



30.11.2017

National Advisory Board Standard Operating Procedures for Climate/DRR Projects



NATIONAL ADVISORY BOARD
on Climate Change and Disaster Risk Reduction
GOVERNMENT OF VANUATU

Overview

- Background
- Progress so far
- Draft Standard Operating Procedures
- Way forward



Why does the NAB/NDA need SOPs?

- Coordination of the endorsement of CCDRR projects
- Submission and appraisal is fair, transparent, greatest benefit
- Assist in monitoring, reporting, and verifying climate finance
- NIE fiduciary standards → accreditation → direct access
- Greater ownership over Vanuatu's sustainable development
- Recommended in CPEIR 2014, National CCDRR Policy



National Implementing Entity & Direct Access

Adaptation fund operational since 2007

- First direct access in 2010
- Vanuatu still does not have direct access

GCF became operational in 2015

- First direct access in 2015
- Nearly 2018 and Vanuatu still does not have direct access

SOPs critical to achieving NIE status and direct access



What are the NAB's SOPs?

SOPs are a standardised process for CCDRR projects:

- Seeking/sourcing projects - Process to review projects
- Submitting projects for funding - Project proposal template
 - Project logical framework
 - Project budgeting template
 - Project risk assessment tool
- Appraising and approving projects - Project screening tool
- Monitoring and reporting on projects – Reporting template
- Managing and resolving grievances - Feedback and grievance redress mechanism
- Dealing with conflicts of interest – Oath of service and code of conduct



SOP activities so far

- Desktop review
- Inception workshop
- Inception workshop report with feedback and recommendations
- **Validation workshop and report**
- Finalise SOPs based on review, stakeholder consultations, and workshops outcomes
- Design, plan, and facilitate 1-day training on SOPs



Project appraisal process - Overview

- Based on interim appraisal process used by the NAB
- Includes 3 stages:
 - Identification – to prevent duplication/overlap of projects
 - Concept – to assess whether a project is worth progressing
 - Funding Proposal – to determine whether the project design is complete and is likely to succeed

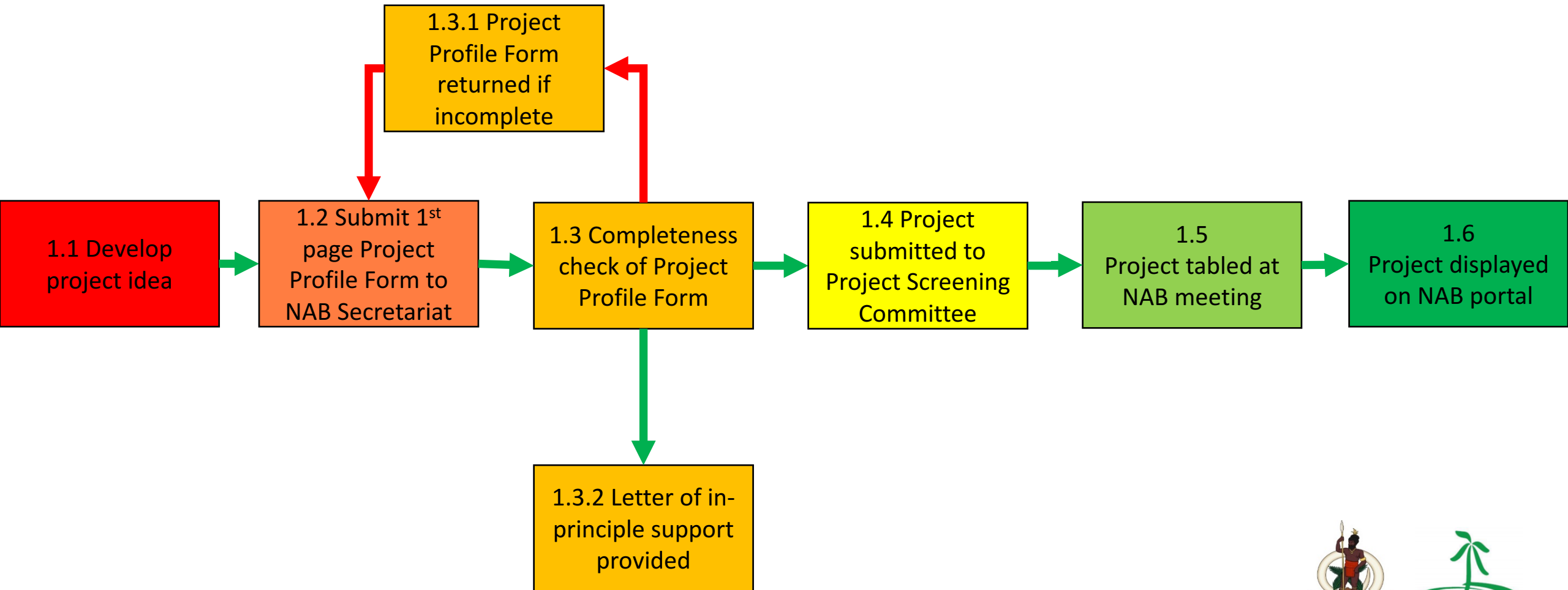


Project appraisal process – Identification

1	Project identification stage		
1.1	Develop project idea in consultation with agencies involved, and discuss with NAB Secretariat	Implementing / Executing Entity NAB Secretariat	
1.2	Completion and submission of 1 st page of Project Profile Form to NAB Secretariat nab@meteo.gov.vu	Implementing / Executing Entity	1 st page of Project Profile Form
1.3	Completeness of project profile form checked	NAB Secretariat	Completeness Check List
1.3.1	- Returns to implementing/executing entity if incomplete	NAB Secretariat	
1.3.2	- Letter of in-principle support provided	NAB Secretariat	Letter of in-principle support
1.5	Project is submitted to NAB Project Screening Committee and project number given	NAB Secretariat / NAB Project Screening Committee	1 st page of Project Profile Form
1.6	Project is tabled at NAB meeting	NAB Secretariat / NAB	1 st page of Project Profile Form
1.7	Project is listed on NAB Portal	NAB Secretariat	1 st page of Project Profile Form



