



ADAPTATION FUND

AFB/B.8/6  
October 8, 2009

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Adaptation Fund Board  
Eighth Meeting  
Bonn, November 16-18, 2009

Agenda Item 7.c)

**DRAFT INVITATION TO ELIGIBLE PARTIES TO SUBMIT  
PROJECT PROPOSALS TO THE ADAPTATION FUND  
BOARD**

### **Note by the Secretariat**

1. At the Seventh meeting of the Adaptation Fund Board one member noted the importance of going beyond inviting Parties to nominate their national implementing entities and suggested that the Parties also be asked to submit project proposals at the present meeting. The Chair agreed to consider that issue under the agenda item 'Other Matters.'
2. In view of the discussions that took place at the meeting, the Board agreed to defer consideration of an invitation to submit project proposals until the Eighth meeting of the Adaptation Fund Board.
3. The Secretariat is therefore submitting the attached letter for the consideration of the Board at its Eighth meeting.

### **Recommendation**

4. The Board may wish to consider and approve the attached letter of invitation to the Kyoto Protocol Parties to submit project proposals for funding from the Adaptation Fund.
5. The Board may also wish to request the Secretariat to distribute the letter.



1818 H Street, NW  
MSN G6-602  
Washington, DC 20433 USA  
Tel: 202.473.0508  
Fax: 202.522.3240/3245  
E-mail: [secretariat@adaptation-fund.org](mailto:secretariat@adaptation-fund.org)

November , 2009

To the Permanent Representations to the UN of Developing Country Parties to the Kyoto Protocol

Sub: Starting up the Adaptation Fund - Invitation to submit project proposals for funding from the Adaptation Fund

The Adaptation Fund Board (AFB) wishes to invite eligible Kyoto Protocol Parties to submit proposals for funding from the Adaptation Fund (AF), in accordance with the approved template a copy of which is attached.

Submissions will be considered by the AFB as they are received.

The AF, established by the Parties to the Kyoto Protocol of the UN Framework Convention on Climate Change (UNFCCC), is mandated to finance concrete adaptation projects and programmes in developing countries that are Parties to the Kyoto Protocol and to allow direct access to the Fund by those Parties.

The AFB has recently approved its Operational Policies and Guidelines which allow eligible Parties, seeking financial resources from the Adaptation Fund, to submit proposals *either* directly through their accredited NIE *or* using the services of Multilateral Implementing Entities (MIEs).<sup>1</sup> All project proposals require the endorsement of the authority which has been designated by the relevant Government to make such endorsements.<sup>2</sup>

The accreditation process of nominated NIEs is currently underway. The process requires the NIEs to demonstrate the capacity to meet the Fund's fiduciary and management standards as contained in its Operational Policies and Guidelines in order to access resources from the Fund directly. The Guidelines are also available on the AFB's website at:

([http://www.adaptation-fund.org/images/AFB.Operational\\_Policies\\_and\\_Guidelines.pdf](http://www.adaptation-fund.org/images/AFB.Operational_Policies_and_Guidelines.pdf)).

The AFB requests that the project submissions be written in English.

Kindly address your submissions to the AFB Secretariat: [secretariat@adaptation-fund.org](mailto:secretariat@adaptation-fund.org). If necessary, Parties can also request further information by phone at: +1 202 473-6390 or fax at +1 202 522-3240.

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<sup>1</sup> NIEs are national legal entities with the capacity to implement projects. MIEs are international organizations, including, among others, UN agencies, the World Bank and regional multilateral banks.

<sup>2</sup> Each Party shall designate, and communicate to the Secretariat, the authority that will endorse on behalf of the national government all projects and programmes proposed for funding by the AFB.



