



ADAPTATION FUND

# Project Performance Report

## Overview

Period of Report (Dates)	9/6/2022 - 12/31/2023
Project Title	Nature-Based Climate Adaptation Programme for the Urban Areas of Penang Island
Project Summary	
Database Number	AF00000232
Implementing Entity (IE)	UN-Habitat
Type of IE	Multilateral Implementing Entity
Country(ies)	Malaysia
Relevant Geographic Points (i.e. cities, villages, bodies of water)	Penang (Georgetown and Bayan Lepas)
Name of Implementing Entity Focal Point	United Nations Human Settlements Programme (UN-Habitat)

## Project Milestones

AFB Approval Date	2/23/2022
IE-AFB Agreement Signature Date	5/19/2022
Start of Project/Programme	9/6/2022
Actual Mid-term Review Date (if applicable)	
Original Completion Date	9/6/2027
Revised Completion Date after approval of extension request (if applicable)	

## Were there any approval condition for this Project?

No

## List each approval condition, if any, and report on the status of meeting them

Category of condition	
Condition or Requirement	
Current Status	
Planned actions, including a detailed time schedule	

## List (only) inception report/ extension request(s)/ MTR that have been prepared for the project and provide date(s) of submission for each

Inception report was submitted on 7 October 2022.

## List the Website address (URL) of project

<https://thinkcity.com.my/pnbcap/>

## Project Contacts

National/Regional Project Manager/Coordinator	Name	Email	Date
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## Financial Data

Disbursement of AF grant funds	
Cumulative total disbursement from Trustee to IE as of date (\$)	\$1,500,000.00
Estimated cumulative total disbursement from IE to EEs as of date (\$)	\$880,000.00
Project disbursement rate (%)	15
Project execution rate (%)	9.55
Add any comments on AF Grant Funds	Funds were disbursed to 2 out of 3 EEs on 17 October 2023, following finalization of their respective Agreements on 29 August 2023. Agreement for 3rd EE was finalized on 19 December 2023 and fund was subsequently released on 17 January 2024.
Investment Income (\$)	\$0.00
Cumulative Investment Income since inception (\$)	\$0.00

Expenditure Data	
Output	Amount (\$)
	\$14,621.00
IE fee (\$)	\$0.00
Execution cost (\$)	\$0.00

Planned Expenditure Schedule		
Output	Projected Cost (\$)	Estimated Completion Date
	\$0.00	
IE fee (\$)		\$0.00
Execution cost (\$)		\$0.00

Actual co-financing (if the MTR or TE have not been undertaken this reporting period, do not report on actual co-financing)	
Does this Project have Co-Financing ?	
How much of the total co-financing as committed in the Project Document has actually been realized? (\$)	\$0.00
Estimated cumulative actual co-financing as verified during Mid-term Review (MTR) or Terminal Evaluation (TE). (\$)	\$0.00
Add any comments on actual co-financing in particular any issues related to the realization of in-kind, grant, credits, loans, equity, non-grant instruments and other types of co-financing.	

# Risk Assessment

Identified Risks		
List all Risks identified in project preparation phase and what steps are being taken to mitigate them		
Identified Risk	Current Status	Steps taken to mitigate risk
Complex programme structure and heavy bureaucracy impacting and delaying schedule. In particular, delays in reaching consensus on legal and administrative aspects of the Agreements of Cooperation, along with State Elections held in 2023, led to project delays.	Moderate	The Implementing Entity, Executing Entities, and the Project Manager acknowledged the joint responsibility regarding the delay in programme schedules, and established an inclusive Steering Committee consisting of senior management to ensure overall commitment, participation, and ownership towards the project's progress.
Policy makers prioritise economic benefits over long-term benefits and sustainable activities.	Low	The programme is deliberately designed to closely engage policy makers in knowledge and capacity building, promoting the complementary and multi-dimensional benefits of nature-based and resilient systems towards holistic development.
Policy makers prioritise short term non-sustainable initiatives over medium-long term sustainable actions.	Low	Justifications and knowledge-sharing via a knowledge management platform will serve as demonstration/proof of effectiveness of the nature-based solutions whilst providing transparency on the implementation process.
Failure in monitoring of activities due to conflict of interest among stakeholders.	Low	Both the Steering Committee and UN-Habitat are involved in the monitoring of the project activities with the scope and role of each stakeholders defined through a clear agreement to ensure accountability.
Communities may not adopt/maintain activities/infrastructure after the AF project.	Low	Community engagement has started from the inception to promote community ownership.
Lack of monitoring and enforcement capability to follow through with interventions, (before and during the executing process).	Low	Project management measures are in place where risks identified by the Implementation team will be categorized in three levels i.e. green, yellow and red with follow up interventions. The establishment of the Penang Climate Board (in year 2026-2027) will coordinate effort/ response to breaches that pose climate related risks.
Pandemic control measures/constraints that may delay project activities.	Low	Implementing and Executing Entities work closely in monitoring the current and possibly recurring pandemic and take into consideration its impact on the planning and execution of programme activities. Vulnerability/baseline assessments along with a climate-related public health programme will be initiated in the early stages of the project to better prepare and complement contingency plans in the event of a pandemic.
Built interventions/ maintenance work may become obstructive to daily routine of community during construction.	Low	Work has not yet commenced. Extensive planning and regular consultations with community groups, MBPP, JPS/PSG and other relevant entities will be

