



11.09.17

# National Advisory Board Standard Operating Procedures for Climate Projects



**NATIONAL ADVISORY BOARD**  
on Climate Change and Disaster Risk Reduction

GOVERNMENT OF VANUATU

# What are the NAB's SOPs?

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SOPs are a standardised process or way of:

- Seeking/sourcing CC/DRR projects
  - Submitting CC/DRR projects for funding
  - Appraising CC/DRR projects
  - Approving climate change projects
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- Monitoring, reporting (budget) and evaluating CC/DRR projects
  - Responding to grievances regarding climate change projects
  - Dealing with conflicts of interest



# Why does the NAB need SOPs? (1)

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- Climate change and disaster risk reduction interventions are increasing in Vanuatu
- Implemented via multiple channels, i.e. government, civil society, development partners
- Proliferation of climate finance mechanisms, e.g. GCF, AF
- Planning/scrutiny needed for effective coordination and so most vulnerable are reached
- Difficult to monitor, report, and verify climate finance, and account for effective and equitable use
- Difficult to track flows because dedicated climate funds and climate relevant funds not explicitly identified as mitigation or adaptation
- Even flows that are reported to Government cannot be tracked adequately due to diverse climate finance accounting processes
- Direct access to climate finance limited by Vanuatu's inability to currently meet the strict fiduciary standards required for accreditation by international funds



# Why does the NAB need SOPs? (2)

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- NAB, DSPPAC, and the development partners use various project documents and processes for applicants to seek project funding and support
- SOPs can clearly define the relationship and linkages of the NAB with other relevant agencies such as the NAB Secretariat, DSPPAC, MFEM and MoCC
- Allows for coordination between the endorsement of climate change projects by NAB and other stakeholders without overlap or duplication
- Ensure appropriate monitoring and evaluation, and financial oversight and tracking of climate finance and project funds
- Overall aim of the SOPs is to ensure that the submission and appraisal of climate finance projects is undertaken fairly and transparently for the greatest benefit to the people of Vanuatu

# Institutional review and reform

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- To better address these challenges, the overall institutional set up has recently undergone review and reform
- To develop capacity and better fulfil the roles and responsibilities of government departments in the coordination, financial management and implementation of the various climate change initiatives
- Much depends on Vanuatu's ability to strengthen the institutional structures of the National Advisory Board on CC/DRR (NAB) and the National Designated Authority (NDA)
- The SOPs form part of this institutional review



# National Advisory Board on CC/DRR

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- NAB is supreme authority and official advisory body for CC & DRR
- Legislated to oversee all works pertaining to CC and DRR in Vanuatu
- Stewards the national CCDRR Policy
- Responsible for overall management and coordination of climate finance
- Comprises high-level government representatives (Directors), civil society representative (NGO)
- Appraises and endorses projects
- Holds GCF decision making authority
- Supported by NAB secretariat, meets bi-monthly (6 times a year)



# National Designated Authority

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- DG of MoCC is mandated with coordinating all government and non-governmental initiatives addressing climate change and disaster risk reduction
- Also chairs NAB, and is the technical focal point for the UNFCCC
- Adheres to CC/DRR priorities set by NAB and in GoV Policy
- Is the NDA appointed to engage with the GCF fund
- Oversee Vanuatu's GCF portfolio
- Coordinates GCF activities among stakeholders



# GCF Readiness Programme

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- Support Vanuatu to effectively access and deploy resources from the Green Climate Fund, specifically to undertake preparatory activities to enhance country ownership, access and cross-cutting programming
- Delivery partner - GIZ
- Duration - 18 months (Jan 2017 – June 2018)
- Funding - Approx. VUV 30,000,000 (EUR 260,000, USD 280,000)
- 2 program components
  - Strengthening of the office of the National Designated Authority - SOPs
  - Country Programming - Long term strategic engagement with the GCF





# GCF National Implementing Entity

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- The NAB SOPs will allow Vanuatu to be accredited as a National Implementing Entity (NIE) for the Green Climate Fund (GCF)
- This will allow for direct access to climate finance from the GCF and greater ownership over its sustainable development
- This was recommended as part of Climate Public Expenditure and Institutional Review (CPEIR) 2014
- Also recommended in Vanuatu's National Climate Change and Disaster Risk Reduction (CCDRR) Policy



# CPEIR Recommendations

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- Vanuatu-tailored project concept/proposal templates for the NDA/NAB
- Procedures to review GCF project designs and log frames
- A high-level GCF project appraisal process
- NAB project budgeting and reporting templates
- Processes, templates & guidelines consistent with GCF
- Process for reviewing project M&E approaches, results based management baselines, reporting protocols within GCF projects submitted to NDA
- Process for facilitating independent project evaluations
- The CPEIR was recently reviewed and we are awaiting the draft report



# Standard Operating Procedures activities

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- Desktop review on existing documents
- Inception workshop
- Workshop report with recommendations and feedback on proposed NAB SOPs content, structure and use
- Consultation and report covering approaches and considerations
- Based on review, stakeholder consultations, and inception workshop outcomes develop SOPs (including user friendly templates, forms and guidance) to be used by the NAB and NDA for GCF projects
- Design, plan, and facilitate 2-day training on draft NAB SOPs for stakeholders



# SOP Templates

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- Develop project proposal template
  - Using the current GCF Project Profile Brief Form
  - in line with GCF forms (Readiness, PPF, project, PSF)
  - in line with other project appraisal processes used in Vanuatu
- Develop project budgeting template
- Develop project reporting template (in line with reporting guidelines):
  - of the GCF (Evaluation Framework), and
  - DSPPAC 6-monthly report (SMR)



# SOP Process

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- Process to review projects
- Screening tool for screening committee to use – in line with GCF Investment Criteria & Priority Areas, CCDRR Policy, NSDP, other relevant sector policies, SDGs, Interim GCF ESSF
- Project risk assessment tool
- Monitoring & evaluation process (in line with: DSPPAC M&E (NSDP) & CCDRR policy, GCF Results Management Framework, GCF reporting protocol)
- whistle-blowing / grievance redress process
- Conflict of interest management / minimising risks of it happening



# Desktop review

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- Project appraisal processes (existing templates: project design, project budget & reporting)
- Project monitoring and evaluation processes
- Program grievance processes
- National Advisory Board on Climate Change and Disaster Risk Reduction
- MoCC, MoCC PMU
- Development partners (e.g. World Bank, ADB, UNDP)
- Department of Strategic Policy Planning and Aid Coordination (DSPPAC)
- Vanuatu Project Management Unit
- Department of Energy



# National Advisory Board on CC and DRR

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- NAB has legal mandate under the Meteorological and Geo Hazards Act, governing its members as well as its responsibilities
- Compulsory for all CC/DRR projects that are undertaken in Vanuatu to be reviewed and endorsed by the NAB, regardless of whether project has been given approvals or permits by other government processes
- NAB makes the final decision on whether a project can or cannot be implemented, as well as place conditions on program implementation
- There is no established process for general CC/DRR projects, but there is an interim process for GCF projects



# NAB Interim appraisal process (1)

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The NAB Secretariat drafted a concept note, the Interim Project Appraisal Guidelines for Vanuatu to guide applicants, the Project Screening Committee and the NAB until SOPs were developed, this included the following process:

1. Brainstorm an idea for climate change adaptation and/or mitigation
2. Find Accredited Entity willing to act as intermediary agency with GCF
3. Inform the the NAB Secretariat/NDA
4. Develop a GCF Concept Note
5. Accredited entity fills-in and submits the NAB Project Brief form to the NAB Secretariat





# NAB Interim appraisal process (2)

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6. All submissions are to be appraised by the NAB Project Screening Committee
7. The NAB Project Screening Committee uses “criteria” to assess the project
8. NAB makes decision based on Project Screening Committee recommendations
9. The NAB’s decision is forwarded to the party seeking endorsement:
10. If the project concept is successful, the NAB Secretariat informs the stakeholder and the NDA prepares a validation letter
11. If the project concept is unsuccessful and is conditional, the NAB Secretariat informs the party
12. Full project proposal must be submitted back to the NAB for final review and approval/endorsement
13. After receiving final endorsement by the NAB, NAB drafts a letter of No Objection and submits the proposal to the GCF Board

# Vanuatu's GCF Project Development Process



*1) Identify  
Priority Needs*

*2) Identify AE  
& get buy-in*

*3) AE fill in  
NAB project  
Brief Form*



*4) Submit to  
NAB  
Secretariat*

*5) NAB review*

*6) NOL to GCF*

2 NAB submissions

**1. Concept stage**

**2. Full project proposal stage**

# NAB Appraisal Process Feedback

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- Do people know about the interim NAB process?
- What have been your experiences?
- Is the process working?
- How could it be improved?



