



ADAPTATION FUND

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Adaptation Fund Board  
Project and Programme Review Committee  
Tenth Meeting  
Bonn, 2-3 April 2013

**REVISED GUIDANCE DOCUMENT FOR PROJECT AND  
PROGRAMME PROPONENTS TO BETTER PREPARE A  
REQUEST FOR FUNDING**

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

Project and programme proposals must be clear on the adaptation challenge to be addressed, the objective(s), what the project/programme will deliver when, how and by whom. Clear baselines, milestones, targets and indicators should be included to ensure progress and results can be measured<sup>1</sup>. Programmes will generally be more complex and will require greater oversight and management which should be properly explained under Implementation Arrangements for programmes.

**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/programme internally.

### PART I: PROJECT / PROGRAMME INFORMATION

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

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

A programme will generally fulfil the following criteria: A series of projects which could include small-size projects or regular projects aimed at achieving an outcome that is otherwise not achievable by a single project. Projects under a programme would have synergies in their objectives and implementation. A programme may also cover more than one sector and geographic location. Programmes usually engage multiple partners / stakeholders and are able to achieve a greater degree of cost-efficiency through coordination and feedback of the programme's components.

**COUNTRY/IES:** Please insert the name of the country requesting the grant.

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<sup>1</sup> For detailed guidance on project indicators, targets and baselines, please consult the "[AF Results Framework and Baseline Guidance – Project level](#)" document

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

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

- A) NATIONAL IMPLEMENTING ENTITY**
- B) MULTILATERAL IMPLEMENTING ENTITY**
- C) REGIONAL 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 the project/programme 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 / PROGRAMME BACKGROUND AND CONTEXT.** Provide brief information on the problem the proposed project/programme is aiming to solve. Outline relevant climate change scenarios according to best available scientific information. Outline the economic social, development and environmental context in which the project/programme would operate.

**PROJECT / PROGRAMME OBJECTIVES.** List the main objectives of the project/programme. The objectives have to be aligned with the Adaptation Fund Results Framework and, in the case of fully-developed project/programme documents, specify this alignment at outcome level. For the case of a programme, this is likely to involve multiple objectives by stakeholder / sector / region, based on an overall strategic plan at the regional, national or local level.

**PROJECT / PROGRAMMES COMPONENTS AND FINANCING.** Please fill out the table presenting the project components, activities, expected concrete outputs, and their corresponding budgets to accomplish them. For fully-developed project/programme documents, the budget is required at the output level. Please also indicate the budget for execution costs and project cycle management fee. For the case of a programme, individual components are likely to refer to specific sub-sets of stakeholders, regions, and/or sectors that can be addressed through a set of well defined interventions / projects.

The aforementioned terms are defined below to facilitate the process of completing the table:

**PROJECT / PROGRAMME COMPONENTS.** The division of the project/programme 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. For the case of programmes, list the types and number of projects that the programme will support.

**MILESTONES / TARGETS.** Milestones help with regular monitoring of progress towards the target. Targets indicate the desired result at the end of the project.<sup>2</sup>

**INDICATORS** – What is going to be measured to assess if targets are met?<sup>3</sup>

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

**EXPECTED OUTCOMES.** The change in conditions, or intended effects of an intervention, usually brought about by the collective efforts of partners. Outcomes are achieved in the short to medium term.

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

**PROJECT / PROGRAMME EXECUTION COST<sup>4</sup>.** The main items supported by the Adaptation Fund for project management including consultant services, travel and office facilities, etc.

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

**IMPLEMENTING ENTITY PROJECT CYCLE MANAGEMENT FEE<sup>5</sup>.** 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.

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<sup>2</sup> Please see document "[AF Results Framework and Baseline Guidance – Project level](#)"

<sup>3</sup> Ibid

<sup>4</sup> Please note that project/programme execution costs should not be more than 9.5% of the total budget requested, before the implementing entity fees. In the case of an implementing entity acting as the executing entity for a project/programme, execution costs are capped at 1.5% of the total budget requested, before the implementing entity fees.

<sup>5</sup> The project cycle management fees should not be more than 8.5% of the total budget requested. For more information on these fees, see document "[Administrative and execution costs: Analysis of current rules and comparison of practices with other funds](#)"

**START OF PROJECT / PROGRAMME IMPLEMENTATION** The date on which project becomes effective. For AF projects/programmes, the date of the inception workshop or similar is considered the start date of the project.

**MID-TERM REVIEW.** The date on which the Implementing Entity completes its mid-term review of the project/programme. Mid-Term Review is required for projects with duration of over three years.<sup>6</sup>

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

**FINAL EVALUATION.** The date on which the Implementing Entity completes the final evaluation report, normally two months after project/programme completion but in any case, no later than nine months after project/programme completion.