		carried out to ensure minimal disturbances to the community.
Lack of commitment/buy-in from local communities may result in delay at intervention sites.	Low	A multi-pronged community and stakeholder consultation held between October to November 2019, has contributed to the development of the vulnerability assessment outline, understanding the needs of the communities and further raising awareness among all parties to ensure ownership and buy-in. Community will be engaged periodically throughout the project lifecycle to ensure commitment/buy-in.
Lack of community organisation/ representation in non-commercial areas to organise response during crisis.	Low	No crisis has occurred or has been anticipated to occur which would require this consultation. Nonetheless, community engagements will be facilitated periodically throughout the project life cycle with all levels of the civil society.
Costs of proposed activities may be higher than expected.	Low	Programme activities have been costed as accurately as possible and referenced against similar existing projects during the development stage. Monitoring mechanisms via the annual work plan and expenditure as well as periodic progress reports will assist in ensuring activities are executed within the budget.
Cost of remodelling/ reconfiguring/ restoring existing infrastructure may be higher than actual project activities.	Low	Work has not yet commenced. The built projects under Components 1 and 2 will be meticulously planned in the early stages of the programme with due considerations given to existing infrastructure and systems and consultations with respective stakeholders including community. Extensive consultations will also be undertaken with the Technical Coordination and Project Implementation team to ensure optimisation of resources.
Incompetent financial governance/management on a local level may impede project execution and lack integrity.	Low	Financial governance is fully backed by senior management including Penang State Treasury at the state level along with Director of Finance Department in City Council at the local level. UN-Habitat in its capacity as Implementing Entity will ensure adherence to AF's operating policies and guidelines in particular, the Fiduciary Risk Management Standards.

### Critical Risks Affecting Progress (Not identified at project design)

Are there any critical risks with a 50% or > likelihood of affecting progress of project? No

Identify Risks with a 50% or > likelihood of affecting progress of project

Identified Risk	Current Status	Steps taken to mitigate risk
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### Risk Measures

Were there any risk mitigation measures employed during the current reporting period? If so, were risks reduced? If not, why were these risks not reduced?

The risk mitigation measure employed during the current reporting period is the joint uptake of responsibility regarding the delay in programme schedules between the Implementing Entity, Executing Entities, and the Project Manager. With the establishment of an inclusive Steering Committee, the risk is expected to be reduced through periodic meeting to ensure overall commitment, participation, and ownership towards the project's progress.

## ESP Compliance

### Section 1: Identified ESP Risk Management

Was the ESP risks identification complete at the time of funding approval? Yes

#### 1.Compliance with the law

Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	No
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	
List the monitoring indicator(s) for each impact identified.	
State the baseline condition for each monitoring indicator	
Describe each safeguard measure that has been implemented during the reporting period	
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	
Describe remedial action for residual impacts that will be taken	

#### 2.Access and equity

Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Certain groups may have less access to training or to green infrastructure or urban agriculture or specific groups may have privileged access.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact	Community management rules ensuring equal access is guaranteed, enforced through monitoring and legal

that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	agreements (where necessary)
List the monitoring indicator(s) for each impact identified.	Ratio of participation by group.
State the baseline condition for each monitoring indicator	Unequal access to training or to green infrastructure or urban agriculture.
Describe each safeguard measure that has been implemented during the reporting period	Work has not yet commenced.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	N/A
Describe remedial action for residual impacts that will be taken	N/A
<b>3.Marginalized and vulnerable Groups</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	There are some refugees in the Bayan Lepas area who are vulnerable to discrimination. Other forms of racial discrimination might be present.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	Community management must ensure equal access extends to refugees and migrant population, and equal treatment among all racial groups.
List the monitoring indicator(s) for each impact identified.	Ratio of participation by group.
State the baseline condition for each monitoring indicator	Unequal participation.
Describe each safeguard measure that has been implemented during the reporting period	Work has not yet commenced.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	N/A
Describe remedial action for residual impacts that will be taken	N/A
<b>4.Human rights</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	No
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact	

that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	
List the monitoring indicator(s) for each impact identified.	
State the baseline condition for each monitoring indicator	
Describe each safeguard measure that has been implemented during the reporting period	
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	
Describe remedial action for residual impacts that will be taken	

### **5. Gender equality and women's empowerment**

Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Women not having equal representation in decision making processes, women are excluded from activities under the programme, such as training and urban agriculture.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	Quotas for female participation and inclusion in decision making at all levels
List the monitoring indicator(s) for each impact identified.	Ratio of participation by female.
State the baseline condition for each monitoring indicator	Unequal representation of women in decision making processes and programme activities.
Describe each safeguard measure that has been implemented during the reporting period	Work has not yet commenced.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	N/A
Describe remedial action for residual impacts that will be taken	N/A

### **6. Core labour rights**

Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	People working on the project may have improper contracts, working conditions, unsatisfactory occupational health and safety or there could be discrimination against women at work.

