

# Results Tracker Guidance Document

This guidance document will help implementing entities of the Adaptation Fund (AF) to complete the results tracker, as part of their reporting requirements. The results tracker is a reporting tool included in the Project Performance Report template (<http://www.adaptation-fund.org/projects-programmes/project-performance/>) requested annually by any AF-funded projects/programme. This guidance document is structured as follows:

- Section 1: Overview of the results tracker;
- Section 2: Context of the results tracker within the Fund's RBM system;
- Section 3: Structure of the tracker and how to fill the necessary information;
- Section 4: Frequently asked questions about the use of the Excel file.

## **Section 1: Overview of the Adaptation Fund Results Tracker**

The Adaptation Fund's results tracker is a core part of the annual Project Performance Report (PPR) that AF-funded projects/programmes have to submit to the secretariat yearly. The AF Board uses the PPR to make decisions on disbursing tranches of funding.

The results tracker allows the Adaptation Fund to track specific indicators across its portfolio. It includes indicators from both (i) the Adaptation Fund Strategic Results Framework, and (ii) the Fund's five core indicators.

- (i) The Adaptation Fund Strategic Results Framework includes long-term goal, outcome, outputs, and a small set of indicators for the Fund as a whole. The AF works toward the achievement of the overall goal and outcomes. Consequently, any project or programme funded through the AF must align with the Fund's results framework and directly contribute to the Fund's overall objective and outcomes. The Fund's strategic results framework guidance document is available online at <https://www.adaptation-fund.org/wp-content/uploads/2015/01/AF-FinalDraftGuidance-wimpactproposal-10March11.pdf>. This framework has been slightly amended (see AFB/EFC.13/4: [http://www.adaptation-fund.org/wp-content/uploads/2015/01/AFB.EFC\\_.13.4%20Results%20Tracking.pdf](http://www.adaptation-fund.org/wp-content/uploads/2015/01/AFB.EFC_.13.4%20Results%20Tracking.pdf)). The latest version of the framework is summarized in Table 1 below.

### **This document:**

- Briefly explains the Adaptation Fund's results tracker tool that is part of the Project Performance Report (PPR) template;
- Explains how the tracker fits into the Fund's RBM procedures;
- Clarifies when and how the results tracker needs to be completed;
- Provides practical tips for using the Results tracker;
- Complements rather than replaces the existing M&E-related guidelines (i.e. results framework and baseline guidance – project level (<http://www.adaptation-fund.org/wp-content/uploads/2015/01/Results%20Framework%20and%20Baseline%20Guidance%20final%20compressed.pdf>), and core indicator methodologies (<https://www.adaptation-fund.org/wp-content/uploads/2016/04/AF-Core-Indicator-Methodologies.pdf>)).

### **This document does not:**

- Include the results tracker itself – please refer to the latest version of the PPR template: <http://www.adaptation-fund.org/projects-programmes/project-performance/>.

Table 1 : The Adaptation Fund Strategic Results Framework

Expected results	Indicators
<b>Goal:</b> Assist developing-country Parties to the Kyoto Protocol 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.	
<b>Impact:</b> Increased resiliency at the community, national, and regional levels to climate variability and change.	
<b>Outcome 1:</b> Reduced exposure to climate-related hazards and threats	1. Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis
<b>Output 1.1:</b> Risk and vulnerability assessments conducted and updated	1.1. No. of projects/programmes that conduct and update risk and vulnerability assessments (by sector and scale) 1.2 No. of early warning systems (by scale) and no. of beneficiaries covered
<b>Output 1.2:</b> 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:</b> Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses	2.1. Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased
<b>Output 2:</b> Strengthened capacity of national and sub-national centres 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)
<b>Outcome 3:</b> Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level	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
<b>Output 3:</b> Targeted population groups participating in adaptation and risk reduction awareness activities	3.1 No. of news outlets in the local press and media that have covered the topic
<b>Outcome 4:</b> Increased adaptive capacity within relevant development sector services and infrastructure assets	4.1. Responsiveness of development sector services to evolving needs from changing and variable climate 4.2. Physical infrastructure improved to withstand climate change and variability-induced stress
<b>Output 4:</b> Vulnerable development sector services and infrastructure assets strengthened in response to climate change impacts, including variability	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) 4.1.2. No. of physical assets strengthened or constructed to withstand conditions resulting from climate variability and change (by sector and scale)
<b>Outcome 5:</b> Increased ecosystem resilience in response to climate change and variability-induced stress	5. Ecosystem services and natural resource assets maintained or improved under climate change and variability-induced stress