Project appraisal process – Identification

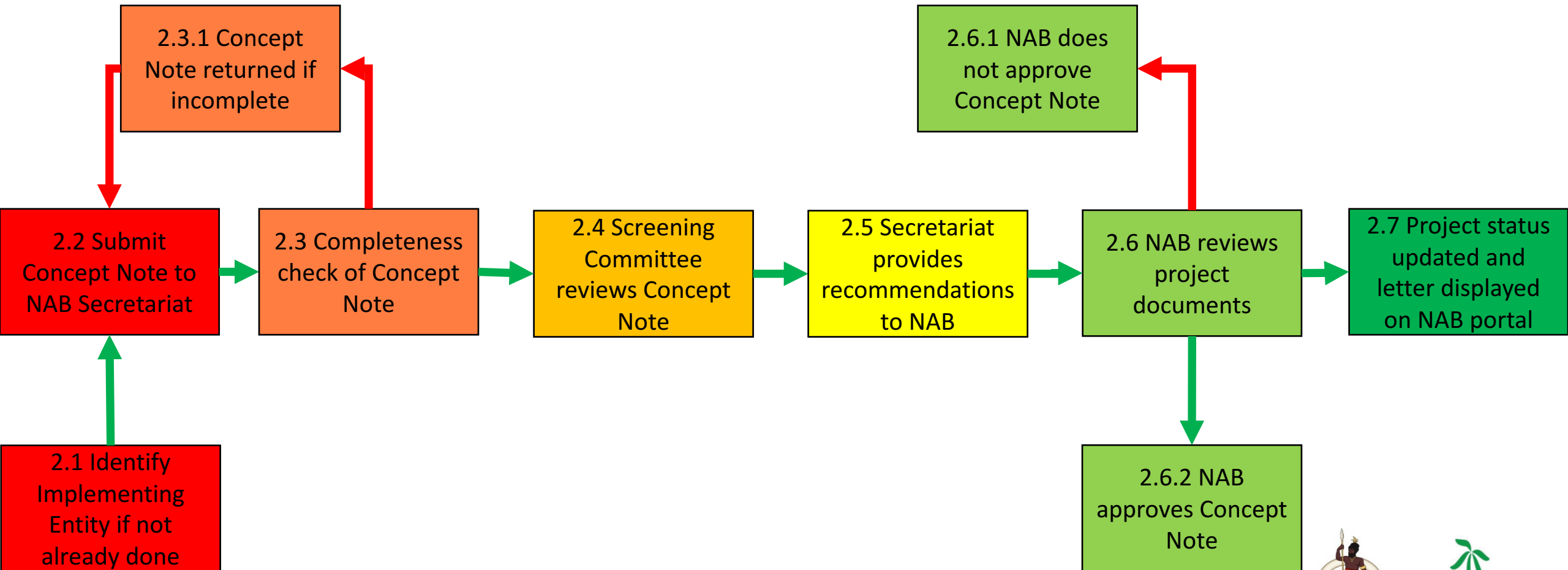


Project appraisal process – Concept note

2	Project concept stage		
2.1	Identification of implementing entity if not already done	Executing Entity	
2.2	Completion and submission of project concept note to NAB Secretariat nab@meteo.gov.vu	Implementing / Executing Entity	Project Concept Note 2 nd page Project Profile Form onwards
2.3	Completeness of project concept note checked	NAB Secretariat	Completeness Check List
2.3.1	- Returns to implementing/executing entity if incomplete	NAB Secretariat	
2.3.2	- If complete, submitted to Project Screening Committee	NAB Secretariat / Project Screening Committee	
2.4	NAB Project Screening Committee reviews project concept note	Project Screening Committee	Project Profile Form Project Concept Note Project Screening Form
2.5	NAB Secretariat provides the recommendations from the Project Screening Committee to the NAB	NAB Secretariat / NAB	Project Profile Form Project Concept Note
2.6	NAB reviews project documents	NAB	Project Profile Form Project Concept Note
2.6.1	- NAB does not approve project concept note	NAB / NAB Secretariat	Non Approval Letter
2.6.2	- NAB approves project concept note (with or without conditions)	NAB / NAB Secretariat	Letter of In-Principle Support
2.7	Project status updated and letter displayed on NAB Portal	NAB Secretariat	Letter of In-Principle Support / Non Approval Letter



