



ADAPTATION FUND

DEEP DIVE INTO PROJECT PERFORMANCE MANAGEMENT PROCESSES

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NIE Seminar – Addis Ababa – September 2025

Overview

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1. Reporting requirements - Overview



The IE must submit the inception report to the Secretariat no later than **one (1) month** after the workshop has taken place. Guidance: <https://www.adaptation-fund.org/wp-content/uploads/2024/02/AFBEFC.318Add.6-02.13.24.pdf>



Project Performance Reports: on an annual basis **12 months after project start date**. 2-months buffer period is allowed (PPR will still be considered as submitted on-time).



Baseline Report: no later than submission of **1st PPR** (this is valid just for projects approved from 41st BM onwards). The baseline data report may be conducted independently or semi-independently, or self-conducted. Guidance will be developed.



Mid-term review or evaluation report, for projects of 4-year duration or more. IE to submit the MTR report to the secretariat no later than **six (6) months after the project midpoint**. IE shall submit also the management response to the evaluation (within 6 months from finalization of MTR).



Project completion summary report, including any specific Project implementation information, within **six (6) months after Project completion**. Guidance: https://www.adaptation-fund.org/wp-content/uploads/2019/09/Project-Completion-Summary_Final.docx



Final Evaluation. Prepared by an independent evaluator. Shall be submitted **within nine (9) months after project completion**. The report should also be shared with the DA.



Final audited financial statement, prepared by an independent auditor or evaluation body, within 6 months of the end of the IE's financial year during which the Project is completed. Marks project financial closure. Guidance: <https://www.adaptation-fund.org/wp-content/uploads/2019/06/Instructions-for-audited-financial-statements.pdf>

1. Reporting requirements - PPR

Section 1: Project
Milestones

Section 2: Financial
Information

Section 3 : Procurement

Section 4: Risk
Management

Section 5: Environmental
and Social Policy (ESP)
compliance

Section 6: Gender Policy
(GP) compliance

Section 7: Rating

Section 8: Project
Indicators

Section 9: Lessons
learned

Section 10: Results
Tracker



1. Reporting requirements - PPR

After successfully completing the login process click on the below link to access the PPR Dashboard.

<https://af.fifscollab.worldbank.org/ppr-dashboard>

Step -1: After clicking on the PPR Dashboard link, you will see the screen below with the list of projects you are assigned as PPR Focal Point or IE Coordinator. Scroll to the right to access your PPR and you will after see this form.

The screenshot displays the PPR Dashboard interface. On the left is a navigation menu with the following items: Portfolio, Overview, Financial Data, Procurement, Risk Assessment, ESP Compliance, GP Compliance, Rating, Project Indicators, Lessons Learned, Results Tracker, and Supporting Documents. The main content area features a progress bar at the top with stages: Draft (highlighted in yellow), With IE, Under Sec. Review, Under Sec. Clearance, and Cleared. A legend indicates 'Not Started' (grey), 'In Progress' (yellow), and 'Completed' (green). Below the progress bar, the project title 'Ecosystem Based Adaptation to Climate Change in Seychelles' is shown, followed by metadata: Country: Seychelles | Project ID: 031MSCWR | Project Status: Under Implementation | Project Financing Total: \$6,455,750.00 | Implementing Entity: UN Development Programme (UNDP) | PPR Number: PPR1. An 'Overview' section is visible with a dropdown arrow. A 'NEXT' button is located at the bottom right of the main content area.



1. Reporting requirements – Mid-term Review

Projects/programmes with **4 years or more** of implementation will be evaluated at their mid point of implementation. The MTR may be conducted independently or semi-independently.

MTRs are optional for projects less than three years in duration; these may be self-conducted.

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

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 along with the **management response to the evaluation**.

Guidance: <https://www.adaptation-fund.org/document/mid-term-review/>



1. Reporting requirements – Final Evaluation

Final Evaluations should assess at project/programme performance and impact to support learning and accountability and inform future CCA interventions.

The audience for final evaluation is broad, including the IE and the Fund, the intended beneficiaries and project participants, Fund partners, and other relevant stakeholders.

- 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. Contribution of project achievements to the Adaptation Fund targets, objectives, impact and goal, including report on AF standard/core indicators; and
- iv. Assessment of the **M&E systems** and its implementation.