ADAPTATION FUND

Sincerely,

Jan Cedergren  
Chair, Adaptation Fund Board

Farrukh I. Khan  
Vice-Chair, Adaptation Fund Board

Annex. Template to request project funding from the Adaptation Fund

Cc: UNFCCC Focal Point



**ADAPTATION FUND**

**REQUEST FOR PROJECT FUNDING FROM THE  
ADAPTATION FUND**

The annexed form should be completed and transmitted to the Adaptation Fund Board Secretariat by email or fax.

Please type in the responses using the template provided. The instructions attached to the form provide guidance to filling out the template.

Please note that a project must be fully prepared (i.e., fully appraised for feasibility) when the request is submitted. The final project document resulting from the appraisal process should be attached to this request for funding.

Complete documentation should be sent to:

The Adaptation Fund Board Secretariat  
Room G-6  
1818 H Street NW  
Washington, DC. 20433  
U.S.A  
Fax: (202) 522-3240/5  
Email: [secretariat@adaptation-fund.org](mailto:secretariat@adaptation-fund.org)



# PROJECT PROPOSAL

## ■ PART I: PROJECT INFORMATION

PROJECT CATEGORY:  
COUNTRY/IES:  
TITLE OF PROJECT:  
TYPE OF IMPLEMENTING ENTITY:  
IMPLEMENTING ENTITY:  
EXECUTING ENTITY/IES:  
AMOUNT OF FINANCING REQUESTED: (in U.S Dollars Equivalent)

■ **PROJECT BACKGROUND AND CONTEXT:**  
*Provide brief information on the problem the proposed project is aiming to solve. Outline the economic and social development context in which the project would operate.*

■ **PROJECT OBJECTIVES:**  
*List the main objectives of the project.*

■ **PROJECT COMPONENTS AND FINANCING:**  
*Fill in the table presenting the relationships among project components, activities, expected concrete outputs, and the corresponding budgets. If necessary, please refer to the attached instructions for a detailed description of each term.*

PROJECT COMPONENTS	ACTIVITIES	EXPECTED CONCRETE OUTPUTS	AMOUNT (US\$)
1.			
2.			
3.			
4.			
5.			
6. Project Execution cost			
7. Total Project Cost			
8. Project Cycle Management Fee charged by the Implementing Entity (if applicable)			
<b>Amount of Financing Requested</b>			

**PROJECTED CALENDAR:**

*Indicate the dates of the following milestones for the proposed project*

<b>MILESTONES</b>	<b>EXPECTED DATES</b>
Start of Project Implementation	
Mid-term Review (if planned)	
Project Closing	
Terminal Evaluation	

**PART II: PROJECT JUSTIFICATION**

- A. Describe the project components, particularly focusing on the concrete adaptation activities of the project, and how these activities contribute to climate resilience.
  
- B. Describe how the project provides economic, social and environmental benefits, with particular reference to the most vulnerable communities.
  
- C. Describe or provide an analysis of how the proposed project is cost-effective?
  
- D. Describe how the project is consistent with national sustainable development strategies, including, where appropriate, national development plans, poverty reduction strategies, national communications, or national adaptation programs of action, or other relevant instruments, where they exist.
  
- E. Describe how the project meets relevant national technical standards, where applicable.
  
- F. Describe if there is duplication of project with other funding sources, if any.
  
- G. If applicable, describe the learning and knowledge management component to capture and disseminate lessons learned.

- H. Describe the consultative process, including the list of stakeholders consulted, undertaken during project preparation.
- I. Provide justification for funding requested, focusing on the full cost of adaptation reasoning.

### **PART III: IMPLEMENTATION ARRANGEMENTS**

- A. Describe the arrangements for project implementation.
- B. Describe the measures for financial and project risk management.
- C. Describe the monitoring and evaluation arrangements and provide a budgeted M&E plan.
- D. Include a project results framework for the project proposal.



