



**ADAPTATION FUND**

# **Overview of the AF Project Performance Reporting Requirements, including for Readiness Grants**

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## Reporting Requirements

- **Project Performance Reports**, submitted annually
- **Mid-term review or evaluation report** for projects of 4 year duration or more
- **Final evaluation report**, submitted within 9 months after project completion
- **Project completion summary** within six (6) months after Project completion
- **Audit financial statement** of the Implementing Entity Grant Account

# 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 Assesment** Rating Project Indicators Lessons

## 10 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**

*Please complete the following section every reporting period*

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?	

*Please complete the following section at mid-term and project completion*

Lessons for Adantation	Response

Navigation: FinancialData | Procurement | Risk Assessment | Rating | Project Indicators | **Lessons Learned** | I ... +

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.



- Readiness Interventions
  - To be completed at mid-term and project completion.

## 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?	



## Results Tracker

### ➤ Gender specific reporting requirements

... continued

		Baseline information			Target performance at completion		
Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes	Indicator 3.1: Increase in application of appropriate adaptation responses	Percentage of targeted population applying adaptation measures		Sector	Percentage of targeted population applying adaptation measures		Sector
Output 3: Targeted population groups participating in adaptation and risk reduction awareness activities	Indicator 3.1.1: Percentage of targeted population awareness of predicted adverse impacts of climate change, and of appropriate responses	No. of targeted beneficiaries	% of female participants targeted	Level of awareness	No. of targeted beneficiaries	% of female participants targeted	Level of awareness

		Baseline information				Targeted performance at completion			
Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas	Indicator 6.1: Increase in households and communities having more secure access to livelihood assets	No. of targeted households	% of female headed households	Improvement level		No. of targeted households	% of female headed households	Improvement level	
	Indicator 6.2: Increase in targeted population's sustained climate-resilient alternative livelihoods	No. of targeted households	% of female headed households	% increase in income level vis-à-vis baseline	Alternate Source	No. of targeted households	% of female headed households	% increase in income level vis-à-vis baseline	Alternate Source
		No. of targeted households	% of female headed households	% increase in income level vis-à-vis baseline	Alternate Source	No. of targeted households	% of female headed households	% increase in income level vis-à-vis baseline	Alternate Source
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		No. of targeted households	% of female headed households	% increase in income level vis-à-vis baseline	Alternate Source	No. of targeted households	% of female headed households	% increase in income level vis-à-vis baseline	Alternate Source



# PPR Content

## 9. Environmental and Social Policy (ESP) Compliance

### Section 1:

Report the risk identification for each ESP principle

SECTION 1: IDENTIFIED ESP RISKS MANAGEMENT									
<b>Was the ESP risks identification complete at the time of funding approval? [1]</b>		<input type="checkbox"/> Yes, all project/programme activities had been formulated to the level where effective risks identification is possible <input type="checkbox"/> No, the project/programme includes Unidentified Sub-Projects (USPs) (also complete Section 5)							
ESP principle [2]	Are environmental or social risks present as per table II.K (II.L for REG) of the proposal? [3]	During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/III.L) [4]	List the identified impacts for which safeguard measures are required (as per II.K/III.L)	List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. [5]	List the monitoring indicator(s) for each impact identified. [6]	State the baseline condition for each monitoring indicator	Describe each safeguard measure that has been implemented during the reporting period [7]	Describe the residual impact for each impact identified - if any - using the monitoring indicator(s) [7]	Describe remedial action for residual impacts that will be taken. [7]
1 - Compliance with the law	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							
2 - Access and equity	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							
3 - Marginalized and vulnerable Groups	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							
4 - Human rights	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							
5 - Gender equality and women's empowerment	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							
6 - Core labour rights	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							
7 - Indigenous peoples	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							
8 - Involuntary resettlement	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							
9 - Protection of natural habitats	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							
10 - Conservation of biological diversity	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							
11 - Climate change	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							
12 - Pollution prevention and resource efficiency	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							
13 - Public health	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							
14 - Physical and cultural heritage	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							
15 - Lands and soil conservation	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No							

## Sections 2, 3 and 4:

- Monitoring and identifying unanticipated impacts
- Categorization according to ESP standards
- Measures in place to implement Safeguard measures

### SECTION 2: MONITORING FOR UNANTICIPATED IMPACTS / CORRECTIVE ACTIONS REQUIRED

Has monitoring for unanticipated ESP risks been carried out?	
Have unanticipated ESP risks been identified during the reporting period?	
If unanticipated ESP risks have been identified, describe the safeguard measures that have been taken in response and how an ESMP has been prepared/updated	

### SECTION 3: CATEGORISATION

Is the categorisation according to ESP standards still relevant?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If No, please describe the changes made at activity, output or outcome level, approved by the Board, that resulted in this change of categorization.	

