



ADAPTATION FUND

REVISED STRATEGIC RESULTS FRAMEWORK AND GUIDANCE DOCUMENT



Revised Strategic Results Framework, 2025

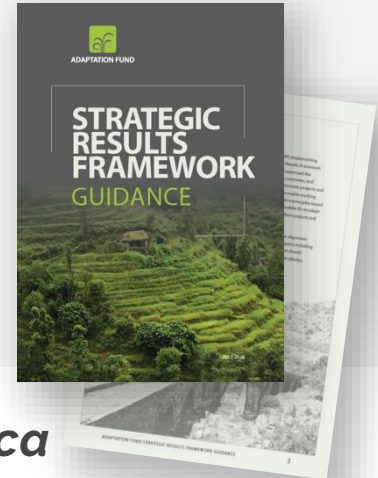
Welcome and background

Overview of the Revised SRF and Guidance Document

Applying the revised SRF in practice

Next steps

Q & A



Justice Musah, PhD, Adaptation Fund Focal Point for Africa



Welcome and Background





Board Decision B.45/3

The adaptation fund board (the board), having considered the information contained in document AFB/B.45/8, including the development of specific indicators for the innovation and locally led adaptation portfolio and alignment of current indicators with the global goal on adaptation and other developments, decided:

- (a) To approve the proposed revisions to the strategic results framework (SRF) as contained in document AFB/B.45/8, taking into account the guidance provided by the board;
- (b) To request the secretariat to revise the project performance report templates as needed and develop a guidance document on the revised SRF and related revised project performance report templates, and to share them with the implementing entities, with the understanding that implementing entities were required to report, per current practice, on the proposed indicators relevant to their country context, with mandatory alignment to at least one core indicator;
- (c) To consult with the board when preparing the guidance document;
- (d) That the SRF would come into effect three months after the revised project performance report templates and guidance documents referred to above were shared with the implementing entities.



Rationale for SRF Revision



1

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



2

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



3

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



What has changed!

Same Core Structure

Key goals, impact statements, and outcome areas remain unchanged to preserve strategic direction. The number of indicators decreased from 33 to 28. Clarity in wording, removal of redundant indicators. New Indicators for Locally-Led Adaptation and Innovation.

Same reporting requirements

Projects continue choosing relevant indicators, avoiding unnecessary reporting burdens.

Portfolio Comparability

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

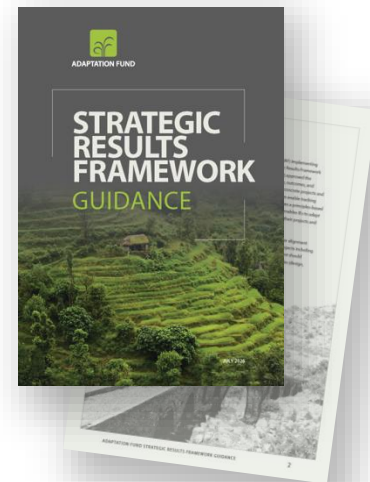




Purpose of the revised SRF Guidance Document

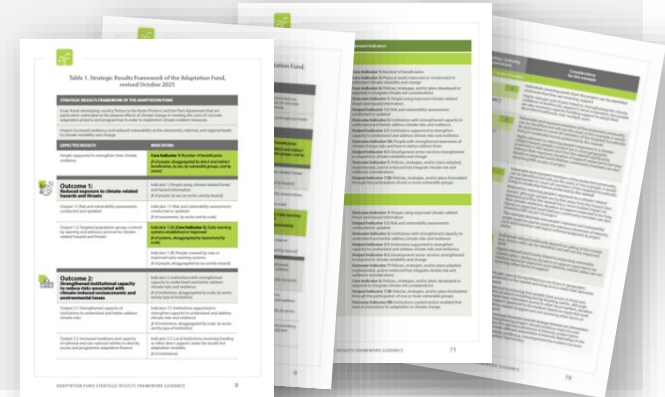
Guides IEs in applying the revised 2025 Strategic Results Framework (SRF) across all funding windows, including innovation and locally led adaptation (LLA).

- Provides a comprehensive overview of the Fund's approach to results-based management, including minimum requirements.
- Clearly explains how to develop, monitor, report, and communicate project results against the SRF.
- Takes a principles-based approach, giving IEs the flexibility to adapt the guidance to their project and programme circumstances.
- Supersedes earlier guidance to align with the revised SRF approved under Board Decision B.45/3.





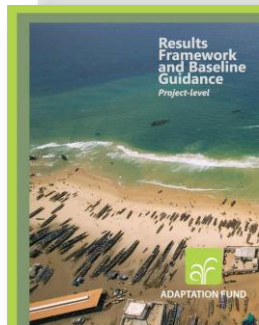
Overview of the revised SRF Guidance Document



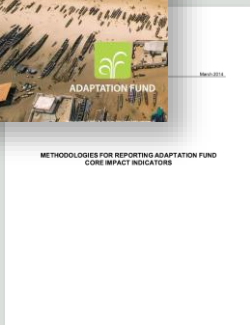


Updated, consolidated, and clearer guidance

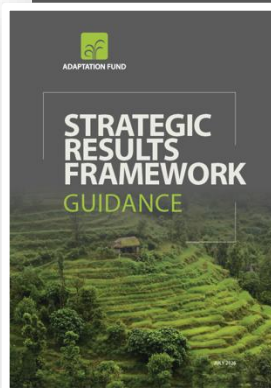
Previous guidance



- Methodologies for Reporting Adaptation Fund Core Impact Indicators
- Project-Level Results Frameworks and Baseline Guidance Document
- Results Tracker Guidance Document



New guidance



- Adaptation Fund Strategic Results Framework Guidelines, including:
- How to apply the SRF during project design and report against it during project implementation
- Guidance on project-specific results frameworks
- Illustrative project-specific and SRF indicator reporting templates
- Consolidated set of indicator reference sheets with definitions and methodologies for all SRF indicators



Updated, consolidated, and clearer guidance

Chapter 1 Introduction

- Overview of Guidance Document
- Where to find information

Chapter 2 Overview of the SRF

- Results-based management overview
- Overview of the SRF
- Full SRF as approved by the AFB in October 2025

Chapter 3 How to Apply the SRF

- Summary of requirements
- Applying the SRF at project design
- Reporting against the SRF during implementation
- Fund-level aggregation and reporting

Chapter 4 Indicator Reference Sheets

- Adaptation Fund beneficiaries indicator
- Indicators by Strategic Outcome
- Suggested disaggregation categories

Annexes

- Annex 1: Glossary of key terms
- Annex 2: Supporting practical guidance on beneficiaries indicator, including examples of common project support



Indicator reference sheets

Indicator reference sheets for Core Indicators and Strategic

Outcomes

- Definition
- Methodology
- Disaggregation categories
- Baseline and target setting
- Reporting frequency
- Links with other SRF indicators



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.^a People reported under this indicator are divided into two categories: direct beneficiaries and indirect beneficiaries. Direct people are counted as direct beneficiaries, while indirect beneficiaries are 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: - Duration/frequency/duration and/or frequency of support and/or benefit. - Relevance how closely linked the support and/or benefit is to strengthening people's climate resilience. - Cost-effectiveness/Duration and/or frequency of support and/or benefit. - Extent whether people receive most of the 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:	
Targeted Not targeted	Low intensity Medium intensity High intensity Not counted Indirect beneficiaries Direct beneficiaries
Teams 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 on low intensity. The beneficiary core indicator applies to all activities under the project. Projects may support beneficiaries through multiple different types of activities. For example, one component of a project may support direct beneficiaries with associated 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 all project components. It should clearly demonstrate in the core indicator reporting form which project specific indicator they will use to measure their total direct/indirect beneficiaries.	

(continued on following page)

^a While this core indicator does not seek to explicitly measure whether AF-funded support was critical in strengthening people's resilience to future climate impacts, through climate change, should it exist, it aims to provide reporting on relevant outcomes achieved.



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/or local levels. Strengthened capacity may be reflected through improvements in relevant institutional functions, such as: - Secure 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, identify, adopt, and address climate risks, and design and implement appropriate adaptation measures. - Having frameworks to that incorporate climate risk information, including the development of use of risk and vulnerability assessments, and the integration of adaptation priorities into plans or budgets. - Management systems, procedures, and tools that is cost-effective and efficient implementation of adaptation measures, including through stakeholder engagement and "resilient corridors". - Service delivery and responsiveness to the adaptation needs of targeted populations.	
Methodology	
As a core indicator under this outcome and goal, an institution must show measurable change in its capacity and not simply participation in AF-funded activities. Note that Outcome Indicator 2.1.1, use of a limitation that several capacity building is support under the AF-funded project, which is the current indicator counts only to be 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 employed 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 included to assess improvements in service delivery and responsiveness. If feasible, a baseline capacity assessment should be conducted to measure changes in institutional capacities, 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 change in capacity after the project's termination.	
Disaggregation categories	
- Geographic scale - Entity 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 PPP, mid-term, and completion/last PPP.	



Summary of Revisions to Guidance Based on IE Feedback

- Maintained the proposed minimum number of SRF indicators required.
- Maintained reporting on all SRF indicators at three times throughout the project cycle
- Refined the terminology used to align project-specific and SRF indicators.
- Maintained the approach of mapping project-specific indicators to SRF indicator
- Developed a standard logframe template to include in project proposals.





