



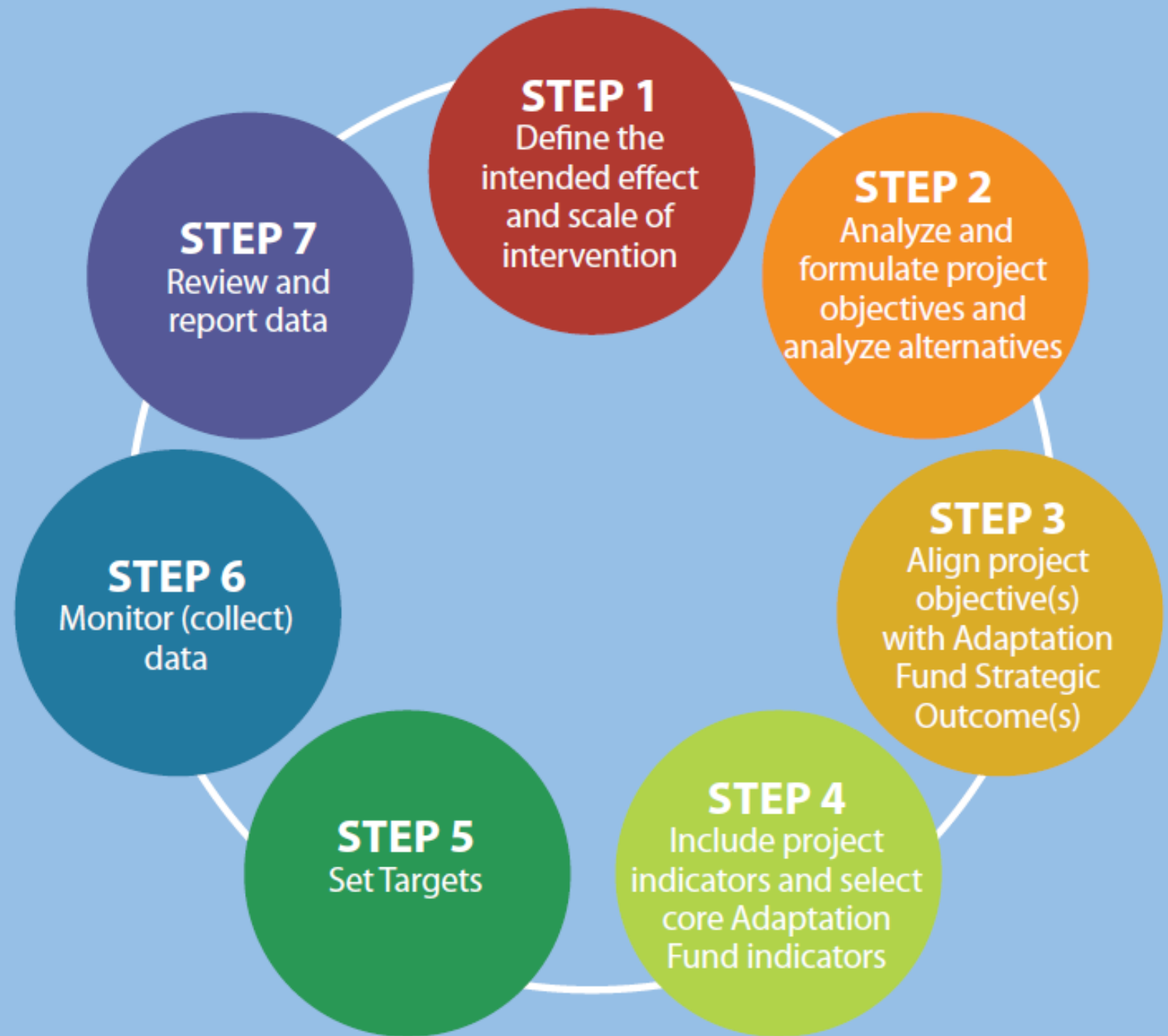
**ADAPTATION FUND**

# **AF Results Based Management system**

Saliha Dobardzic, Senior Climate Change Specialist  
UNFCCC Adaptation Committee  
Tokyo, July 25, 2018