Final Evaluations shall be prepared and submitted to the Fund's Secretariat and shared with the DA **within nine (9) months** after project completion.

Guidance: <https://www.adaptation-fund.org/document/final-evaluation/>



1. Reporting requirements – *Importance of Project evaluations*

Mid-term Evaluations can provide a good base for:

- ✓ Changes within the project/programme log-frame to better reflect the goal and ground-level reality;
- ✓ A **reinforcement of the monitoring plan**;
- ✓ Revisions of budget allocation;
- ✓ 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:

- ✓ Thinking about possibilities to further **improve future initiatives**;
- ✓ **Assess the scalability/replicability** of the existing project/programme.
- ✓ Cross-check the information on actual results reported in the final PPR, project completion summary and terminal evaluation





MEI aspects - *Monitoring*



Day-to-day **project monitoring** is part of project management, and the costs for establishing and implementing systems and personnel to collect, manage, and report monitoring data are costed as part of a project's results-based management (RBM) system.

IEs need to describe M&E arrangements and provide a budgeted M&E plan, in compliance with the Evaluation Policy, Environmental and Social Policy and the Gender Policy of the Adaptation Fund. What activities are included as part of project monitoring?

- Personnel and Staff Cost (M&E officers, data collectors);
- Tools and equipment (tablets; GPS units);
- Data collection and surveys (travel to field);
- Project reporting (preparation of PPRs and other monitoring reports as necessary);
- External audits.





2. MEL aspects - *Evaluation Budgeting*



Evaluation budgeting is proactive financial planning for the future that generates estimated values for evaluation activities over a specific period.



Monitoring is budgeted separately from evaluations in funding proposals submitted to the Fund.



Rule of thumb: ask advice to an evaluation expert and do not underestimate the cost of an evaluation. Overall evaluation budget for proposed projects and programmes at 1 to 5 per cent of the project or programme budget, to be counted towards the implementing entity fee. [Consider seeing document: [AFB.EFC.32/7](#)]



In cases where new approaches are being piloted or are highly innovative, a higher evaluation budget may be required for a more rigorous evaluation design to establish whether the approach is suitable for scaling up.





2. MEL aspects - *Evaluation Budgeting*

At the funding proposal stage, IEs should provide a budgeted M&E plan in **Part III.D** of the proposal template.

Funding proposals submitted to the Fund by IEs should include a cost estimate for a series of evaluation activities that collectively evaluate the proposed project over time, such as a **baseline study, mid-term review, and final evaluation** that need to be budgeted for a specific project or programme. Evaluation costs need to be charged against the IE fee.

Project Duration	Type of Evaluation	Required?	Required Format?
Shorter than 4 years	Baseline data report	Yes	No
	Mid-term Review	No	May be independent, semi-independent, or self-conducted
	Terminal Evaluation	Yes	Yes – must be independent
Four years or longer	Baseline data report	Yes	No
	Mid-term Review	Yes	May be independent or semi-independent
	Terminal Evaluation	Yes	Yes – must be independent





2. MEL aspects - *Evaluation Budgeting*



Project size	Evaluation cost %	Comments
Up to US\$ 1 million	Min 5%	Evaluation cost as % of total project cost and deducted from IE fees
US\$1 – US\$5 million	Between 2-5%	Evaluation cost as % of total project cost and deducted from IE fees IE has the ability to assess adequate budget for evaluation based on project size and proposed range
US\$5 – US\$10million	Between 1-2%	Evaluation cost as % of total project cost and deducted from IE fees Max 2% of total project cost applied regardless of project size.



3. Adaptive management options

The Adaptation Fund Board decided:

- (a) To approve the Adaptation Fund's Policy on Project Post-Approval Requests for Changes in Projects/Programmes, as contained in document AFB/EFC.35/5, annex A, appendix I, including the related templates contained in annex D;*
- (b) To approve the Adaptation Fund's amended Policy for Project/Programme Delays, as contained in document AFB/EFC.35/5, annex A, appendix II, including the related templates contained in annex D;*
- (c) To request the secretariat to implement the action plan for the implementation of the amendments to the policies, in document AFB/EFC.35/5, annex C.*

Decision B.44/44



3. Adaptive management – How post approval decisions are to be processed

Decision-making process for post-approval changes



IE

Request Made

Sec review and requests clarification if needed

Sec

Minor Request
Sec Clearance

Only Disbursement schedule

Legal Amendment

Major/Material Request
Board Approval



Minor change request: A change that does not significantly alter the project's scope, budget, expected outcomes, objectives, or risk profile.