Notable indicator updates

Overall improvements:

- Clearer definitions
- Updated terminology and methodology
- Indicator-specific baseline and target setting guidance
- Improved alignment with other funders
- Updated disaggregation categories
- Clearer explanations of links with other SRF indicators

Indicator-specific updates:

- EWS indicators now reference Sendai and EW4All frameworks / methodologies
- Physical asset core indicator now focuses only on physical assets, with development services monitored via Indicator 4.1
- Ecosystem core indicator now aligned with GGA natural resource types
- New Strategic Outcome 8 innovation indicators
- New LLA indicators (2.2, 3.3)



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

	Low intensity	Medium intensity	High intensity
Targeted	Not counted	Indirect beneficiaries	Direct beneficiaries
Not targeted			

- 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 benefits may rapidly become outdated.

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.

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1 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 topic of project, role-based and community, people might be identified through project records or individual who have received assets or participated in project activities, or on specific household that are accessing a resource provided by the project. Other 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 one indicators.

Guiding Questions to Assess Intensity

Intensity of support refers to the level of assistance provided by the project, ranging from high in needline to low based on fit between how a family links the support and/or benefit to its strengthening people's climate resilience at 21 and/or the frequency of support and/or benefit; and 3) extent of support: how many forms of support and/or benefit people receive. This continuum is illustrated below.

Low intensity	Medium intensity	High intensity
How closely linked is the support and/or benefit to strengthening resilience to climate impacts?		

Many steps removed Closely linked

Are people receiving multiple forms of support and/or herself?

Limited Extensive

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Dustbunnies



For example, Hushkes' base 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 impaired by

The project is to protect it from flooding	OBJECTIVE	market sellers' red and/or duration of support is expected to be medium based on expected asset lifetimes; market sellers are not receiving other forms of support
Benefits: reduce loss of a		Benefits: a market-based flood risk reduction; a market-based

Relevant to ensuring that people have access to food and other products in reducing flooding events, although people have reduced access to other local markets due to the proximity to the market and shops at it so meet their domestic needs

This example illustrates how the linkage between an intervention and strengthening people's climate resilience might be used to assess the relevance dimension of feasibility. Project teams might assess different assessments of hazard depending on the vulnerability profile (e.g., how important the market is for local food security).

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Also: avoiding double-counting and consistent treatment of people covered by EWS



Applying the revised SRF in Practice





How will we transition to the revised SRF application?

1

Same SRF for all Projects

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

2

Streamlined Reporting Requirements

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

3

No Re-Baselining Needed

or retrofitting indicators where data are not available.

4

Context-Sensitive Alignment

The new SRF recognizes country context differences, promoting **progressive alignment** over added burden.



How to apply the revised SRF: minimum requirements

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.



How to apply the revised SRF: reporting frequency

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



Next steps: rolling out the revised SRF



Share the documents

The AF will share the Guidance Document and updated PPR templates with all implementing entities.



Effective dates

The revised SRF will come formally into effect three months after the guidance is shared, the AF will include the dates on the email to IEs.



Apply to new proposals

IEs are encouraged to use the updated SRF in new proposal submissions. Projects already submitted need not change their framework unless they choose to.



Help Desk support

A helpdesk service will be available to implementing and executing entities to answer customized questions for a period of six months, starting today.



Next steps: the SRF Help Desk



What it is

A support service that answers implementing entities' specific questions on applying the revised SRF — for both existing projects and new proposal development.



What it covers

All matters relating to the revised SRF and Guidance document, including new proposals where you have received comments on the results framework.



When it's available

Support for six months, starting from today



How to access it

Email the below colleagues, or you can ask the PPR reviewer. The AF Secretariat will then arrange a call with a technical support team to address the challenge.

Jmusah@adaptation-fund.org

mdorigo@adaptation-fund.org

nehasharma@adaptation-fund.org



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Website: www.adaptation-fund.org

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THANK YOU





ADAPTATION FUND

LEADING ADAPTATION FINANCE, DELIVERING TANGIBLE IMPACT

Overview: Project Review Process

Timileyin Oyebade – Climate Change Analyst

September 2026



Key Criteria for Adaptation Fund Project/Programmes



COUNTRY ELIGIBILITY

- Country party to the Kyoto Protocol and/or PA
- Developing country vulnerable to climate change



NATIONAL ALIGNMENT & COUNTRY DRIVEN

- Project endorsed by country's Designated Authority (LOE)
- Consistent with national policies, strategies and plans
- Meets national technical standards



IMPLEMENTATION ARRANGEMENTS

- Adequate arrangement for project management
- Financial and project risk management
- M&E clearly defined
- Project results framework with targets and indicators aligned with the AF SRF



Key Criteria for Adaptation Fund Project/Programmes



RESOURCE AVAILABILITY

- Requested project funding within country cap
- IE management fee at or below 8.5% of total
- Project/programme execution costs at or below 9.5%



ELIGIBILITY OF ENTITY

- Project submitted through eligible entity



PROJECT ELIGIBILITY

- Climate adaptation rationale
- ESP & GP compliant
- Cost effective and sustainable
- Avoids duplication
- Robust learning systems



1

PROJECT ELIGIBILITY



What is a Climate Adaptation Rationale?

It's the *underlying logic* that explains why a proposed intervention qualifies as adaptation

E.g., "Rainfall has become erratic, leading to crop failure. The project introduces climate-smart agriculture and weather advisories."



It connects **stakeholder priorities** to **adaptation goals** and links those to actions and benefits

E.g., Community consultations + NAP priority on food security → Project focuses on crop diversification and training.



Helps justify:

E.g. Why is community-based water management prioritized? Because local sources are drying due to prolonged dry seasons.

Why this intervention?

For whom will it work?

What climate risks will it address?



Adaptation Rationale: Elements to consider

- What are historical and projected **climate trends**?
- What are the **risks and barriers** faced by the community?
- Has **vulnerability** been assessed?
- Are these grounded in **scientific, technical, and local evidence**?

What is the baseline context and the adaptation needs?



- Aligns with key **strategic documents** NAPs, NDCs etc.
- Addresses **climate drivers and barriers**,
- Improves the community's **ability to respond** to the impacts of climate change,
- Provides **opportunities** from the impacts of climate change.

How is this project responsive to the identified needs?





Key Considerations: Adaptation Rationale



Adaptation rationale is how a project or programme can **demonstrate it is an adaptation project**. It is also fundamental criteria for any proposal that is seeking financing from the Adaptation Fund.

Need to ensure that the **climate adaptation response considers the adaptation needs**: key climate drivers, the risks faced by the community, and the barriers to overcome.

Comprehensive **scientific, technical, and local evidence** should be used to support the causal links.

Align with **national and sub-national priorities**.

It is “making the case” for an adaptation project.





Cost-Effectiveness: Key Considerations

Key Criteria

Is the project/programme cost-effective?

- **Logical Scope & Approach:** Provide a clear rationale for the selected scope, scale, and intervention approach
- **Sustainability:** Demonstrate cost-effectiveness from a long-term sustainability perspective
- **Alternatives Analysis:** Compare alternative options to the proposed measures and justify the chosen approach
- **Intervention Comparison:** Compare to other possible interventions that could have been implemented
- **Regional Context:** In the case of regional proposals, explain why a regional approach is more cost-effective than national projects

Other Practical Guidance:

- Quantified cost-per-beneficiary or cost-per-outcome data
- Evidence that the approach maximizes adaptation impact per dollar
- Consideration of maintenance and operational costs beyond project lifetime



Sustainability

- The Adaptation Fund focuses on building local capacities and implementing sustainable interventions that catalyse impact beyond the project lifetime.
- The long-term sustainability of the proposed intervention, and the potential for replication and scale-up need to be considered during project design.
- What will still be in place and functioning 5–10 years after the project ends, who sustains it, and can it be taken on by others?

KEY ELEMENTS

- **Economic and Financial Sustainability:**

- How will recurrent costs be covered?

- **Institutional Sustainability:**

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

- **Social Sustainability:**

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

- **Environmental Sustainability:**

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



Other Key Considerations

- **Concrete adaptation benefits for the most vulnerable, including gender considerations**

Show who benefits and how: disaggregate target groups, explain how women, youth and marginalised households are reached, and quantify the benefits where you can.

- **Full compliance with the Environmental and Social Policy**

Screen the proposal against all 15 environmental and social principles, assign a risk category, and set out a gender assessment and action plan with budgeted responsibilities.

- **Learning component**

Explain how lessons will be captured, shared and fed back into design — through knowledge products, learning reviews and dissemination to national institutions and other entities.

- **Complementarity**

Show the project complements rather than repeats other climate adaptation efforts in the country.