### SECTION 4: IMPLEMENTATION ARRANGEMENTS

What arrangements have been put in place <i>by the Implementing Entity</i> during the reporting period to implement the required ESP safeguard measures?	
Have the implementation arrangements been effective during the reporting period?	
What arrangements have been put in place <i>by each Executing Entity</i> during the reporting period to implement the required ESP safeguard measures?	
Have the implementation arrangements at the EEs been effective during the reporting period?	

## Sections 5 and 6:

- Report on each unidentified sub-project (USP), details of activity, timing and implementation arrangements
- Clarify also if the grievance mechanism has been made widely known to identified and potentially affected parties

### SECTION 5: PROJECTS/PROGRAMMES WITH UNIDENTIFIED SUB-PROJECTS (USPs). *This section needs to be completed only if the project/programme includes USPs.*

Have the arrangements for the process described in the ESMP for ESP compliance for USPs been put in place? [8]		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially					
Is the required capacity for ESMP implementation present and effective with the IE and the EE(s)? Have all roles and responsibilities adequately been assigned and positions filled? Please provide details.							
Has the overall ESMP been updated with the findings of the USPs that have been identified in this reporting period? [9]							
List each USP that has been identified in the reporting period to the level where effective ESP compliance is possible. <i>Add lines as necessary, one line for every USP identified.</i>	Has the ESMP been applied to the USP that has been identified?	List all the ESP risks that have been identified for the USP	Has an impact assessment been carried out for each ESP risk that has been identified for the USP?	Has adequate consultation been held during risks and impacts identification for the USP? [10]	Have the data used to identify risks and impacts been disaggregated by gender as required?	List the environmental and social safeguard measures (avoidance, mitigation, management) that	List the monitoring indicator(s) for each impact identified
USP 1: <i>(name the USP)</i>							
USP 2: <i>(name the USP)</i>							
USP 3: <i>(name the USP)</i>							
USP 4: <i>(name the USP)</i>							
USP 5: <i>(name the USP)</i>							

### SECTION 6: GRIEVANCES

Was a grievance mechanism established capable and known to stakeholders to accept grievances and complaints related to environmental and social risks and impacts?		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially
List all grievances received during the reporting period regarding environmental and social impacts; gender related matters; or any other matter of project/programme activities [11]	For each grievance, provide information on the grievance redress process used and the status/outcome	

## 10. Gender Policy Compliance

### Sections 1 to 4:

- Measures the quality at entry
- Measures the quality during implementation and at exit
- Grievances

GENDER POLICY COMPLIANCE					
<b>SECTION 1: QUALITY AT ENTRY [ to be completed only at PPRI ]</b>					
Was an initial gender assessment conducted during the preparation of the project/programme's first submission as a full proposal?					
Does the results framework include gender-responsive indicators broken down at the different levels (objective, outcome, output)?					
List the gender-responsive elements that were incorporated in the project/programme results framework					
Gender-responsive element [1]	Level [2]	Indicator	Baseline	Target	Rated result for the reporting period (poor, satisfactory, good)
<b>SECTION 2: QUALITY DURING IMPLEMENTATION AND AT EXIT [ to be completed at final PPR ]</b>					
List gender equality and women's empowerment issues encountered during implementation of the project/programme. For each gender equality and women's empowerment issue describe the progress that was made as well as the results. [3]					
Gender equality and women's empowerment issues [4]				Rated result for the reporting period (poor, satisfactory, good)	
<b>SECTION 3: IMPLEMENTATION ARRANGEMENTS</b>					
What arrangements have been put in place by the Implementing Entity during the reporting period to comply with the GP?					
Have the implementation arrangements at the IE been effective during the reporting period?					
What arrangements have been put in place by each Executing Entity during the reporting period to comply with the GP? [5]					
Have the implementation arrangements at the EE(s) been effective during the reporting period? [5]					
Have any capacity gaps affecting GP compliance been identified during the reporting period and if so, what remediation was implemented?					
<b>SECTION 4: GRIEVANCES</b>					
Was a grievance mechanism established capable and known to stakeholders to accept grievances and complaints related to gender equality and women's empowerment? [ to be completed at PPRI ]				<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially	
List all grievances received through the grievance mechanism during the reporting period regarding gender-related matters of project/programme activities [6]				For each grievance, provide information on the grievance redress process used and the status/outcome	