# NAB GCF Project Profile Form



REPUBLIC OF VANUATU  
NATIONAL ADVISORY BOARD ON  
CLIMATE CHANGE AND DISASTER RISK REDUCTION

C/O Corporate Services Unit  
Ministry of Climate Change and Natural Disasters

Private Mail Bag 9054, Port Vila  
Telephone: (678) 22331; Fax: (678) 22310  
Email: nab@meteo.gov.vu; Web: www.nab.vu



## GCF PROJECT PROFILE FORM

<b>Project Title:</b> <i>(Enter Your Project Title)</i>	
<b>GCF Funding:</b> <input type="checkbox"/> Readiness <input type="checkbox"/> Project Preparatory Facility <input type="checkbox"/> Pipeline Project	
<b>Implementing Organization(s):</b> <i>(List the Implementing Organization(s)...) </i>	<b>Project Contact Details:</b> <i>(Enter your Project Contact Details...)</i>
<b>Organizational Expertise Justification:</b> <i>(What's your organizations expertise in relation to this project? Justify your implementation experience)</i>	
<b>Duration:</b> <i>(Enter here...)</i> From <i>Start Date</i> To <i>End Date</i>	<b>Total Funding:</b> <i>(Enter here...)</i>
<b>Location and Site(s):</b> <i>(Enter Project Sites...)</i>	<b>Funding Source(s):</b> <i>(Enter here...)</i>
<b>Lead Government Agencies:</b> <i>(Enter here...)</i>	<b>Scope:</b> <input type="checkbox"/> Regional <input type="checkbox"/> National <input type="checkbox"/> Provincial <input type="checkbox"/> Community
<b>Other Government &amp; Partner Agencies:</b> <i>(Enter here...)</i>	<b>Project Type:</b> <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 <input type="checkbox"/> Other
<b>Sector(s):</b> <i>(Water, Agriculture, etc...)</i>	
<b>Theme(s):</b> <input type="checkbox"/> CCA <input type="checkbox"/> DRR / DRM <input type="checkbox"/> CCM	
<b>Modality:</b> <i>(eg, via GoV system...)</i>	
<b>Supporting Letter(s) from Government and any other Civil Society/Community partners attached. If Yes, specify which Agency:</b> <i>(Enter here...)</i>	

<b>NAB Approval sought:</b> <input type="checkbox"/> Concept <input type="checkbox"/> Project Proposal
<b>Rationale:</b>  <b>a) What is the rationale for the project? What is the primary need, and how was it identified?</b> <i>(100 words max)</i>  <b>b) Is this program building on any previous activities or policy</b> <i>(Enter here...)</i>
<b>Description:</b>  <b>c) Outline key project components</b> <i>(Enter here...)</i>  <b>d) How will it be implemented?</b> <i>(Governance arrangements – e.g. implemented by who; scope...)</i>  <b>e) Will the project fund local staff? If so, where?</b> <i>(Enter here...)</i>  <b>f) Policy Alignment</b>  <b>1. National Sustainable Development Plan</b> <i>(Please specifically link activities with policy objectives)</i>  <b>2. Climate Change and Disaster Risk Reduction Policy</b> <i>(Please specifically link activities with policy objectives)</i>  <b>3. Other policies / plans and strategies</b> <i>(e.g. Provincial Strategies, Corporate plans, Sector, Regional and or international frameworks...etc) (Please specifically link activities with policy objectives)</i>  <b>g) What related projects are being undertaken in the area?</b> <i>(Enter here...)</i>  <b>h) Potential overlaps/duplication to be resolved</b> <i>(Justify the location / thematic area of work including justification that no one else is doing the same activities and or that these are complementing existing activities)</i>  <b>i) Risk Management Strategies</b> <i>(Identify the risks and methods to address these risks)</i>  <b>j) Environmental and Social Safeguards</b> <i>(what are the potential environmental and or social impacts and how will they be addressed)</i>  <b>k) Sustainability Measures</b> <i>(Enter here...)</i>  <b>l) Monitoring and Evaluation</b> <i>(Enter here...)</i>  <b>m) Other cross cutting issues</b> <i>(e.g. Gender, Disability, Indigenous concerns...etc)</i>
<b>If you are seeking support under GCF Readiness, please fill in this section.</b>

**How does your project align to one or several of the 4 areas of the GCF Readiness Programme.** *(Refer to following document for guidance)*



Indicative list.docx

- 1. Establishing and strengthening national designated authorities or focal points?**  
*(Enter here...)*
- 2. Strategic frameworks, including the preparation of country programmes?**  
*(Enter here...)*
- 3. Support for accreditation and accredited direct access entities?**  
*(Enter here...)*
- 4. Formulation of national adaptation plans and/ or other adaptation planning process**  
*(Enter here...)*

**Progress to date and current activities:** *(100 words max)*

**Tangible Outputs & Deliverables:**

*(IEC Materials, guidelines & handbooks, certified trainings, resources...)*



# NAB GCF Project Profile Form

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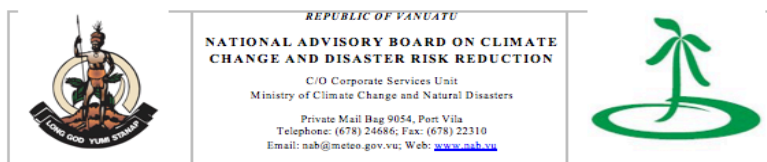
- NAB has a GCF Project Profile Form, includes fields for:

project information/sector/type	risk management strategies
rationale	environmental and social safeguards
implementation details/justification	sustainability measures
funding information/modalities	monitoring and evaluation
supporting letters	cross cutting issues
policy and/or GCF readiness alignment	progress to date
related projects/potential overlap	tangible outputs and deliverables

- to ensure projects align with goals of GCF, no duplication, risk management and safeguards, M&E to ensure project success
- NAB has similar CC/DRR Project Brief Form for non GCF projects



# NAB CC/DRR Project Brief Form



## CC/DRR Project Brief Form

<b>Project Title:</b>	
<b>Implementing Organisation/s:</b>	<b>Project Contact Details:</b>
<b>Duration:</b>	<b>Status:</b>
<b>Total Funding:</b>	<b>Funding Source/s:</b>
<b>Mode of financing:</b> [eg: Through GoV system]	<b>Location &amp; site/s:</b>
<b>Scope:</b> [Regional, National, Provincial, Community]	<b>Project Type:</b> [Educational, Training, Infrastructure, Research, Pilots...]
<b>Sectors &amp; Themes:</b> [CCA, DRR, Governance, Water, Agriculture, CDC...]	<b>Other Government &amp; Partner Agencies:</b>
<b>Lead Government Department:</b>	<b>NAB Approval sought:</b> [Please tick] <ul style="list-style-type: none"> <li>• Concept stage</li> <li>• Site selection</li> <li>• Final endorsement</li> <li>• To seek project funding</li> <li>• Partnership/implementation</li> <li>• Continuation/extension of existing project</li> </ul>
<b>Validation Letter(s) attached: Y/N</b> <b>If Yes, specify which Department</b>	

<b>Objective/s:</b> [100 words max] <ul style="list-style-type: none"> <li>• What is the rationale for the project? What is the primary need, and how was it identified?</li> <li>• Is this program building on any previous activities or policy?</li> </ul>
<b>Description:</b> [1-2 paragraphs per topic max] <ul style="list-style-type: none"> <li>• Outline key project components</li> <li>• How will it be implemented?</li> <li>• Will the project fund local positions? Where?</li> <li>• How does the project link to GoV priorities (PAA)?</li> <li>• What related projects are being undertaken in the area?</li> <li>• Potential overlaps/duplication to be resolved</li> <li>• Risk Management Strategies</li> </ul>
<b>How does the project link to GoV priorities:</b> (NAB agenda, NAPA, New CC/DRR Policy...)
<b>Progress to date and current activities:</b> [100 words max]
<b>Outputs:</b> [IEC Materials, guidelines & handbooks, certified trainings, resources...]