2

**RESOURCE AVAILABILITY:
COUNTRY CAP RESOURCES
COST AND FEES**





Harmonization of Costs and Fees

Implementing Entity (IE) Fee

Project cycle management services including project supervision

- **Staff:** IE staff salary associated with project oversight
- **Corporate Activities:** Policy support, portfolio management, reporting, outreach and knowledge sharing
- **Project Cycle Management:** Project preparation, management oversight, financial management, quality assurance
- **M&E Supervision:** BDR, annual PPRs, mid-term evaluation, final evaluation, project completion report, ESMP and gender monitoring
- **Travel:** Project supervision missions, steering committee
- **Audit:** All audit-related costs including compliance verification and cost of audit

Execution Entity (EE) Costs

Direct day-to-day administration of project activities

- **Staff:** Salary of project officers and M&E officers
- **M&E Support:** BDR, annual PPRs, project completion report, ESMP monitoring, gender monitoring, grievance mechanism, project financial reports
- **Stakeholder Engagement:** Consultation meetings, workshops, and communication costs
- **Travel:** Project supervision missions, steering committee meetings
- **Office Facilities:** Direct costs for office space and operational facilities related to project execution

Not Covered through AF Grant

Items excluded from AF funding

- Government-seconded staff
- Independent reviews or evaluations of projects and programmes by the AF Board

Cost & Fee Formulas

Project/Programme Activities Cost = **A**

Execution Cost (EE) = **B** (capped at 9.5% of A+B) (10% for Regional)

Total Project Cost = **A + B**

Implementing Entity Fee = **C** (capped at 8.5% of A+B) (10% for Regional)

Total Financing Requested = **A + B + C**

3

NATIONAL ALIGNMENT & COUNTRY OWNERSHIP





National Alignment & Technical Standards

A project or programme must meet relevant national technical standards and be consistent with national policies, strategies, plans and priorities.

NATIONAL STRATEGIES & TECHNICAL STANDARDS

Consistence with national policies, strategies and plans, and with sector priorities including NDCs, NAPS and other relevant instruments.

The project must demonstrably meet, for example: Building codes, Land use or tenure regulations, water quality regulations, sector-specific regulations.

ROLE OF DESIGNATED AUTHORITIES

The Letter of Endorsement confirms the project is country-driven and government-backed.



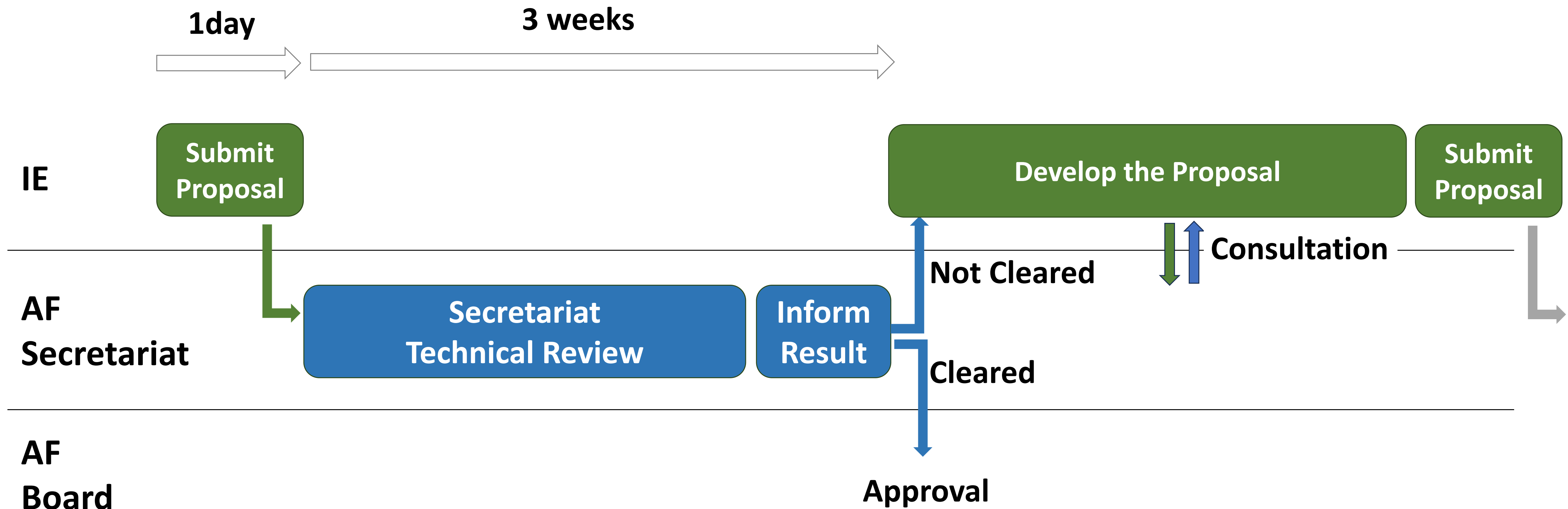
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PROJECT REVIEW CYCLE



Rolling Basis: Submission Process

- IE will receive feedback within 3 weeks post-submission, except during review intermission ▶
- Proposal can be submitted at any time



Rolling Basis: Approval Process

- Technically-cleared proposals proceed to the Board (biannually)



IMPORTANT REMINDERS

Proposals should be submitted through the online submissions portal

Important dates

AFB47: Business standard resumes	20-Apr
Deadline to return reviews for proposals submitted during the AFB46 intermission	11-May
Business standard for AFSEC review (no. of business days):	15
Review intermission starts (temporary freeze of reviews/business standard suspended in preparation for Board meeting):	14-Aug (at 23:59 EST)
Submission/posting of secretariat's review and documents to PPRC:	28-Sep
PPRC meeting:	19-Oct
Board meeting:	21-Oct
AFB48: Intermission over/business standard resumes	2-Nov





Navigating the Platform: What to Expect



1

Get access

Request portal access for named staff through the Secretariat and confirm each person's role.

2

Submit the LOE

Complete the LOE form, attach documents, review entries and submit for acceptance.

3

Create the proposal

Select entity type, project category, single-country or regional, and the stage: pre-concept, concept or fully-developed.

4

Track and respond

Follow status on the dashboard; the Secretariat returns comments through the portal and email alerts you when action is needed.

WORTH KNOWING

Everything runs through the platform (submissions, comments and responses) so please keep contacts up to date, watch for email alerts.

For assistance, please contact:

Log-in and IT issues: AF_ITS_Team@worldbankgroup.org

Proposal inquiries and to report a resubmission: Submissions@adaptation-fund.org



Thank You



ADAPTATION FUND



ADAPTATION FUND | LLA AND INNOVATION

Environmental & Social Safeguards ESP Compliance During Project Implementation

Plenary session • 15 minutes • Questions to follow



ADAPTATION FUND

Six questions to think through

We will come back to these — hold your answers as we go

1

Where does ESP compliance most often break down once implementation starts?

2

Who actually screens a sub-project on the ground, and against what criteria?

3

How do you keep a risk assessment current when locally-led activities change mid-project?

4

What triggers re-screening when an innovation moves from pilot to scale?

5

Can vulnerable communities reach your grievance mechanism in practice, not just on paper?

6

When a complaint is raised, who addresses it, how fast, and to whom?

Compliance is won after approval? No

Most attention goes to getting approved — but the safeguard work that determines outcomes happens in the two stages after it

1 Concept note

2 Full proposal

3 Review and approval

Risks identified, ESMP agreed, conditions set



4 IMPLEMENTATION

Apply, screen, update

- Apply the agreed measures through workplans and sub-agreements
- Screen and approve each sub-project against the agreed criteria
- Update the risk assessment as activities or circumstances change

5 REPORTING AND CLOSURE

Report, correct, evaluate

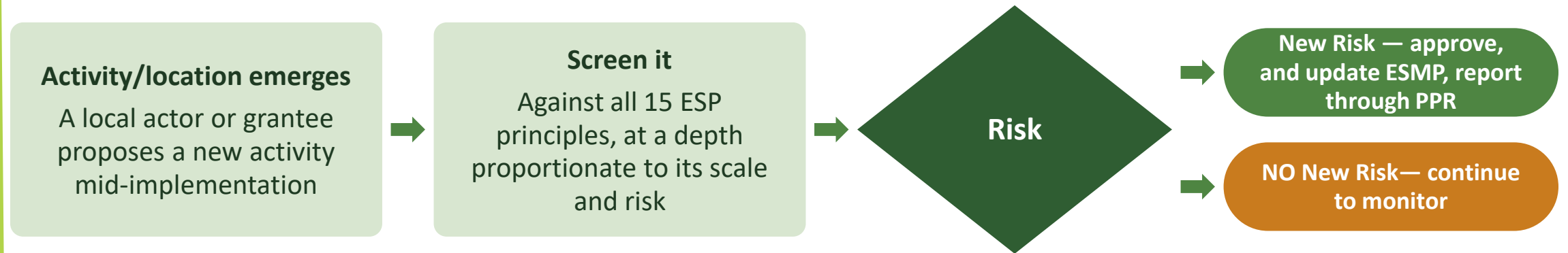
- Report ESP risk and incidents in the annual Project Performance Report
- Record the corrective action taken and its result
- Evaluate safeguard performance at completion

Running through every stage: meaningful stakeholder engagement • an accessible grievance mechanism • Gender Policy compliance • incident reporting and escalation

SUB-PROJECTS AND SMALL GRANTS

Screening activities as they emerge

Under LLA and Innovation windows the activity often does not exist at approval — screening has to happen before the money moves, not after



What good practice looks like

- A short plain-language screening tool local actors can actually apply
- Clear thresholds for what they may approve without referring upward
- Sampling review by the Implementing Entity, and decisions logged from the first grant onward

Where it goes wrong

- Sub-projects approved before screening because of disbursement pressure
- Criteria agreed at approval never translated into a usable local tool
- Screening records that exist for early grants but tail off as the project scales

What triggers re-screening

The same triggers drive an ESMP update and a post-approval request for change

RE-SCREEN WHEN ANY OF THESE CHANGE

- | | | |
|---|---------------------------------------|---|
| 1 | The activity | Scope, method or delivery model shifts from what was approved |
| 2 | The technology | An untested tool or technique is substituted or added |
| 3 | The location | New sites bring new communities, habitats and land questions |
| 4 | The partner | A new executing entity or grantee brings different capacity |
| 5 | New data or knowledge from MTR | New information has been gathered that improves understanding of risk |