Project appraisal process – Concept note

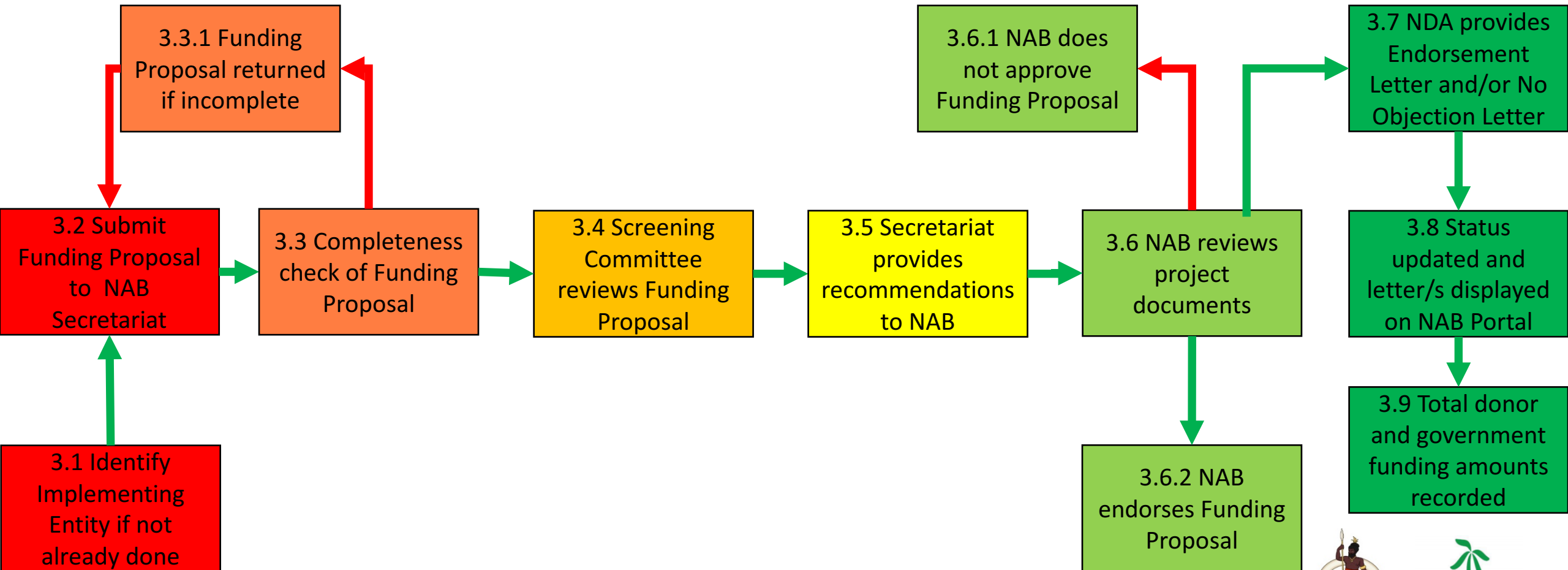


Project appraisal process – Funding proposal

3	Project funding proposal stage		
3.1	Identification of implementing entity if not already done	Executing entity	
3.2	Completion and submission of project funding proposal to NAB Secretariat nab@meteo.gov.vu	Implementing / executing entity	Project Profile Form Project Funding Proposal
3.3	Completeness of project funding proposal checked	NAB Secretariat	Completeness Check List
3.3.1	- Returns to implementing/executing entity if incomplete	NAB Secretariat	
3.3.2	- If complete, submitted to Project Screening Committee	NAB Secretariat / Project Screening Committee	
3.4	NAB Project Screening Committee reviews project funding proposal	Project Screening Committee	Project Funding Proposal Project Screening Form
3.5	NAB Secretariat provides the recommendations from the Project Screening Committee to the NAB	NAB Secretariat / NAB	Project funding proposal
3.6	NAB reviews project documents	NAB	Project Funding Proposal
3.6.1	- NAB does not approve project funding proposal or provides conditions	NAB / NAB Secretariat	Non-Approval Letter
3.6.2	- NAB endorses project funding proposal	NAB / NAB Secretariat	Endorsement Letter
3.7	For GCF projects, the NAB instructs the NDA to provide a No Objection Letter	NAB / NDA	No Objection Letter
3.8	Project status updated and Endorsement Letter (and No Objection Letter if applicable) displayed on NAB Portal	NAB Secretariat	Endorsement Letter / No Objection Letter
3.9	Total donor and Government funding amounts recorded	DSPPAC / MFEM	



Project appraisal process – Funding proposal



Project profile form – Overview

- New project profile form for CC and DRR projects
- Takes from current NAB forms, DSPPAC forms and GCF forms
- Follows on from 3-stage process with separate 'identification', 'concept' and 'full proposal' processes
- Completeness check stage ensures if the forms are incomplete they are returned to the applicant for resubmission
- Includes all key project information



Project profile form (1)



PROJECT PROFILE FORM

Project no.
DSPPAC file no.
GIP no.
Activity code

1. Project title:	
2. Project description: <i>[Brief description of project, key activities and outputs, how will it be implemented?]</i>	
3. Approval sought: <input type="checkbox"/> Notification* <input type="checkbox"/> Concept <input type="checkbox"/> Funding Proposal <i>*For notification of project, use first page only</i> <input type="checkbox"/> Continuation of existing project	
4. Funding window: <i>[e.g. GCF Readiness, GCF Project Preparatory Facility, GCF/GEF project, other]</i>	
5. Total funding and size (USD millions): <input type="checkbox"/> Micro (x≤10) <input type="checkbox"/> Small (10<x≤50) <input type="checkbox"/> Medium (50<x≤250) <input type="checkbox"/> Large (x>250)	6. Funding sources and access modality: <i>[e.g. GCF, multilateral, bilateral, Government of Vanuatu]</i> <input type="checkbox"/> Direct <input type="checkbox"/> International
7. Implementing entity/organisation:	8. Executing entity/lead government agency: <i>[e.g. Ministry / Department / Agency / NGO]</i>
9. Other government / partner agencies	10. Project contact details: <i>[Contact person, title, organisation, email, telephone, address]</i>
11. Location: <i>[e.g. village, island, province, and GPS coordinates if available]</i>	12. Duration: Years months From to
13. Theme(s): <input type="checkbox"/> Mitigation <input type="checkbox"/> Adaptation <input type="checkbox"/> Cross cutting <input type="checkbox"/> DRR / DRM	14. Climate/DRR relevancy (% of budget) <input type="checkbox"/> High (≥80%) <input type="checkbox"/> Medium (≥50%) <input type="checkbox"/> Low (≥25%) <input type="checkbox"/> Marginal (≥5%)



Project profile form (2)

<p>15. Sector(s):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Agriculture, forestry and fishing <input type="checkbox"/> Climate change <input type="checkbox"/> Culture and traditional knowledge <input type="checkbox"/> Disaster risk management <input type="checkbox"/> Economics and finance <input type="checkbox"/> Education and training <input type="checkbox"/> Employment <input type="checkbox"/> Energy <input type="checkbox"/> Government, law and administration <input type="checkbox"/> Health <input type="checkbox"/> Human settlements <input type="checkbox"/> Industry <input type="checkbox"/> Information technology & management <input type="checkbox"/> Meteorology and weather <input type="checkbox"/> Natural resources & the environment <input type="checkbox"/> Population and demographics <input type="checkbox"/> Security and conflict <input type="checkbox"/> Social development <input type="checkbox"/> Technology <input type="checkbox"/> Water 	<p>16. Scope:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Regional <input type="checkbox"/> National <input type="checkbox"/> Provincial <input type="checkbox"/> Community <p>17. Number of people impacted/affected:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Direct <input type="checkbox"/> Indirect <input type="checkbox"/> Women <input type="checkbox"/> Youth (<30 years) <p>18. Project Type:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Capacity building <input type="checkbox"/> Community awareness <input type="checkbox"/> Disaster response <input type="checkbox"/> Field implementation <input type="checkbox"/> Formal education program <input type="checkbox"/> Funding - small grants <input type="checkbox"/> Informal training courses <input type="checkbox"/> Knowledge communication <input type="checkbox"/> Pilot / trial / demonstration Project <input type="checkbox"/> Planning and governance <input type="checkbox"/> Policy formulation and integration <input type="checkbox"/> Policy support <input type="checkbox"/> Research (feasibility study etc.) <input type="checkbox"/> Other
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STOP HERE IF PROJECT ONLY AT NOTIFICATION STAGE

[Information provided on this form will be made publicly available unless otherwise agreed with the NAB Secretariat]



Project profile form (3)

19. Project rationale: *[What is the rationale for the project? What is its strategic context? What is the primary need, and how was it identified? Is this program building on any previous activities, projects or policy?]*

20. Project objective against the baseline: *[What is the objective of the project? Describe the baseline scenario (i.e. emissions baseline, climate vulnerability baseline, key barriers, challenges and/or policies) and the outcomes and the impact that the project will aim to achieve in improving the baseline scenario. Refer to the logical framework and theory of change template below]*

21. Policy coherence and alignment: *[provide details as to how the project aligns with the National Sustainable Development Plan (pillar, goal and objective), the Climate Change and Disaster Risk Reduction Policy, and other policies, plans, strategies and priorities]*