Address Correspondence to the NAB Secretariat on [nab@meteo.gov.vu](mailto:nab@meteo.gov.vu)



# NAB Forms Feedback

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- Are people aware of the two project forms?
- Do you understand why they are different?
- What has been your experience in using the forms?
- How could they be improved?



# NAB Project Screening Committee (1)

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- NAB has a special working group, the Project Screening Committee, that has 7 members (quorum is 4) and appraises projects prior to every NAB meeting
- Consists of NAB Secretariat, DSPPAC CC sectoral analyst, representatives from MoCC PMU, MFEM, Environment, Local Authorities and Women's Affairs (can request technical support)
- Established to expedite project appraisal processes, by reviewing and making recommendations to the NAB, based on Vanuatu's priorities and needs, on projects seeking Government endorsement
- NAB also developed Interim Project Appraisal Criteria to screen project applications to ensure they meet criteria of the funding that is being sought, i.e. GCF readiness, GCF project preparatory facility and/or GCF pipeline project
- Assists the NDA/NAB Project Screening Committee to make transparent, informed and equitable decisions





# What the NAB is looking for

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- Strong climate rationale for project
- GCF and national policy alignment
- Climate vulnerability considerations
- Governance arrangements
- Local ownership & consultation
- Proof of no duplication of work
- Risk management strategies
- Environmental & social impacts
- Sustainability
- M&E

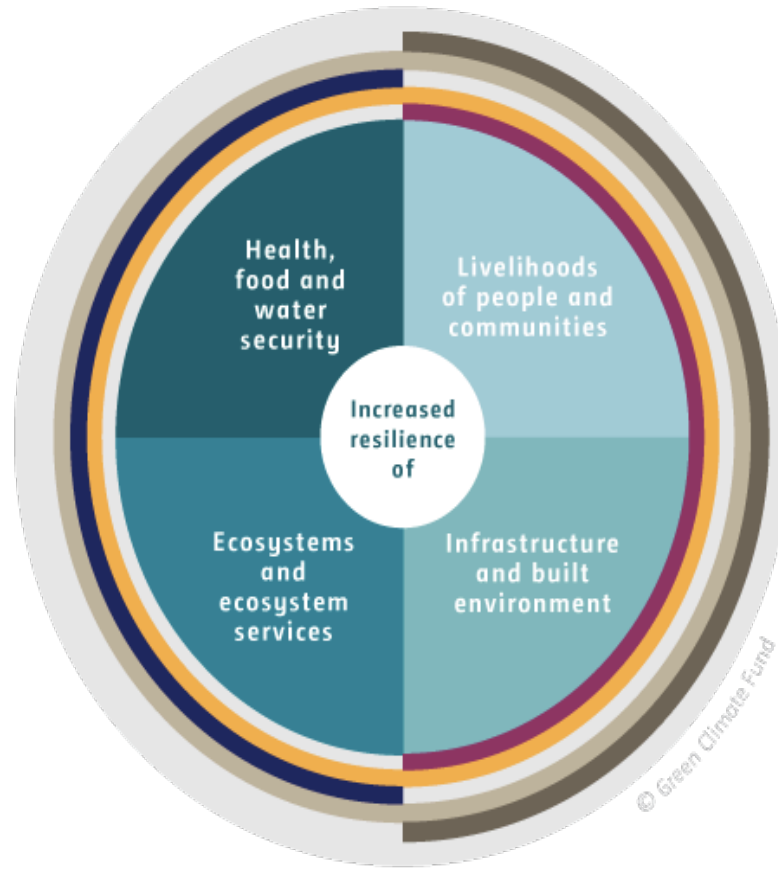
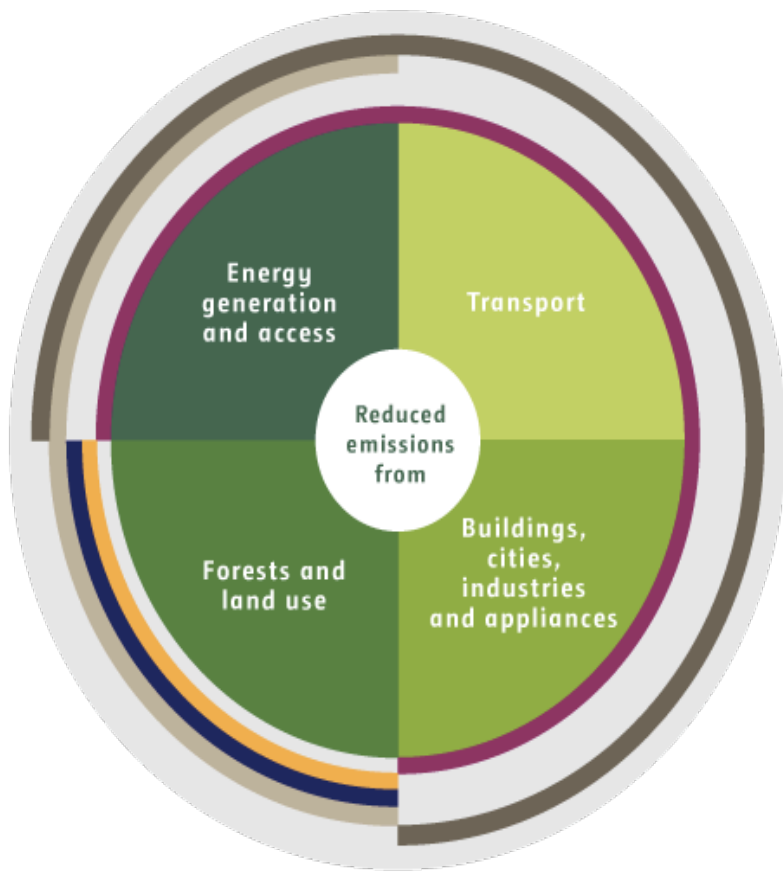


# GCF Investment Criteria

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# Investment priorities/strategic results areas



© Green Climate Fund

## Investment Priorities

-  Climate-compatible cities
-  Sustainable low-emission climate-resilient agriculture
-  Scaling up finance for forests and climate change
-  Enhancing resilience in small island developing States (SIDs)
-  Transforming energy generation and access



# NAB Project Screening Committee (2)

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- Checks for endorsement letter from relevant department, and required project documentation
- Considers, reviews, and evaluates projects submitted to NAB for endorsement, to ensure projects:
  - Align with the CCDRR policy and other national policies, plans, strategies and priorities
  - Are climate, environmentally, socially relevant, and don't adversely affect environment, communities and economy
  - Do not duplicate other projects but rather add value to existing ones or address needs/gaps
  - Hold a strong focus on project sustainability, local participation and ownership (national support)
  - Consider geographic suitability, organisational suitability, rationale, risk management, M&E, cross-cutting issues
- Present findings of project appraisals, and make recommendations to the NAB for a final decision:
  - Endorsement, Rejection or Opportunity for review (e.g. further studies, CBAs, economic analysis, environmental assessments)
- Any other business brought before the NAB Project Screening Committee by one of its members



# NAB Project Screening Committee Feedback

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- Are people aware that there is a project screening committee?
- Are you aware that projects must satisfy criteria?
- Do you have any experiences of the project screening committee?
- How can it or the process be improved?



