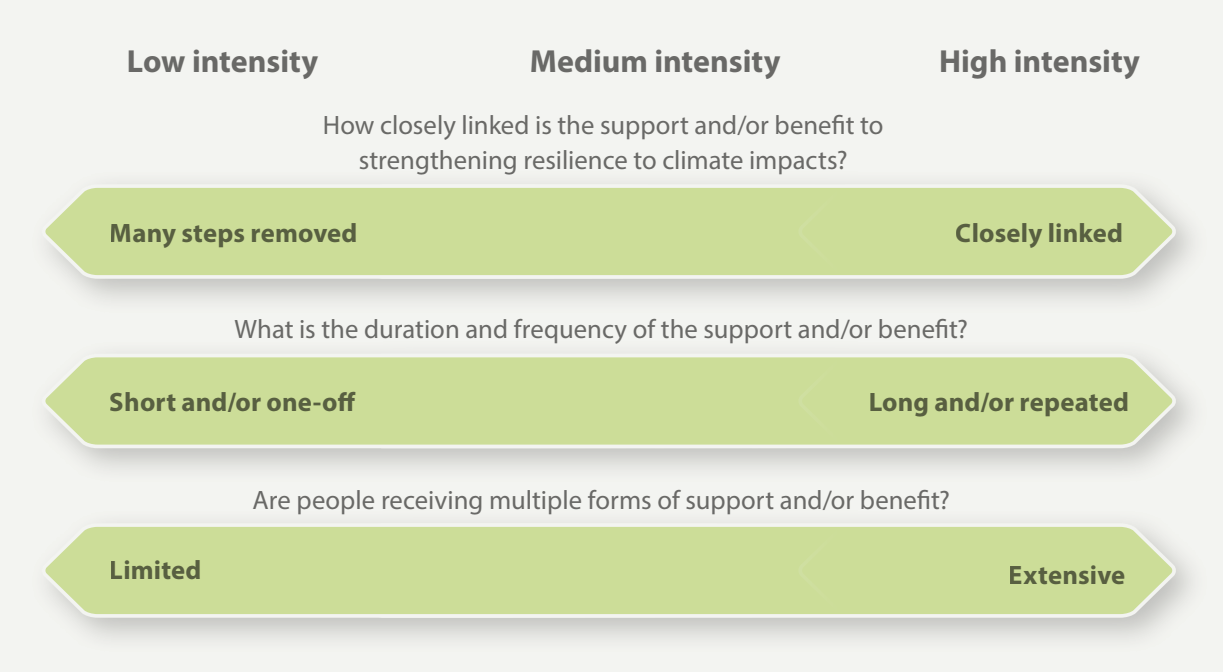
Targeting is a binary principle: beneficiaries are either targeted or not targeted. Targeted support is the intentional assistance of a project to people who are explicitly identified by the project and who are aware they are receiving support and/or use the specific resources provided by the project.

In assessing whether beneficiaries are targeted by project support, project teams might ask themselves:

- **Can we identify the specific people who are receiving support from the project?** For example, for target setting, people might be identified through feasibility studies in intervention areas, and for reporting at project mid-term and completion, people might be identified through project records on individuals who have received assets or participated in project activities, or on specific households that are accessing a resource provided by the project. Often projects are able to identify people if the project strategy focuses its support on people, rather than on physical or natural assets (captured by other core indicators).
- **Are people aware that they are receiving support from the project, and/or are they using the specific resource provided by the project?** For example, will people know that they have participated in a project activity or received a resource? Note that people do not need to know that the AF has funded the support to be aware that they are receiving it. People are also considered targeted if they can be shown to be using the specific resource provided by or made climate-resilient by the project, such as a physical or natural asset, development service, or financial product/service.

Guiding Questions to Assess Intensity

Intensity of support refers to the level of assistance provided by the project, ranging from high to medium to low based on 1) relevance: how closely linked the support and/or benefit is to strengthening people's climate resilience; 2) duration and/or frequency of support and/or benefits; and 3) extent of support: how many forms of support and/or benefit people receive. This continuum is illustrated below.