List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	Proper contracts, in compliance with ILO standards and occupational health and safety standards in line with international best practices.
List the monitoring indicator(s) for each impact identified.	Annual assessments and project reports.
State the baseline condition for each monitoring indicator	N/A
Describe each safeguard measure that has been implemented during the reporting period	Work has not yet commenced.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	N/A
Describe remedial action for residual impacts that will be taken	N/A
<b>7.Indigenous people</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	No
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	
List the monitoring indicator(s) for each impact identified.	
State the baseline condition for each monitoring indicator	
Describe each safeguard measure that has been implemented during the reporting period	
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	
Describe remedial action for residual impacts that will be taken	
<b>8.Involuntary resettlement</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Involuntary resettlement or disruption of access arising from construction.
List here the safeguard measures (i.e. avoidance,	Proposed interventions only on state land.



management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	
List the monitoring indicator(s) for each impact identified.	Number of people that need resettlement.
State the baseline condition for each monitoring indicator	No resettlement required.
Describe each safeguard measure that has been implemented during the reporting period	Work has not yet commenced.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	N/A
Describe remedial action for residual impacts that will be taken	N/A
<b>9. Protection of natural habitats</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Damage to local ecosystems due to introduction of dangerous species of flora.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	Perhilitan and Perhutanan to review all projects to make sure no dangerous species is proposed.
List the monitoring indicator(s) for each impact identified.	Review reports.
State the baseline condition for each monitoring indicator	N/A
Describe each safeguard measure that has been implemented during the reporting period	Work has not yet commenced.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	N/A
Describe remedial action for residual impacts that will be taken	N/A
<b>10. Conservation of biological diversity</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Damage to local ecosystems due to introduction of dangerous species of flora.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact	Perhilitan and Perhutanan to review all projects to make sure no dangerous species is proposed.

that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	
List the monitoring indicator(s) for each impact identified.	Review reports.
State the baseline condition for each monitoring indicator	N/A
Describe each safeguard measure that has been implemented during the reporting period	Work has not yet commenced.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	N/A
Describe remedial action for residual impacts that will be taken	N/A
<b>11.Climate change</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Inefficient sourcing of materials may generate emissions. Poor construction/planning may lead to “mal-adaptation”
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	Preferring local materials in the procurement process. Multi-stakeholder consultation and approval process for designs.
List the monitoring indicator(s) for each impact identified.	Annual assessments and project reports.
State the baseline condition for each monitoring indicator	N/A
Describe each safeguard measure that has been implemented during the reporting period	Work has not yet commenced.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	N/A
Describe remedial action for residual impacts that will be taken	N/A
<b>12.Pollution prevention and resource efficiency</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Waste generation from built projects.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact	Incorporate proper waste management and disposal plan in project.

that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	
List the monitoring indicator(s) for each impact identified.	Annual assessments and project reports.
State the baseline condition for each monitoring indicator	N/A
Describe each safeguard measure that has been implemented during the reporting period	Work has not yet commenced.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	N/A
Describe remedial action for residual impacts that will be taken	N/A
<b>13.Public health</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Construction sites pose a risk to the public if not properly managed and demarcated. Water-related activities pose contamination risks.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	Zero-accident construction site management. Practices to ensure water sources are not contaminated by project.
List the monitoring indicator(s) for each impact identified.	Annual assessments and project reports.
State the baseline condition for each monitoring indicator	N/A
Describe each safeguard measure that has been implemented during the reporting period	Work has not yet commenced.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	N/A
Describe remedial action for residual impacts that will be taken	N/A
<b>14.Physical and cultural heritage</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Impacts to Penang old town which is a UNESCO World Heritage Site.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact	Consultation with UNESCO, Department of Heritage Conservation (MBPP) and George Town World

that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	Heritage Incorporated about implementing the project in accordance with heritage preservation principles.
List the monitoring indicator(s) for each impact identified.	Annual assessments and project reports.
State the baseline condition for each monitoring indicator	N/A
Describe each safeguard measure that has been implemented during the reporting period	Work has not yet commenced.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	N/A
Describe remedial action for residual impacts that will be taken	N/A