22. Current status: *[progress to date and current activities]*

23. Market overview: *[Describe the market for products or services, historical data and forecasts, competitive environment, list of competitors with market shares and customer base, key differentiating factors. Provide pricing structures, price controls, subsidies available and government involvement]*

24. Regulation, taxation and insurance: *[if applicable] [Government licenses or permits required for implementing and operating the project, issuing authority, date of issue or expected date. Applicable taxes and foreign exchange regulations. Insurance policies related to project]*

25. Executing entity background/justification: *[Quality of the management team, overall strategy, financial profile, equity investment, management, operations, production and marketing]*



Project profile form (4)

<p>26. Institutional / implementation arrangements: <i>[Governance structure of the project, organisation structure, roles and responsibilities of the project management unit, steering committee, executing entities and flow of funds structure. construction and supervision methodology with key contractual agreements, operational arrangements with key contractual agreements following the completion of construction]</i></p>										
<p>27. Results Areas <i>[GCF projects only]</i></p> <table><tr><td>Reduced emissions from (mitigation):</td><td>Increased resilience of (adaptation):</td></tr><tr><td><input type="checkbox"/> Energy access and power generation</td><td><input type="checkbox"/> Most vulnerable people and communities</td></tr><tr><td><input type="checkbox"/> Low emission transport</td><td><input type="checkbox"/> Health/well-being, & food/water security</td></tr><tr><td><input type="checkbox"/> Buildings, cities, industries & appliances</td><td><input type="checkbox"/> Infrastructure and built environment</td></tr><tr><td><input type="checkbox"/> Forestry and land use</td><td><input type="checkbox"/> Ecosystems and ecosystem services</td></tr></table>	Reduced emissions from (mitigation):	Increased resilience of (adaptation):	<input type="checkbox"/> Energy access and power generation	<input type="checkbox"/> Most vulnerable people and communities	<input type="checkbox"/> Low emission transport	<input type="checkbox"/> Health/well-being, & food/water security	<input type="checkbox"/> Buildings, cities, industries & appliances	<input type="checkbox"/> Infrastructure and built environment	<input type="checkbox"/> Forestry and land use	<input type="checkbox"/> Ecosystems and ecosystem services
Reduced emissions from (mitigation):	Increased resilience of (adaptation):									
<input type="checkbox"/> Energy access and power generation	<input type="checkbox"/> Most vulnerable people and communities									
<input type="checkbox"/> Low emission transport	<input type="checkbox"/> Health/well-being, & food/water security									
<input type="checkbox"/> Buildings, cities, industries & appliances	<input type="checkbox"/> Infrastructure and built environment									
<input type="checkbox"/> Forestry and land use	<input type="checkbox"/> Ecosystems and ecosystem services									
<p>28. Expected performance against investment criteria <i>[GCF projects only] [brief description]</i></p> <p>a) Climate Impact Potential: <i>[Potential of the project to contribute to the achievement of the GCF's objectives and result areas]</i></p> <p>b) Paradigm Shift Potential: <i>[Degree to which the proposed activity can catalyse impact beyond a one-off project investment]</i></p> <p>c) Sustainable Development Potential: <i>[Environmental, social and economic co-benefits, including gender-sensitive development impact]</i></p> <p>d) Needs of the Recipient: <i>[Vulnerability and financing needs of the beneficiary country and population]</i></p> <p>e) Country Ownership: <i>[Beneficiary country's ownership of, and capacity to implement, a funded project]</i></p> <p>f) Efficiency and Effectiveness: <i>[Economic and financial soundness of the project]</i></p>										
<p>29. Multi-stakeholder engagement <i>[Specify the plan for multi-stakeholder engagement, and what has been done so far in this regard, e.g. National, Provincial, Community, Civil Society, Private Sector]</i></p>										
<p>30. Potential overlaps / duplication to be resolved: <i>[What related projects are being undertaken in the area?]</i></p>										
<p>31. Technical feasibility/evaluation: <i>[Brief summary of technical feasibility of project]</i></p>										



Project profile form (5)

32. Economic and financial analysis/viability: <i>[Brief summary of the economic and financial viability of the project]</i>								
33. Financial management and procurement: <i>[Describe the project's financial management and procurement, including financial accounting, disbursement methods and auditing]</i>								
34. Environmental and social considerations: <i>[e.g. environmental and social impact safeguards / assessments]</i>								
35. Gender and social inclusion considerations: <i>[Gender, disability, indigenous concerns, assessment of any benefits from project to women and vulnerable groups]</i>								
36. Monitoring, reporting and evaluation: <i>[How will the project be monitored and evaluated? Provide project specific institutional and implementation arrangements for monitoring, reporting and evaluation. Provide methodologies for monitoring and reporting of the key outcomes of the project]</i>								
37. Sustainability measures: <i>[Exit strategy/ how will the project be sustained after project funding?]</i>								
38. Donor support/discussions with donors: <i>[What is the Vanuatu Government funding source? What is the future maintenance requirement? What are the future recurrent cost implications for the Government? Will the project fund local staff? If so, where? Are there additional staff required (e.g. counterparts, proposed TA Positions) (TOR must be included for all T/A positions)]</i>								
39. Supporting documents <i>[where applicable]</i> <table><tr><td><input type="checkbox"/> Concept note</td><td><input type="checkbox"/> Funding proposal</td></tr><tr><td><input type="checkbox"/> Approval letter</td><td><input type="checkbox"/> Project timetable</td></tr><tr><td><input type="checkbox"/> Cost/benefit analysis</td><td><input type="checkbox"/> Financial analysis</td></tr><tr><td><input type="checkbox"/> Location map <i>[detailed plans where construction is involved]</i></td><td></td></tr></table>	<input type="checkbox"/> Concept note	<input type="checkbox"/> Funding proposal	<input type="checkbox"/> Approval letter	<input type="checkbox"/> Project timetable	<input type="checkbox"/> Cost/benefit analysis	<input type="checkbox"/> Financial analysis	<input type="checkbox"/> Location map <i>[detailed plans where construction is involved]</i>	
<input type="checkbox"/> Concept note	<input type="checkbox"/> Funding proposal							
<input type="checkbox"/> Approval letter	<input type="checkbox"/> Project timetable							
<input type="checkbox"/> Cost/benefit analysis	<input type="checkbox"/> Financial analysis							
<input type="checkbox"/> Location map <i>[detailed plans where construction is involved]</i>								



Project profile form (6)

40. Provincial Secretary General certification

I certify that the project is in line with the Provincial Governments Provincial Plan. I also confirm that there is no ongoing dispute or disagreements that may adversely impact on the implementation of the project. I undertake to provide feedback on the implementation of the project when requested and will ensure that the project proponents submit a project completion report at the complementation of the project.)