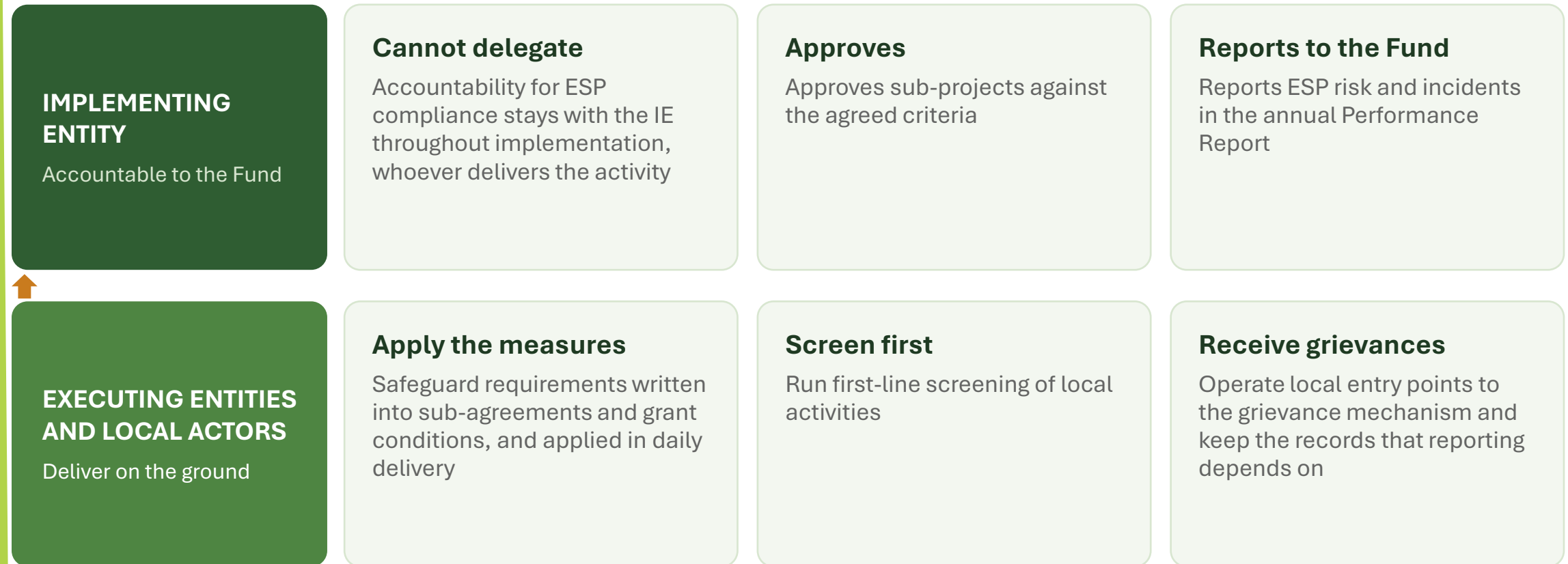
WHY IT MATTERS

An activity that has not been re-assessed since approval is running on an assessment that no longer describes it

ACCOUNTABILITY

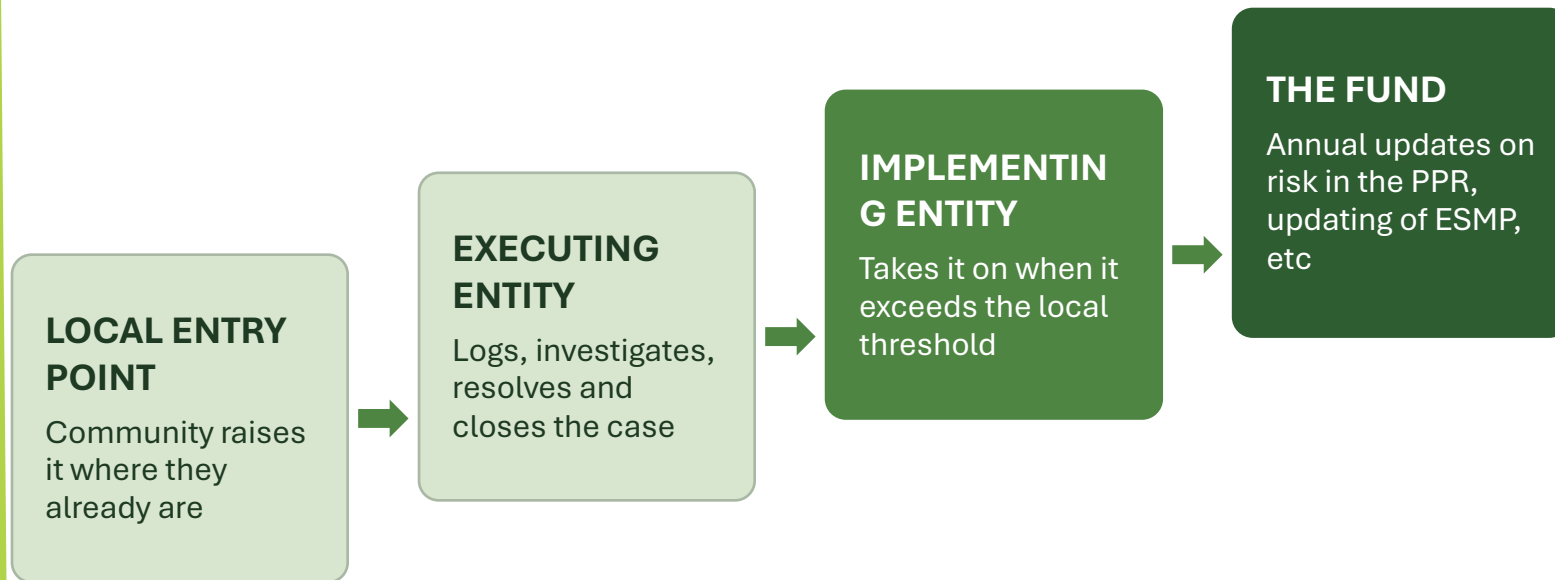
Who does what in implementation

Delivery can be devolved all the way to local actors — accountability to the Fund cannot



A complaint must have somewhere to go

Accessibility is judged from the community's side, not from the project document



Every step needs a named owner and a time limit — otherwise cases stall where they land

Accessible in practice means

Reachable — local languages, non-written channels, and locations people already visit

Independent — a route that does not run only through the entity being complained about

Safe — anonymous and confidential options, with no retaliation for raising a concern

Specialised — the Fund's policy on sexual exploitation, abuse and harassment sets its own handling and referral pathways

IN SUMMARY

What compliance looks like in practice

Reported to the Fund through the inception report and the annual Project Performance Report, with ESP risk reported separately from financial risk

1 Apply the measures

Deliver the ESMP as approved, with responsibilities, resources and budget reflected in workplans

2 Keep it live

Update the risk assessment whenever activities, locations or partners change

3 Bind partners

Carry safeguard requirements into sub-agreements and grant conditions

4 Verify, don't assume

Supervise and spot-check; align IE and executing entity ratings so reporting is consistent

5 Engage meaningfully

Sustain consultation through implementation, reaching vulnerable and marginalized groups

6 Report and correct

Report compliance and incidents, act on conditions, and record the corrective action taken