In assessing the intensity of support provided, project teams might ask themselves:

- **How closely linked is the project support and/or benefit to strengthening people's climate resilience?** For example, in the project's intervention logic, is the support directly contributing to strengthening people's climate resilience, or is the support multiple logical steps removed from strengthening people's climate resilience (e.g., several additional changes would have to result to strengthen people's climate resilience)? Does the project focus on the most important issue or lever for strengthening climate resilience of the targeted population? Is the support directed at people with a relevant vulnerability profile? Support that is more directly linked to strengthening people's climate resilience is likely to be more intense.
- **What is the duration and/or frequency of the support and/or benefit?** For example, will the support be actively maintained over the project lifetime (or even have a sustained effect), or are people expected to benefit from the support over the project lifetime (or even after project close)? Or is the support or benefit shorter-term? Is the support provided as a one-off activity, or will the activity be repeated multiple times over the project lifetime? Support that is long or repeated is likely to be more intense.
- **Are people receiving multiple forms of support and/or benefit through the project?** For example, are people supported by multiple project adaptation activities (e.g., access to an improved physical and/or natural asset; capacity building support; early warning system coverage ; access to financing), or are they only participating in one activity? Are people benefitting in multiple ways (e.g., increased income or climate-resilient livelihoods, improved knowledge of climate adaptation strategies, strengthened governance arrangements for managing adaptation resources)? Support that takes multiple forms is likely to be more intense.

As noted above, professional judgement is required in applying this principle and guiding questions. For example, a project that demonstrates high intensity on only one dimension should not automatically be considered as low intensity, nor should a project that is considered high on two dimensions automatically be classified as medium intensity. Consider a project that fosters deep change in fundamental conditions related to people's climate resilience—but through a single form of sustained support; such a project might indeed be deemed high intensity. Informed judgment might also carefully consider the local context, vulnerability profile, and potential climate resilience impact in assessing and assigning intensity ratings.

One additional rule-of-thumb will be useful to project teams: in general, **support that generates a climate-resilience related outcome for people should be counted as high intensity.** Outcomes include changes in people's knowledge, practices, and behaviors that are measured and validated by the project, typically through surveys or other consultative methods (e.g., focus group discussions, interviews). Relevant people-related outcomes measured through the SRF include Outcome indicators 1 (People using improved climate-related threat and hazard information), 3A (People with strengthened awareness of climate change risks and how to better address them), 3B (People implementing new or improved adaptation actions), 6A (People adopting improved and/or new climate-resilient livelihood practices), and Core Indicator 5: Households with increased income or avoided decrease in income.

Avoiding double-counting

Each individual should only be counted as one unique beneficiary and should only be counted as a direct or an indirect beneficiary—not as both. For projects that measure and report people benefitting at both output and outcome levels, as well as people benefitting from different types of support/ activities, avoiding double-counting will require clear project measurement protocols.

The following examples illustrate how adaptation beneficiaries should be counted:

- A project conducts a climate smart agriculture training session for farmers in 5 villages (100 people) and determines that these individuals are indirect beneficiaries. The project also pilots a scheme to increase agricultural productivity among 20 of the farmers in these same 5 villages and determines that these individuals are direct beneficiaries. In this instance, the project would report 20 direct beneficiaries and 80 indirect beneficiaries (since of the 100 total indirect beneficiaries, 20 are also benefiting from targeted, high-intensity support).
- A project makes physical improvements to a regional market to address climate hazards and determines that people living in the surrounding geographical area are indirect beneficiaries (400 people). The project also determines that people living in this area whose livelihoods depend on the regional market are direct beneficiaries (50 people). In this instance, the project would report 50 direct beneficiaries, and 350 indirect beneficiaries (since of the total population of 400 people, 50 are also benefitting from targeted, high-intensity support).

For more guidance on determining if beneficiaries are direct or indirect, please see the common project example table further below.

Examples of Common Project Support and Targeting / Intensity Assessments

The table below provides **examples of common support provided by projects** and how project teams might apply the targeting and intensity principles to determine if beneficiaries are direct or indirect or if people should not be counted. These examples are intended to assist in consistent application of the principles. However, as noted above, project teams should not interpret these examples as strict rules. Project teams are expected to make project-specific justifications for counting beneficiaries as direct or indirect, even if the support provided is described in a different category below.