Name

Signature

Date

41. Director of Lead Government Agency

I certify I have checked the project profile, and any other supporting information for screening this project. I am satisfied that this project proposal is ready for presentation for approval.

Name

Signature

Date

42. DSPPAC Sectoral Specialist sign off

I certify I have checked the project profile, and any other supporting information for screening this project. I am satisfied that this project proposal is ready for presentation for approval.

Name

Signature

Date

43. Director General's Certification

I certify that I have checked the project profile, and any other supporting information for screening this project. I am satisfied that this project proposal is ready for presentation for approval. I understand that no Government funding will be released for the project until the project has been approved by the appropriate government authorities, any additional government contribution has been appropriated, the approved donor funding has been released and a detailed project income and expenditure form has been submitted.

Name

Signature

Date



Project profile form exercise

1. USD 20 million / 2 billion Vatu
2. Mangroves/boardwalk in tourist resorts
3. UNEP
4. Department of Environment
5. GCF project
6. Concept note
7. Efate
8. Gudfala Vanuatu Climate Project
9. Ecosystems and ecosystem services
10. Provincial Secretary's signature
11. Project timetable



Project profile form exercise - answers

1. USD 20 million / 2 billion Vatu – **Total funding**
2. Mangroves/boardwalk in tourist resorts – **Project description**
3. UNEP – **Implementing entity**
4. Department of Environment – **Executing entity**
5. GCF project – **Funding window**
6. Concept note – **Approval sought**
7. Efate - **Location**
8. Gudfala Vanuatu Climate Project – **Project title**
9. Ecosystems and ecosystem services – **Results areas**
10. Provincial Secretary's signature – **Certification**
11. Project timetable – **Supporting documents**



Logical framework – Overview

- One of the most used methods to articulate and clarify how a set of activities will achieve the desired outcomes and objective of a project (its ‘theory of change’)
- The log frame represents a results map or results framework and captures basic monitoring and evaluation (M&E) requirements
- A project’s log frame is critical to determining the costs at the activity level required in the proposal template, the overall budget, and the timeline and key milestones



Logical framework – Template

Logical framework (objectives, impacts, outcomes, outputs, activities and inputs)

Objective <i>[The theory of change represents the long-term vision of the project (adaptation, mitigation or disaster risk reduction) and how this can be achieved through short-, medium- and long-term changes]</i>						
<i>[Adaptation, mitigation, disaster risk reduction]</i>	<i>[Elaborate on the objectives to which the project contributes] [For GCF projects a shift to low-emission sustainable development pathways, or increased climate-resilient sustainable development]</i>					
Expected Result	Indicator	Means of Verification	Baseline	Target		Assumptions
				Mid-term	Final	
Impacts (that contribute to the objective)						
<i>[For GCF projects refer to the performance measurement framework]</i>						
Project outcomes (that contribute to impacts)						
Project outputs (that contribute to outcomes)						
1.						
Activities	Description	Inputs		Description		
1.1		1.1.1.		<i>[Expand tables as needed]</i>		



Project budget template – Overview

- Allows for more information regarding project financing to be provided and therefore analysed and monitored
- Allows for listing of all funding sources
- Allows for listing of component costs
- Allows for pricing, tenor and seniority of loans to be stated



Project budget template (1)

PROJECT BUDGET COSTS (estimated in Vatu)

Items/component	Year 1	Year 2	Year 3	Year 4	Year 5	Total	Total USD	% of Total
Donor Loans								
Donor Grants								
Aid in kind*								
Vanuatu Government								
Loans								
Other e.g. Community								
GFC funding amount								

* contributions made directly towards projects realisation such as equipment, materials, labour, T/A, building works, vehicles, time etc. and other quantifiable resources that count towards the achievement of the project results



Project budget template (2)

PROJECT COMPONENT COSTS (estimated in Vatu):

Items/component	Year 1	Year 2	Year 3	Year 4	Year 5	Total	Total USD	% of Total
Equipment/materials								
- Sub-component								
Personnel/staff/labour								
- Sub-component								
Training/workshops etc.								
- Sub-component								
Travel								
- Sub-component								
<i>expand table as needed</i>								
Total								100%

Other examples of components might be project monitoring, contracts, rent, printing, overheads etc.



Project budget exercise

- The Gudfala Vanuatu Climate Project
- 1 billion Vatu loan over 5 years
- 1 billion Vatu grant over 5 years
- 500 million Vatu for equipment
- 500 million Vatu for staff
- 500 million Vatu for training
- 500 million Vatu for travel



Project budget exercise (2)

PROJECT BUDGET COSTS (estimated in Vatu)

Items/component	Year 1	Year 2	Year 3	Year 4	Year 5	Total	Total USD	% of Total
Donor Loans	200	200	200	200	200	1000	10	50
Donor Grants	200	200	200	200	200	1000	10	50
Aid in kind*								
Vanuatu Government								
Loans								
Other e.g. Community								
GCF funding amount								

* contributions made directly towards projects realisation such as equipment, materials, labour, T/A, building works, vehicles, time etc. and other quantifiable resources that count towards the achievement of the project results



Project budget exercise (3)

PROJECT COMPONENT COSTS (estimated in Vatu):

Items/component	Year 1	Year 2	Year 3	Year 4	Year 5	Total	Total USD	% of Total
Equipment/materials	100	100	100	100	100	500	5	25
- Sub-component								
Personnel/staff/labour	100	100	100	100	100	500	5	25
- Sub-component								
Training/workshops etc.	100	100	100	100	100	500	5	25
- Sub-component								
Travel	100	100	100	100	100	500	5	25
- Sub-component								
<i>expand table as needed</i>								
Total						2000	20	100%

Other examples of components might be project monitoring, contracts, rent, printing, overheads etc.



Risk assessment tool - Overview

- Allows for risks to be clearly outlined and classified
- Allows for impact and probability to be estimated
- Allows for project developer and/or project assessor to give a score to each risk and an overall risk score
- Assists in determining whether project should proceed and if so, how risks will be managed and mitigated



Risk assessment tool (1)

Risk factors, mitigation measures, and assessment tool

[Use tool to describe the financial, technical/operational, social/environmental and other risks that may prevent the project objectives from being achieved, and proposed risk mitigation measures.]

