



ADAPTATION FUND

# Results Based Management and Strategic Results Framework in the Adaptation Fund

3<sup>rd</sup> Workshop under the Glasgow-Sharm el-Sheikh Work Programme on the Global Goal on Adaptation (17-18 October 2022)

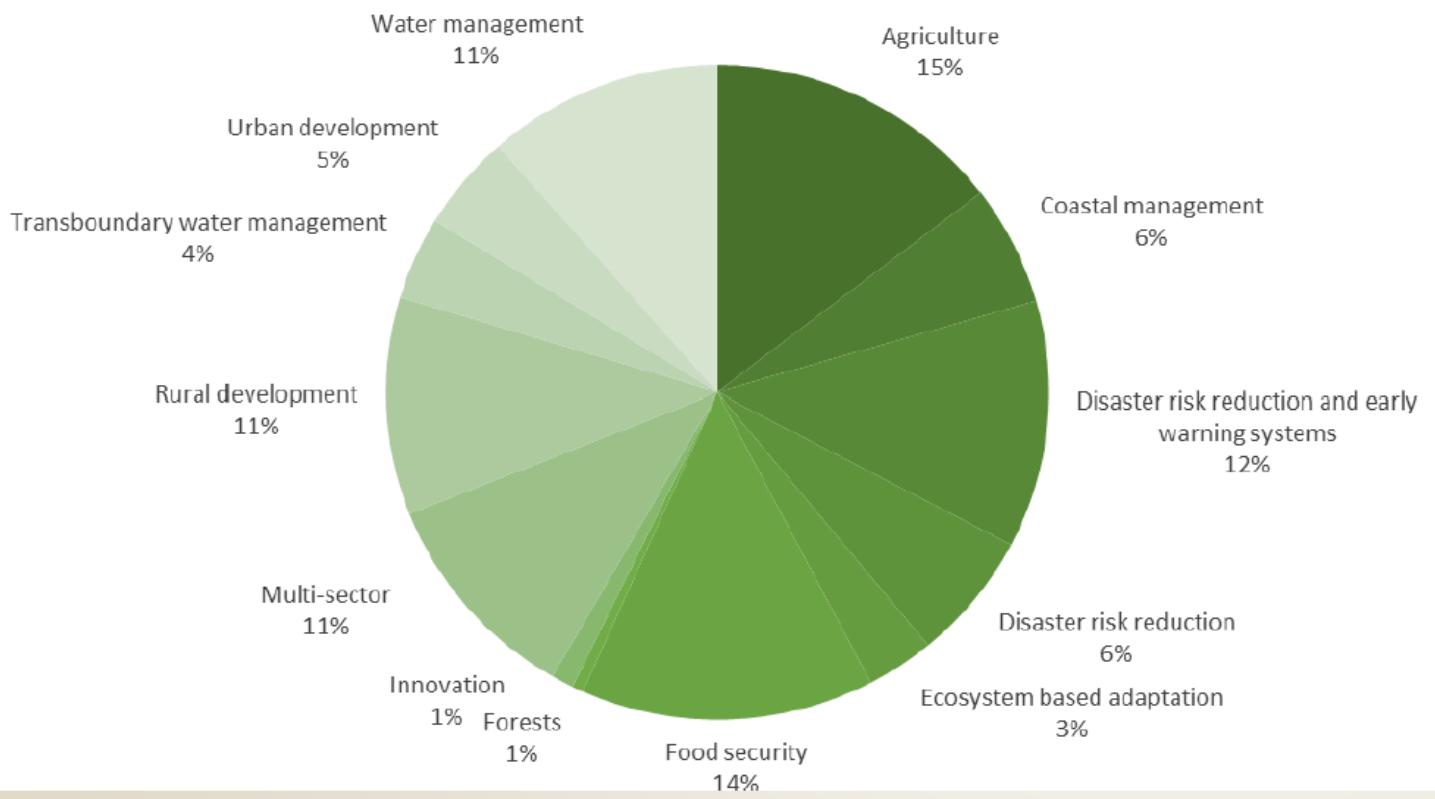