Major change request: A substantive change that significantly alters the project's scope, budget, expected outcomes, objectives, or risk profile.

Website	
Minor requests	Major requests
https://www.adaptation-fund.org/documents-publications/minor-post-approval-requests/	https://www.adaptation-fund.org/documents-publications/intersessional-decisions/



3. Adaptive management - *Project Implementation Policy*

Summary of types of post-approval changes and decision process making process

Clear/ approve	Type of post-approval request	Process
Secretariat	Requests for revising project/programme results framework (minor at activity/output/outcome when project risk profile and scope not altered).	<ol style="list-style-type: none"> 1. IE to submit relevant documents as specified in the policy 2. Revision by the secretariat 3. Secretariat to inform the IE through letter officially clearing the project revision
	Project budget reallocations which are not material (less than 20%).	
	Minor changes to implementation arrangements (add executing partners to support EE)	
	Requests for direct project/programme services.	
	Revisions to project disbursement schedule.	
	Revision to project target sites (within approved project area that does not alter ESP risk levels)	
Board	Revisions to the project results framework (major at output/outcome level which alter project risk profile and scope).	<ol style="list-style-type: none"> 1. Documents submitted by IE as specified in the policy 2. Revision process by the secretariat 3. Submission to the Board for consideration and approval (intersessional or through regular Board meetings).
	Project budget reallocations which are material (equal or more than 20%).	
	Changes to the project site (requiring an updated environmental and social risk screening, outside of approved project location).	
	Major changes to implementation arrangement. (e.g. EE changes)	



3. Adaptive Management - *Policy for Project/Programme Delays*

Summary of types of post-approval changes and decision process making process

Clear/ approve	Type of post-approval request	Process
Secretariat	All project inception delays up to 12 months, provided that such delay would not lead/imply a major project change.	<ol style="list-style-type: none"> 1. IE to submit relevant documents as specified in the policy 2. Revision by the secretariat 3. Secretariat to inform the IE through letter officially clearing the project revision
	Delays related to submission of project performance reports (PPR)	
	Requests for no-cost extension of project completion date up to 18 months	
Board	Inception delays more than 12 months including any other delays that lead/implies a major project change.	<ol style="list-style-type: none"> 1. Documents submitted by IE as specified in the policy 2. Revision process by the secretariat 3. Submission to the Board for consideration and approval (intersessionally or through regular Board meeting)
	Inception delays beyond 18 months in exceptional cases	
	No-cost extension of project completion date beyond 18 months (cumulative)	



4. Useful resources

- Policy on Project Post Approval Requests for Changes (April 2025): https://www.adaptation-fund.org/wp-content/uploads/2017/11/OPG-Annex-7-Policy-on-Project-Post-Approval-Requests-for-Changes-in-Projects_Programmes-Amended-in-April-2025.pdf
- Policy for Project/Programme Delays (April 2025): https://www.adaptation-fund.org/wp-content/uploads/2013/07/Policy-for-Project_Programme-Delays-amended-in-April-2025-.pdf
- Guidance note on Evaluation Policy: <https://www.adaptation-fund.org/wp-content/uploads/2024/02/AFBEFC.318Add.6-02.13.24.pdf>
- Guidance note on Evaluation Budgeting <https://www.adaptation-fund.org/wp-content/uploads/2024/02/AFBEFC.318Add.3-02.13.24.pdf>
- Instructions to prepare an inception report: <https://www.adaptation-fund.org/document/inception-report/>
- Guidance to prepare a mid-term review: <https://www.adaptation-fund.org/document/mid-term-review/>
- Guidance to prepare a final evaluation: <https://www.adaptation-fund.org/document/final-evaluation/>
- Instructions to prepare a project completion summary: https://www.adaptation-fund.org/wp-content/uploads/2019/09/Project-Completion-Summary_Final.docx





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THANK YOU FOR YOUR ATTENTION!

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