Selected Risk Factor 1				
Description	Risk category	Level of impact	Probability	Score
<i>[Description of risk factor]</i>	Select	Select	Select	
Mitigation Measure(s)				
<i>[Describe how the identified risk will be mitigated or managed. Do the mitigation measures lower the probability of risk occurring? If so, to what level?]</i>				
Selected Risk Factor 2				
Description	Risk category	Level of impact	Probability	Score
	Select	Select	Select	
Mitigation Measure(s)				
<i>[Expand table as needed]</i>				
Total score (add all the scores and divide by the total number of risk factors)				
<i>[Describe other potential issues which will be monitored as “emerging risks” during the life of the project (i.e. issues that have not yet raised to the level of “risk factor” but which will need monitoring). This could include issues related to external stakeholders such as project beneficiaries or the pool of potential contractors.]</i>				



Risk assessment tool (2)

Multiply the impact of each risk factor by the probability of each risk factor to give an individual risk factor score. Then add all the individual risk factor scores and divide by the number of risk factors to give an overall project risk score.

	Probability	Low	Medium	High
Impact	Score	(1)	(2)	(3)
Low	(1)	1	2	3
Medium	(2)	2	4	6
High	(3)	3	6	9

Key  1 Negligible  2 Minor  3 Moderate  4 Major  6 Severe  9 Extreme



Risk assessment exercise (1)

Risk 1: Local community reneges on approval for project

Risk 2: Co-financing no longer available

Is the risk social/environmental, technical/operational, financial, other?

Is the impact of the risk likely to be:

- Low < 5% of project value
 - Medium $5\% \leq$ of project value $\leq 20\%$
 - High > 20% of project value
- What is the probability of the risk: low, medium or high?



Risk assessment exercise (1)

Risk 1: Local community retracts approval for project

Category = Other, Impact = High, Probability = Low

= $3 \times 1 = 3$ moderate

Risk 2: Loan no longer available

Category = Financial, Impact = High, Probability = Low

= $3 \times 1 = 3$ moderate

Total risk = $3 + 3 / 2 = 3$ which is a moderate risk



Risk assessment exercise (2)

Risk factors, mitigation measures, and assessment tool

[Use tool to describe the financial, technical/operational, social/environmental and other risks that may prevent the project objectives from being achieved, and proposed risk mitigation measures.]

Selected Risk Factor 1				
Description	Risk category	Level of impact	Probability	Score
Local community retracts approval for project	Other	High (3)	Low (1)	3
Mitigation Measure(s)				
<i>[Describe how the identified risk will be mitigated or managed. Do the mitigation measures lower the probability of risk occurring? If so, to what level?]</i>				
Selected Risk Factor 2				
Description	Risk category	Level of impact	Probability	Score
Loan no longer available	Financial	High (3)	Low (1)	3
Mitigation Measure(s)				
<i>[Expand table as needed]</i>				
Total score (add all the scores and divide by the total number of risk factors)				3
<i>[Describe other potential issues which will be monitored as “emerging risks” during the life of the project (i.e. issues that have not yet raised to the level of “risk factor” but which will need monitoring). This could include issues related to external stakeholders such as project beneficiaries or the pool of potential contractors.]</i>				



Project screening form - Overview

- NAB Project Screening Committee has 7 members (quorum is 4)
- Appraises projects prior to every NAB meeting
- NAB Secretariat, DSPPAC sectoral analyst, MoCC PMU, MFEM, Environment, Local Authorities and Women's Affairs
- Expedites project appraisal processes by reviewing and recommending to the NAB based on Vanuatu's priorities and needs
- Project screening tool will assist NDA/NAB Project Screening Committee in making transparent, informed and equitable decisions by outlining the following areas for appraisal:



Project screening form (2)

- Strong climate rationale and objective for project
- National policy alignment
- Organisational suitability/Governance arrangements
- Risk management strategies
- Engagement, local ownership and consultation
- Proof of no duplication of work
- Technical and economic/financial viability
- Environmental and social (gender) impacts
- Monitoring and evaluation
- Sustainability
- GCF (strategic results areas and investment criteria/priorities)

Project screening form (1)



PROJECT SCREENING FORM

Project no.
DSPPAC file no.
GIP no.
Activity code

Project title		
Criteria	Guiding questions	Comments
1. Project rationale	1.1 Does the project has a satisfactory rationale? 1.2 Is it supported by a justified primary need, and was this identified appropriately? 1.3 Is there sufficient evidence to support this, e.g. survey, report?	
2. Project objective against the baseline	2.1 Has the objective of the project been clearly defined? 2.2 For climate change projects, has an emissions/vulnerability baseline scenario been identified? 2.3 Is the project likely to improve the baseline scenario?	



Project screening form (2)

<p>3. Policy coherence and alignment (national priorities, country ownership, national support)</p>	<p>3.1 Is the project aligned with, and does it advance, national priorities?</p> <p>3.2 Does the project proposal directly link activities to specific policy objectives or strategies of the Vanuatu Government, e.g. National Sustainable Development Plan, Climate Change and Disaster Risk Reduction policy, other policies / plans and strategies e.g. sectoral plans, corporate plans or sub-national plans?</p> <p>3.3 Is it consistent with the NDC, a NAMA or the National Adaptation Plan? Does the project assist with meeting targets for mitigation and / or adaptation?</p> <p>3.4 Is national support sufficiently evidenced, e.g. letter of support from national counterpart(s) (Line ministry and department, provincial counterpart, and/or other community based institutions)?</p>	
<p>4. Implementing/ executing entity background/ justification</p>	<p>4.1 Do the implementing and executing entities have sufficient/suitable capacity and technical expertise in relation to the project scope and its components?</p> <p>4.2 Do they have track record / previous experience / credibility in similar work? Have they sufficiently justified this?</p>	



Project screening form (2)

	4.3 Do they have sufficient knowledge, skills and staffing to implement the project?	
5. Risk management strategies	5.1. Have the risks and methods to address these been identified and justified? e.g. financial, technical and operational, environmental and social, political, and other risks etc. See the project's risk assessment tool	
6. Multi-stakeholder engagement	6.1. Does the project take into consideration and/or involve all possible relevant stakeholders (in particular private sector, provinces, local communities, and civil society where relevant)?	
7. Potential overlaps / duplication, to be resolved (and location / geographic area suitability)	7.1. Is the project duplicating existing work? Refer to the following sections to make your decision: theme, sector, project type, project components, location 7.2. Is it proposed that the project be implemented in an area that has already been supported by another project with same/similar activities?	
8. Technical feasibility and evaluation	8.1. Is the project considered to be technically feasible?	
9. Economic and financial viability	9.1. Is the project considered to be economically and financially feasible?	