# Forecasted amendments to PPR template

## ➤ Financial Data Tab – Chronological reporting

Financial information PPR 1: cumulative from project start to [insert date]	Chronological Financial flows	Financial information PPR 2: cumulative from project start to [insert date]																																																
<p><b>DISBURSEMENT OF AF</b> <i>How much of the total AF grant as noted in Project Document plus any project preparation grant has been spent to date?</i></p> <p>Estimated cumulative total disbursement as of [enter Date]</p> <p>Add any comments on AF Grant Funds. (word limit=200)</p>		<p><b>DISBURSEMENT OF AF GRANT</b> <i>How much of the total AF grant as noted in Project Document plus any project preparation grant has been spent to date?</i></p> <p>Estimated cumulative total disbursement as of [enter Date]</p> <p>Add any comments on AF Grant Funds. (word limit=200)</p>																																																
<p><b>INVESTMENT INCOME</b> <i>Amount of annual investment income generated from the Adaptation Fund's grant</i></p>		<p><b>INVESTMENT INCOME</b> <i>Amount of annual investment income generated from the Adaptation Fund's grant</i></p>																																																
<p><b>EXPENDITURE DATA</b> List output and corresponding amount spent for the current reporting period</p> <table border="1"> <thead> <tr> <th>ITEM / ACTIVITY / ACTION</th> <th>AMOUNT</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr> <td>TOTAL</td> <td>0</td> </tr> </tbody> </table>	ITEM / ACTIVITY / ACTION	AMOUNT																					TOTAL	0		<p><b>EXPENDITURE DATA</b> List output and corresponding amount spent for the current reporting period</p> <table border="1"> <thead> <tr> <th>ITEM / ACTIVITY / ACTION</th> <th>AMOUNT</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr> <td>TOTAL</td> <td>0</td> </tr> </tbody> </table>	ITEM / ACTIVITY / ACTION	AMOUNT																					TOTAL	0
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<p><b>PLANNED EXPENDITURE SCHEDULE</b></p>		<p><b>PLANNED EXPENDITURE SCHEDULE</b></p>																																																



## Forecasted amendments to PPR template ...Continued

### ➤ Ratings Tab

Reporting ratings against overarching objectives

Provision of “Other” option incase there is more than one executing entity

RATING ON IMPLEMENTATION PROGRESS					
For rating definitions and text of AF outcomes please see bottom of page. Click above the columns captions in every table for guidance on reporting.					
	Project components/outcomes	Alignment with AF outcome(s)	Expected Progress	Progress to Date	Rating
Implementing Entity:					
Refer to more general overarching achievements what the activities contribute to?  Overarching topics can relate to ACTION (and V2 main activities); INNOVATION; LEARNING & SHARING; GENDER (cross-cutting)					
Overall Rating					

	Project components/outcomes	Alignment with AF outcome(s)	Expected Progress	Progress to Date	Rating
Executing Entity/Project Coordinator:					
Overall Rating					

Please Provide the Name and Contact information of person(s) responsible for completing the Rating section

Name:

Email:

	Project components/outcomes	Alignment with AF outcome(s)	Expected Progress	Progress to Date	Rating
Other (If there is more than one executing entity a rating should be provided from each EE for the outputs/outcomes of the project for which the entity is responsible; the Designated Authority can also provide a rating)					
Overall Rating					

Please Provide the Name and Contact information of person(s) responsible for completing the Rating section

Name:

Email:

## Forecasted amendments to PPR template ...Continued

### ► Lessons learned

Describe changes undertaken to improve results e.g. material change, changes to project budget or results framework

#### QUALITATIVE MEASURES and LESSONS LEARNED

*Please complete the following section every reporting period*

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)*	
Have the environmental and social safeguard measures that were taken been effective in avoiding unwanted negative impacts?	
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? List lessons learned specific to gender, detailing measures and project/programme-specific indicators highlighting the role of women as key actors in climate change adaptation.	

