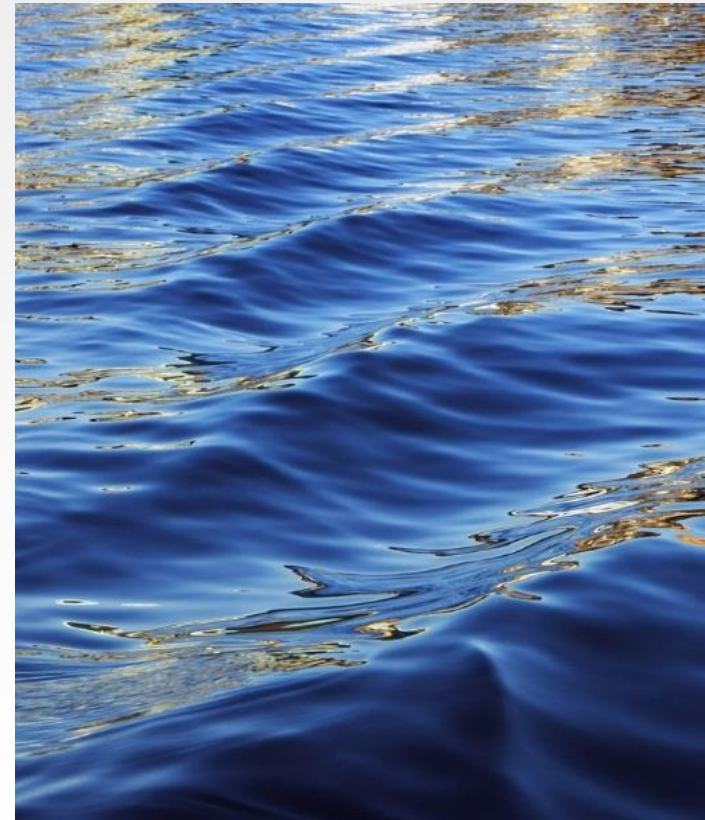




Overview of the AF Project Performance Reporting Requirements

Climate Finance Readiness Workshop
Washington DC, 29 August 2018



Project Performance Report (PPR)

- IEs are required to submit a **Project Performance Report (PPR)** on an annual basis, one year after the start of project implementation (date of inception workshop);
- The last PPR should be submitted six months after project completion. This will be considered as the project completion report;
- PPRs shall be submitted no later than two months after the end of the reporting year;
- **Submission of the PPR is linked to the disbursement schedule.** Once the PPR is submitted, the secretariat reviews the report and provides a recommendation to the Board as to whether additional funds should be transferred.



PPR Content

RISK ASSESMENT

IDENTIFIED RISKS
List all Risks identified in project preparation phase and what steps are being taken to mitigate them

Identified Risk	Current Status	Steps Taken to Mitigate Risk

Critical Risks Affecting Progress (Not identified at project design)
Identify Risks with a 50% or > likelihood of affecting progress of project

Identified Risk	Current Status	Steps Taken to Mitigate Risk

Overview FinancialData Procurement **Risk Assessment** Rating Project Indicators Lessons

8 sections:

1. **Basic Data:** project title, project summary, milestones, contact information
2. **Financial Data:** cumulative disbursement to date, expenditure data, planned disbursements schedule for the following year
3. **Procurement Data:** call for proposals, number of contracts issued, number of bidders
4. **Project risk:** identified risks through project design, additional risks faced by the project during implementation, and risk mitigation measures taken



PPR Content

QUALITATIVE MEASURES and LESSONS LEARNED	
<i>Please complete the following section every reporting period</i>	
Implementation and Adaptive Management	Response
What implementation issues/lessons, either positive or negative, affected progress?	
Were there any delays in implementation? If so, include any causes of delays. What measures have been taken to reduce delays?	
Describe any changes undertaken to improve results on the ground or any changes made to project outputs (i.e. changes to project design)	
How have gender considerations been taken into consideration during the reporting period? What have been the lessons learned as a consequence of inclusion of such considerations on project performance or impacts?	
<i>Please complete the following section at mid-term and project completion</i>	
Lessons for Adantation	Response

5. **Project implementation rating:** self-rating from the project management and implementing entity on implementation progress and any project delays
6. **Project indicators:** track progress against project level outputs and outcomes, according to project document as agreed by AFB
7. **Qualitative Questions and Lessons Learned:** open-ended questions on implementation progress, adaptive management measures taken, and gender considerations undertaken. Also, success of the project results, contributions towards climate resiliency, and lessons learned.

PPR Content

Readiness Interventions (Applicable only to NIEs that received one or more readiness grants)	
What have been the lessons learned, both positive and negative, in accessing and implementing climate finance readiness support that would be relevant to the preparation, design and implementation of future concrete adaptation projects/programmes?	
How have the outputs (such as manuals, guidelines, procedures or the experience from providing peer support, etc) from employing readiness grants been used to inform institutional capacity needs, gender issues, and environmental and social aspects in developing and implementing concrete projects/programmes for enhanced resilience to climate change?	

- Approved by the AF Board on 13 October, 2017;
- Qualitative measures and lessons learned at mid-term and project completion.