Project screening form (2)

10. Environmental and social considerations	10.1. Have potential environmental and social risks been considered? 10.2. Have environmental safeguards been sufficiently considered? 10.3. Have social safeguards been considered and safeguards in place?	
11. Gender and social inclusion considerations	11.1. Have these been covered adequately in the proposal, e.g. gender, disability, indigenous concerns? Also refer to the number of people affected.	
12. Monitoring, reporting and evaluation	12.1. Are the monitoring, reporting and evaluation processes sufficiently outlined?	
13. Sustainability measures	13.1. Is there evidence that the project activities can be maintained without further external input? 13.2. How will the project be sustained after project funding ceases?	
14. Donor support / discussions with donors	14.1. Is there sufficient evidence of discussions with donors and indication of any funding and staff implications for the Government?	
15. Paradigm shift potential [for GCF projects]	15.1. Does the project have the potential to catalyse impact in the long term, and beyond the scope of the proposed project (potential for scaling-up and replication of the project, knowledge and learning, contribution to regulatory frameworks, policies and public planning, mobilization of other actors, market development and transformation)?	



Project screening form (2)

<p>16. Impact Potential <i>[for GCF projects]</i></p>	<p>16.1. Mitigation projects: Contribution to the shift to low-emission sustainable development pathways e.g. CO₂e reduced as a result of the project, and/or cost effectiveness, i.e. total cost of project compared to CO₂e reduced</p> <p>16.2. Adaptation projects: Contribution to increased climate-resilient sustainable development, e.g. total number of direct and indirect beneficiaries, and/or number of beneficiaries relative to the total population</p>	
<p>17. Sustainable development potential <i>[for GCF projects]</i></p>	<p>17.1. Does the project have substantial context specific economic, social, environmental and gender-sensitive development impact co-benefits? (examples include improved public health, improved energy security and improved forest ecosystem health)</p>	
<p>18. Needs of the recipient <i>[for GCF projects]</i></p>	<p>18.1. Level of exposure to climate risks and the degree of vulnerability, needs and vulnerability of the beneficiary population or sector, and the extent to which the project reduces these vulnerabilities. Has a vulnerability assessment been conducted?</p>	



Project screening form (2)

19. Efficiency and effectiveness <i>[for GCF projects]</i>	19.1. Economic and financial soundness of project, taking into consideration the total amount requested, financing already or expected to be secured, any potential revenues and in-kind contributions.	
20. Status of Allocation <i>[for GCF Readiness Support only, see next page]</i>	20.1. What is the status of the Vanuatu country allocation? Is there sufficient fund under the Readiness Allocation for the year under which the project is seeking implementation? Refer to GCF Allocation Track Sheet	
21. Conclusion / comments		
22. Project Screening Committee Member	Recommended <input type="checkbox"/>	Not recommended <input type="checkbox"/>
	Name	Signature



Project reporting template - Overview

- Uses DSPPAC 6-monthly report (SMR) and the GCF (Evaluation Framework) as basis
- Allows for outlining of total funding
- Amount of budget committed
- Total expenses liquidated
- Report on outputs delivered
- Report on issues, challenges, and opportunities for growth
- Report on strategies in place to address or mitigate these challenges
- Sign off



Project reporting template (1)



PROJECT REPORTING FORM

The purpose of this report is to inform on the progress of the implementation of CCDRR projects. This form is to be completed by project/monitoring and evaluation officers.

Project no.
DSPPAC file no.
GIP no.
Activity code

1. Project Title:	
2. Project approval date: --/--/--	3. % of project completed at: _____% --/--/--
4. Implementing entity / organisation:	5. Executing agency/lead government agency:
6. Location: [e.g. village, island, province, and GPS coordinates if available]	7. Duration: Years months From to
8. Current status: [progress to date and current activities]	
9. Delays: [If the project experienced any delay/s, explain why and what caused the delay/s]	
10. Initial project budget approved by MBC or financing agreement (VT): _____	11. Funding sources (VT): Donor loan: Donor grant: Vanuatu Government: Aid in kind: Loans: Other, e.g. community: GCF funding amount:



Project reporting template (2)

<p>12. Budget committed (VT) as at:</p> <p style="text-align: center;">_ _ / _ _ / _ _</p> <p style="text-align: center;">_____</p> <p style="text-align: center;">% of budget committed: _____%</p>	<p>13. Budget committed (VT):</p> <p>Donor loan:</p> <p>Donor grant:</p> <p>Vanuatu Government:</p> <p>Aid in kind:</p> <p>Loans:</p> <p>Other, e.g. community:</p> <p>GCF funding amount:</p>
<p>14. Total expenses (VT) liquidated at:</p> <p style="text-align: center;">_ _ / _ _ / _ _</p> <p style="text-align: center;">_____</p> <p style="text-align: center;">% of budget spent: _____%</p>	<p>15. Expensed liquidated (VT):</p> <p>Donor loan:</p> <p>Donor grant:</p> <p>Vanuatu Government:</p> <p>Aid in kind:</p> <p>Loans:</p> <p>Other, e.g. community:</p> <p>GCF funding amount:</p>
<p>16. Outputs delivered: <i>[To what degree have the project activities been implemented and to what degree have the outputs been achieved so far? Is each output indicator on track to meet its target? Is the project likely to achieve its objective compared to the baseline scenario? Also refer to the logical framework / theory of change. For GCF projects please refer to the GCF Investment Framework, Results Management Framework and Performance Management Framework.]</i></p>	
<p>17. Issues, challenges, and opportunities for growth: <i>[Describe any factors that affected/or are likely to affect the smooth implementation of the project as well as any success stories. Also refer to the risk assessment tool.]</i></p>	



Project reporting template (3)

18. What strategies are in place to address and/or mitigate these challenges? <i>[Also refer to the risk assessment tool]</i>	
19. Environmental and social performance: <i>[Describe how the project has performed in regard to environmental and social safeguards]</i>	
20. Gender and social inclusion performance: <i>[Describe how the project has performed in regard to gender and social inclusion]</i>	
21. Name of officer completing this form:	22. Date form is completed on: _ _ / _ _ / _ _
23. Implementing entity/organisation:	
24. Name of project manager <i>[if different from above]:</i> _____	
25. E-mail: _____	Telephone: _____
26. Executing agency / lead government agency:	
27. Name of responsible officer: _____	
28. E-mail: _____	Telephone: _____



Oath of Service and Code of Conduct

- Assists in advising on, and avoiding, potential conflicts of interest
- Assists in advising on confidentiality of information
- Ensures there is a signed statement by NAB members
- Ensures Project Screening Committee and NAB members are aware of their responsibilities
- Gives project developers and the public greater confidence in the NAB members and decisions made by the NAB
- Any disclosed interest by a NAB member recorded in minutes of meeting, and NAB member removed from voting on that project