# NAB Project Appraisal Options (1)

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- The project forms and interim process likely to form basis of SOP
- A new single NAB Project Profile form could be developed from CC/DRR project brief and GCF profile forms
- NAB uses a 2-stage process but separate 'identification', 'concept' and 'full proposal' processes may be needed
- Completeness check stage added where if the forms are incomplete they are returned to the applicant for resubmission
- For NAB to be fully informed, it must have a project form and template that includes all likely project information, especially that required by the GCF



# NAB Project Appraisal Options (2)

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- Rules for the project screening committee consistent with GCF need finalising and chair should only vote if casting or deciding vote needed
- A project screening template developed for screening members to fill out and cover sheet developed to inform NAB members of key project details
- Minutes of the NAB meeting should record the project number, project title, amount of grant equivalent financing, proportion of amount considered to be climate dedicated or relevant finance for all approved projects and programmes
- The status of these projects and programmes should be promptly updated on the NAB portal



# Strategic Policy, Planning & Aid Coordination

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- DSPPAC is Government entry point for oversight and management of external aid
- Serves as main interface between government and donors on all issues of external support
- Responsible for coordinating aid to Vanuatu so that it best supports the Government of Vanuatu's economic and social priorities
- Leading role in donors' strategic cooperation framework processes, coordination and alignment of donor resources to Vanuatu's policy priorities, and M&E of implementation of government policies & programs
- DSPPAC has the following process for project proposals seeking funds and approval as part of the Government Investment Program (GIP)
- Projects are recorded in the GIP Database





# DSPPAC GIP Process

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1. Departments submit project proposals to DSPPAC
2. DSPPAC analyses and approves project proposals
3. Aid Coordination sends project proposals to donors
4. Donor sends letter of confirmation to fund the project to Aid Coordination, relevant department and Department of Finance
5. Department of Finance and relevant Department provide donor with Development Fund Account details
6. Donor disburses funds into the Development Fund Account
7. Relevant Department fills out Green Form
8. Aid Coordination approves Green Form for expending funds by relevant Department
9. Relevant Department expends funds to implement project



# DSPPAC Project Templates

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- DSPPAC has 2 project application forms for Government departments / agencies:
  - Application for Small Projects - Projects up to VUV 10 Million
  - Application for Big Projects - Projects above VUV 10 Million
- Application forms are identical other than titles, and small projects form also includes approval by SG of respective Provincial Council
- Includes fields for project title, sponsoring and implementing information, contact details, timing, project budget, donor costs, Government of Vanuatu costs, policy alignment, monitoring and evaluation, and background information (location, technical, financial, environmental, social) etc.
- DSPPAC have two 6 monthly reporting templates/forms: one for decisions made by Council of Ministers and one for Government projects greater than VUV 10m



# DSPPAC Project Forms

**Government of the  
Republic of Vanuatu**

APPLICATION FOR SMALL PROJECTS -  
PROJECTS UP TO 10 MILLION VATU

DSPPAC File No:                      Activity Code:                      GIP No:

*DSPPAC staff will fill in the above. Notes on how to complete the Project Profile form are attached as "Guidelines for Completing Project Profile Forms". These guidelines are numbered according to the numbered sections on this form.*

1. **Project Title:**
2. **Ministry:**  
*(Provide the name of the Ministry the project will be implemented under).*
3. **Department Sponsoring the Project:**  
*(Provide the name of the department sponsoring the project)*
4. **Agency Implementing the Project:**  
*(Provide the name of the implementing Agency if any).*
5. **Main contact for Project:**    Name:  
   Address:  
   Telephone Number:  
   E-mail:
6. **Commencement & Duration:**  
*(Provide the expected commencement date and duration of the project).*
7. **Project Budget:**  
*(Provide an estimated cost summary of the Project).*

<i>Complete the table below in Vatu</i>						
	1 <sup>st</sup> Year	2 <sup>nd</sup> Year	3 <sup>rd</sup> Year	4 <sup>th</sup> Year	5 <sup>th</sup> Year	Total
Donor - Loans:						
- Grants						
Aid-in-Kind						
Government Costs #						
Loans						
Other e.g. Community						
<b>Total</b>						

**Government of the  
Republic of Vanuatu**

APPLICATION FOR BIG PROJECTS -  
PROJECTS ABOVE 10 MILLION VATU

DSPPAC File No:                      Activity Code:                      GIP No:

*DSPPAC staff will fill in the above. Notes on how to complete the Project Profile form are attached as "Guidelines for Completing Project Profile Forms". These guidelines are numbered according to the numbered sections on this form.*

1. **Project Title:**
2. **Ministry:**  
*(Provide the name of the Ministry the project will be implemented under).*
3. **Department Sponsoring the Project:**  
*(Provide the name of the department sponsoring the project)*
4. **Agency Implementing the Project:**  
*(Provide the name of the implementing Agency if any).*
5. **Main contact for Project:**    Name:  
   Address:  
   Telephone Number:  
   E-mail:
6. **Commencement & Duration:**  
*(Provide the expected commencement date and duration of the project).*
7. **Project Budget:**  
*(Provide an estimated cost summary of the Project).*

<i>Complete the table below in Vatu</i>						
	1 <sup>st</sup> Year	2 <sup>nd</sup> Year	3 <sup>rd</sup> Year	4 <sup>th</sup> Year	5 <sup>th</sup> Year	Total
Donor - Loans:						
- Grants						
Aid-in-Kind						
Government Costs #						
Loans						
Other e.g. Community						
<b>Total</b>						



# DSPPAC Budget Template

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## 7. Project Budget:

*(Provide an estimated cost summary of the Project).*

	<i>Complete the table below in Vatu</i>					
	<b>1<sup>st</sup> Year</b>	<b>2<sup>nd</sup> Year</b>	<b>3<sup>rd</sup> Year</b>	<b>4<sup>th</sup> Year</b>	<b>5<sup>th</sup> Year</b>	<b>Total</b>
Donor - Loans:						
- Grants						
Aid-in-Kind						
Government Costs #						
Loans						
Other e.g. Community						
Total						



# DSPAC Reporting Forms

OFFICE OF THE PRIME MINISTER - DSPAC, M&E UNIT

## SIX-MONTHLY REPORT ON COUNCIL OF MINISTERS DECISIONS

The purpose of this report is to inform the Government of Vanuatu on implementation progress of the decisions made by the Council of Ministers from 1<sup>st</sup> July 2016 up to 31<sup>st</sup> of December 2016, (plus any previous decisions that have not been implemented).

This form is to be completed by responsible officers at line agency level and submitted to the M&E Unit, DSPAC by 28<sup>th</sup> April 2017.

NAME OF OFFICER COMPLETING THIS FORM: _____		POSITION: _____	
FORM COMPLETION DATE: _____			
COM DECISION NUMBER: _____		DATE OF DECISION: _____	
IMPLEMENTING MINISTRY: _____		IMPLEMENTING DEPARTMENT/UNIT: _____	
PRINCIPLE/S OF DECISION: _____			
PARTICULARS OF DECISION: _____			
KEY OUTPUTS OF THE COM DECISION (List main points): _____		KEY OUTPUTS DELIVERED (List most current): _____	
ISSUES, CHALLENGES, OPPORTUNITIES FOR GROWTH: _____			
PROPOSED REMEDIAL ACTIONS: _____			

Office of the Prime Minister - DSPAC, M&E UNIT

## SIX-MONTHLY REPORT ON GOVERNMENT PROJECTS (VT10 mill. +)

The purpose of this report is to inform the Government of Vanuatu on the progress of implementation of the Government projects from 1<sup>st</sup> July 2016 up to 31<sup>st</sup> of December 2016.

This form is to be completed by project/monitoring officers at line agency level and submitted to the M&E Unit, DSPAC by 28<sup>th</sup> April 2017, (NB: This is the cut-off date and project reports not submitted after this date will be considered as "information not provided by implementing departments/agencies")

PROJECT TITLE: _____	
GIP NUMBER: (Please leave this blank for projects that are funded outside of Government Financial System. Make sure to also submit reports for all projects that are VT10 mill. Vatu+)	Location of Project: (Province, Island, Area)
NAME OF OFFICER COMPLETING THIS FORM: _____	DATE THIS FORM IS COMPLETED ON: ____/____/____
SPONSORING MINISTRY/AGENCY: _____	
NAME OF RESPONSIBLE OFFICER (If different from above): _____	
E-MAIL: _____	
TELEPHONE: _____	
IMPLEMENTING AGENCY: _____	
NAME OF PROJECT MANAGER (If different from above): _____	
E-MAIL: _____ TEL: _____	
PROJECT APPROVAL DATE: ____/____/____	PROJECT START DATE: ____/____/____
IF THE PROJECT EXPERIENCED ANY DELAYS, PLEASE EXPLAIN WHY AND WHAT CAUSED THE DELAY/S. _____ _____ _____	

INTENDED DURATION OF THE PROJECT: _____ YEARS OR _____ MONTHS	% OF PROJECT CARRIED OUT AS OF 31 DECEMBER: _____%
INITIAL PROJECT BUDGET APPROVED BYMBC OR FINANCING AGREEMENT (VATU): VT _____	Funding sources: GoV: VT _____ DONOR NAME: _____ VT _____ COMMUNITY:VT _____
BUDGET COMMITTED AS OF 31 December: VT _____ % OF BUDGET COMMITTED: _____%	BUDGET COMMITTED: GoV: VT _____ DONOR:VT _____ COMMUNITY:VT _____
TOTAL EXPENSES LIQUIDATED AS OF 31 December: VT _____ % OF BUDGET SPENT: _____%	EXPENSES LIQUIDATED: GoV: VT _____ DONOR:VT _____ COMMUNITY:VT _____
OUTPUTS DELIVERED (Activities implemented and outputs achieved currently)	
ISSUES, CHALLENGES, AND OPPORTUNITIES FOR GROWTH: (Describe any factors that affected/or are likely to affect the smooth implementation of the project as well as any success stories)	
WHAT STRATEGIES ARE IN PLACE TO ADDRESS AND/OR MITIGATE FOR THESE CHALLENGES?	