Guidance on support for climate information services and early warning systems

Project teams should ensure consistent treatment of support related to climate information services and early warning systems (EWS). Specifically, as noted in the indicator reference sheets above, **people covered by new or improved early warning systems** should be counted under Output Indicator 1.2B and **should not be counted** as direct or indirect beneficiaries under this core indicator.[6] Two exceptions to this approach should be noted:

- If people are receiving multiple types of project support—of which coverage or access to EWS is one—then they may be counted as direct or indirect beneficiaries depending on the targeting and intensity assessment. For example, if people are directly protected by physical infrastructure addressing a climate hazard and are receiving EWS notifications related to that climate hazard, they could be counted as beneficiaries under this core indicator.
- If the project measures and validates that people are using EWS information to change their behavior (i.e., as also measured under SRF Outcome Indicator 1.1: People using improved climate-related threat and hazard information), these people can be counted as direct beneficiaries. Surveys or other consultative methods are typically needed to confirm behavioral change.

6 This represents a significant change in practice from previous SRF guidance. This change is intended to ensure that people covered by new or improved EWS are still measured and reported in the aggregated results of the Adaptation Fund, while avoiding potential double-counting and high beneficiary numbers that have arisen in the past due to projects counting entire national or regional populations as covered by new or improved EWS.

Examples of common project activities / indicators	Targeting / intensity assessment	Considerations for this example
EXAMPLES OF DIRECT AND INDIRECT BENEFICIARIES		
People receiving diversified livelihood assets (e.g., beehives, fish-farming cages, irrigation systems, agricultural inputs)	 DIRECT	Individuals receiving assets from the project can be identified and know that they are receiving support Highly relevant and closely linked to strengthening the climate resilience of livelihoods; support is short in duration, but people are also receiving capacity building support to adopt their diversified livelihoods over multiple years
People who are living in close geographic proximity to a new seawall constructed to protect a vulnerable coastal community and/ or are highly exposed to the hazards the seawall is designed to mitigate	 DIRECT	Vulnerable and exposed members of the protected community can be identified and will use the asset; in this example, it would be appropriate to count all members of the targeted households living in residential homes protected by the seawall Highly relevant to reducing people's exposure to a climate-related hazard; people counted are in close geographic proximity to the hazard and thus the seawall significantly reduces their exposure; duration of support expected to be long based on expected asset lifetime; community members are also receiving EWS as part of project
People who are living in areas with moderate geographic proximity to a new seawall constructed to protect a vulnerable coastal community and/or are moderately exposed to the hazards the seawall is designed to mitigate	 INDIRECT	Vulnerable and exposed members of the protected community can be identified and will use the asset; in this example, it would be appropriate to count all members of the targeted households living in residential homes protected by the seawall Relevant to reducing people's exposure to a climate-related hazard, although people are further away from the hazard (less exposed) and thus the seawall has a more modest impact on their climate resilience; duration of support expected to be long based on expected asset lifetime; community members are also receiving EWS as part of project *This example illustrates how people's exposure and vulnerability profile might be used to assess the relevance dimension of intensity; such determinations will require informed judgment by project teams.*
People whose livelihoods depend on a regional market that has been structurally improved by the project to protect it from flooding	 DIRECT	Individuals whose livelihoods depend on selling at the market (e.g., have a stall) can be identified and will use the improved asset Highly relevant and closely linked to improving vulnerable market sellers' resilience; duration of support expected to be medium based on expected asset lifetime; market sellers are not receiving other forms of support
People who shop at a regional market that has been structurally improved by the project to protect it from flooding	 INDIRECT	People cannot be identified but are those in geographic proximity to the market and shop at it to meet their domestic needs Relevant to ensuring that people have access to food and other products including during flooding events, although people have redundant access to other local markets; duration of support expected to be medium based on expected asset lifetime; market shoppers are not receiving other forms of support *This example illustrates how the linkage between an intervention and strengthening people's climate resilience might be used to assess the relevance dimension of intensity; project teams might make different assessments of intensity depending on the vulnerability profile (e.g., how important the market is for local communities' food access).*