THE TAKEAWAY

Safeguards are not a document you submitted — they are a practice you run



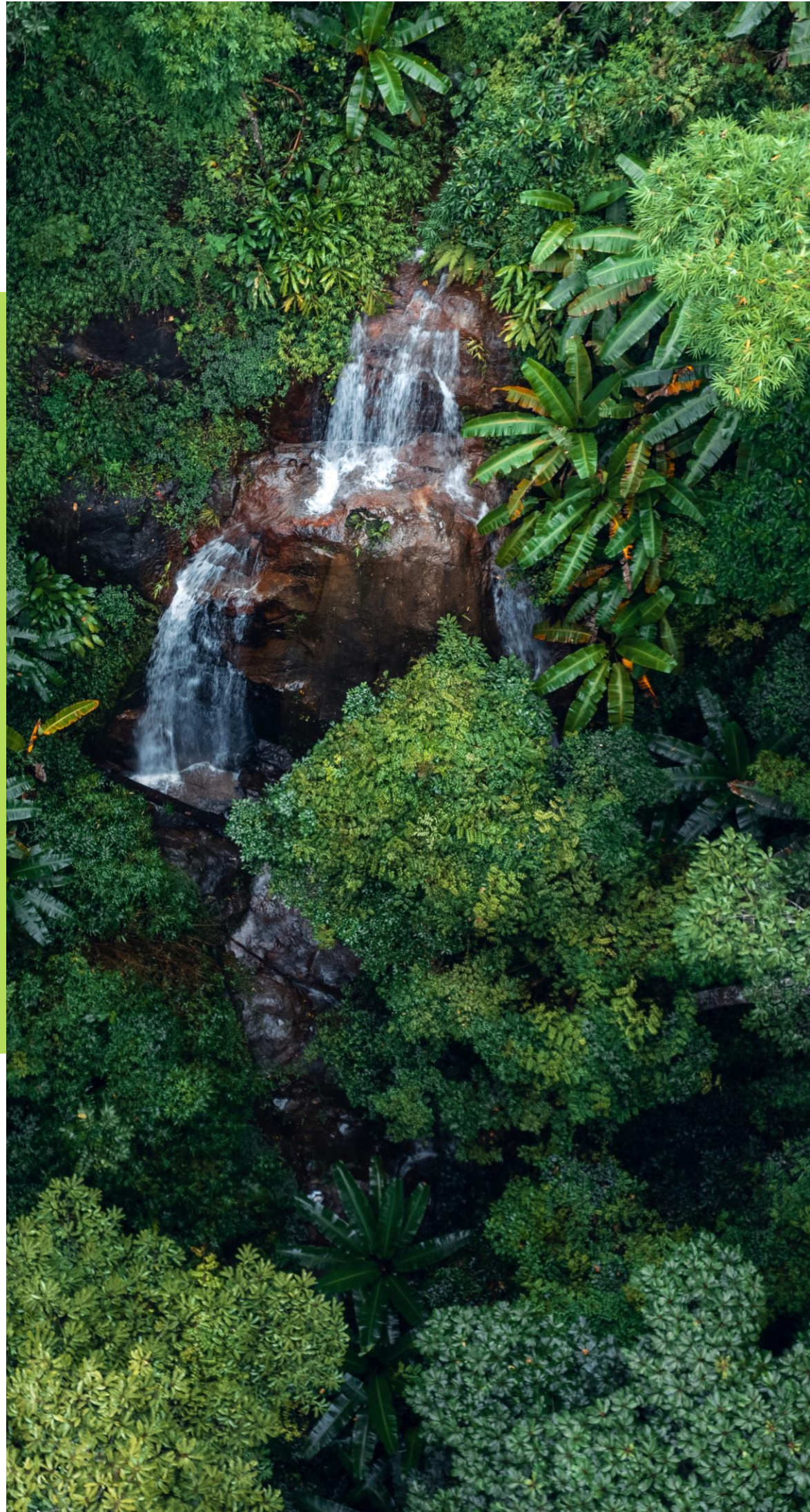
ADAPTATION FUND

Environmental & Social safeguards during project development

NIE Seminar
Rabat, Morocco
September 2026



ESP at a Glance



● What is the ESP?

The **Environmental and Social Policy** ensures AF-funded projects promote positive outcomes and avoid environmental and social harm.

■ Core Characteristics

- **Evidence-based:** Claims backed by verifiable facts
- **Risk-based:** Level of assessment matches scale of risk
- **Comprehensive:** Covers all 15 principles for all activities
- **Non-prescriptive:** Any method accepted if principles are met

■ Risk Categories (Scope & Impact)

- **Category A** – High risk (thorough assessment required)
- **Category B** – Moderate risk (standard assessment)
- **Category C** – Low/no risk (proportionate effort)



The 15 ESP Principles

People & Rights

- **1. Compliance with the Law** • 2. Access & Equity • 3. Marginalized & Vulnerable Groups
- **4. Human Rights** • 5. Gender Equality & Women's Empowerment • **6. Core Labour Rights**
- 7. Indigenous Peoples • 8. Involuntary Resettlement

Environment & Resources

- 9. Protection of Natural Habitats • 10. Conservation of Biological Diversity
- 11. Climate Change • 12. Pollution Prevention & Resource Efficiency

Health, Heritage & Land

- 13. Public Health • 14. Physical & Cultural Heritage • 15. Lands & Soil Conservation

Key takeaway: All projects must screen risks against every principle. The depth of assessment varies by risk category, but the screening itself is mandatory.



Environmental and Social Policy (ESP)

Checklist	Concept Note	Full Proposal
Have environmental and social risks been identified? And presented against each of the 15 ESP principles?	✓	✓
Has the project been categorised?	✓	✓
Have the identified safeguard measures been integrated into an Environment and Social Mitigation Programme (ESMP)?		✓
Does the ESMP contain clearly allocated roles and responsibilities for its implementation?		✓
Does the ESMP include opportunities for adaptive management?		✓
Does the ESMP include opportunities for consultation?		✓
Are there credible budget provisions, as needed, for the implementation of the ESMP?		✓
Are there clear arrangements for the IE to supervise executing entities for implementation of ESMP?		✓
Are there clear monitoring and evaluation arrangements for ESP compliance?		✓
Are the required USP arrangements in place?		✓
Are there arrangements to monitor during implementation for unanticipated environmental and social risks?		✓
Is grievance mechanism present and is it easily accessible and without undue access restrictions or conditions?		✓



ESMP Essentials

● What is the ESMP?

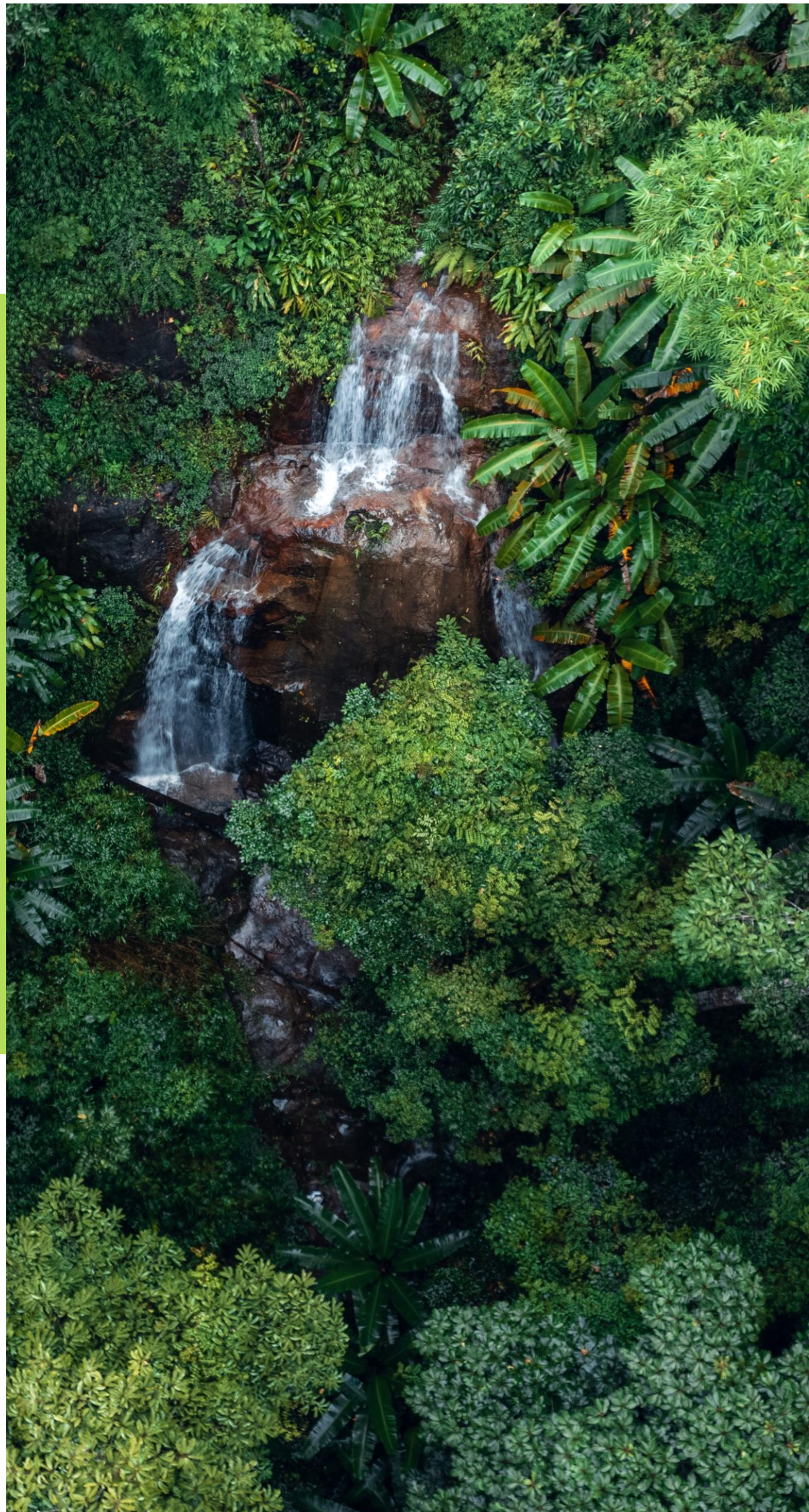
The **Environmental and Social Management Plan** documents how identified risks will be avoided, minimized, or mitigated throughout project implementation.

■ What Must the ESMP Include?

- **Mitigation measures** for each identified risk.
- **Roles & responsibilities** clearly allocated for implementation.
- **Budget provisions** for all safeguard activities.
- **Monitoring & evaluation** arrangements for ESP compliance.
- **Grievance mechanism** accessible to all affected parties.
- **Adaptive management** provisions for unanticipated risks.

■ Stakeholder Consultation

- Consultation is **mandatory throughout** the project cycle.
- Outcomes must be **integrated into project design**.





Environmental and Social Management Plan

■ What is included in the ESMP?

The Environmental and Social Management Plan (ESMP) outlines how a project will **identify, manage, and monitor** environmental and social risks aligned with the Adaptation Fund's policies. It translates ESP risk findings into **concrete actions, measurable indicators, and oversight mechanisms**.