## PART II: PROJECT / PROGRAMME JUSTIFICATION

**A. Describe the project / programme components, particularly focusing on the concrete adaptation activities of the project, and how these activities contribute to climate resilience. For the case of a programme, show how the combination of individual projects will contribute to the overall increase in resilience.**

Describe how the activities will help with adaptation to climate change and improve climate resilience. For the case of a programme, show how the combination of individual projects will contribute to the overall increase in resilience. Decision 10/CP.7 establishing the Adaptation Fund stipulates that it shall finance concrete adaptation projects and programmes. In the [AF Operational Policies and Guidelines](#), a concrete adaptation project is defined as “a set of activities aimed at addressing the adverse impacts of and risks posed by climate change. The activities shall aim at producing visible and tangible results on the ground by reducing vulnerability and increasing the adaptive capacity of human and natural systems to respond to the impacts of climate change, including climate variability. Adaptation projects/programmes can be implemented at the community, national, regional and transboundary level. Projects/programmes concern activities with a specific objective(s) and concrete outcome(s) and output(s) that are measurable, monitorable, and verifiable.”

The project objective has to be aligned with the Adaptation Fund Results Framework. The project/programme activities should align with its overall goal and objectives hence ensuring the cohesion of the components among themselves. It should be distinguished from a “business-as-usual” development or environmental protection project by clearly demonstrating that the proposed adaptation measures are suited or adequate for the identified climate threats. The

<sup>6</sup> Please see document “[AF Results Framework and Baseline Guidance – Project level](#)”

project/programme proposal should therefore explain the project rationale in relation to the climate scenario(s) outlined in the background and context section. Finally, the non-climatic barriers to achieving the project objective, whenever relevant, should be taken into account when designing the project/programme.

*For a fully developed proposal, the activities will have to be detailed to a sufficient level and their appropriateness in responding to the threats posed by the likely climate scenarios should be outlined in detail in the background and context section and quantified in terms of magnitude and uncertainty. The description should include information on project location and scope, and should have clearly defined activities including technical specifications, where appropriate. For a fully developed proposal, the alignment with Adaptation Fund fund-level objectives has to be specified at the project/programme outcome level as described in the document “AF Results Framework and Baseline Guidance – Project level”.*

**B. Describe how the project / programme provides economic, social and environmental benefits, with particular reference to the most vulnerable communities, and vulnerable groups within communities, including gender considerations.**

The proposal should include information on the expected beneficiaries of the project/programme, with particular reference to the equitable distribution of benefits to vulnerable communities, households, and individuals. In target areas where minority groups and indigenous communities have been identified, equitable benefits provided by the project/programme to those groups should be outlined.

*For a fully developed proposal, the estimated benefits will have to be quantified, whenever possible. In addition, if there is any concern of negative development or maladaptation in any of these areas, relevant evidence would need to be referenced, with specific studies if necessary. In that case, based on an Impact Assessment, the proposal should describe how it addresses possible threats, risks of maladaptation or imbalances caused in a wider region, or upstream/downstream to other communities and ecosystems. Any risk of marginalization of minority groups or indigenous people should be ruled out.*

**C. Describe or provide an analysis of the cost-effectiveness of the proposed project / programme.**

The proposal should provide a logical explanation of the selected scope and approach. The cost effectiveness should also be demonstrated from a sustainability point of view.

*For a fully developed proposal, a clear description of alternative options to the proposed measures should be provided, to allow for a good assessment of the project/programme cost effectiveness. The proposal should compare to other possible interventions that could have taken place to help adapt and build resilience in the same sector, geographic region, and/or community. Quantitative estimates of cost-effectiveness are required only where feasible and useful.*

**D. Describe how the project / programme is consistent with national or sub-national sustainable development strategies, including, where appropriate, national or sub-national development plans, poverty reduction strategies, sector strategies, national communications, or national adaptation programs of action, or other relevant instruments, where they exist.**

The relevant plans and strategies have to be identified. This includes as a minimum the most important adaptation-related plans and strategies and the most important relevant sectoral plans and strategies in the country.

*For a fully developed proposal, the compliance of the project/programme with the relevant plans and strategies has to be explained in detail.*

**E. Describe how the project / programme meets relevant national technical standards, where applicable, such as standards for environmental assessment, building codes, etc.**

The relevant national technical standards need to be identified, and compliance stated in a logical manner. These standards include Environmental Impact Assessments (EIAs), building codes, water quality regulations, and sector-specific regulations. Regarding EIAs, depending on the sector and the size of the project, the category of impact assessment or management strategy that the project is expected to trigger will have to be outlined.

*For a fully developed proposal, compliance with relevant technical standards needs to be explained in detail, addressing environmental assessments, building codes, and land use or tenure regulations, as required by national legislation. If one specific activity of the project/programme requires compliance with technical standards, the legal source of the requirement, the steps taken to comply with it and the nature of the authorization/clearance granted for the project to be implemented will have to be explained. A proposal cannot be recommended for approval, if the project has yet to receive technical clearances, in accordance with national legislation, for core parts of the project design. If technical clearance is pending for a minor part of the project design (either for a part that is included from the start or for any part that is to be included during implementation through a participatory planning arrangement), it should be mentioned in the document and the project design must include clear procedures for a fallback option. Finally, in considering compliance with national technical standards, the time required to get clearance using national procedures may be as important a factor as compliance itself, as lengthy procedures may significantly hinder implementation of overly ambitious plans.*

**F. Describe if there is duplication of project / programme with other funding sources, if any.**

All relevant potentially overlapping projects / programmes need to be identified, and lack of overlap / complementarity stated in a logical manner.

