

ANNEX III: MONITORING OF READINESS GRANT PROJECTS

A. MONITORING REPORT SIX MONTHS AFTER PROJECT INCEPTION

Date report received by the Secretariat: 21 September 2017

Implementing Entity: South African National Biodiversity Institute (SANBI)

Country: South Africa

Adaptation Fund Grant I.D.:

Grant Type: TA Grant

Grant Description: Grant to support the National Implementing Entity in sourcing of technical assistance for assessment and management of environmental and social risks within AF-funded projects in South Africa.

| Support Activity Provided/Received | Expected Outputs | Progress (include completion Date "month & year") | Comments/Explanation (also explain any deviation from initial plan) |
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| 1. Review of existing, relevant material and development of a framework for the Dashboard, including preliminary outline of Excel tools and functions that would be used. | 1. Inception Report | 1. Completed March 2017 | <p>A briefing was held in Pietermaritzburg with the contracted consultants to discuss the approach and workplan, and confirm the contract timeline. The consultants then undertook a desktop review of relevant material and developed a draft framework for the ESP Dashboard including the basic Excel platform. This was detailed in the Inception Report, which was reviewed and approved by SANBI.</p> <p>A National Reference Group¹ was formed to oversee the development of the deliverables. The Reference Group requested that the initial timeline be extended to allow additional time for review of the Dashboard and Guideline Document, prior to the planned training sessions.</p> |
| 2. Development ESP Dashboard and supporting Guideline Document to facilitate screening of projects for environmental and | 2. ESP Risk Dashboard and supporting Guideline Document | 2. Completed September 2017 (first draft April 2017) | A draft Excel-based ESP Dashboard was developed, with a page of customized questions and guidelines dedicated to each Principle, as well as pages highlighting flags for actions, monitoring needs and a page providing a summary report. A step-by-step draft Guideline Document was developed, instructing the user on how to fill out the Dashboard, and providing the necessary definitions of relevant terms |

¹ The National Reference Group comprised of representatives from: Department of Environmental Affairs (DEA); Department of Planning, Monitoring and Evaluation (DPME); Adaptation Network; South African National Biodiversity Institute (SANBI); SouthSouthNorth (Small Grants Facility – Project Manager); uMgungundlovu District Municipality (uMngeni Resilience Project – Project Manager); Conservation South Africa (Small Grants Facility – Facilitating Agency); CHoiCe Trust (Small Grants Facility – Facilitating Agency); and University of KwaZulu-Natal (uMngeni Resilience Project – Project Partner).

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| <p>social risks; as well as undertaking risk assessments and formulating risk management/monitoring actions.</p> | | | <p>and details on the required procedures. The Dashboard and Guideline Document were developed for application to new projects (screening) applying for small grant funding, as well as for ongoing assessment of all project activities to support the identification of any new risks and development of appropriate management responses/monitoring actions, as well as to highlight social and environmental benefits resulting from project activities.</p> <p>A Skype call between SANBI and the consultants was held to discuss and refine the draft. A number of drafts were then produced and circulated for review by the National Reference Group. There was regular telephone and email correspondence between SANBI and the consultants over the period that the drafts were developed and refined.</p> |
| <p>3. Training of NIE, EEs and relevant project partners on using the ESP Dashboard and supporting Guideline Document.</p> | <p>3. Training Report</p> | <p>3. Completed September 2017</p> | <p>A training toolkit was developed, consisting of PowerPoint presentations, the Excel-based ESP Dashboard, hardcopy versions of the Dashboard, the Guideline Document and exercises to participants role play applying the ESP Dashboard.</p> <p>Training sessions were held in Pietermaritzburg (on 21 June 2017 for the uMngeni Resilience Project stakeholders), Cape Town (on 11 July 2017 for the Namakwa and Cape Town based Small Grant Facility stakeholders) and Tzaneen (on 30 August for the Mopani based Small Grant Facility stakeholders). The training focused on interpreting the 15 Principles of the ESP and their likely applicability to the two South African projects, and using the Dashboard to facilitate and report on compliance with the ESP, including the identification and reporting on of any management measures/monitoring actions that may be required.</p> <p>The Dashboard and Guideline Document were finalized after the inputs from training sessions were taken into consideration. Reflection sessions with the Executing Entities on the developed tools and their most appropriate use were held.</p> |

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