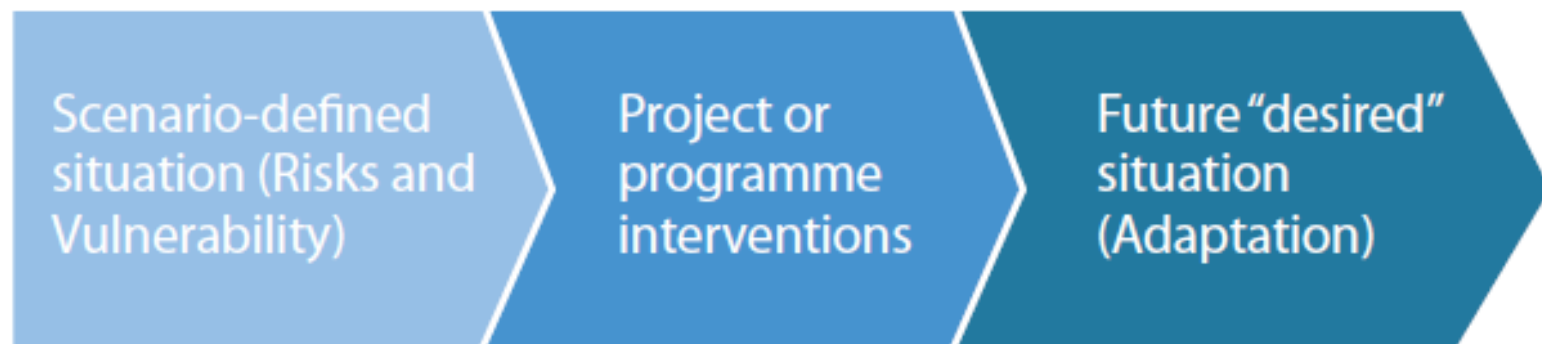


# 7 Stages for framing a project/ programme proposal



# STEP 1

## Define the intended effect and scale of interventions



To define the intended effects and scale interventions, project proponents would need to:

- ▶ Draft the project's goal; and
- ▶ Define the level and timeframe of the intervention (adaptation projects can be implemented at the community, national, and transboundary level).



## Analyze and formulate project objectives and analyze alternatives

As part of project planning, clarify the adaptation project's objectives by defining precise and measurable. Use the project logical framework to conceptualize a project's strategies and objectives.

- ▶ Involve stakeholders and partners in the process to generate agreement on objectives, outcomes, outputs, and activities, as well as other elements.
- ▶ Assess context and actors (contextual data) as part of the analysis of risks or assumptions since this will also influence achievement of results (see below).
- ▶ Use the resulting log frame and its elements as a flexible tool rather than a permanent map of interventions and results.

# STEP 3

## Align project objective(s) with Adaptation Fund Strategic Outcome(s)

### Example 1 : Micronesia (SPREP Project)

PROJECT OBJECTIVE	PROJECT OBJECTIVE INDICATOR	FUND OUTCOME	FUND OUTCOME INDICATOR
Project Objective 1: Prepare the necessary institutional and regulatory frameworks, policies, guidance and tools to help deliver a climate resilient FSM	Number of institutional, regulatory and planning policies, frameworks and tools introduced to implement climate resiliency for all FSM States	Outcome 2 Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses Outcome 7. Improved policies and regulations that promote and enforce resilience measures	2.1 No. and type of targeted institutions with increased capacity to minimize exposure to climate variability risks 7.2. No. or targeted development strategies with incorporated climate change priorities enforced
Project Objective 2: Strengthen water and livelihood security measures to help 6 outer atoll islands adapt to impacts of climate change related to water, health and sanitation	Number of risk-exposed communities in Yap, Pohnpeia nd Chuuk protected through adaptation measures	Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level Outcome 4: Increased adaptive capacity within relevant development and natural resource sectors	3.2. Modification in behavior of targeted population 4.1. Development sectors' services responsive to evolving needs from changing and variable climate
Project Objective 3: Provide communities with climate resilient infrastructure to help relocate from high risk coastal inundation sites.	Length of climate-resilient infrastructure (road, power lines, water mains, telecommunication lines) constructed	Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses Outcome 4: Increased adaptive capacity within relevant development and natural resource sectors	2.2. Number of people with reduced risk to extreme weather events 4.2. Physical infrastructure improved to withstand climate change and variability-induced stress