<b>Output 5:</b> Vulnerable ecosystem services and natural resource assets strengthened in response to climate change impacts, including variability	5.1. No. of natural resource assets created, maintained or improved to withstand conditions resulting from climate variability and change (by type and scale)
<b>Outcome 6:</b> Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas	6.1 Percentage of households and communities having more secure access to livelihood assets
	6.2. Percentage of targeted population with sustained climate-resilient alternative livelihoods
<b>Output 6:</b> Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability	6.1.1.No. and type of adaptation assets (tangible and intangible) created or strengthened in support of individual or community livelihood strategies
	6.2.1. Type of income sources for households generated under climate change scenario
<b>Outcome 7:</b> Improved policies and regulations that promote and enforce resilience measures	7. Climate change priorities are integrated into national development strategy
<b>Output 7:</b> Improved integration of climate-resilience strategies into country development plans	7.1. No. of policies introduced or adjusted to address climate change risks (by sector)
	7.2. No. of targeted development strategies with incorporated climate change priorities enforced

- (ii) The AF five core indicators allow the Fund to aggregate quantitative indicators for a portfolio that is, by nature, diverse (including agriculture to water management, coastal management, rural development, food security, and Disaster Risk Reduction, among others). To increase transparency and demonstrate value, the Board has approved two impact-level results and five associated indicators to track under these impacts. These five indicators, summarized in Table 2 below, and their associated methodologies are available publicly at: (<https://www.adaptation-fund.org/wp-content/uploads/2016/04/AF-Core-Indicator-Methodologies.pdf>).

Table 2 : AF Core Indicators

Impact-level results	Core indicators
Increased adaptive capacity of communities to respond to the impacts of climate change	Number of beneficiaries (direct and indirect)
	Number of Early Warning Systems
	Assets produced, developed, improved, or strengthened
	Increased income, or avoided decrease in income
Increased ecosystem resilience in response to climate change-induced stresses	Natural assets protected or rehabilitated

The current results tracker is based on the Fund Strategic Results Framework and the five core indicators. It is an integral part of the Project Performance Report Excel template. This tracker includes most of the indicators from the strategic results framework and the five core indicators, with certain exceptions, as the approved “core” indicators already capture indicators in the strategic results framework. In fact:

- Indicators 1.2 and 1.2.1 from the Strategic Results Framework are captured under the core indicator 1.2 included in the tracker;
- Indicators 4.2 and 4.1.2 from the Strategic Results Framework are captured under the core indicator 4.2 included in the tracker;

- Indicator 5.1 from the Strategic Results Framework is captured under the core indicator 5.1 included in the tracker;
- Indicator 6.2.1 from the Strategic Results Framework is captured under the core indicator 6.1.2 included in the tracker.

The list of indicators that are included in the results tracker are summarized in Table 3.

*Table 3 : List of the Indicators Included in the Results Tracker*

<b>Indicators from the results tracker</b>
Core Indicator: No. of beneficiaries
Indicator 1: Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis
Indicator 1.1: No. of projects/programmes that conduct and update risk and vulnerability assessments
Core Indicator 1.2: No. of Early Warning Systems
Indicator 2: Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased
Indicator 2.1.1: No. of staff trained to respond to, and mitigate impacts of, climate-related events
Indicator 2.1.2: No. of targeted institutions with increased capacity to minimize exposure to climate variability risks
Indicator 3.2: Increase in application of appropriate adaptation responses
Indicator 3.1: Percentage of targeted population awareness of predicted adverse impacts of climate change, and of appropriate responses
Indicator 4.1: Increased responsiveness of development sector services to evolving needs from changing and variable climate
Core Indicator 4.2: Assets produced, developed, improved or strengthened
Indicator 4.1.1: No. and type of development sector services to respond to new conditions resulting from climate variability and change
Indicator 5: Ecosystem services and natural resource assets maintained or improved under climate change and variability-induced stress
Core Indicator 5.1: Natural assets protected or rehabilitated
Indicator 6.1: Increase in households and communities having more secure access to livelihood assets
Indicator 6.2: Increase in targeted population's sustained climate-resilient alternative livelihoods
Indicator 6.1.1: No. and type of adaptation assets created or strengthened in support of individual or community livelihood strategies
Core Indicator 6.1.2: Increased income, or avoided decrease in income
Indicator 7: Climate change priorities are integrated into national development strategy
Indicator 7.1: No. of policies introduced or adjusted to address climate change risks
Indicator 7.2: No. of targeted development strategies with incorporated climate change priorities enforced