### 15.Lands and soil conservation

Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	No
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	
List the monitoring indicator(s) for each impact identified.	
State the baseline condition for each monitoring indicator	
Describe each safeguard measure that has been implemented during the reporting period	
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	
Describe remedial action for residual impacts that will be taken	

### Section 2: Monitoring for unanticipated impacts / corrective actions required

Has monitoring for unanticipated ESP risks been carried out?	Yes
Have unanticipated ESP risks been identified during the reporting period?	No
If unanticipated ESP risks have been identified, describe the safeguard measures that have been taken in response and how an ESMP has been prepared/updated	

### Section 3: Categorisation

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

#### Section 4: Implementation arrangements

What arrangements have been put in place by the Implementing Entity during the reporting period to implement the required ESP safeguard measures?	Review and management of all project implementation is overseen by UN-Habitat Regional Office for Asia and the Pacific, in alignment with UN-Habitat's Environmental and Social Safeguards Policy. For all personnel associated with the project, further mandatory training is also required to be completed in relation to human rights and UN values including integrity and accountability.
Have the implementation arrangements been effective during the reporting period?	Yes
What arrangements have been put in place by each Executing Entity during the reporting period to implement the required ESP safeguard measures?	Work has not yet commenced for the Executing Entity. However, during the proposal preparatory phase, EEs were made aware of the potential ESP risks in the project.
Have the implementation arrangements at the EEs been effective during the reporting period?	Yes

#### Section 5: Projects/programmes with unidentified sub-projects (USPs). This section needs to be completed only if the project/proramme includes USPs.

Have the arrangements for the process described in the ESMP for ESP compliance for USPs been put in place?	
Is the required capacity for ESMP implementation present and effective with the IE and the EE(s)? Please provide details.	
Have all roles and responsibilities adequately been assigned and positions filled?	
Has the overall ESMP been updated with the findings of the USPs that have been identified in this reporting period?	

Identified USPs in the reporting period	Application of ESMP to the USP	ESP risks identified for the USP	Has an impact assessment been carried out?	Consultation held for risks and impacts identification for USP	Gender disaggregation to identify risks and impacts	Safeguard measures identified for the USP	Monitoring indicator(s) for each impact

#### Section 6: Grievances

Was a grievance mechanism established capable and known to stakeholders to accept grievances and complaints related to environmental and social risks and impacts?	Partially
Were grievances received during the reporting period?	No

List all grievances received during the reporting period regarding environmental and social impacts; gender related matters; or any other matter of project/programme activities	For each grievance, provide information on the grievance redress process	Provide the status/outcome
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Comments

## GP Compliance

### Section 1: Quality at entry

Was an initial gender assessment conducted during the preparation of the project/programme's first submission as a full proposal? Yes

Does the results framework include gender-responsive indicators broken down at the different levels (objective, outcome, output)? Yes

### List the gender-responsive elements that were incorporated in the project/programme results framework

Gender-responsive element	Level	Indicator	Baseline	Target	Rated result for the reporting period
Strengthening social resilience	Outcome	Reduced gender vulnerability asymmetries	Women are disproportionately impacted by climate change	At least 25% of B40 women and girls of George Town and Bayan Lepas, equivalent to approximately 16,000 women and girls, are aware of climate-related risks and given tools to deal with gender-specific challenges.	Satisfactory
Strengthening social resilience	Outcome	Reduced gender vulnerability asymmetries	Increase of heat-related diseases in children and elderly people place an additional burden on women as the primary caregivers	Approximately 6,479 single mothers benefit from the peer support network and disaster-preparedness programmes.	Satisfactory
Strengthening social resilience	Outcome	Reduced gender vulnerability asymmetries	Women are not represented equally in climate-related decision-making	Adoption of a 40:40:20 ratio, whereby a benchmark allocation of	Satisfactory

			processes	40% women representation in the committee of the Penang Climate Board is implemented	
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## Section 2: Quality during implementation and at exit

List gender equality and women's empowerment issues encountered during implementation of the project/programme. For each gender equality and women's empowerment issue describe the progress that was made as well as the results.

Gender equality and women's empowerment issues	Rated result for the reporting period	Provide justification of the rating provided
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## Section 3: Implementation arrangements

What arrangements have been put in place by the Implementing Entity during the reporting period to comply with the GP	Review and management of project implementation is overseen by the UN-Habitat Regional Office for Asia and Pacific in alignment with UN-Habitat's Gender Equality Marker to be gender sensitive.
Have the implementation arrangements at the IE been effective during the reporting period?	Yes
What arrangements have been put in place by each Executing Entity during the reporting period to comply with the GP?	Work has not yet commenced for executing entity. However, EEs have been made aware of the GP during the proposal preparatory phase.
Have the implementation arrangements at the EE(s) been effective during the reporting period?	Yes
Have any capacity gaps affecting GP compliance been identified during the reporting period and if so, what remediation was implemented?	No

## Section 4: Grievances

Was a grievance mechanism established capable and known to stakeholders to accept grievances and complaints related to gender equality and women's empowerment?	Partially
Were grievances received during the reporting period?	No

List all grievances received through the grievance mechanism during the reporting period regarding gender-related matters of project/programme activities [6]	For each grievance, provide information on the grievance redress process used	Provide the status/outcome
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### Comments

Work has not yet commenced.