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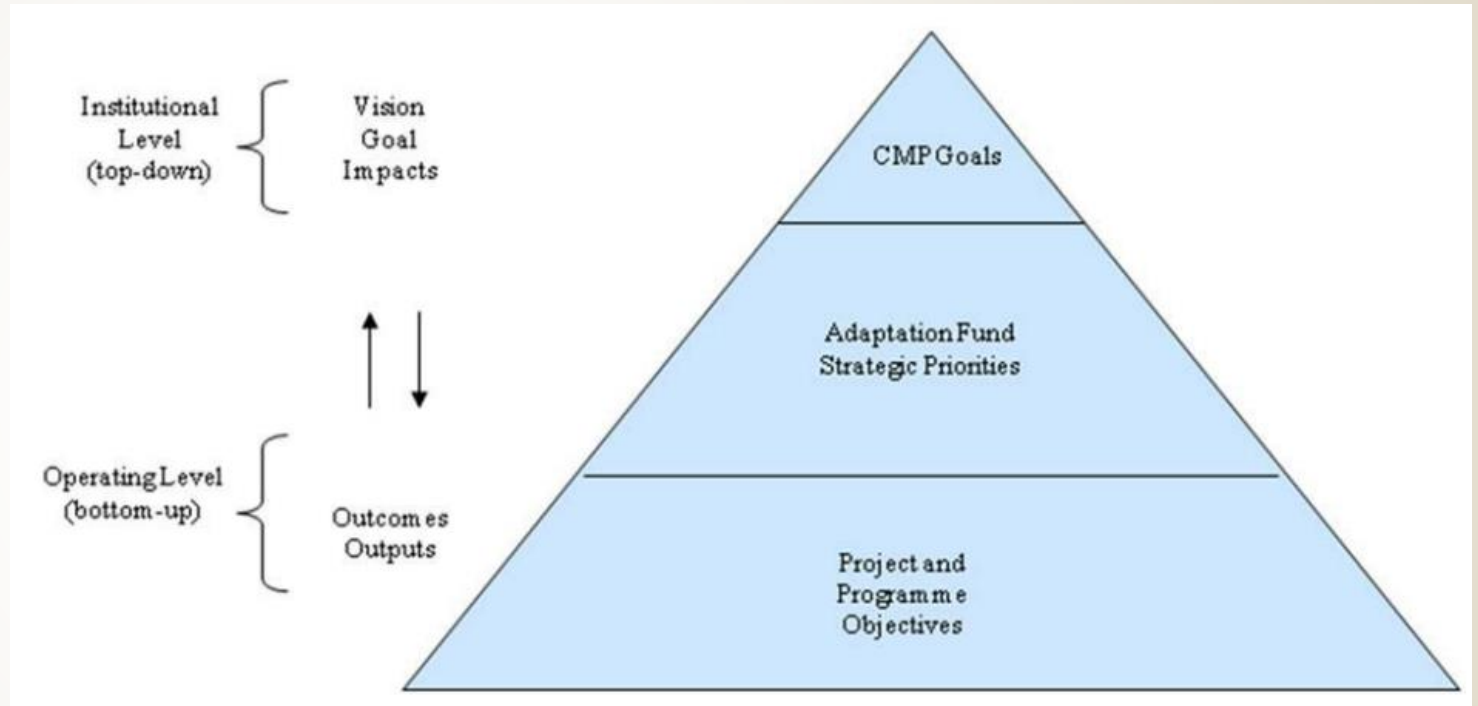
REGION	Total		
	Projects (no.)	Grant US\$ millions	% of total portfolio
Africa	49	386.94	42
Asia-Pacific	46	260.96	28
Eastern Europe	6	29.8	3
Latin America & the Caribbean	29	235.76	26
Multi <sup>8</sup>	2	10.0	1
<b>TOTAL</b>	<b>132</b>	<b>923.46</b>	<b>100</b>