Examples of common project activities / indicators	Targeting / intensity assessment	Considerations for this example
People with improved access to climate-resilient and reliable water supply in climate-stressed areas	 DIRECT	People with access to resource(s) provided by the project (e.g., borehole, irrigation system) can be identified and are using the resource(s) Highly relevant and closely linked to people's climate resilience by providing sufficient and redundant sources of water year-round; duration of support expected to be medium based on expected asset lifetime; people not receiving other forms of support
People accessing financial support intended to increase climate resilience (e.g., financial products for investment in climate adaptation measures; climate shock-responsive cash transfers)	 DIRECT	People accessing concessional loans for climate resilience measure can be identified and are aware they are receiving support Highly relevant and closely linked to people's climate resilience; financial product available to people for multiple years; people also receiving related capacity building support for accessing financial products and making climate resilience investments
People with new climate and disaster risk finance and insurance coverage	 DIRECT	People with new climate insurance coverage can be identified and are aware they are receiving support Highly relevant and closely linked to people's climate resilience since insurance payments are linked to climate hazard triggering events; coverage will be maintained over five years; people are also receiving capacity building support to improve climate and disaster readiness
People farming in areas where coastal flooding is expected to be mitigated by project-supported mangrove planting	 DIRECT	People farming in catchment areas can be identified and are aware they are receiving support Highly relevant and closely linked to vulnerable people's climate-resilient livelihoods and/or food systems; mangrove survival rates are high during the project implementation period; people have also been trained in community-based mangrove restoration
People living in areas adjacent to a forest ecosystem where the project has implemented restoration activities	 INDIRECT	Project targeted the ecosystem rather than people, who are not identified or aware they are receiving support Relevant to people's climate resilience (e.g., people may have increased access to non-timber forest products in the restored areas, or reintroduction of native species may improve soil water retention); people in adjacent areas are not benefitting from any other project activities
People participating in training sessions by extension services on climate-smart agricultural techniques	 INDIRECT	Individuals participating in training activities can be identified and know that they are receiving support Highly relevant to improving the climate resilience of agricultural livelihoods; trainings are few and short-term; people are not receiving any other forms of support from the project *Note that participants in training activities may be counted as direct or indirect beneficiaries depending on the intensity assessment (i.e., the relevance of the support to people's climate resilience, the duration/frequency of training, and whether people receive other forms of support besides training). Some training participants may also not be counted as beneficiaries (e.g., if they participated in a one-off training session of short duration that is not closely linked to people's climate resilience). Project teams will apply professional judgment in assessing intensity of training activities.*

Examples of common project activities / indicators	Targeting / intensity assessment	Considerations for this example
Examples of people not counted as direct or indirect beneficiaries		
People living in a community where other people have received training services by the project or in a neighboring community		People are not receiving project support; project teams should not report indirect beneficiaries based on the assumption of spread of project-promoted practices (e.g., by word-of-mouth)**
People reached by a national-level awareness raising campaign		Individuals cannot be identified Project activities are several steps removed from people's climate resilience; short in duration (e.g., people might hear one radio ad); and people are not receiving other forms of support from the project
People living in a catchment area of a river basin subject to a water resources management plan adjusted to integrate climate risk		Individuals cannot be identified Project activities are several steps removed from people's climate resilience; people are not receiving other forms of support from the project *Note that in some exceptional cases, depending on the project and local context, projects may assert that people living in an area targeted by a climate-relevant policy, strategy, or plan are direct or indirect beneficiaries based on applying the targeting and intensity principles. For example, if a project develops a local climate adaptation action plan with the meaningful participation of local community members and that includes concrete adaptation measures, those community members might be considered targeted / medium-intensity (indirect).*
People living within an administrative area of an institution (e.g., a Ministry or local authority) that has received support to strengthen institutional capacity to understand or better address climate risks		Individuals might be identified (e.g., if support is at local level) Project support is several steps removed from people's climate resilience; people are not receiving other forms of support from the project

*** Note that projects are encouraged to capture and report replication or scaling up of results as a matter of importance. Such reporting can typically be done through mid-term and final evaluations or qualitative sections of the project performance report. Alternatively, if projects plan to explicitly measure the spread of project practices beyond targeted populations (e.g., through household surveys or focus group discussions), projects may include justification for reporting such indirect beneficiaries. However, projects should not count and report indirect beneficiaries based on the assumption of scaling up among non-targeted people.*

ADAPTATION FUND

Portfolio Monitoring Mission - Southern Egypt.
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