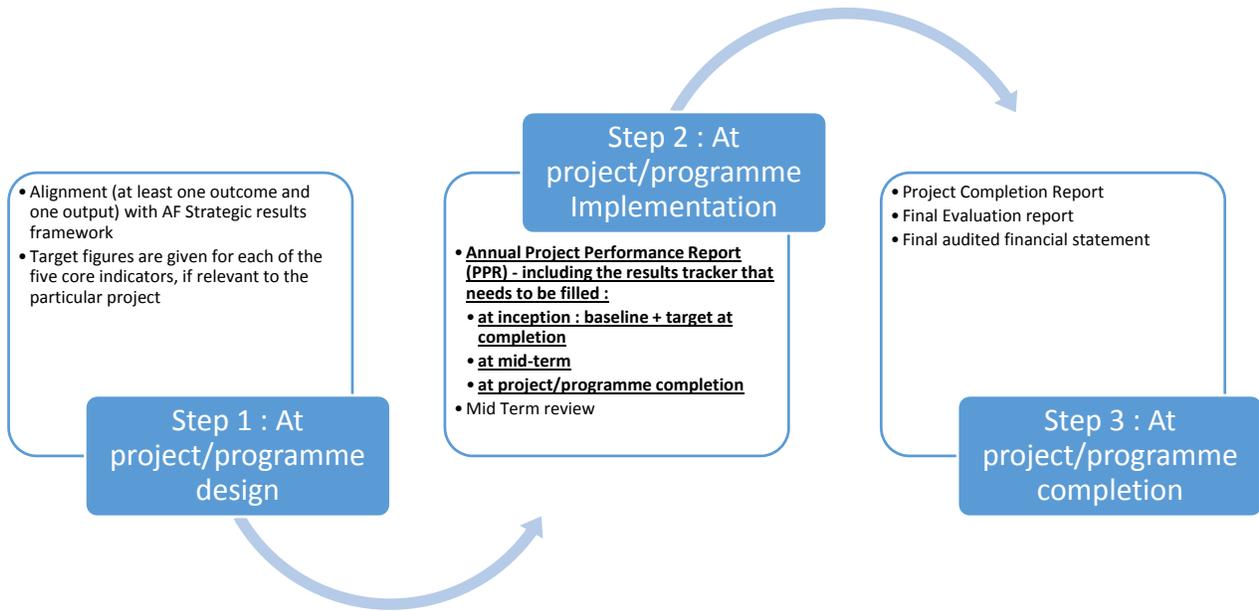
## ***Section 2: How does the results tracker fit into the RBM procedures of the AF?***

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, and upon which the AF Board decides to disburse 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. These requirements are summarized in Figure 1 below, and can be synthesized as follow:

- Step 1: During project/programme design, the project-level results framework should reflect outputs/outcomes included in the AF Strategic Results Framework. In particular, project/programme proponents should:
  - o Fill the table “*Alignment of Project Objectives/Outcomes with Adaptation Fund Results Framework*”(<https://www.adaptation-fund.org/page/results-framework-alignment-table>), and submit it to the Board as part of the project/programme proposal. Not every project/programme outcome will align directly with the Fund's framework but at least one outcome and output indicator from the Framework must be included at the project design stage. In addition, project specific indicators would also be selected to reflect country specific objectives and reporting requirements.
  - o Provide indicative target figures for each of the five core indicators that are relevant to the particular project.
  
- Step 2: Once the project/programme is approved and the first funds allocated, proponents should monitor projects continually, and:
  - o Submit a PPR each year to chart progress. The PPR includes, among others, information related to financial data, procurement, risk assessment, rating, project indicators, lessons learned. In addition, it includes the results tracker that needs to be filled:
    - at inception : baseline-related information needs to be submitted, as well as planned targets at project/programme completion;
    - at mid-term;
    - at project/programme completion.
  - o For projects over three years in duration, perform a mid-term evaluation
  
- Step 3: At project/programme completion, each project/programme should provide:
  - o final PPR that would serve as a project completion report;
  - o final evaluation report;
  - o final audited financial statements.