# DSPPAC Feedback

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- Are people aware of the DSPPAC forms and process?
- What are your experiences of the forms and process?
- How could the forms and process be improved?
- Should climate projects go through a DSPPAC review and a NAB review, or just a single review?



# DSPPAC Options

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- Elements of the DSPPAC project forms could be incorporated into a new NAB Project Profile form so that it meets NAB and DSPPAC requirements
- DSPPAC reporting forms could be used as basis for NAB reporting form
- If DSPPAC is to be co-chair of the NAB then should this be formalised?
- Critical that all external financing is tracked by DSPPAC for improved strategic and planning purposes



# Department of Energy (1)

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- Responsible for development of energy policies, legislation and regulations to guide the development of energy services and improve service delivery
- Responsible for identification, implementation, management and evaluation of energy projects, monitoring and facilitating energy activities as well as providing awareness and training activities
- Received GCF readiness support to develop National Green Energy Fund
- Objective of NGEF is to extend electricity access using renewable energy sources, and facilitate end-use of energy in Vanuatu (focusing primarily on rural areas) by consolidating existing financial resources and attracting and channelling new source of funding





# Department of Energy (2)

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- NGEF does not yet have project templates or processes but likely to be many parallels with the establishment of an NIE in Vanuatu
- DoE also implementing the Vanuatu Renewable Energy Program (VREP) and developing a small grants programme
- DoE maintains a grievance database to assist with improvement and integrity of the program
- Stage II VREP has an environmental and social management framework that refers to monitoring and evaluation through the tracking of progress and outcomes in the VREP results framework, and the World Bank's requirement of having a feedback and grievance redress mechanism (FGRM) in place (feedback and grievance mechanisms discussed later)



# Department of Energy Options

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- Follow the development of the NGEF to ensure consistency in, and tracking of, energy financing that may be climate related and to avoid any overlap and duplication



# Development partners (1)

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- Vanuatu Project Management Unit (VPMU), under PMO, established and mandated by COM to administer and manage major Government Infrastructure and coordinate and facilitate project funds between funding partners, the Government and stakeholders
- VPMU partners with ADB, DFAT, MFAT, JICA and European Investment Fund etc. (project templates and processes not yet obtained)
- ADB, UNDP and World Bank all accredited implementing entities under GCF and as such any forms or templates used by them are likely to be consistent with GCF forms and templates
- UNDP Small Grants Programme (SGP) template and a GEF Medium/Large project identification form (PIF) that may be used in Vanuatu



# Development partner project forms



## GEF SGP PROJECT PROPOSAL TEMPLATE<sup>1</sup>

### 1. TABLE OF CONTENTS<sup>2</sup>

### 2. COVER PAGE

Country:.....Submission date:.....

Project No. \_\_\_\_\_ (For SGP Official Use. Do not write anything here)

Project Title: \_\_\_\_\_

(The title must capture the essence of project and aligns to GEF focal areas)

### APPLICANT

Name of Organization: \_\_\_\_\_

Year established \_\_\_\_\_ Number of members \_\_\_\_\_

Number of projects implemented \_\_\_\_\_

Mailing Address: \_\_\_\_\_ Physical Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Principal Officer: \_\_\_\_\_ (Name and Position)

Project Contact/Manager: \_\_\_\_\_ (Name and Position)

### PROJECT

GEF SGP Classification

Thematic/Focal Area (Tick one) <sup>3</sup>		Project Category (Tick one)	
<input type="checkbox"/>	Conservation of Biodiversity	<input type="checkbox"/>	Demonstration Project
<input type="checkbox"/>	Climate Change	<input type="checkbox"/>	Capacity Development Project
<input type="checkbox"/>	Land Degradation and Sustainable Forest Management	<input type="checkbox"/>	Applied Research/Policy Analysis
<input type="checkbox"/>	International Waters	<input type="checkbox"/>	Information/Networking/Policy Dialog
<input type="checkbox"/>	Chemicals (POPs)		
<input type="checkbox"/>	Capacity development		

Proposed Start Date<sup>4</sup>: \_\_\_\_\_ Expected Project Duration: \_\_\_\_\_

<sup>1</sup> This generic project template can be customized if needed in accordance with the country needs and country programme strategy.

<sup>2</sup> Details are provided in the guidelines which include what should go into the contents page

<sup>3</sup> Each project should have one primary Focal Area which should be indicated. In addition projects may have secondary focal areas which should be specified in the project rationale and approach. Appropriate indicators should be selected in line with the primary and secondary focal areas of the project.

<sup>4</sup> Four months after submission



## GEF-6 PROJECT IDENTIFICATION FORM (PIF)

PROJECT TYPE:

TYPE OF TRUST FUND:(choose fund type)

For more information about GEF, visit [TheGEF.org](http://TheGEF.org)

### PART I: PROJECT INFORMATION

Project Title:			GEF Project ID: <sup>1</sup>	
Country(ies):	<input type="text" value="select"/>	<input type="text" value="select"/>	GEF Agency Project ID:	
GEF Agency(ies):	<input type="text" value="select"/>	<input type="text" value="select"/>	Submission Date:	
Other Executing Partner(s):			Project Duration (Months)	
GEF Focal Area(s):	<input type="text" value="select"/>		Corporate Program: SGP	<input type="checkbox"/>
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/>	IAP-Commodities <input type="checkbox"/>	IAP-Food Security <input type="checkbox"/>	
Name of parent program:	<input type="text" value="if applicable"/>	Agency Fee (\$)		

### A. INDICATIVE FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>2</sup>

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
<input type="text" value="select"/>	<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>		
<b>Total Project Cost</b>		<b>0</b>	<b>0</b>

### B. INDICATIVE PROJECT DESCRIPTION SUMMARY

Project Components	Financing Type <sup>3</sup>	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Co-financing
<input type="text" value="select"/>	<input type="text" value="select"/>			<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>			<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>			<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>			<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>			<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>			<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>			<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>			<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>			<input type="text" value="select"/>		
<input type="text" value="select"/>	<input type="text" value="select"/>			<input type="text" value="select"/>		
Subtotal					<b>0</b>	<b>0</b>
Project Management Cost (PMC) <sup>4</sup>				<input type="text" value="select"/>		

<sup>1</sup> Project ID number will be assigned by GEFSEC and to be entered by Agency in subsequent document submissions.

<sup>2</sup> When completing Table A, refer to the excerpts on [GEF 6 Results Frameworks for GETF, LDCAF and SCCF](#) and [CBIT guidelines](#).

<sup>3</sup> Financing type can be either investment or technical assistance.

<sup>4</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.



## AUSTRALIAN HIGH COMMISSION'S DIRECT AID PROGRAM (DAP)

### APPLICATION FORM

Date of Application: \_\_\_\_\_

Project type: \_\_\_\_\_

Name of community/organisation/group: \_\_\_\_\_

Island: \_\_\_\_\_

Requested amount: \_\_\_\_\_

Estimated start date: \_\_\_\_\_

Estimated completion date: \_\_\_\_\_

Thank you for your interest in the Australian High Commission's Direct Aid Program (DAP). To help us assess your application, please fill in this form with as much detail as possible and check you have **completed everything on the checklist**. Please attach additional pages if you need more space.