*\*Inform promptly the secretariat of any changes in the budget or project results framework in accordance with the Project Implementation Policy <https://www.adaptation-fund.org/wp-content/uploads/2017/11/OPG-ANNEX-7-Project-Programme-Implementation-Approved-Oct-2017.pdf>*

# Forecasted amendments to PPR template ...Continued

16

## Project scale up grants

		Baseline information				Target performance at completion			
		Number of staff targeted		Sector	Capacity level	Number of staff targeted		Sector	Capacity level
		Total	% of female targeted			Total	% of female targeted		
Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses	Indicator 2: 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 centres and networks to respond rapidly to extreme weather events	Indicator 2.1.1: No. of staff trained to respond to, and mitigate impacts of, climate-related events	Total staff trained	% of female staff trained	Type		Total staff trained	% of female staff trained	Type	
	Indicator 2.1.2: No. of targeted institutions with increased capacity to minimize exposure to climate variability risks	Type	Scale	Sector	Capacity level	Type	Scale	Sector	Capacity level
Output 2.2 Increased readiness and capacity of national and sub-national entities to directly access and program adaptation finance	Indicator 2.2.1: No. of people benefitting from the direct access and enhanced direct access modality	Number of targeted people	Scale	Sector	Capacity level	Number of targeted people	Scale	Sector	Capacity level

## Learning grants

		Baseline information				Target performance at completion			
		Percentage of targeted population applying adaptation measures		Sector		Percentage of targeted population applying adaptation measures		Sector	
Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes	Indicator 3.1: Increase in application of appropriate adaptation responses								
Output 3: Targeted population groups participating in adaptation and risk reduction awareness activities	Indicator 3.1.1: Percentage of targeted population awareness of predicted adverse impacts of climate change, and of appropriate responses	No. of targeted beneficiaries	% of female participants targeted	Level of awareness		No. of targeted beneficiaries	% of female participants targeted	Level of awareness	
Output 3.2: Strengthened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning	Indicator 3.2.1: No. of technical committees/associations formed to ensure transfer of knowledge	No. of technical committees/associations	% of committees/associations focusing on gender	Level of awareness		No. of technical committees/associations	% of female participants targeted	Level of awareness	
	Indicator 3.2.2: No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders	No. of tools and guidelines	Type	Scale		No. of tools and guidelines	type	Scale	

## Innovation grants

		Baseline information				Target performance at completion			
		Sector of innovative practice	Geographic Scale	Type		Sector of innovative practice	Geographic Scale	Type	
Output 8: Viable innovations are rolled out, scaled up, encourages and/or accelerated	Indicator 8.1: No. of innovative adaptation practices, tools and technologies accelerated, scaled-up and/or replicated	No. of innovative practices/tools technologies	Sector	Status	Effectiveness	No. of innovative practices/tools technologies	Sector	Status	Effectiveness
	Indicator 8.2: No. of key findings on effective, efficient adaptation practices, products and technologies generated	No. of key findings generated	Type		Effectiveness	No. of key findings generated	Type		Effectiveness

# 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	

# 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>



# Readiness Programme for Climate Finance

## Long-term outlook

- ✓ Following the decision by the Board to integrate the Readiness Programme into the Fund's work plan and budget (**Decision B.27/38**)



## Programme integration

- ✓ The board approved an updated Results Framework for the Programme to enable its transition into a long term and more permanent feature of the Fund (**Decision B.29/42**).
- ✓ Articulation of key components in annex I of the framework

# Readiness Grant Project Performance and Reporting

## NOTIFICATION TEMPLATE FOR PROJECT START / PROJECT COMPLETION FOR READINESS GRANTS, PROJECT SCALE-UP GRANTS AND LEARNING GRANTS