**STEP**  
**4**

## Include project indicators and select core Adaptation Fund indicators

### Example 2(a): India (NABARD)

<b>ADAPTATION FUND CORE IMPACT INDICATOR "NUMBER OF BENEFICIARIES"</b>				
<b>PROJECT TITLE</b>	<b>BUILDING ADAPTIVE CAPACITIES OF COMMUNITIES, LIVELIHOODS AND ECOLOGICAL SECURITY IN THE KANHA-PENCH CORRIDOR OF MADHYA PRADESH</b>			
	<b>BASELINE (ABSOLUTE NUMBER)</b>	<b>TARGET AT PROJECT APPROVAL (ABSOLUTE NUMBER)</b>	<b>ADJUSTED TARGET FIRST YEAR OF IMPLEMENTATION (ABSOLUTE NUMBER)</b>	<b>ACTUAL AT COMPLETION<sup>6</sup> (ABSOLUTE NUMBER)</b>
Direct beneficiaries supported by the project	0	21,220		
Female direct beneficiaries	0	10,610		
Youth direct beneficiaries	0	5,000		
Indirect beneficiaries supported by the project	0	32,292		
Female Indirect beneficiaries	0	16,027		
Youth Indirect beneficiaries	0	8,000		

Example 4: Fiji (UN-Habitat)

STEP  
6

Monitor (collect) data

EXPECTED RESULT	INDICATORS	BASE-LINE DATA	TARGETS	RISKS & ASSUMPTIONS	DATA COLLECTION METHOD	FREQUENCY	RESPONSIBILITY
<b>PROJECT OBJECTIVE:</b> Increase the resilience of informal urban settlements in Fiji that are highly vulnerable to climate change and disaster risks							
<b>PROJECT COMPONENT 2: Local (community/informal settlements) resilience strengthening</b>							
<b>Outcome 2</b> Strengthened awareness and ownership of adaptation and climate risk reduction processes and capacity at the community level with particular emphasis on women, youth, older people and other people in vulnerable situations	Percentage of targeted population aware of predicted adverse impacts of climate change, and of appropriate responses – disaggregated by gender and age (AF Indicator 3.1.)		Mid term: 30 % End: 50 % At least 50% women	Community members actively engage in the programme	Active engagement in action planning – to be recorded in community consultations	Baseline, mid-term and end	Executing entities
<b>Output 2.1:</b> Assessment and planning tool for community vulnerability assessment and action planning developed	No. and type of risk reduction actions or strategies introduced at local level (AF Indicator 3.1.1.) – number of assessment and planning tools developed	0	1	Tool is appropriate for use by community facilitators and will result in wideranging data helping to assess exposure, sensitivity and adaptive capacity in an age, gender disaggregated manner	Project data base and generated reports	Baseline, mid-term and end	Executing entities and UN-Habitat
<b>Output 2.2:</b> Community-based climate vulnerability and informal settlements assessments, including hazard maps, conducted, in target informal settlements	No. and type of risk reduction actions or strategies introduced at local level.  (AF Indicator 3.1.1.) – number of assessments conducted. The assessments will look at gender differentiated vulnerabilities to climate risks	0	16	Community assessments are fully reflecting climate change impact and adaptive capacity and are of relevance to local government and communities	Review of community based assessments information collected will be gender-disaggregated	Baseline, mid-term and end	UN-Habitat
<b>Activities</b> 2.1.1 Develop assessment and planning tool.  2.2.1 Conduct community-based climate vulnerability assessments in identified informal settlements.							



