

Quality Assurance Framework for Approved Implementing Partners

1. Introduction

Once an Implementing Partner has been positively assessed (phase I) and has an Assurance Plan (including section on safeguards) in place, then transfers of funds can be made, and projects can begin implementation. It is at this point that CAFI will introduce a QA approach to track the performance of funded projects against the environmental and social criteria specified in the Assessment Tool.

CAFI has an existing reporting, monitoring, and evaluation requirement as outlined in Section 10.3 of the CAFI ToR, which requires Implementing Partners to provide annual evidence-based reports for each programme approved for funding.¹ Section 4.1 of the Manual of Operations elaborates on this, stating that Implementing Organizations will need to report on safeguards.²

To ensure that ‘approved’ Implementing Partners comply with CAFI’s policies and procedures, an **annual safeguards performance reporting template** has been developed to be integrated with the reporting requirements specified in Section 10.3 of the ToR, and Section 4.1 of the Manual of Operations. This template is based on the the environmental and social criteria specified in the assessment tool, in line with UNDP SES.

In addition to safeguards quality assurance due diligence taking place on a yearly basis at the level of funded projects and programmes, QA will also be undertaken at an institutional level every 5 years. This will aim to address any changes and/or updates to environmental and social standards and overall frameworks of Implementing Partners during the course of engagement with CAFI. As a consequence, it may be necessary to undertake occasional reassessment exercises. The annual safeguards performance reporting template will allow Implementing Partners to self-report any such changes, and a course of action will be agreed with CAFI.

Guidance for CAFI on roles and procedures for the implementation of the QA framework

1. **Implementing Partner reporting:** Based on the safeguard assurance plan agreed with CAFI , potential implementing partner complete the Annual Safeguards Performance Reporting template, with evidence of compliance, and submit to the CAFI Secretariat.
2. **CAFI Secretariat’s review:** The CAFI Secretariat reviews the reporting template provided by the Implementing Partner for clarity, completeness, and relevance. The Secretariat requests Implementing Partner to amend or complement their submissions to enable a complete assessment, if necessary.
3. **Corrective action:** If, as a consequence of its review, the CAFI Secretariat determines that the Implementing Partner’s project(s) are not in compliance with CAFI’s safeguard requirements, the Implementing Partner will be required to complete a corrective action plan, and submit to the Secretariat within one month of receiving a corrective action notice.

¹ Section 10.3 of CAFI ToR: “For each programme approved for funding, each Implementing Organization will provide the Secretariat and the Administrative Agent with narrative progress reports and financial annual statements, as agreed upon in the legal agreements signed with the Administrative Agent. The annual and final reports will be results and evidence based. The reports will give a summary of results and achievements compared to the expected result in the programme document”.

² Section 4.1 of CAFI Manual of Operations: “The Secretariat regularly reaches out to implementing organizations on whether any cases / investigations on fraud, misuse of funds, corruption, sexual exploitation, abuse and harassment, the Cancun safeguards or any other issues raised by the complaints management systems of the implementing organizations are ongoing and how they have been dealt with so far. This communication from the safeguards officer to implementing organizations on this subject will happen every three months, with information shared with the EB two weeks before an EB call. This ensures the EB is kept up to date on any issues that have been raised, and how they have been addressed, by implementing agencies every three months.”

2. Annual Safeguards Performance Reporting Template

This Annual Performance Reporting template should be completed by the Implementing Partner. It will be assessed by the CAFI Secretariat, and returned to the Partner with questions and comments for clarifications, as needed.

1. GENERAL INFORMATION	
Implementing Partner	
Project Number:	
Date of Board approval	
Focal Point of the Accredited Entity for this Project:	
Current year of Implementation:	
Date of Submission of the Report:	
Annual Reporting period covered in this report:	
2. IMPLEMENTING ORGANISATION SAFEGUARDS FRAMEWORK	
<p>(1) Please provide a brief overview of your organisation's safeguard framework and results of the assessment, including any identified gaps and/or agreed measures to address gaps;</p> <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	
<p>(2) If applicable, please mention any change and/or update made to the environmental and social standards and/or overall framework during the course of engagement with CAFI. Please indicate if this would likely require a reassessment of your organisation's framework by CAFI.</p> <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	
3. IMPLEMENTATION OF ENVIRONMENTAL AND SOCIAL SAFEGUARDS	
<p>Please provide Project or Programme information on the following: (1) key risks and impacts as identified; (2) compliance with applicable laws and regulations including any conditions agreed in the Assurance Plan; and (3) progress in the implementation of environmental and social management plans and programs including monitoring activities undertaken during the implementation of the funded activity.</p> <p>(1) The information includes description on any changes in the key environmental and social risks and impacts as identified and arising from the implementation including any unanticipated risks and impacts (ex. from changes in laws and regulations) and, based on these if any change in the Project's environmental and social risk category. In case of a change in the E&S risk category for the Project, please provide an explanation.</p> <p>(2) The information should include status of compliance with applicable laws and regulations of the country as well as the relevant conditions or covenants in the financing agreement with CAFI. This can be captured in the table below:</p>	
<p>Status of compliance with applicable laws and regulations and the conditions contained within the financing agreement between CAFI and your organisation.</p>	
Applicable laws and regulations/ conditions	Status of compliance

(3) Provide a report on the progress made in implementing environmental and social management plans (ESMPs) and frameworks (ESMFs), or equivalents, describing achievements, and specifying details outlined in the tables below.

(i) activities implemented during the reporting period, including monitoring	(ii) outputs during the reporting period	(iii) key environmental, social and gender issues, risks and impacts addressed during implementation	(iv) any pending key environmental, social and gender issues needing attention

Additionally, include a description of the actions undertaken towards increasing the relevant stakeholders' engagement in the Project environmental, social and gender elements, and a list on the grievances received in the reporting period that will include at least the description of the grievance, the date the grievance was received, and the resolution of the grievance.

Implementation of any agreed stakeholder engagement plan:

(i) activities implemented during the reporting period	(ii) dates and venues of engagement activities	(iii) information shared with stakeholders	(iv) outputs including issues addressed during the reporting period

Implementation of any agreed grievance redress mechanism

(i) description of issues/complaints received during the reporting period	(ii) status of addressing issues/complaints

4. PLANNED ACTIVITIES ON ENVIRONMENTAL AND SOCIAL SAFEGUARDS

Please describe any planned activities