Implementing entity address

[Date]

The Adaptation Fund Board  
1818 H Street NW  
MSN N7-700  
Washington DC, 20433  
USA  
Email: [afbsec@adaptation-fund.org](mailto:afbsec@adaptation-fund.org)

### Subject: Notification of project [start] [completion]:

This letter is to inform you that the project to implement the grant proposal for [South-South cooperation] [technical assistance for the ESP and gender policy] [technical assistance for the gender policy] [readiness package] [project scale-up grant] [transferring of knowledge from one NIE to another] [transferring knowledge from one NIE to the wider climate adaptation community] [developing knowledge and guidelines through partnerships] approved by the Adaptation Fund Board on [Date] has officially been [started] [completed]. Details of the project are provided below:

### Implementing Entity:

#### Country:

**Project Description:** Grant to support [include short project description with maximum 100 words]

**Project Start Date:** [Date]

**[Expected] [Actual] Project Completion Date:** [Date]

Sincerely

[Name]  
[Position]  
[Email]  
[Telephone]

## Notification of Project Start/Project Completion

- not more than one month after the Project start date
- Project start date
  - ❖ TA-ESGP, TA-GP and PFA Grant - the date when the contract between the Implementing Entity and the consultant or service provider is signed, or the date when the first disbursement towards an activity related to the grant was made, whichever occurs first.
  - ❖ SSC Grants - the date of the project inception meeting with the recipient of peer support.
  - ❖ Project Scale-Up Grants and Learning Grants - the date of first disbursement by the implementing entity towards an activity related to the grant.

# Readiness Grant Project Performance and Reporting

## Project Monitoring Report

- due 6 months from the project start date, and every 6 months thereafter from the date of the previous monitoring report

### MONITORING REPORT SUBMITTED SIX MONTHS AFTER PROJECT START AND EVERY SIX MONTHS AFTER THE LAST MONITORING REPORT

Date submitted to AFB secretariat:

Implementing Entity:

Country:

Adaptation Fund Grant I.D.:

Grant Type: [TA-ESGP] [TA-GP] [S-S Cooperation Grant] [Readiness Package Grant] [Project Scale-Up Grant] [Learning Grant]

Project Description/Project Title: [provide the project title or a short description of what the grant was used for – maximum 30 words]

Project Sector: e.g [coastal zone management, agriculture etc], [institutional capacity building], [peer-peer support] [knowledge and learning].



Activity	Expected Output	Progress (include completion Date "month & year")	Comments/Explanation (also explain any deviation from initial plan)
			Please paraphrase, for example: Vulnerability assessment carried out, 2 consultants hired, 3 consultations with vulnerable groups held, 2 studies completed etc.
Overall comment on progress			

Contact Person: \_\_\_\_\_

Email: \_\_\_\_\_

- IEs should notify the secretariat of delays in the implementation of readiness grants by capturing the reasons for project delay in the project monitoring report and stating the revised expected project completion dates in that report

# Readiness Grant Project Performance and Reporting

## Project Completion Report

- Should be submitted to the Board through the secretariat within 6 months of project completion

A. COMPLETION REPORT SUBMITTED NOT MORE THAN SIX MONTHS AFTER PROJECT COMPLETION			
Date submitted to AFB secretariat: _____			
Implementing Entity: _____			
Country: _____			
Adaptation Fund Grant I.D: _____			
Grant Type: [TA-ESGP] [TA-GP] [S-S Cooperation Grant] [Readiness Package Grant] [Project Scale-Up Grant] [Learning Grant]			
Project Description/Project Title: [provide the project title or a short description of what the grant was used for – maximum 30 words]			
Project Sector: e.g [coastal zone management, agriculture etc], [institutional capacity building], [peer-peer support] [knowledge and learning].			
Activity	Expected Outcome	Outcome Achieved/Not Achieved	Comment/Explanation (also explain any deviation from initial plan)
Budget	State whether overall expenditure was over or under the planned budget and give brief explanation for deviations of more than 30%.		
Summary of overall outcome including any challenges faced and how they were resolved, and an explanation of how achieved outcomes will be disseminated or taken forward*.			
Any feedback/general comment to the AFB secretariat			

\*If there have been any delays in project implementation that affected project completion dates, state the reasons for the delays.