## Review and report data

### Example 5: Antigua and Barbuda (ABED)

M&E ACTIVITY	FREQUENCY	RESPONSIBILITY	COST (USD)
Project Inception Workshop	At start of project	Project Management Unit (PMU), Technical Advisory Committee (TAC)	USD
Inception Report	At start of project	Project Manager/Project Coordinator and the PMU	None (Included In workshop cost)
Measurement of project Indicators (outcome, progress and performance indicators) including baseline data collection	At start of project	PMU	USD
ESS Risk Updates and Community Consultations, which are captured In the Project Manager Progress Reports	Quarterly	PMU, with review of the TAC and approval of the PMC	USD
Annual Project Report/Project Performance Report (PPR) Including field visits and workshops	Annually	PMU, TAC, M&E Coordinator	USD
Loan Board, Project Management Committee (PMC) and Audit subcommittee meetings	Quarterly	PMC (PMU serves as the Secretariat)	USD/Year
Technical Advisory Committee (TAC) and TEC sub-committee meetings	Quarterly	TAC (PMU serves as the Secretariat)	USD/Year
Mid-term Independent evaluation	At project mid-point	M&E Coordinator	USD
Terminal Independent Project Evaluation	End of project	M&E Coordinator, TAC, PMU	USD
Publication of Lessons Learnt and other project documents	End of project	Project Manager, Project Coordinator and PMU	USD
Total			USD



# Theory of Change derived from the Agenda for Sustainable Development & Paris Agreement

**Goal:** A world free of poverty, hunger, disease and want, where all life can thrive

**Impact:** People, livelihoods and ecosystems are adequately protected from the adverse impacts of climate change

**Adaptation outcome:** Adaptive capacity enhanced, resilience strengthened and the vulnerability of people, livelihoods and ecosystems to climate-change reduced (Article 7 & SDG13.1)

**Mitigation outcome:** Global average temperature increase held to well below 2°C (Article 2)

**Adaptation outputs:**

- Climate change impacts and vulnerability assessed with a view to formulating nationally determined priority actions
- Adaptation actions implemented
- National adaptation plans formulated and implemented
- Adaptation plans, programmes and policies monitored, evaluated and learned from
- Information, good practices, experiences and lessons learned shared
- Institutional arrangements to support the synthesis of relevant information and knowledge strengthened and technical support/guidance provided to Parties
- Scientific knowledge to inform climate services and decision-making strengthened
- Developing country Parties assisted to identify effective adaptation practices, needs, priorities, and they are receiving support (including through Direct Access) for adaptation actions and efforts so as to encourage good practices
- The effectiveness and durability of adaptation actions are improved
- Climate change measures mainstreamed in national policies, strategies and planning

**Intermediate outcome:** GHG emissions reduced (Article 4)

**Intermediate outcome:** GHG sinks & reservoirs enhanced (Article 5)

**Mitigation output:**

- Domestic mitigation measures pursued in line with achieving Nationally Determined Contributions
- Developing country Parties provided with support to implement, monitor and report emissions reductions
- Nationally Determined Contributions regularly communicated and progress accounted for
- Mechanism established to facilitate internationally transferred mitigation outcomes while fostering sustainable development

**Cross-cutting outputs:**

- Efficient access to financial resources through simplified approval procedures and enhanced readiness support for developing country Parties, in particular for the least developed countries and small island developing States, ensured (Article 9 of the Paris Agreement & SDG13.a)
- Co-operative action taken on technology development & transfer and accelerating, encouraging and enabling innovation for an effective, long-term global response to climate change (Article 10)
- Capacity-building provided to take effective action, especially in LDCs and SIDS (Article 11 & SDG 13.b)
- Climate change education, training, public awareness, public participation and public access to information enhanced (Article 12 & SDG 13.3)
- Transparent framework for action and support established (Article 13)
- Collective progress towards long-term goals assessed (Article 14)
- Compliance with the provisions of the Paris Agreement facilitated and promoted (Article 15)

A vertical split image of a sunset sky. The top half is a clear, vibrant blue, while the bottom half is a warm, golden-orange with soft, wispy clouds. The text 'Thank you' is centered in a clean, white, sans-serif font.

Thank you