### Rating

## Implementing Entity

Project components/outcomes	Alignment with AF outcomes	Expected Progress	Progress to date	Rating
Component 1 Adaptation to the urban heat island effect through urban greening	Outcome 5, Outcome 4	Output 1.1 New tree-lined streets / Connected canopies constructed Output 1.2 Pocket parks/ vacant spaces constructed Output 1.6 Urban agriculture programme initiated	Delayed	Marginally Unsatisfactory
Component 2 Built projects for storm water and flood management	Outcome 5	Output 2.1 Blue-green corridors developed Output 2.2 New upstream retention ponds constructed Output 2.3 Swales and infiltration wells restored and constructed	Delayed	Marginally Unsatisfactory
Component 3 Comprehensive vulnerability / baseline assessment and action plans in targeted communities	Outcome 1	Output 3.1 Capacity development support for vulnerability assessment and climate change-related planning provided to the George Town and Bayan Lepas mukims.	Delayed	Marginally Unsatisfactory
Component 4 Strengthening social resilience	Outcome 3	Output 4.1 Youth and school awareness programme developed and implemented. Output 4.2 Women and girls programme developed and implemented.	Delayed	Marginally Unsatisfactory
Component 5: Institutional capacity and knowledge transfer platform	Outcome 2	Output 5.1 Communications and knowledge platform developed and implemented Output 5.2 Penang Climate Board created Output 5.3 Climate-related public health programme initiated and developed	Delayed	Marginally Unsatisfactory

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

Name	Email
Kwan Soo Chen	kwan.soochen@un.org

**Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.**

The time taken in reaching consensus on legal and administrative aspects and signing of the Agreements with EEs, along with State Elections held in 2023 led to delays in the project commencement. However, all EEs expressed confidence that all activities planned can be completed within the original project period despite the delay. The Implementing Entity, Executing Entities, and the Project Manager acknowledged the joint responsibility regarding the delay in programme schedules, and established an inclusive Steering Committee consisting of senior management to ensure overall commitment, participation, and ownership towards the project's progress.

## Executing Entity / Project Coordinator



Project components/outcomes	Alignment with AF outcomes	Expected Progress	Progress to date	Rating
Component 3 Comprehensive vulnerability / baseline assessment and action plans in targeted communities	Outcome 1	Output 3.1 Capacity development support for vulnerability assessment and climate change-related planning provided to the George Town and Bayan Lepas mukims.	Delayed	Marginally Unsatisfactory
Component 4 Strengthening social resilience	Outcome 3	Output 4.1 Youth and school awareness programme developed and implemented. Output 4.2 Women and girls programme developed and implemented.	Delayed	Marginally Unsatisfactory
Component 5: Institutional capacity and knowledge transfer platform	Outcome 2	Output 5.1 Communications and knowledge platform developed and implemented Output 5.2 Penang Climate Board created Output 5.3 Climate-related public health programme initiated and developed	Delayed	Marginally Unsatisfactory

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

Name	Email	Institution
Yogi Chellappan	yogi.chellappan@thinkcity.com.my	Think City

**Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.**

Agreement of Cooperation was signed on 29 August 2023 and fund disbursed on 17 October 2023. Work was just starting at the end of this reporting period.

## Other

Project components/outcomes	Alignment with AF outcomes	Expected Progress	Progress to date	Rating
Component 1 Adaptation to the urban heat island effect through urban greening	Outcome 5	Output 1.1 New tree-lined streets / Connected canopies constructed Output 1.2 Pocket parks/ vacant spaces constructed Output 1.6 Urban agriculture programme initiated	Delayed	Marginally Unsatisfactory

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

Name	Email
Lee Tit Kun	leetitkun@mbpp.gov.my

**Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.**

Agreement of Cooperation was signed on 29 August 2023 and fund disbursed on 17 October 2023. Work was just starting at the end of this reporting period.

## Overall Rating

### Overall rating

Marginally Unsatisfactory

**Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.**

The time taken in reaching consensus on legal and administrative aspects and signing of the Agreements with EEs, along with State Elections held in 2023 led to delays in the project commencement. However, all EEs expressed confidence that all activities planned can be completed within the original project period despite the delay. The Implementing Entity, Executing Entities, and the Project Manager acknowledged the joint responsibility regarding the delay in programme schedules, and established an inclusive Steering Committee consisting of senior management to ensure overall commitment, participation, and ownership towards the project's progress.