Oath of Service

*“I solemnly declare that I will **perform my duties** as a member, or authorised officer representing a member, of the National Advisory Board on Climate Change and Disaster Risk Reduction (NAB) pursuant to Section 9 of the Meteorology, Geological Hazards and Climate Change Act 2016, **honourably, faithfully, impartially and conscientiously.**”*

*“I further solemnly declare and promise that I shall **have no financial interest** in any project or programme considered by the NAB. Subject to my responsibilities to the NAB, I shall **not disclose**, even after the termination of my functions, **any confidential or proprietary information** coming to my knowledge by reason of my duties for the NAB.”*

*“I shall **disclose** to the NAB **any interest** in any matter under discussion before the NAB which may constitute a **conflict of interest** or which might be **incompatible with the requirements of integrity and impartiality** expected of a member of the NAB, and I shall **refrain from participating in the work of the NAB in relation to such matter.**”*



Code of conduct (1)

Each member, or any authorised officer representing a member, of the National Advisory Board on Climate Change and Disaster Risk Reduction (NAB) will:

- Discharge his/her duties with honesty, integrity and full regard for his/her responsibilities as a NAB member
- Respect the confidentiality of all confidential information acquired in his/her position as a NAB member and not make improper use of or disclose such confidential information to third parties
- Observe the principles of independence, accuracy and integrity in dealings with other NAB members, the NAB secretariat and NAB stakeholders
- Exercise personal discretion in deciding whether s/he has a real or perceived conflict of interest with respect to any matter under consideration by the NAB and take appropriate action, which may include remaining silent and/or leaving the room during deliberations and decisions of the NAB, and disclose to the NAB any actual or perceived conflicts of interest of a direct or indirect nature of which s/he is aware and which s/he believes could compromise in any way the reputation or performance of the NAB



Code of conduct (2)

- Maintain the principle of transparency in the preparation and delivery of information to other NAB members and NAB stakeholders
- Remain committed to observing, developing and implementing the principles embodied in this Code in a conscientious, consistent and rigorous manner.

A “conflict of interest” refers to any current professional, financial or other interest which could:

- significantly impair the individual’s objectivity in carrying out his or her duties and responsibilities for the NAB, or
- create an unfair advantage for any person or organisation. For the purposes of this code, circumstances that could lead a reasonable person to question an individual’s objectivity, or whether an unfair advantage has been created, constitute a potential conflict of interest.



Conflicts of Interest exercise

1. NAB member is Chief of the village where the project will be undertaken
2. NAB member's daughter is CEO of project company
3. NAB member is Director of, and has shares in, project company
4. NAB member is DG of sponsoring ministry
5. NAB member worked for project company 20 years ago
6. Project is to be undertaken in the Prime Minister's village

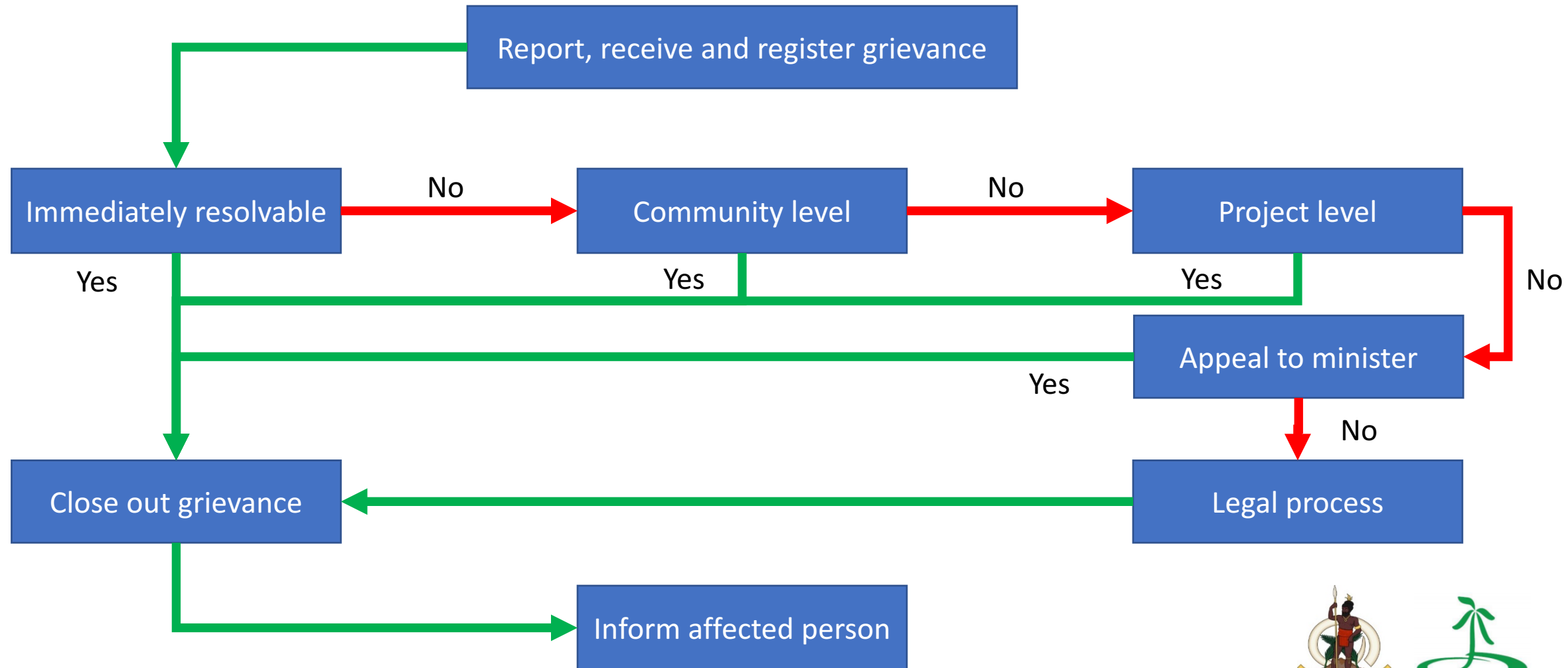


Feedback & grievance redress mechanism (1)

- Provides formal process for making complaints
- Does not replace existing processes
- Can still pursue customary system, organisational audit mechanisms
- Can pursue legal remedies, e.g. redress through courts, administrative law procedures, or other formal dispute resolution mechanisms
- Corruption, coercion, or major/systematic violations of rights or policies normally handled by organisational accountability mechanisms



Feedback & grievance redress mechanism (2)



Next steps

- Finalise SOPs based on review, stakeholder consultations, and workshops outcomes
- Design, plan, and facilitate 1-day training on SOPs