Completed forms should be sent to the Australian High Commission, P.O. Box 111, Port Vila. If you require assistance in filling out the form or more information, please contact Helen Sese, Executive Support and Public Affairs Officer (Tel: 22777, Email: [helen.sese@dfat.gov.au](mailto:helen.sese@dfat.gov.au)).



# Development partners (2)

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- Australian High Commission has Direct Aid Program, NZ High Commission has a similar program, Germany-GIZ has a Climate Change Program
- Forms require mostly general project information such as project title, country, submission date, contact details, objective etc. along with some information specific to each program
- The project templates used by development partners do not appear to include any information not already covered by the GCF project forms



# Development Partners Feedback

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- Are there other forms, templates and processes used by the Development Partners that are available?



# Green Climate Fund

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- GCF was formally established as an operating entity of the UNFCCC financial mechanism at COP 16 in Cancun in 2010
- It is expected to become the main global source of climate finance
- The GCF has a project/programme concept note (which is optional) and a funding proposal form
- The concept note and funding proposal form need to be submitted by an accredited entity



# GCF Project Forms



## Concept Note

**The Green Climate Fund (GCF) is seeking high-quality projects or programmes.**

Accredited entities may choose to submit a concept note, in consultation with the relevant national designated authority, to present the proposed project or programme idea in order to receive early feedback and recommendation.

Project/Programme Title: \_\_\_\_\_

Country/Region: \_\_\_\_\_

Accredited Entity: \_\_\_\_\_

National Designated Authority: \_\_\_\_\_



## Funding Proposal

Version 1.1

**The Green Climate Fund (GCF) is seeking high-quality funding proposals.**

Accredited entities are expected to develop their funding proposals, in close consultation with the relevant national designated authority, with due consideration of the GCF's Investment Framework and Results Management Framework. The funding proposals should demonstrate how the proposed projects or programmes will perform against the investment criteria and achieve part or all of the strategic impact results.



Project/Programme Title: \_\_\_\_\_

Country/Region: \_\_\_\_\_

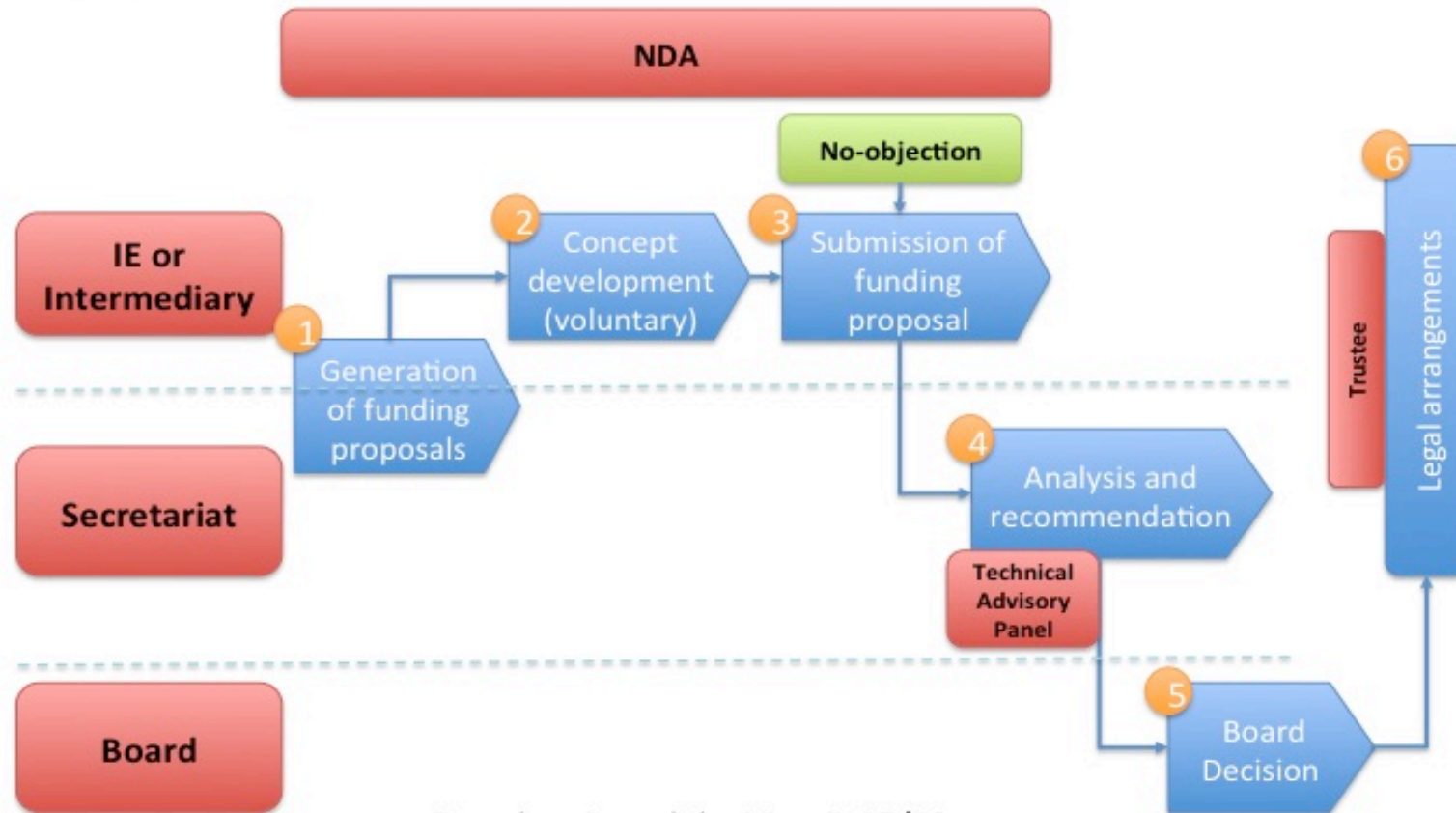
Accredited Entity: \_\_\_\_\_

Date of Submission: \_\_\_\_\_





# GCF Initial Process Overview



Based on Board decision B.07/03



# GCF Concept Note

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GCF concept note includes some of the following fields:

Project/programme information	Implementation
Theme	Expected performance against the investment criteria (climate impact, paradigm shift, sustainable development, needs of recipient, country ownership, effectiveness and efficiency)
Results areas	Rationale for GCF involvement and exit strategy
Market overview	Risk analysis
Regulation, taxation and insurance	Multi-stakeholder engagement
Status of project/programme	Supporting documents
Financing/cost information	

does not include fields for contact officer details or date of submission



# GCF Funding Proposal Form

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GCF funding proposal form is understandably more comprehensive and includes fields for:

Project information, background	Strategic context
Date of submission	Project/programme objective against the baseline
Expected approval from accredited entity, expected financial close	Economic/financial analysis, technical evaluation, environmental and social assessment, financial management and procurement
Results areas	Expected performance against the investment criteria
Market overview	Value added for GCF involvement and exit strategy
Regulation, taxation and insurance	Risk factors and mitigation measures, risk assessment summary
Status of project/programme	Timetable of project implementation
Financing/cost information	Monitoring, reporting and evaluation arrangements
Institutional/implementation arrangements	Supporting documents
Theme	Logic framework



# GCF Feedback

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- Do people have experience with the GCF forms and process?
- Do they have any comments they wish to make regarding these?