# Fund Overall Portfolio

# Results Based Management Approach

- The current RBM approach operates at **three main levels**:
- Conference of Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) and the Paris Agreement (CMA);
- Portfolio (Fund-level);
- Projects/ Programme level



► The Adaptation Fund Board reports to the CMP and CMA through its annual reports; link: <https://unfccc.int/Adaptation-Fund>

► Guidance received from CMA - Decision 13/CMA.3:

Request the Adaptation Fund Board, in line with its existing mandate and decisions 1/CMP.3 and 1/CMP.4, to consider and provide an update on its activities and scope of support in relation to assisting developing country Parties to the Paris Agreement, including information on:

[..]

(c) Efforts to support the global goal on adaptation of enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change with a view to contributing to sustainable development and ensuring an adequate adaptation response in the context of the global temperature goal referred to in Article 2 of the Paris Agreement<sup>15</sup>; [..]

► The AFB has started considerations of how the Fund contributes to the Global Goal on Adaptation as part of its process for developing the Medium-Term Strategy 2023-2027 (approved by the Board at its 39<sup>th</sup> AFB meeting).

# Theory of Change of the Medium-Term Strategy (2023 – 2027)

## GOAL

People, livelihoods and ecosystems are adequately protected from the adverse impacts of climate change with their adaptive capacity enhanced, resilience strengthened, and vulnerability reduced in the context of climate-resilient and sustainable development.

## VISION

Developing country Parties are successfully enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change through inclusive and transparent processes consistent with their adaptation needs and priorities under the Paris Agreement.

## MISSION

The Adaptation Fund serves the Paris Agreement by accelerating effective adaptation action and efficient access to finance, including through direct access, to respond to the urgent needs and priorities of developing countries. The Fund does so by supporting country-driven adaptation projects and programmes, innovation, and learning with concrete results at the local level that can be scaled up.

## OUTCOMES: STRATEGIC PILLARS

Linkages and synergies between support for adaptation action, innovation and learning and sharing are enhanced

### CROSSCUTTING THEMES

All of the Fund's activities and processes are designed to:

-  Promote locally based or locally led adaptation
-  Enhance access to climate finance and long-term institutional capacity
-  Empower and benefit the most vulnerable people and communities as agents of change
-  Advance gender equality
-  Enable the scaling and replication of results
-  Strengthen complementarity, coherence and synergies with other adaptation funders and actors

### ACTION

Developing countries are supported in undertaking and accelerating high-quality, local-level and scalable adaptation projects and programmes that are aligned with their national adaptation strategies and processes

#### EXPECTED RESULTS

1. Vulnerability reduced, resilience strengthened, and adaptive capacity enhanced
2. Access to finance and institutional capacities enhanced
3. Evidence for effective action generated and results scaled up

### INNOVATION

Modalities for funding the development and diffusion of innovative adaptation practices, tools and technologies are expanded and risk-taking is encouraged

#### EXPECTED RESULTS

1. New innovations and risk-taking encouraged and accelerated
2. Successful innovations replicated and scaled up
3. Access and capacities enhanced for designing and implementing innovation
4. Evidence base generated and shared

### LEARNING & SHARING

Knowledge and evidence on effective and innovative adaptation action and finance, including local and indigenous knowledge, is generated and disseminated with various stakeholders for application