■ Key Features of a Project ESMP

Risk-Based and Principle-Driven

Each of the 15 ESP principles is assessed for:

- Potential risk or impact
- Avoidance or mitigation measures
- Indicators to track implementation
- Timeline and responsible entity
- Resource implications (built into overall program budget)



ESP Risk Screening Table - example

Checklist of environmental and social principles	No further assessment required for compliance	Potential impacts and risks – further assessment and management required for compliance
Compliance with the Law		Low risk: The project will comply with all relevant laws and regulations. The project will be executed by the government, therefore the risk of non-compliance with the law is highly unlikely. There is however a low risk of non-compliance with environmental regulations by service providers, however mitigation measures will be put in place to ensure compliance by ensuring permits and approvals are obtained whenever required and through the monitoring and supervision of the PCU and IFAD.
Access and Equity		Low risk: There is a risk of a low participation of vulnerable groups (youth and women) in the project activities. However, though a participatory and inclusive approach, the project will enable fair and equitable access to project benefits to all participants, including marginalised and vulnerable groups. The project emphasizes targeted support and outreach, particularly to youth and women, through specialized entrepreneurship and vocational training activities and will offer flexible grants, job placement support, and practical climate-resilient skills training, which will address the barriers these groups face, promoting active participation. This risk will also be mitigated by adhering to the project's targeting and gender strategies and action plans which are developed to promote access, equity and inclusion.



ESMP example

How Risk Management is Operationalized (Examples)

ESP Principle	Identified Risk	Mitigation Measures	Indicators
Access & Equity	Risk of exclusion or inequitable access	Mapping beneficiaries, outreach to remote areas, inclusive selection criteria	% of vulnerable persons trained (by gender), attrition rate
Gender Equality	Participation limited due to unpaid care responsibilities	Adjust timing of sessions, provide child care support	% of women beneficiaries
Labour Rights	Contractors may violate national labor laws or ILO standards	Include labor clauses in contracts, partner with Ministry of Labor for training	# of labor-related complaints
Biodiversity Conservation	Agrochemical use, bycatch, or unregulated ecotourism may affect ecosystems	Promote bio-inputs, fishing protocols, training in biodiversity-friendly tourism	# of trained participants, hectares under biodiversity measures
Pollution Prevention	Improper waste disposal or excessive agrochemical use	Bioinput training, community waste management, alternatives to chemicals	# using bioinputs, pollution reduction campaigns
Soil and Land Conservation	Soil erosion, compaction due to poor agricultural practices	Farm planning, rotation, conservation techniques	# of farmers trained

What additional aspect would make this table even more comprehensive?



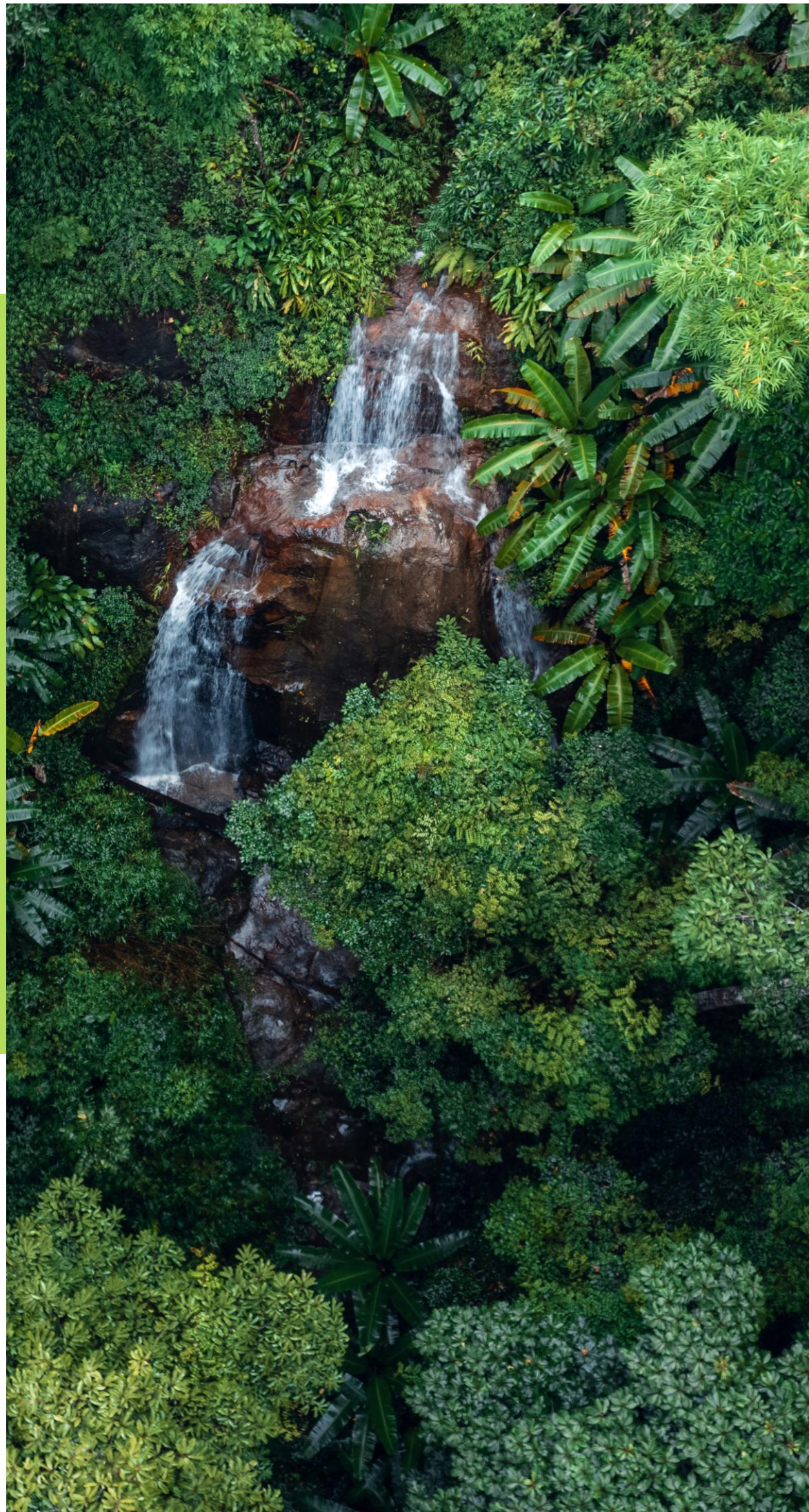
FACs: Frequently Asked CRs & CARs

Common Corrective Action Requests (CARs)

- **Incomplete risk screening:** Risks not identified against all 15 ESP principles
- **Weak or missing ESMP:** Mitigation measures not linked to identified risks or lacking specificity
- **No grievance mechanism:** Missing or inaccessible complaint-handling process
- **USPs not justified:** Unidentified sub-projects lack screening safeguards or rationale

Common Clarification Requests (CRs)

- **Equitable access:** How will beneficiary selection ensure fair distribution of benefits?
- **Stakeholder consultation:** Insufficient evidence that meaningful consultation took place
- **Risk categorization:** Project not categorized (A, B, or C) or category not justified
- **ESMP budget:** No dedicated budget provisions for safeguard implementation
- **M&E for ESP compliance:** Monitoring arrangements for safeguards during implementation unclear



Unidentified Sub-Projects (USPs)



Types of USPs

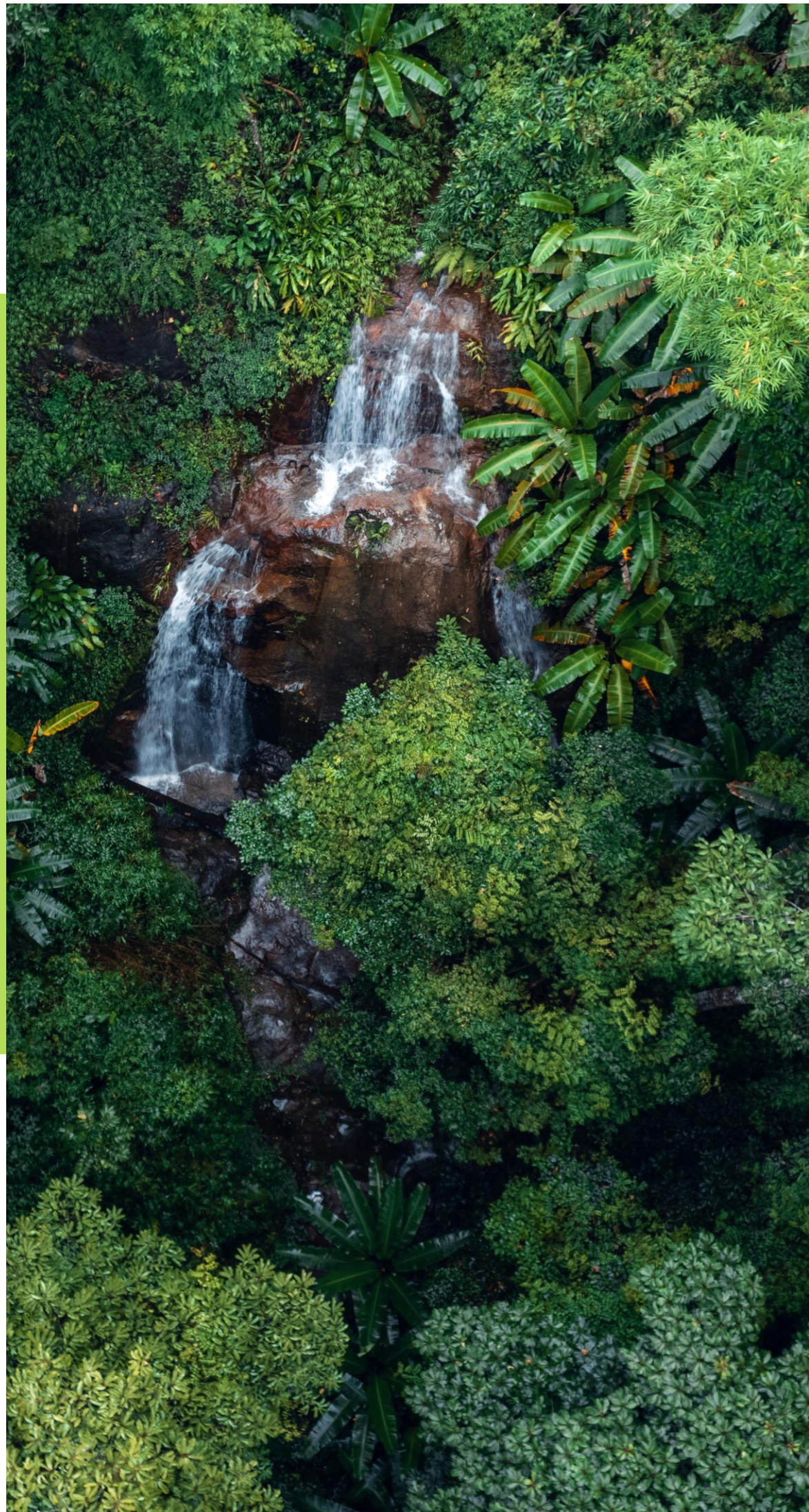
How the Adaptation Fund classifies project activities by their level of identification at submission