**■ PART IV: ENDORSEMENT BY GOVERNMENT AND CERTIFICATION BY THE IMPLEMENTING ENTITY**

**A. RECORD OF ENDORSEMENT ON BEHALF OF THE GOVERNMENT<sup>3</sup>** *Provide the name and position of the government official and indicate date of endorsement. If this is a regional project, list the endorsing officials all the participating countries. The endorsement letter(s) should be attached as an annex to the project proposal. Please attach the endorsement letter(s) with this template; add as many participating governments if a regional project:*

<i>(Enter Name, Position, Ministry)</i>	<i>Date: (Month, day, year)</i>
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**B. IMPLEMENTING ENTITY CERTIFICATION** *Provide the name and signature of the Implementing Entity Coordinator and the date of signature. Provide also the project contact person's name, telephone number and email address*

I certify that this proposal has been prepared in accordance with guidelines provided by the Adaptation Fund Board, and prevailing National Development and Adaptation Plans (.....list here.....) and subject to the approval by the Adaptation Fund Board, understands that the Implementing Entity will be fully (legally and financially) responsible for the implementation of this project.	
<i>Name &amp; Signature</i> Implementing Entity Coordinator	
<i>Date: (Month, Day, Year)</i>	<i>Tel. and email:</i>
<i>Project Contact Person:</i>	
<i>Tel. And Email:</i>	

<sup>3</sup> Each Party shall designate and communicate to the Secretariat the authority that will endorse on behalf of the national government the projects and programmes proposed by the implementing entities.

# INSTRUCTIONS FOR PREPARING A REQUEST FOR PROJECT FUNDING FROM THE ADAPTATION FUND

**DATE OF RECEIPT.** Please leave this space on the top right of the page blank. The Adaptation Fund Board Secretariat will fill in the date on which the proposal is received at the Secretariat.

**ADAPTATION FUND PROJECT ID.** Please leave this space on the top right of the page blank. The Adaptation Fund Board Secretariat will assign a number to your project internally.

## **PART I: PROJECT INFORMATION**

**PROJECT CATEGORY:** Please specify which type of project you are proposing. The two options are:

- A) SMALL-SIZED PROJECT.** Proposals requesting grants up to \$1 million.
- B) REGULAR PROJECT.** Proposals requesting grants of more than \$1 million.

**COUNTRY/IES:** Please insert the name of the country requesting the grant. Please note that regional projects should mention all the participating countries.

**TITLE OF PROJECT:** Please enter the title of the proposed project.

**TYPE OF REQUESTING ENTITY:** Please specify which type of Implementing Entity the project will be managed by. The two options are:

- A) NATIONAL IMPLEMENTING ENTITY**
- B) MULTILATERAL IMPLEMENTING ENTITY**

**NAME OF IMPLEMENTING ENTITY:** Please specify the name of the Implementing Entity

**EXECUTING ENTITY(IES).** Please specify the name of the organisation(s) that will execute(s) the project funded by the Adaptation Fund under the oversight of the Implementing Entity.

**AMOUNT OF FINANCING REQUESTED.** Please fill the grant amount (in US Dollars equivalent) requested from the Adaptation Fund for this proposal.

**PROJECT BACKGROUND AND CONTEXT.** *Provide brief information on the problem the proposed project is aiming to solve. Outline the economic and social development context in which the project would operate.*

**PROJECT OBJECTIVES.** *List the main objectives of the project.*

**PROJECT COMPONENTS AND FINANCING.** Please fill out the table presenting the relationships among project components, activities, expected concrete outputs, and their corresponding budgets to accomplish them. The aforementioned terms are defined below to facilitate the process of completing the table:

**PROJECT COMPONENTS.** The division of the project into its major parts; an aggregation of set of activities

**ACTIVITIES.** Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.

**EXPECTED CONCRETE OUTPUTS.** The product, capital goods and services which result from a development intervention relevant to the achievement of outcomes.

**AMOUNT (\$).** Indicate grant amounts in US dollars by project components.

**PROJECT EXECUTION COST.** The main items supported by the Adaptation Fund for project management including consultant services, travel and office facilities, etc.