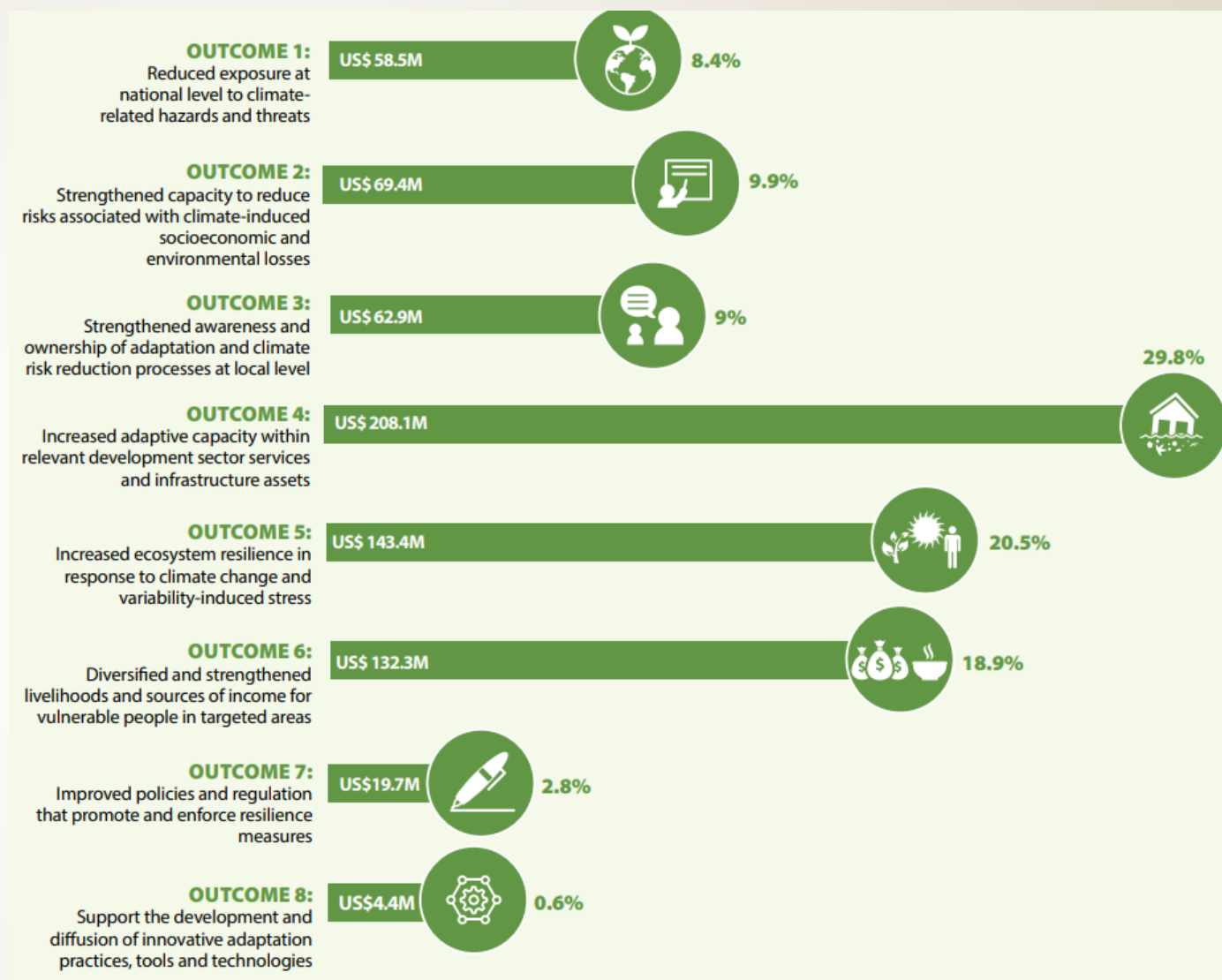
#### EXPECTED RESULTS

1. Knowledge generation and dissemination of learning on effective, innovative and local adaptation increased and expanded
2. Capacity to capture and disseminate learning strengthened
3. Knowledge partnerships expanded and outreach increased

# Investments at Fund Level Strategic Results Framework level

➔ **Goal:** Assist developing country Parties to the KP and the PA 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 at the community, national, and regional levels to climate variability and change.