These different requirements are summarized in Figure 1 below. The requirements vis-à-vis the results tracker are underlined in this figure.

Figure 1 : AF M&E Procedures



### Section 3: How to Complete the Results Tracker

The Excel spreadsheet is composed of three different sections (see Figure 2 below):

Figure 2 : Overall Structure of the Results Tracker

**BANNER**

Results Tracker for Adaptation Fund (AF) Projects

**INTRODUCTION FRAME**

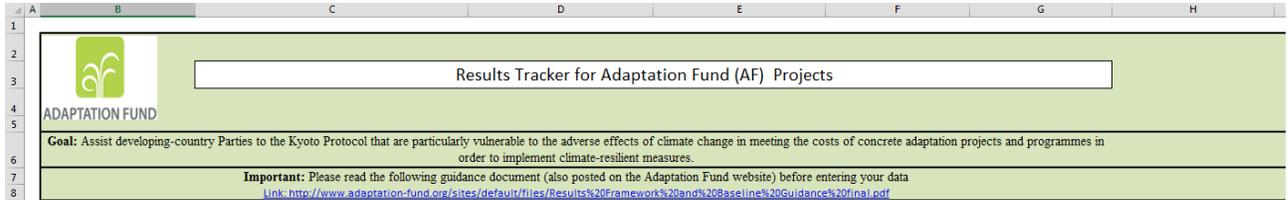
**INDICATOR TABLES**

Indicator	Baseline information			Target performance at completion			Performance at mid-term
	Period (Month - Quarter)	Baseline beneficiaries	Baseline beneficiaries supported by the project	Period (Month - Quarter)	Target beneficiaries	Target beneficiaries supported by the project	
Impact: Increased resilience in the community, national, and regional levels to climate hazards and threats	Total			Total			
Core Indicator: No. of beneficiaries	% of female beneficiaries			% of female beneficiaries			% of female beneficiaries
	% of youth beneficiaries			% of youth beneficiaries			% of youth beneficiaries
Outcome 1 Reduced exposure to climate-related hazards and threats	Baseline information			Target performance at completion			Performance at mid-term
Indicator 1 Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis	Number of targeted stakeholders	Relevant information generated and disseminated	Overall effectiveness	Number of targeted stakeholders	Relevant information generated and disseminated	Overall effectiveness	Number of targeted stakeholders
	Total			Total			Total

It is made of the following three sub-sections:

- A large green **banner** (see figure 3 below) that include basics instructions about the tracker, and gives a link to the appropriate guidance document (see screenshot below);

Figure 3: The Results Tracker Banner



- A green and orange **introduction frame** (see Figure 4) that requires project/programme-related information, namely project ID, implementing entity, type of Implementing entity, country, region, sector;

Figure 4: The Introduction Frame

11	
12	Project ID
13	Implementing Entity
14	Type of implementing entity
15	Country
16	Region
17	Sector
18	

- A series of green and orange **indicator tables** (see Figure 5) that include the different indicators listed in Table 3, Section 1 of this document. Columns B and C list the indicators, whereas columns D to G request baseline-related information (to be filled at project/programme inception), H to K request targets at completion (to be filled at project/programme inception), L to O request performance at mid-term, and P to S request performance at completion.

Figure 5: The Indicators Tables

		Baseline information			Target performance at completion					
		Total (direct + indirect beneficiaries)	Direct beneficiaries supported by the project	Indirect beneficiaries supported by the project	Total (direct + indirect beneficiaries)	Direct beneficiaries supported by the project	Indirect beneficiaries supported by the project			
19	Impact: Increased resilience at the community, national, and regional levels to climate variability and change	Core Indicator: No. of beneficiaries	Total	% of female beneficiaries	% of youth beneficiaries	Total	% of female beneficiaries	% of youth beneficiaries		
20										
21										
22										
23										
24										
25										
26	Outcome 1: Reduced exposure to climate-related hazards and threats	Indicator 1: Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis	Number of targeted stakeholders	Hazards information generated and disseminated	Overall effectiveness	Number of targeted stakeholders	Hazards information generated and disseminated	Overall effectiveness		
27			Total	% of female targeted	Total	% of female targeted				
28										
29	Output 1.1: Risk and vulnerability assessments conducted and updated	Indicator 1.1: No. of projects/programmes that conduct and update risk and vulnerability assessments	No. of projects/programmes that conduct and update risk and vulnerability assessments	Sector	Scale	Status	No. of projects/programmes that conduct and update risk and vulnerability assessments	Sector	Scale	Status

Orange fields should be filled out by the Implementing Entities. They may include drop-down lists, normal cells where qualitative/quantitative information can be entered, and cells where “data validation” is in place (and in which values can be restricted to a range of numbers, a percentage, or a specific quantitative

measure, for instance). When hovering and clicking on orange cells, some input messages may guide the user to what action is expected from him/her.