# GCF Options

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- The GCF forms could form the basis of a new NAB project profile form but could be modified, where possible, to be less complex while ensuring they include NAB and DSPPAC information needs
- The interim NAB approval process should take into account the GCF process which has a concept and funding proposal stage, and requires a no objection letter from the NDA



# Comparison of project forms

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The information sought during project submission is very similar in Vanuatu (NAB, DSPPAC) and for the GCF

Below is a comparison of the information sought and demonstrates that the GCF funding proposal form covers most of this information



Information	NAB GCF	NAB CC/DRR	DSPPAC	GCF	SGP	GEF
Project/programme title	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Source of funding sought/modality	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Location/site/region	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Theme/focus (CCM, CCA, DRR)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Sector (e.g. Water, Energy)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>
GCF Results areas				<input checked="" type="checkbox"/>		
Scope (Regional/national/provincial/community)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				
Project Type/Category	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Executing/Lead Organisation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Contact details	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Date of submission				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Accredited/Implementing Entity /Organisation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Project size				<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Alignment with GCF Readiness Programme	<input checked="" type="checkbox"/>					
Commencement and duration	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Related projects, potential overlaps/duplication	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				
Progress to date and current activities	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				
Tangible Outputs & Deliverables	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>
Market overview				<input checked="" type="checkbox"/>		
Regulation, Taxation and Insurance				<input checked="" type="checkbox"/>		
Project budget/financing elements (total/yearly)			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
GCF objectives and results areas impact potential				<input checked="" type="checkbox"/>		
Paradigm shift potential				<input checked="" type="checkbox"/>		
Sustainable development potential				<input checked="" type="checkbox"/>		
Needs of the recipient	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
National/sectoral policy alignment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Exit strategy/ Project/programme sustainability			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Risk assessment/risk management	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>



Strategic context				<input checked="" type="checkbox"/>		
Project benefits			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Financial markets overview				<input checked="" type="checkbox"/>		
Timetable/ Time frame				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Value Added for GCF Involvement				<input checked="" type="checkbox"/>		
Financial viability			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Technical feasibility			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Environmental and Social Safeguards	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Financial management and procurement				<input checked="" type="checkbox"/>		
Logic framework				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
National Designated Authority/focal point				<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Implementation justification/background	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Supporting Letter(s)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Expected date of entity approval, financial close				<input checked="" type="checkbox"/>		
All sources of funds	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
No. people impacted (direct and indirect)			<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	
Purpose/objectives/rationale	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Project/programme description summary	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Project implementation and management plan	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Project/programme monitoring and evaluation	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Cross cutting issues gender/disability/indigenous	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Project benefit to women and vulnerable groups			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Donor support/discussions with donors			<input checked="" type="checkbox"/>			
Vanuatu Government Funding Source			<input checked="" type="checkbox"/>			
Future Maintenance Requirement			<input checked="" type="checkbox"/>			
Will the project fund local staff? If so, where?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			
Proposed TA Positions			<input checked="" type="checkbox"/>			
Project Budget			<input checked="" type="checkbox"/>			
DG/SG/Director sectoral specialist sign off			<input checked="" type="checkbox"/>			





# Project Form Options

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- Using a modified NAB GCF profile form that also includes a section for Vanuatu specific information/impacts may be the best approach in developing a unified form for climate finance project submission to the NAB



# Feedback & grievance redress mechanism (1)

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- FGMR complement but do not replace existing processes
- Citizens or communities can still pursue their rights and interests in other informal or formal, and local or national, channels for managing grievances (e.g. customary system, court system, organisational audit mechanisms)
- Stakeholders have option to use other, more formal alternatives, including legal remedies, such as seeking redress through the courts, administrative law procedures, or other formal dispute resolution mechanisms
- Grievances that allege corruption, coercion, or major and systematic violations of rights or policies are normally handled by organisational accountability mechanisms rather than by a FGMR



# Feedback & grievance redress mechanism (2)

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- Vanuatu has customary system of dealing with issues at the local village level such that most issues do not have to go to court
- May not initially produce resolutions, can be time consuming, and may not necessarily provide sufficient support for the vulnerable, youth and women, most grievances eventually resolved
- Present court system works well to deal with grievances that allege corruption, coercion, or major and systematic violations of rights or policies, although the process can be expensive and also time consuming



# Feedback & grievance redress mechanism (3)

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- FGRMs are usually project specific, last for the life of the project, and range from a very simple system (e.g. a letter to a person in charge disputing a matter) to a more complex process involving a full FGRM framework
- Formal FGRMs use a specifically designed database for storing and monitoring resolution of complaints, which are supported by a clear set of business rules, such as the one currently in use for the VAIP
- Semi-formal FGRMs use more ad-hoc approaches, such as spreadsheets to record complaints, and often lack a formal set of business rules for addressing complaints
- Two possible FGRMs for use in the SOP are those used by the Increasing Resilience to Climate Change and Natural Hazards (IRCCNH) project, within the MoCC, and the VAIP



# Feedback & grievance redress mechanism (4)

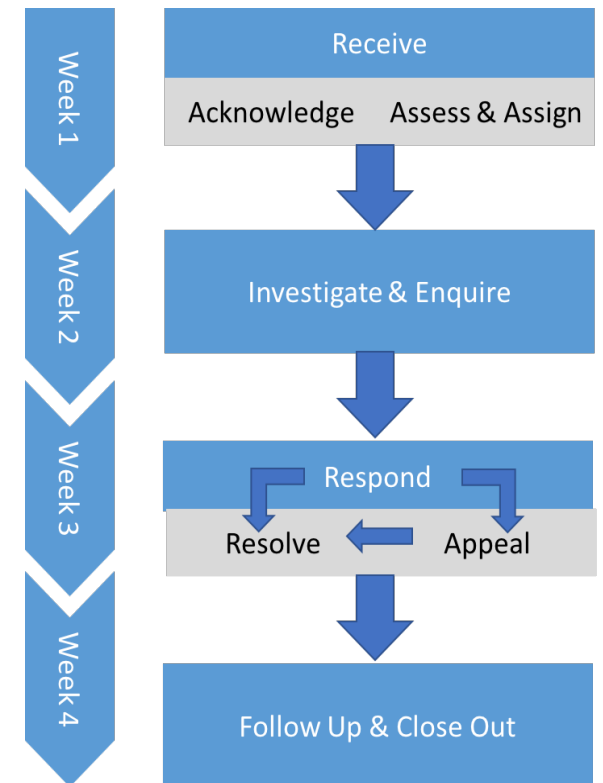
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- IRCNNN project has FGRM for its resettlement framework and for its ESMF
- Both use 3-step process, i.e. community level, project level and appeal to Customary Land Tribunal in the case of resettlement (with final appeal to Supreme Court) and to the Minister of Climate Change in the case of environment and social management
- As last resort, if complainant still dissatisfied with outcome they may be referred to the legal process
- At community level, grievance is dealt with in customary way by a Nakamal within 7 days
- If there is no satisfaction at the community level the matter moves to the project Level
- At the project level the PMU in VMGD mediates the grievance within 14 days
- If no satisfaction, matter moves to appeal level, which can take up to 30 days
- PMU is responsible for tracking the grievance and keeping the database up to date
- Grievance is closed out when no further action can be or needs to be taken
- Closure status will be entered into the Grievance database as follows:
  - Resolved – resolution has been agreed and implemented and signed documentation is evidence of this
  - Unresolved –not possible to reach an agreed resolution and case authorised for close out by the Minister of Climate Change
  - Abandoned – cases where attempts to contact Complainant have not been successful for 2 months following receipt of grievance



# FGRM examples

Timeframe	Stage
1 day	Grievance reported and referred to nominated person / project representative
2 days	<ul style="list-style-type: none"> <li>Determine severity of grievance</li> <li>Acknowledge receipt of grievance to Complainant</li> <li>Resolve immediately if possible</li> <li>Grievance report sent to PMU and logged in database</li> </ul>
14 Days	<ul style="list-style-type: none"> <li>Meeting with relevant parties, village leaders etc.</li> <li>Confirm resolution with Complainant and seek their approval</li> </ul>
30 days	<ul style="list-style-type: none"> <li>Grievance closed out</li> <li>Database updated</li> </ul>