Figures up to 30 June 2022

# Fund Level Strategic Results Framework Outcome 1- 3

EXPECTED RESULTS	INDICATORS
<b>Outcome 1: Reduced exposure to climate-related hazards and threats</b>	1. Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis
Output 1.1: Risk and vulnerability assessments conducted and updated	1.1. No. of projects/programmes that conduct and update risk and vulnerability assessments (by sector) 1.2 No. of early warning systems (by scale) and no. of beneficiaries covered (nd scale)
Output 1.2: Targeted population groups covered by adequate risk reduction systems	1.2.1. Percentage of target population covered by adequate risk-reduction systems
<b>Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses</b>	2.1. Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased
Output 2.1: Strengthened capacity of national and sub-national centers and networks to respond rapidly to extreme weather events	2.1.1. No. of staff trained to respond to, and mitigate impacts of, climate-related events (by gender) 2.1.2 No. of targeted institutions with increased capacity to minimize exposure to climate variability risks (by type, sector and scale)
Output 2.2: Increased readiness and capacity of national and sub-national entities to directly access and program adaptation finance	2.2.1 No. of targeted institutions benefitting from the direct access and enhanced direct access modality
<b>Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level</b>	3.1. Percentage of targeted population aware of predicted adverse impacts of climate change, and of appropriate responses 3.2. Percentage of targeted population applying appropriate adaptation responses
Output 3.1: Targeted population groups participating in adaptation and risk reduction awareness activities	3.1.1 No. of news outlets in the local press and media that have covered the topic
Output 3.2: Strengthened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning	3.2.1 No. of technical committees/associations formed to ensure transfer of knowledge 3.2.2 No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders

# Fund Level Strategic Results Framework Outcome 4 - 7

EXPECTED RESULTS	INDICATORS
<p><b>Outcome 4: Increased adaptive capacity within relevant development sector services and infrastructure assets</b></p> <p>Output 4: Vulnerable development sector services and infrastructure assets strengthened in response to climate change impacts, including variability</p>	<p>4.1. Responsiveness of development sector services to evolving needs from changing and variable climate</p> <p>4.2. Physical infrastructure improved to withstand climate change and variability-induced stress</p> <p>4.1.1. No. and type of development sector services modified to respond to new conditions resulting from climate variability and change (by sector and scale)</p> <p>4.1.2. No. of physical assets strengthened or constructed to withstand conditions resulting from climate variability and change (by sector and scale)</p>
<p><b>Outcome 5: Increased ecosystem resilience in response to climate change and variability induced stress</b></p> <p>Output 5: Vulnerable ecosystem services and natural resource assets strengthened in response to climate change impacts, including variability</p>	<p>5. Ecosystem services and natural resource assets maintained or improved under climate change and variability-induced stress</p> <p>5.1. No. of natural resource assets created, maintained or improved to withstand conditions resulting from climate variability and change (by type and scale)</p>
<p><b>Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas</b></p> <p>Output 6: Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability</p>	<p>6.1 Percentage of households and communities having more secure access to livelihood assets</p> <p>6.2. Percentage of targeted population with sustained climate-resilient alternative livelihoods</p> <p>6.1.1.No. and type of adaptation assets (tangible and intangible) created or strengthened in support of individual or community livelihood strategies</p> <p>6.2.1. Type of income sources for households generated under climate change scenario</p>
<p><b>Outcome 7: Improved policies and regulations that promote and enforce resilience measures</b></p> <p>Output 7: Improved integration of climate-resilience strategies into country development plans</p>	<p>7. Climate change priorities are integrated into national development strategy</p> <p>7.1. No. of policies introduced or adjusted to address climate change risks (by sector)</p> <p>7.2. No. of targeted development strategies with incorporated climate change priorities enforced</p>




Following Board Decision B.38/43, a revised outcome 8 and associated outputs of the Strategic Results Framework (SRF) was approved (document [AFB/PPRC.29/44](#)).