## **Section 4: Frequently Asked Questions**

### **General questions about the tracker**

#### **Where can I find the Results Tracker?**

The results tracker is part of the Project Performance Report Excel spreadsheet that is available on the AF website at: <http://www.adaptation-fund.org/projects-programmes/project-performance/>

#### **When are users expected to fill the Results Tracker tab of the Project Performance Reports?**

Projects and programmes are required to fill in the results tracker three times: at project approval, midterm, and terminal evaluation (see figure 1, section 2).

#### **What sections need to be filled in the results tracker?**

Depending on the stage of the project/programme (i.e., inception phase, mid-term, completion), cells filled with orange color are expected to be filled by users. Core indicators (underlined and bold) are mandatory, when relevant and applicable to the project/programme. In addition, other indicators reported to align with the projects outcomes need to be filled as well.

### **Introduction frame**

#### **How do I know my project ID/type of Implementing Entity (IE) and sector?**

A project ID (“AF project ID” below) has been assigned by the AF Secretariat to your project/programme during the proposal review cycle. Please refer to the original technical review document to get this information – see screenshot below.



 **ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW  
OF PROJECT/PROGRAMME PROPOSAL**

ADAPTATION FUND PROJECT/PROGRAMME CATEGORY: **Regular-sized Project Concept**

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Country/Region: XXXXXX  
Project Title: "XXXXXXXXXX"  
AF Project ID: **COUNTRY/TYPE OF IE/SECTOR/YEAR/NUMBER**

#### **What are the different types of Implementing Entity?**

The Implementing Entity can be classified as Regional Implementing Entity (RIE), National Implementing Entity (NIE), or Multilateral Implementing Entity (MIE).

### **Indicators tables**

#### **How do I know what type of information I am supposed to enter into the cells?**

For most of the cells, a message will let you know what sort of data is expected from you (i.e. percentage, number, item in a drop-down list etc.).

#### **I want to enter additional information in the cells, what should I do?**

For certain cells, when applicable, users can enter different items. For instance, in the case of the Core Indicator 1.2. No. of Early Warning System (EWS), some projects/programmes may be implementing different types of EWS. In that case, please click on the “plus” sign on the left hand side of the table, as illustrated on the screenshot below:

	A	B	C
39		Output 1.2 Targeted population groups covered by adequate risk reduction systems	<u>Core Indicator 1.2: No. of Early Warning Systems</u>
40			
41			
51			

Additional lines will appear (see screenshot below). This will allow you entering additional information about other EWS (or other indicators that allow multiple lines of information).

	A	B	C	D	E	F	G
39				No. of adopted Early Warning Systems	Category targeted	Hazard	
40						Geographical coverage	
41						Number of municipalities	
42				No. of adopted Early Warning Systems	Category targeted	Hazard	
43						Geographical coverage	
44						Number of municipalities	
45			Output 1.2 Targeted population groups covered by adequate risk reduction systems	No. of adopted Early Warning Systems	Category targeted	Hazard	
46						Geographical coverage	
47						Number of municipalities	
48			<u>Core Indicator 1.2: No. of Early Warning Systems</u>	No. of adopted Early Warning Systems	Category targeted	Hazard	
49						Geographical coverage	
50						Number of municipalities	
51							

Please note that you can also collapse these lines if you wish by clicking the “minus” sign, as illustrated in the screenshot below:

	A	B	C
39			
40			
41			
42			
43			
44		Output 1.2 Targeted population groups covered by adequate risk reduction systems	<u>Core Indicator</u> 1.2: No. of Early Warning Systems
45			
46			
47			
48			
49			
50			
51			

### Troubleshooting

I encounter the following message: ***“The value you entered is not valid. A user has restricted values that can be entered into this cell.”*** What should I do?

Most of the cells have been configured to allow only specific data to be entered (i.e. from a drop-down list, percentage, number within a specific range etc.). Make sure that the data you entered comply with these requirements.