## Project Indicators

### List of indicators

Type of Indicator (indicators towards Objectives, Outcomes, etc...)	Indicator	Baseline	Progress Since Inception	Target for Project End
Components				

### Comments

## Lessons Learned

### Implementation and Adaptive Management

Describe any changes undertaken to improve results on the ground or any changes made to project outputs (i.e. changes to project design)	Challenges & Opportunities	In general, there have been no changes made to project outputs.
Have the environmental and social safeguard measures that were taken been effective in avoiding unwanted negative impacts?	Challenges & Opportunities	Work has not yet commenced to present any environmental and social risks that require safeguard measures. However, during the project preparation, environmental and social safeguard measures have been comprehensively assessed with mitigation measures to prevent issues during project

		implementation.
How have gender considerations been taken into consideration during the reporting period? What have been the lessons learned as a consequence of inclusion of such considerations on project performance or impacts? List lessons learned specific to gender, detailing measures and project/programme-specific indicators highlighting the role of women as key actors in climate change adaptation.	Challenges & Opportunities	Work has not yet commenced to present any lessons for gender. However, during the project preparation, women were recognized as being disproportionately impacted by climate change, not represented equally in climate-related decision-making processes, and often having additional burden placed upon them as the main caregivers for children and elderly persons in the household. Therefore, Output 4.2 Women and girls programme directly addresses gender as part of the project design to reduce gender vulnerability asymmetries.
Were there any delays in implementation? If so, include any causes of delays. What measures have been taken to reduce delays?	Challenges & Opportunities	There have been delays in the implementation due to the complex programme structure and heavy bureaucracy. In particular, delays in reaching consensus on legal and administrative aspects of the Agreements, along with State Elections held in 2023 led to delays. The Implementing Entity, Executing Entities, and the Project Manager acknowledged the joint responsibility regarding the delay in programme schedules, and established an inclusive Steering Committee consisting of senior management to ensure overall commitment, participation, and ownership towards the project's progress.
What implementation issues/lessons, either positive or negative, affected progress?	Challenges	Work has not yet commenced to present any implementation issues/lessons that affected progress.

**Has the project already reached mid term or project completion?(yes/no).**

No

<b>Climate Resilience Measures</b>	
What have been the lessons learned, both positive and negative, in implementing climate adaptation	

measures that would be relevant to the design and implementation of future projects/programmes for enhanced resilience to climate change?	
What is the potential for the climate resilience measures undertaken by the project/programme to be replicated and scaled up both within and outside the project area?	
<b>Readiness Interventions (Applicable only to NIEs that received one or more readiness grants)</b>	
What have been the lessons learned, both positive and negative, in accessing and implementing climate finance readiness support that would be relevant to the preparation, design and implementation of future concrete adaptation projects/programmes?	
How have the outputs (such as manuals, guidelines, procedures or the experience from providing peer support, etc) from employing readiness grants been used to inform institutional capacity needs, gender issues, and environmental and social aspects in developing and implementing concrete projects/programmes for enhanced resilience to climate change?	
<b>Concrete Adaptation Interventions</b>	
What have been the lessons learned, both positive and negative, in implementing concrete adaptation interventions that would be relevant to the design and implementation of future projects/programmes implementing concrete adaptation interventions?	
What is the potential for the concrete adaptation interventions undertaken by the project/programme to be replicated and scaled up both within and outside the project area?	
<b>Knowledge Management</b>	
How has existing information/data/knowledge been used to inform project development and implementation? What kinds of information/data/knowledge were used?	
Has the existing information/data/knowledge been made available to relevant stakeholder? If so, what channels of dissemination have been used?	
Please list any knowledge products generated and include hyperlinks whenever possible (e.g. project videos, project stories, studies and technical reports, case studies, training manuals, handbooks, strategies and plans developed, etc.)	
If learning objectives have been established, have they been met? Please describe.	
Describe any difficulties there have been in accessing or retrieving existing information (data or knowledge) that is relevant to the project. Please provide suggestions for improving access to the relevant data.	

Has the identification of learning objectives contributed to the outcomes of the project? In what ways have they contributed?	
<b>Innovation</b>	
Describe any innovative practices or technologies that figured prominently in this project.	
<b>Complementarity/ Coherence with other climate finance sources</b>	
Has the project been scaled-up from any other climate finance? Or has the project build upon any other climate finance initiative?	
If you answered yes, kindly specify the name of the Fund/Organization.	

## Results Tracker

**Goal:** Assist developing-country Parties to the Kyoto Protocol and the Paris Agreement that are particularly vulnerable to the adverse effects of climate change in meeting the costs of concrete adaptation projects and programmes in order to implement climate-resilient measures.