FULLY IDENTIFIED	PARTIALLY UNIDENTIFIED	FULLY UNIDENTIFIED
✓ Accepted	⚠ Accepted with conditions	✗ Not accepted
Fully Identified <i>Standard project activities</i> • All activities are formulated at submission • Environmental and social risks fully assessed • Specific locations and beneficiaries known <i>This is the default expectation for all AF proposals</i>	Partially Unidentified (USPs) <i>Permitted with safeguards</i> • Activity type or location is defined, but not both • Foreseeable E&S risks are identified • A robust ESMF is required upfront • Full ESP/GP screening before each sub-project starts • Clear governance: who selects, screens, approves <i>Must be justified - cannot be used to avoid proper planning</i>	Fully Unidentified <i>Not permitted by the AF</i> • Neither the type nor location of activities is known • Environmental and social risks cannot be foreseen • No basis for meaningful risk screening • Grounds for non-approval of the proposal <i>The ESP requires risk identification for all activities</i>





FACs: Frequently Asked CRs & CARs



- Justify why sub-project activities cannot be fully identified at the time of proposal submission.
- Clarify the criteria and process for selecting, screening, and approving USP sub-projects during implementation.
- Provide a robust Environmental and Social Management Framework (ESMF) covering all foreseeable risks of the USPs.
- Describe how each USP sub-project will undergo full ESP and GP screening before implementation begins.
- Clarify governance arrangements — who selects, screens, approves, and monitors sub-projects.
- Include gender-responsive measures and stakeholder consultation processes in the ESMF for USP activities.
- Explain monitoring, reporting, and adaptive management arrangements for USP sub-projects.
- Provide risk categorization for the types of sub-projects anticipated under the USP components.



ADAPTATION FUND

Thank you

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ADAPTATION FUND

READINESS PROGRAMME

ACCREDITATION AND PROJECT SUPPORT

Ishani Debnath, Climate Finance Specialist
AFB Secretariat

Overview

■ Grants



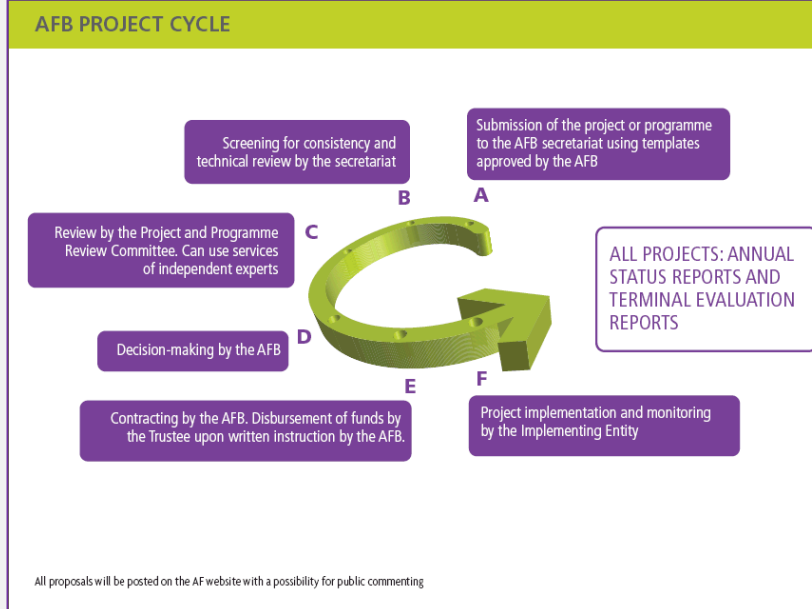
■ Visibility of the Fund



■ Contributes to KM



■ Accreditation, project preparation & design



Types of readiness grants



The Readiness Package Grant (RPG)

US\$

150,000

*South-South peer support
For non-accredited entities*



Project Scale-Up Grants

100,000

To support planning, assessment, capacity enhancement for developing scaling up pathways



Technical Assistance Grant for the Environmental and Social Policy and Gender Policy (TA-ESGP)

25,000

To address and manage environmental and social risks and gender issues



Technical Assistance Grant for the Gender Policy (TA-GP)

10,000

To address gender considerations



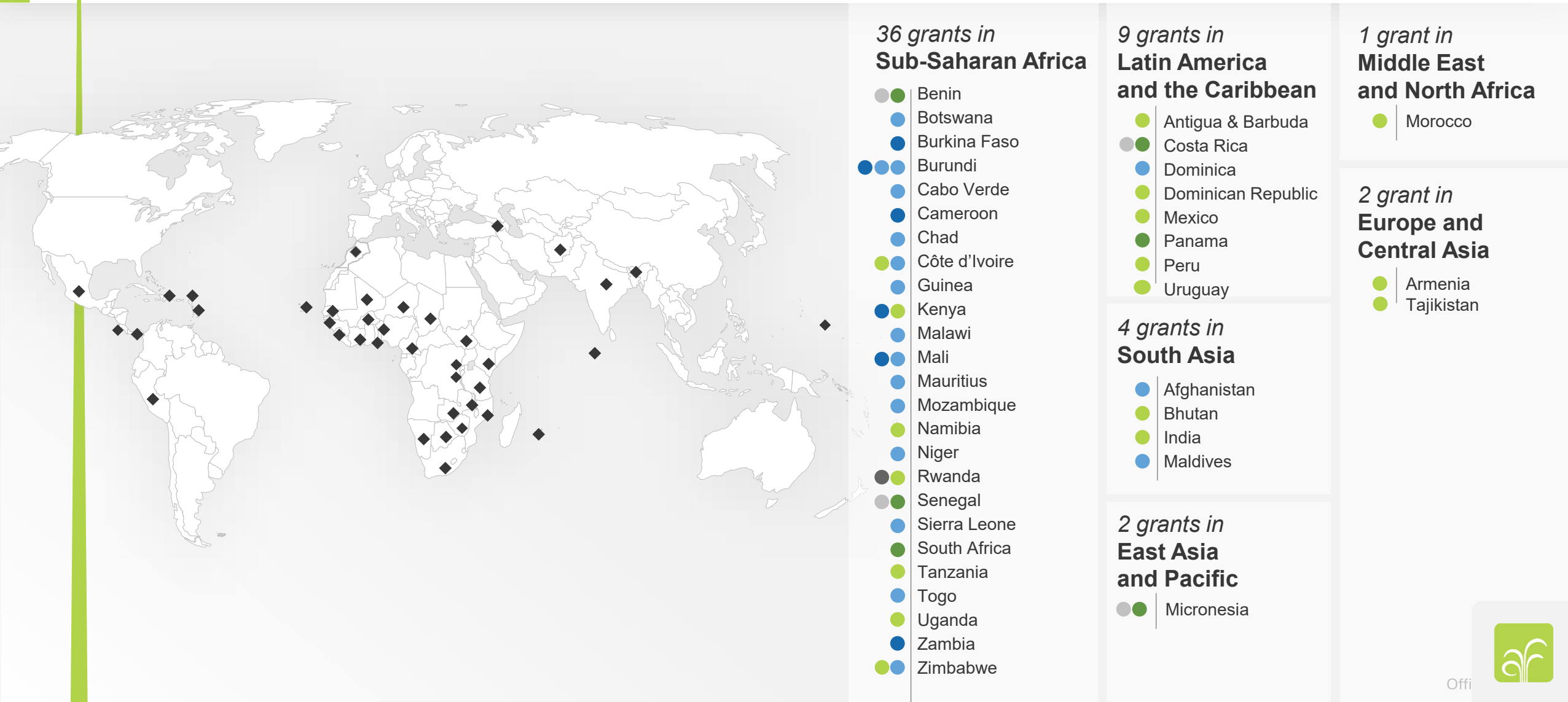
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Approved Readiness Grants

54 readiness grants approved as of September 1, 2026

Types of Grants

- S-S
- TA-ESGP
- Readiness Package
- TA-ESP
- TA-GP
- Project scale-up



READINESS ACTIVITIES RELATED TO ACCREDITATION

The Readiness Package Grant (RPG)