**Outcome 8: Support the development and diffusion of innovative adaptation practices, tools and technologies**

8.1 No. of new, adapted or improved adaptation solutions developed contextually and with the inclusion of the communities most vulnerable to climate change

8.2 No. of key findings on effective, efficient adaptation practices, products, and technologies generated and/or “learning and sharing” innovation initiatives undertaken

8.3 No. of individuals or organizations (disaggregated by gender) that submit an application to an innovation competition or challenge



Fund Level Strategic Results Framework- Outcome 8 updated (October 2021)

[Guidance to IEs for the Application of Innovation Indicators: https://www.adaptation-fund.org/wp-content/uploads/2022/03/AFB.PPRC\\_29.44-Guidance-to-IEs-for-inclusion-of-objectives-and-Indicators-for-Innovation.pdf](https://www.adaptation-fund.org/wp-content/uploads/2022/03/AFB.PPRC_29.44-Guidance-to-IEs-for-inclusion-of-objectives-and-Indicators-for-Innovation.pdf)

# Core Impact Indicators


Core Indicators
Number of beneficiaries (direct and indirect) – <i>overarching</i>
Number of Early Warning Systems ( <i>linked to output 1.2</i> )
Assets produced, developed, improved, or strengthened ( <i>linked to outcome 4</i> )
Increased income, or avoided decrease in income ( <i>linked to output 6</i> )
Natural assets protected or rehabilitated ( <i>linked to output 5</i> )



Fund Level  
Strategic  
Results  
Framework


# Core Impact Indicators

**IMPACT 1:**  
Reduction in vulnerability of communities and increased adaptive capacity of communities to respond to the impacts of climate change



10.65 million  
DIRECT BENEFICIARIES

25.27 million  
INDIRECT BENEFICIARIES



516  
EARLY WARNING SYSTEMS

**IMPACT 2:**  
Strengthened policies that integrate climate resilience strategies into local and national plans



99  
POLICIES INTRODUCED OR ADJUSTED TO ADDRESS CLIMATE CHANGE RISKS  
Includes any policy whether at the local, regional or national level

**IMPACT 3:**  
Increased ecosystem resilience in response to climate change induced stresses



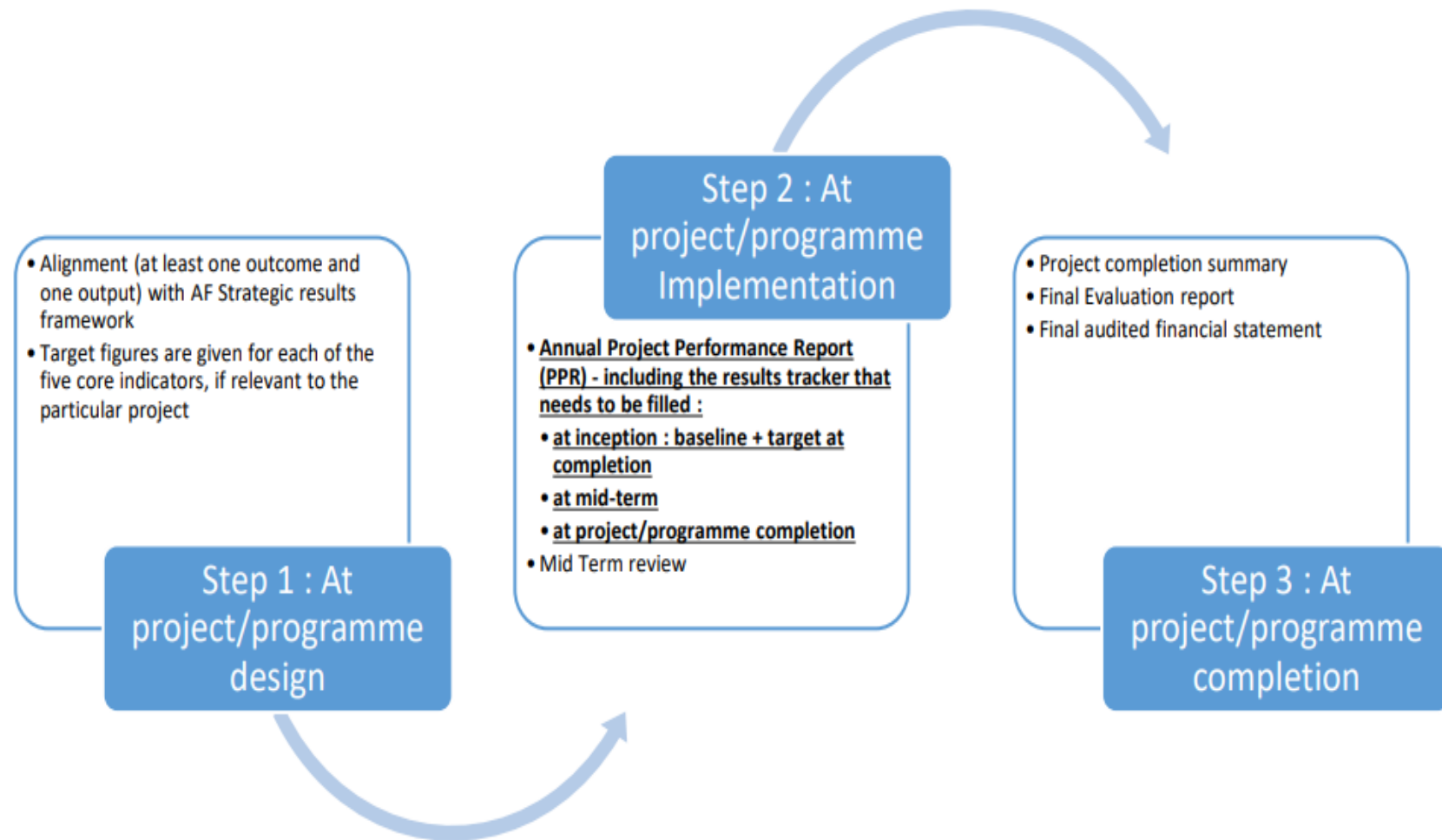
575,699 ha  
HA OF NATURAL HABITATS CREATED, PROTECTED OR REHABILITATED RESTORED