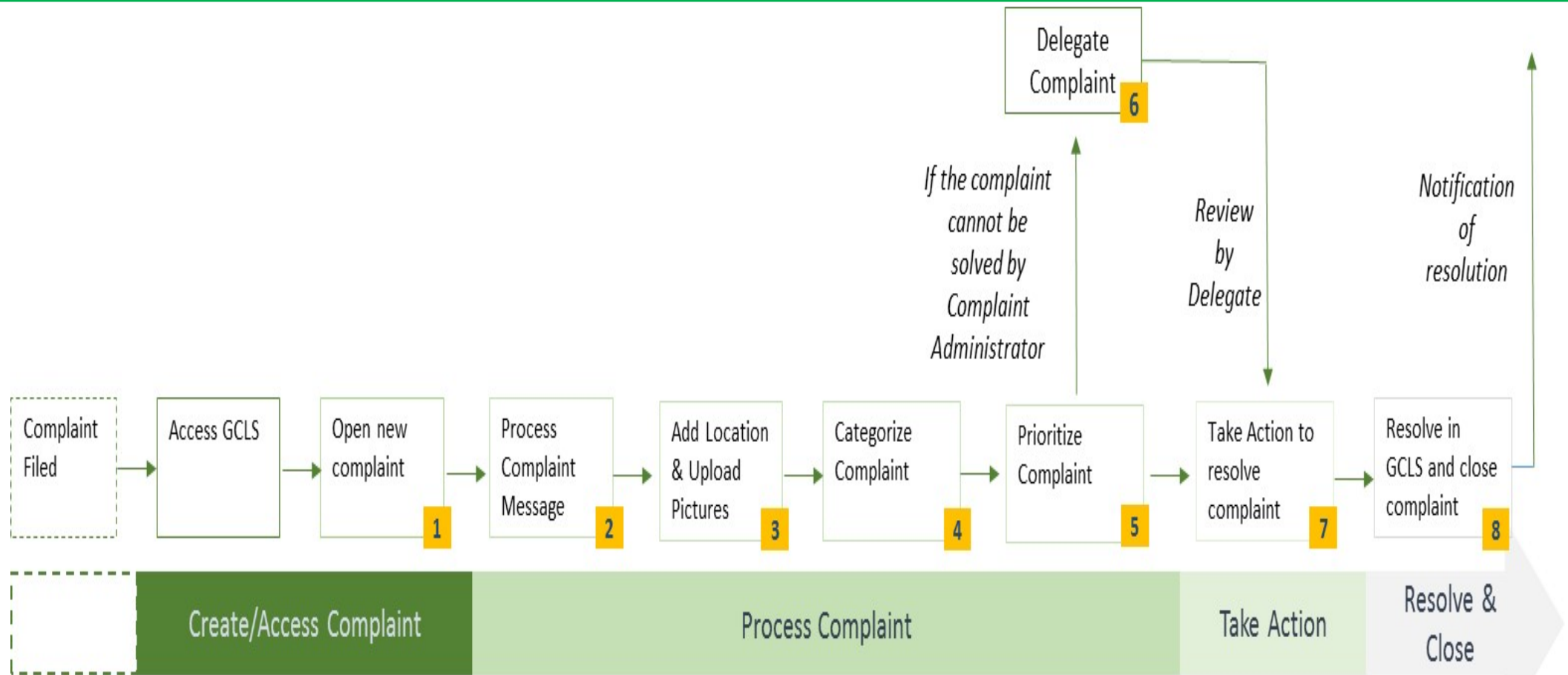
# Vanuatu Airport Investment Project FGMR

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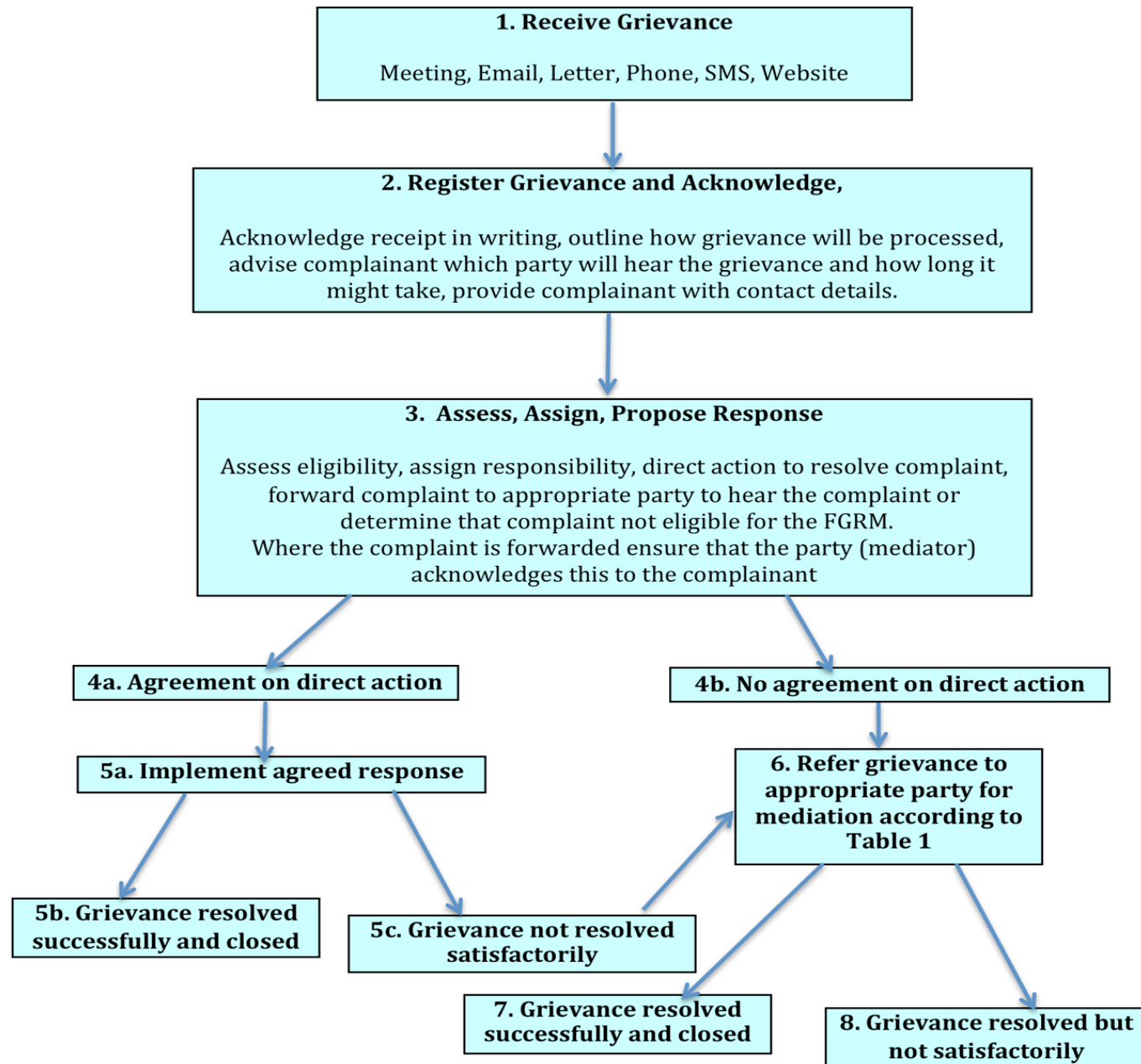
- FGMR used in VAIP is the Grievance and Complaints Logging System (GCLS) developed by <http://www.isafeguards.com> and World Bank to log, track and mediate grievances in relation to WB funded projects
- This FGMR is currently used in Tonga, Tuvalu and in Vanuatu
- This process is free for use by any WB project and is backed up by a manual on how to use the GCLS system, as well as an online video
- The VAIP GCLS maintains statistics on the number of complaints received and resolved and the approach is shown



# Grievance and Complaints Logging System







# FGRM Feedback

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- Do people have experiences with FGRMs?
- Is there any comments you would like to make regarding a NAB FGRM?



# FGRM options

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- For the NAB a simpler FGRM approach such as that already used in the MoCC for the IRCNNN project could be used initially
- As the number and scale of projects increases a more complex approach using the GCLS could be considered and adapted for use for climate finance projects in Vanuatu



# Conflicts of Interest

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## Code of Conduct

- To address potential conflicts of interest and confidentiality of information

## Written oath

- To have a signed statement by NAB members



# Conflicts of Interest Feedback

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- Do people have experiences with codes of conducts and oaths to prevent conflicts of interest and to ensure confidentiality?



# Groups discussion

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How do we ensure that the provinces, NGOs, and private sector are involved in the:

1. Appraisal process
2. Monitoring / evaluation / reporting (budget)
3. Feedback and Grievance processes



# Consultation plan

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- Meeting with key stakeholders this week
- Incorporate comments from today and this week in consultation report
- Will seek views on draft SOPs
- Key stakeholders contacted for training on SOPs
- Hope to conclude by November