PPR Content

PPR-Resulttracker-4Feb15_final - Excel

FILE

HOME

INSERT

PAGE LAYOUT

FORMULAS

DATA

REVIEW

VIEW

DEVELOPER

MACROS

Clipboard

Font

Alignment

Protection

Number

Styles

Cells

Editing

Conditional Formatting

Format as Table

Normal

Bad

Good

Neutral

AutoSum

Fill

Clear

Sort & Filter

Find & Select

C117

Indicator 7.1: No. of policies introduced or adjusted to address climate change risks

Adaptation Fund Strategic Results Framework

Project ID	
Implementing agency	
Type of implementing agency	
Country	
Region	
Sector	

Impact: Increased resiliency at the community, national, and regional levels to climate variability and change	Core Indicator: No. of beneficiaries	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
		Total				Total			
		% of female beneficiaries				% of female beneficiaries			
% of Youth beneficiaries				% of Youth beneficiaries					

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	Baseline information			Target performance at completion				
		Number of targeted stakeholders		Hazards information generated and disseminated	Overall effectiveness	Number of targeted stakeholders		Hazards information generated and disseminated	Overall effectiveness
		Total				Total			
% of female targeted				% of female targeted					

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	States	No. of projects/programmes that conduct and update risk and vulnerability assessments	Sector	Scale	States
		No. of adopted Early Warning	Category targeted	Hazard	No. of adopted Early Warning	Category targeted	Hazard		

Aggregated dataPPR results tracker

8. Results Tracker: tracks indicators that aligns both (i) the Adaptation Fund Strategic Results Framework, and the (ii) Fund's five core indicators.



PPR Review Process

- Checklist used by the secretariat to review PPRs



ADAPTATION FUND

PPR AF Checklist

Section 2: FINANCIAL INFORMATION		Assessment
Has the estimated cumulative total disbursement been provided?	0. No 1. Yes	
Based on the year of implementation (i.e. 1st, 2nd ... final year), is the estimated cumulative total disbursement reasonable?	1. Not Reasonable 2. Somewhat Reasonable 3. Reasonable	
Have the expenditures for the reporting period been completed?	0. No 1. Yes	
Does the expenditure for the reporting period correlate with the original project document?	1. Low 2. Medium 3. High	
Has the estimated planned disbursement schedule been provided?	0. No 1. Yes	
Based on the year of implementation, is the planned disbursement schedule reasonable?	1. Not Reasonable 2. Somewhat Reasonable 3. Reasonable	
If applicable, has the cofinancing section been completed?	0. No 1. Yes	

Minimum requirements for Project/Programme Mid-term Evaluations

- Projects/programmes with **more than 4 years** of implementation funded by the Adaptation Fund will be evaluated at their mid point of implementation
- Should be prepared by an **independent evaluator**, independent from project/programme management, but selected by the Implementing Entity
- Should contain information on:
 - The evaluation: when the evaluation took place, who was involved and how; terms of reference, including key questions; and methodology.
 - Updated project data at the time of the evaluation: date of project cycle; expected and actual (so far) financing, including actual expenditures; changes in institutional arrangements and changes in project objectives.

Minimum requirements for Project/Programme Mid-term Evaluations

- Mid-term evaluations **should assess** at a minimum:
 - Initial outputs and results of the project
 - Quality of implementation, including financial management
 - Assumptions made during the preparation stage, particularly objectives and agreed indicators, against current conditions
 - Factors affecting the achievement of objectives
 - M&E systems and their implementation
- The mid-term evaluations should be prepared **no later than 6 months after the mid point of the project** and send to the AF Secretariat.
- Major changes to the objectives and expected outcomes of the project, coming from the mid-term evaluation, should be communicated by the Implementing Entity to the AFB Secretariat. New OPG Annex provides rules regarding changes in project budget/design.
- The cost of the mid-term evaluations should be covered by the project's M&E plans.

Minimum Requirements for Project/Programme Final Evaluations

- Final Evaluations should assess at a minimum:
 - i. **Achievement of outcomes**, including ratings and with particular consideration of achievements related to the proposed concrete adaptation measures, if applicable;
 - ii. Likelihood of **sustainability** of outcomes at project completion, including ratings;
 - iii. Evaluation of processes influencing achievement of project/programme results;
 - iv. Contribution of project achievements to the Adaptation Fund targets, objectives, impact and goal, including report on AF standard/core indicators; and
 - v. Assessment of the M&E systems and its implementation.
- Final Evaluations shall be prepared and submitted to the Fund's Secretariat within nine (9) months after project completion.

Observations and Lessons Learned from Mid-term Evaluations and Final Evaluations

- Mid-term Evaluations can provide a good base for:
 - i. Changes within the project/programme log-frame to better reflect the goal and ground-level reality;
 - ii. A **reinforcement of the monitoring plan**;
 - iii. Revisions of budget allocation;
 - iv. Thinking if the project/programme strategies in place to ensure outcomes' long-term **sustainability**, KM dissemination, stakeholder engagement, among others, are effective (both in the Mid-term and Final Evaluations).
- Final Evaluation can provide a base for:
 - i. Thinking about possibilities to further **improve future initiatives**;
 - ii. **Scaling-up** the existing project/programme.

Guiding Documents and Policies

- Policy for Projects and Programmes Delays: <https://www.adaptation-fund.org/wp-content/uploads/2013/07/Project-delays-policy-Amended-October-2017.pdf>
- Project Performance Report (PPR) available in the AF website, and results tracker guidance document, available at:
<https://www.adaptation-fund.org/wp-content/uploads/2016/04/AF-ResultstrackerGuidance-final2.pdf>
- Guidelines for project/programme final evaluations, available at:
<http://www.adaptation-fund.org/document/guidelines-projectprogramme-finalevaluations>;
- OPG Annex 7, project/programme implementation (material change and revisions to target for activities, outputs or outcomes), available at:
<https://www.adaptation-fund.org/wp-content/uploads/2017/11/OPG-ANNEX-7-Project-Programme-Implementation-Approved-Oct-2017.pdf>

Thank you for listening!