**Impact:** Increased resiliency at the community, national, and regional levels to climate variability and change.

**Is this the mid-term or terminal project performance report?**

### Impact: Increased resiliency at the community, national, and regional levels to climate variability and change

#### Core Indicator: No. of beneficiaries

		Total	% of female beneficiaries	% of Youth beneficiaries
Baseline information	Direct beneficiaries supported by the project	0	0	0
Baseline information	Indirect beneficiaries supported by the project	0	0	0
Baseline information	Total (direct + indirect beneficiaries)	0	0	0
Target performance at completion	Direct beneficiaries supported by the project	32479	69	31
Target performance at completion	Indirect beneficiaries supported by the project	343739	50	0
Target performance at completion	Total (direct + indirect beneficiaries)	376218	59.5	15.5
Performance at mid-term	Direct beneficiaries supported by the			

	project			
Performance at mid-term	Indirect beneficiaries supported by the project			
Performance at mid-term	Total (direct + indirect beneficiaries)	0	0	0
Performance at completion	Direct beneficiaries supported by the project			
Performance at completion	Indirect beneficiaries supported by the project			
Performance at completion	Total (direct + indirect beneficiaries)	0	0	0

### Outcome 1: Reduced exposure to climate-related hazards and threats

**Indicator 1: Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis**

	Number of targeted stakeholders - Total	Number of targeted stakeholders - % of female targeted	Hazards information generated and disseminated	Overall effectiveness
Baseline information	0	0	Inland flooding	1: Ineffective
Target performance at completion	12988	50	Inland flooding	4: Effective
Performance at mid-term				
Performance at completion				

### Output 1.1 Risk and vulnerability assessments conducted and updated

Indicator 1.1: No. of projects/programmes that conduct and update risk and vulnerability assessments

	No. of projects/programme that conduct and update risk and vulnerability assessments	Sector	Scale	Status
Baseline information	0	Disaster risk reduction	Local	1: No plans conducted or updated
Target performance at completion	1	Disaster risk reduction	Local	3: Risk and vulnerability assessments completed or updated
Performance at mid-term				

Performance at completion					
<b>Output 1.2 Targeted population groups covered by adequate risk reduction systems</b>					
Core Indicator 1.2: No. of Early Warning Systems					
	No. of adopted Early Warning Systems	Category targeted	Hazard	Geographical coverage	Number of municipalities
Baseline information	0	3: Dissemination and communication	Inland flooding	Local	0
Target performance at completion	1	3: Dissemination and communication	Inland flooding	Local	2
Performance at mid-term					
Performance at completion					

**Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses**

**Indicator 2: Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased**

	Number of staff targeted - Total	Number of staff targeted - % of female targeted	Sector	Capacity level
Baseline information				
Target performance at completion				
Performance at mid-term				
Performance at completion				

**Output 2.1 Strengthened capacity of national and sub-national centres and networks to respond rapidly to extreme weather events**

Indicator 2.1.1: No. of staff trained to respond to, and mitigate impacts of, climate-related events

	Total staff trained	% of female staff trained	Type
Baseline information			
Target performance at completion			
Performance at mid-term			
Performance at completion			

Indicator 2.1.2: No. of targeted institutions with increased capacity to minimize exposure to climate

variability risks

	Type	Scale	Sector	Capacity Level
Baseline information				
Target performance at completion				
Performance at mid-term				
Performance at completion				

**Output 2.2. Increased readiness and capacity of national and sub-national entities to directly access and program adaptation finance**

Indicator 2.2.1: No. of targeted institutions benefitting from the direct access and enhanced direct access modality

	Number of beneficiaries	Scale	Sector	Capacity Level
Baseline information				
Target performance at completion				
Performance at mid-term				
Performance at completion				

**Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes**

**Indicator 3.1: Increase in application of appropriate adaptation responses**

	Percentage of targeted population applying adaptation measures	Sector
Baseline information	0	Disaster risk reduction
Target performance at completion	25	Disaster risk reduction
Performance at mid-term		
Performance at completion		

**Output 3.1: Targeted population groups participating in adaptation and risk reduction awareness activities**

Indicator 3.1.1: Percentage of targeted population awareness of predicted adverse impacts of climate change, and of appropriate responses

	No. of targeted beneficiaries	% of female participants targeted	Level of awareness
Baseline information	0	0	2: Partially not aware
Target performance at completion	32479	69	4: Mostly aware



Performance at mid-term			
Performance at completion			

**Output 3.2: Stenghtened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning**

Indicator 3.2.1: No. of technical committees/associations formed to ensure transfer of knowledge

	No. of technical committees/associations	% of women represented in committes/associations	Level of awareness
Baseline information	0	20% to 39%	2: Partially not aware
Target performance at completion	1	40% to 60%	4: Mostly aware
Performance at mid-term			
Performance at completion			