**TOTAL PROJECT COST.** This is the sum of all project components requesting Adaptation Fund Board approval.

**IMPLEMENTING ENTITY PROJECT CYCLE MANAGEMENT FEE.** This is the fee that is requested by an Implementing Entity for project cycle management services.

**AMOUNT OF FINANCING REQUESTED.** This amount includes the total project cost plus the project cycle management fee.

**PROJECTED CALENDAR.** Please indicate the dates of the following milestones for the proposed project.

**START OF PROJECT IMPLEMENTATION** The date on which project becomes effective and disbursement can be requested. This is also the trigger date for the Adaptation Fund Trustee to allow the Implementing Entities to request for disbursement

**MID-TERM REVIEW.** The date on which the Implementing Entity intends to complete its mid-term review of the project.

**PROJECT CLOSING.** Project closing is set as six months after Project Completion. This is the date on which Implementing Entity completes disbursement from the grant and may cancel any undisbursed balance in the grant account.

**TERMINAL EVALUATION.** The date on which the Implementing Entity completes the terminal evaluation report, normally two months after project completion but in any case, no later than twelve months after project completion.

## **PART II: PROJECT JUSTIFICATION**

- A.** Describe the project components, including details of activities in each component, regarding how the components will meet project objectives. Describe how the activities will help with adaptation to climate change and improve climate resilience.
- B.** Describe how the outputs and outcomes of the project will provide economic, social and environmental benefits, particularly to the most vulnerable communities in the project area.
- C.** How is the project cost-effective. Compare to other possible interventions that could have been taken to achieve similar project objectives.
- D.** Describe how the project is located in the framework of national development strategies, plans, action plans, etc.
- E.** Describe how the project design meets national technical standards.
- F.** Describe if the project overlaps or duplicates similar activities from other funding sources.
- G.** Describe the activities included in the project to gather lessons learned from project design and implementation and for their dissemination.
- H.** Describe the consultative process undertaken during project design. List the stakeholders consulted and the methods of consultation.
- I.** Provide the full cost of adaptation reasoning for the funding requested for the project.

**PART III: IMPLEMENTATION ARRANGEMENTS.** Describe the various elements of project implementation as enumerated below:

- a. Adequacy of project management arrangements.
- b. Measures for financial and project risk management.
- c. Monitoring and evaluation arrangements including budgeted M&E plan.
- d. Results framework for the project.

## **PART IV: ENDORSEMENT BY THE DESIGNATED GOVERNMENT AUTHORITY FOR ADAPTATION FUND AND CERTIFICATION BY THE IMPLEMENTING ENTITY**

- 9. RECORD OF ENDORSEMENT BY DESIGNATED GOVERNMENT AUTHORITY.** Provide the name, position, and government office of the designated government authority and indicate date of endorsement. If this is a regional project, list the designated government authorities of all

participating countries endorsing the project. The endorsement letter(s) should be attached as an annex to the project proposal.

- 10. IMPLEMENTING ENTITY CERTIFICATION.** Provide the name and signature of the Implementing Entity Coordinator and the date of signature. Provide also the project contact person's name, telephone number and email address.



ADAPTATION FUND

## Letter of Endorsement by Government

[Government Letter Head]

[Date of Endorsement Letter]

To: The Adaptation Fund Board  
c/o Adaptation Fund Board Secretariat  
Email: Secretariat@Adaptation-Fund.org  
Fax: 202 522 3240/5

Subject: Endorsement for [Title of Project]

In my capacity as focal point for the Adaptation Fund in [country], I confirm that the above (select national or regional) project proposal is in accordance with the government's (select national or regional) priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in the (select country or region).

Accordingly, I am pleased to endorse the above project proposal with support from the Adaptation Fund. If approved, the proposal will be coordinated and implemented by [national or local executing entity].

Sincerely,

[Name of Designated Government Official]  
[Position/Title in Government]