Grant supports accreditation through South-South Cooperation (SSC) and peer to peer support through a suite of tools (workshops, guidance docs, experts, assessments)



Grant Size

- Up to US\$ 150,000 per NIE

Eligibility Requirement For Countries:

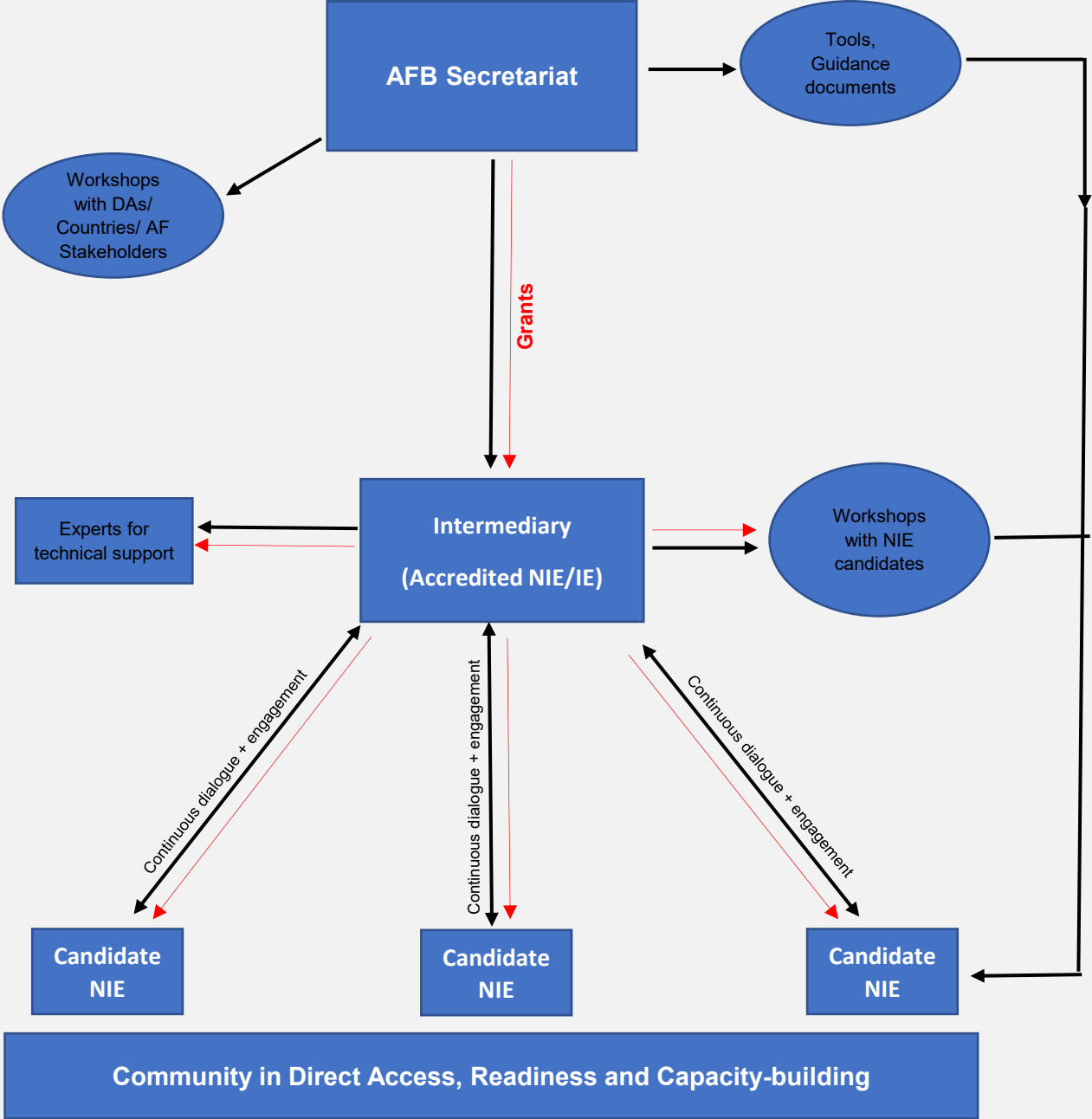
- All developing country Parties to the Kyoto Protocol and Paris Agreement under UNFCCC are eligible.

In addition, all NIE applicants should meet the following criteria:

- The NIE candidate must be located in a developing country Party to the Kyoto Protocol or Paris Agreement;
- The country of the NIE candidate must have a Designated Authority (DA) to the Adaptation Fund;

The Readiness Support Package Process

	Flow of non-financial resources
	Flow of finance



Eligible Activities for Funding

Support in one or more of the following:

In-country support by the intermediary to an NIE candidate for the preparation of an application for accreditation.

Technical support through experts to develop and/or put in place policies, procedures and other institutional arrangements to support the accreditation process with the Fund.

Organization of local, national or regional consultations/workshops to assist in the preparation of applications for accreditations from several NIE candidates.

Following consultations between the intermediary and NIE candidate



Support for Accreditation- The Readiness Package Grant

Key considerations:

Initial assessment and dialogue to nominate **a suitable NIE** candidate to navigate the accreditation process of the Fund.

In-country support to an NIE candidate, **identification of gaps**

Technical support – **Articulate main components/steps to address the NIE candidate gaps/challenges**, including through experts
(**activity** **output** **timeframe**)

Justify chosen components/steps - **explain status core, current processes** and procedures within the NIE candidate , plus **implementation timeframe for new policies**

Support to address and respond to feedback provided by the Accreditation Panel



Support for project development



The AFB secretariat: Helps clarify review criteria and process: afbsec@adaptation-fund.org (the secretariat cannot pre-screen proposals before submission)



Technical assistance and scale-up grants: meant to provide support for project development



Non-grant activities



Technical Assistance (TA) Grants (TA-ESGP)

❖TA Grant for the Environmental and Social Policy and Gender Policy – US \$25,000

Aimed at strengthening NIE capacity to identify, screen, address and manage environmental and social risks as well as gender related issues in their projects and programs in line with the Fund's Environmental and Social Policy and Gender Policy.



Eligibility Requirement:

- All accredited NIEs of the Fund that have not previously received a technical assistance grant are eligible to apply.

Support in one or more of the following:

- Developing procedures/manuals/guidelines for screening projects for ES risks as well as gender-related risks;
- Developing procedures/manuals/guidelines for undertaking ES risk assessments and formulating risk management plans that are gender responsive
- Developing Policies for public disclosure and consultation that are gender- responsive
- Developing transparent, accessible, fair and effective complaint handling mechanisms
- Training of staff



Technical Assistance (TA) Grants (TA-GP)

❖ TA Grant for the Gender Policy – US \$10,000

Meant for NIEs that already have robust environmental and social policies to put in place measures to avoid, minimize and/or mitigate adverse gender impacts in accordance with the Adaptation Fund's Gender Policy.

Eligibility Requirement:

- All accredited NIEs that have not previously received a technical assistance grant are eligible to apply.

Support in one or more of the following:

- Updating of existing procedures/manuals/guidelines
- Development of procedures for undertaking gender assessments
- Development of a policy/avenues for public disclosure and consultation that are gender responsive
- Development of transparent, accessible, fair and effective mechanisms for receiving and addressing complaints
- Training of staff for gender mainstreaming



Timeline for Submission of Readiness Grant Requests

Readiness Package Grant + Technical Assistance Grants

1 February to 31 March and from 1 July to 31 August every year.



Readiness support

Non-grant support available to NIEs



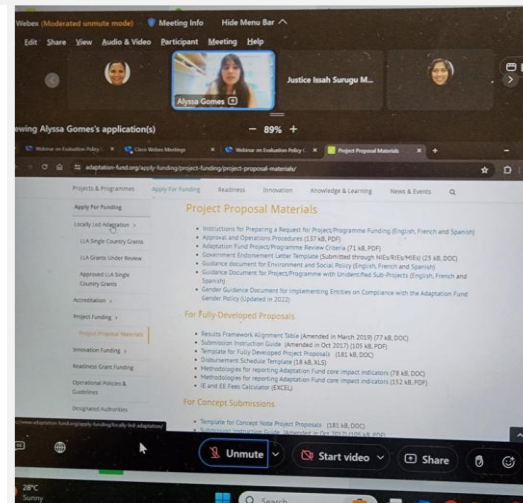
South-South
Country
Exchange
Visits



Regional
Workshops



Annual NIE
seminar for
accredited NIEs



Readiness
webinars



READINESS STRATEGY 2027-2029

- The Secretariat is currently finalizing a proposed Readiness Strategy for 2027–2029, which will be presented to the Board for its consideration in October.
- The strategy builds on lessons learned from current readiness activities and extensive consultations with accredited implementing entities, DAs and other stakeholders.
- The strategy envisions a broader range of readiness support options to respond to the evolving needs of implementing entities, including strengthened support for project development and implementation.
- This seminar's discussions are directly feeding into how the Secretariat is thinking about readiness support going forward, and experiences and perspectives shared by NIEs through forums such as this Annual NIE Seminar continue to provide important practical insights into capacity needs, implementation challenges and opportunities for strengthening Direct Access.
- Following the Board's consideration, the Secretariat will communicate relevant decisions and implications for IEs via the usual channels.





Thank You



ADAPTATION FUND

Readiness Team at the Adaptation Fund

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