Indicator 3.2.2: No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders

	No. of tools and guidelines	Type	Scale
Baseline information			
Target performance at completion			
Performance at mid-term			
Performance at completion			

**Outcome 4: Increased adaptive capacity within relevant development sector services and infrastructure assets**

Indicator 4.1: Increased responsiveness of development sector services to evolving needs from changing and variable climate

	Project/programme sector	Geographical scale	Response level
Baseline information			
Target performance at completion			
Performance at mid-term			
Performance at completion			

Core Indicator 4.2: Assets produced, developed, improved or strengthened

	Sector	Targeted asset	Changes in asset (quantitative or qualitative)
Baseline information	Ecosystem based	2: Physical asset	1:Not improved

	adaptation	(produced/improved/strengthened))	
Target performance at completion	Ecosystem based adaptation	2: Physical asset (produced/improved/strengthened))	5: Fully improved
Performance at mid-term			
Performance at completion			

**Indicator 4.1.1: Vulnerable development sector services and infrastructure assets strengthened in response to climate change impacts, including variability**

Indicator 4.1.1: No. and type of development sector services to respond to new conditions resulting from climate variability and change

	Number of services	Type	Sector
Baseline information			
Target performance at completion			
Performance at mid-term			
Performance at completion			

**Outcome 5: Increased ecosystem resilience in response to climate change and variability-induced stress**

**Indicator 5: Ecosystem services and natural resource assets maintained or improved under climate change and variability-induced stress**

	Natural resource improvement level	Sector	Type
Baseline information	2: Partially effective	Ecosystem based adaptation	Biological assets
Target performance at completion	4: Effective	Ecosystem based adaptation	Biological assets
Performance at mid-term			
Performance at completion			

**Output 5: Vulnerable ecosystem services and natural resource assets strengthened in response to climate change impacts, including variability**

Core Indicator 5.1: Natural Assets protected or rehabilitated

	Natural asset or Ecosystem (type)	Total number of natural assets or ecosystems protected/rehabilitated	Unit	Effectiveness of protection/rehabilitation
Baseline information				
Target performance at completion				
Performance at mid-term				
Performance at completion				

completion				

**Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas**

**Indicator 6.1: Increase in households and communities having more secure access to livelihood assets**

	No. of targeted households	% of female headed households	Improvement level
Baseline information			
Target performance at completion			
Performance at mid-term			
Performance at completion			

**Indicator 6.2: Increase in targeted population's sustained climate-resilient alternative livelihoods**

	No. of targeted households	% of female headed households	% increase in income level vis-à-vis baseline	Alternate Source
Baseline information				
Target performance at completion				
Performance at mid-term				
Performance at completion				

**Output 6 Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability**

Indicator 6.1.1: No. and type of adaptation assets created or strengthened in support of individual or community livelihood strategies

	Number of Assets	Type of Assets	Sector	Adaptation strategy
Baseline information				
Target performance at completion				
Performance at mid-term				
Performance at completion				

**Core Indicator 6.1.2: Increased income, or avoided decrease in income**

	Number of households (total number in the project area)	Income source	Income level (USD)
Baseline information			
Target performance at completion			

Performance at mid-term			
Performance at completion			

**Outcome 7: Improved policies and regulations that promote and enforce resilience measures**

**Indicator 7: Climate change priorities are integrated into national development strategy**

	Integration level
Baseline information	
Target performance at completion	
Performance at mid-term	
Performance at completion	

**Output 7: Improved integration of climate-resilience strategies into country development plans**

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

	No. of Policies introduced or adjusted	Sector	Scale	Type
Baseline information				
Target performance at completion				
Performance at mid-term				
Performance at completion				

**Indicator 7.2: No. of targeted development strategies with incorporated climate change priorities enforced**

	No. of Development strategies	Regulation	Effectiveness
Baseline information			
Target performance at completion			
Performance at mid-term			
Performance at completion			

**Outcome 8: Support the development and diffusion of innovative adaptation practices, tools and technologies**

**Indicator 8: Innovative adaptation practices are rolled out, scaled up, encouraged and/or accelerated at regional, national and/or subnational level**

	Sector of innovative practice	Geographic Scale	Type
Baseline information			
Target performance at			

completion			
Performance at mid-term			
Performance at completion			

**Output 8: Viable innovations are rolled out, saled up, encourages and/or accelerated**

Indicator 8.1: No. of innovative adaptation practices, tools and technologies accelerated, scaled-up and/or replicated

	No. of innovative practices/ tools technologies	Sector	Status	Effectiveness
Baseline information				
Target performance at completion				
Performance at mid-term				
Performance at completion				

**Indicator 8.2: No. of key findings on effective, efficient adaptation practices, products and technologies generated**

	No. of key findings generated	Type	Effectiveness
Baseline information			
Target performance at completion			
Performance at mid-term			
Performance at completion			