Contact Person: \_\_\_\_\_ Email: \_\_\_\_\_

- indicative (estimate) project/programme completion time must be included in project/programme proposals for funding
- Delays in completion to be reported through the project monitoring report with explanations of delays and proposed new completion dates
- No request for extension would be required



# Readiness Grant Project Performance and Reporting

## Readiness grant reporting in PPR

- PPR updated to enable NIEs to capture and evaluate their experience and lessons learnt from using readiness grants and the resulting added benefits of the grants for the IEs to achieve desired outcomes or results from regular projects/programmes.

Please complete the following section at <i>mid-term</i> and <i>project completion</i>	
Lessons for Adaptation	Response
Climate Resilience Measures	
What have been the lessons learned, both positive and negative, in implementing climate adaptation measures that would be relevant to the design and implementation of future projects/programmes for enhanced resilience to climate change?	
What is the potential for the climate resilience measures undertaken by the project/programme to be replicated and scaled up both within and outside the project area?	
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?	

► ...

FinancialData

Procurement

Risk Assesment

Rating

Project Indicators

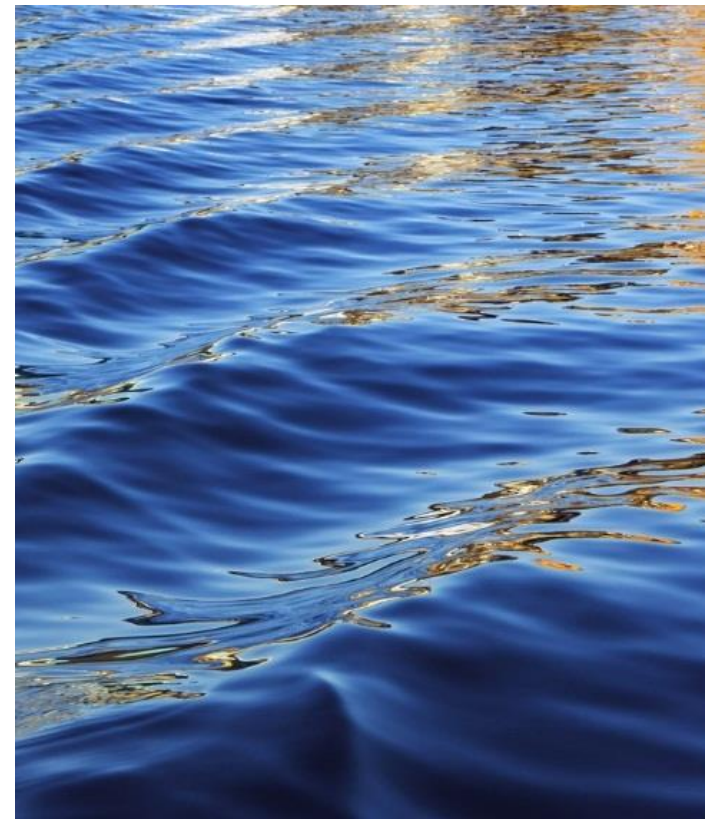
Lessons Learned

- Relevant section included under Lessons Leant tab





Thank you!



# Readiness Grant Project Performance and Reporting

## Notification of Project Start for the PFA grant

### NOTIFICATION TEMPLATE FOR START OF PROJECT FORMULATION GRANT IMPLEMENTATION

Implementing entity address  
Address

[Date]

The Adaptation Fund Board  
1818 H Street NW  
MSN N7-700  
Washington DC, 20433  
USA  
Email: [afbsec@adaptation-fund.org](mailto:afbsec@adaptation-fund.org)

#### **Subject: Notification of Project Formulation Grant (PFG) inception**

This letter is to inform you that implementation of the PFG approved by the Adaptation Fund Board on [Date] for formulation of a concrete adaptation project/programme has officially started. Details of the project inception are below:

#### **Implementing Entity:**

#### **Country:**

**Description of Concrete Adaptation Project:** [Title of Project] in [name of country]

**PFG Start Date:** [Date]

**Expected PFG Completion Date:** [Date]

Sincerely

[Name]

[Position]

[Email]

[Telephone]