162,275 m  
M OF COASTLINE PROTECTED



Aggregated core indicators as of 30 June 2022



Adaptation  
Fund Results  
Based  
Management  
System



## How does the results tracker fit into the RBM procedures of the AF?

The **results tracker** is an integral part of the Project Performance Reports (PPR) that AF-funded projects/programmes have to submit annually to the AF Secretariat, for the disbursement of the next tranches of funding.

The results tracker fits within a broader series of reporting requirements that projects have to comply with, as per the Fund's Results Based Management and Monitoring and Evaluation policies.

### Project design stage:

The project-level results be aligned at least with one outcome and one output of the AF SRF and to two core impact indicators.

### Project implementation:

PPR submitted on an annual basis includes a results tracker which needs to be filled:

- (i) at inception
- (ii) at mid-term
- (iii) at project completion

### Project completion:

Each project should provide a final PPR, project completion summary, final evaluation report and audited financial statement.



## RBM Guiding Documents and Policies


- ▶ Strategic Results Framework (amended in 2019): <https://www.adaptation-fund.org/wp-content/uploads/2019/10/Adaptation-Fund-Strategic-Results-Framework-Amended-in-March-2019-2.pdf>
- ▶ Results Tracker Guidance Document: [https://www.adaptation-fund.org/wp-content/uploads/2019/10/Results-Tracker-Guidance-Document-Updated\\_July-2019.pdf](https://www.adaptation-fund.org/wp-content/uploads/2019/10/Results-Tracker-Guidance-Document-Updated_July-2019.pdf)
- ▶ Methodologies for Reporting Adaptation Fund Core Indicators: <https://www.adaptation-fund.org/wp-content/uploads/2016/04/AF-Core-Indicator-Methodologies.pdf>
- ▶ Annual Performance Report for FY2022: [https://www.adaptation-fund.org/wp-content/uploads/2022/09/AFB.EFC\\_30.3-Annual-Performance-Report-for-FY22\\_final-1.pdf](https://www.adaptation-fund.org/wp-content/uploads/2022/09/AFB.EFC_30.3-Annual-Performance-Report-for-FY22_final-1.pdf)

# Thank You



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