*For a fully developed proposal, the linkages and synergies with all relevant potentially overlapping projects / programmes need to be clearly outlined, avoiding evasive wording, including areas of overlap and complementarity, drawing lessons from the earlier initiatives during the project design, learning from their problems/mistakes, and establishing a framework for coordination during implementation.*

**G. If applicable, describe the learning and knowledge management component to capture and disseminate lessons learned.**

Activities related to knowledge management (KM) and dissemination of lessons learned have to be included. They can be grouped in a single component or part of a larger component.

The Adaptation Fund has included knowledge management as part of its Results-Based Management Framework at the Fund level. Project/programme proponents must therefore systematically keep track of experiences gained from their project and analyze them periodically both to enrich the global, national and local knowledge on climate change adaptation and to accelerate understanding about what kinds of interventions work. Key factors of success of a project KM strategy include adaptive management and the development of learning objectives and indicators.

Knowledge sharing tools include websites, regular weekly or daily blog posts, or social media streams (twitter, facebook, etc.) reflecting on progress, lessons, plans, milestone events and other aspects of the project or programme that enable implementers to simultaneously engage in knowledge sharing and publicity/communications. Complementary products that can be integrated into knowledge streams include videos, photos, voice recordings, and PowerPoint presentations. In addition to KM tools, complementary communications activities such as the development and implementation of a media outreach strategy can be included.

The target for such KM and media outreach strategies should be identified at the full proposal stage and examples of tools to be applied (sponsored radio and TV shows, media interviews, development of community radio, newsletter, mailing lists etc) should be provided.

*For a fully developed proposal, the KM and dissemination of lessons learned component has to be explained in detail. For additional guidance on the type of KM activities and indicators, please refer to Section 3 (p.27) of the [“AF Results Framework and Baseline Guidance – Project level”](#) document.*

**H. Describe the consultative process, including the list of stakeholders consulted, undertaken during project preparation, with particular reference to vulnerable groups, including gender considerations.**

At the concept stage, an initial consultative process has to take place, with key stakeholders of the project/programme. Depending on the level of involvement of local communities or governments, private sector, CSOs or universities/research centres in the execution of the project/programme, those stakeholders may or may not be consulted at the concept stage. In project/programme target areas where minority groups and indigenous peoples have been identified, they should be consulted at the concept stage and their interests or concerns taken into account when designing the proposal. Where Project Formulation Grants (PFG) are accessed, these should also be used to facilitate a comprehensive stakeholder consultation process in the project preparation phase.

*For a fully developed proposal, a comprehensive consultative process has to take place, and should involve all direct and indirect stakeholders of the project/programme, including vulnerable groups and taking into account gender considerations. Particular attention should be given to minority groups and indigenous peoples in the project/programme target areas, where relevant. The results of the consultative process must be reflected in the project design. Under extraordinary circumstances, the consultation of a specific stakeholder can be deferred to the implementation stage, if it enables a more effective consultation (e.g. if beneficiaries for specific activities have not been identified yet). However, if the project specifically targets the most vulnerable groups, they will have to be identified and consulted by the time of submission.*

*The implementation arrangement should include a framework allowing for stakeholders' views to be heard during project implementation. Whenever possible, a strategy and timetable for sharing information and consulting with each of the stakeholder groups during project implementation should be provided. Adequate facilitation measures (e.g. travel costs) should be budgeted to minimise barriers for involvement of key stakeholders where these impede their participation.*

*The documentation of the consultative process should at least contain a) the list of stakeholders already consulted (principles of choice, role ascription, date of consultation), b) a description of the consultation techniques (tailored specifically per target group), c) the key consultation findings (in particular suggestions and concerns raised).*

**I. Provide justification for funding requested, focusing on the full cost of adaptation reasoning.**

The Adaptation Fund does not require co-financing for the projects/programmes it funds. The principal and explicit aim of the project/programme should be to adapt and to increase resilience of a specific system or communities, to the adverse effects of climate change and variability. Therefore, the proposal should demonstrate that the project/programme activities are relevant in addressing its adaptation objectives and that, taken solely, without additional funding from other

donors, they will help achieve these objectives. Although co-financing is not required, it is possible and often cost-effective to implement Adaptation Fund projects in parallel with projects funded from other sources. In such a situation, the Adaptation Fund project should be able to deliver its outcomes and outputs regardless of the success of the other project(s). It is possible to include activities which, taken out of context, could be considered “business-as-usual” development but these should be justified in the context of achieving the adaptation goals of the project.

*For a fully developed proposal, the full cost of adaptation reasoning should be more detailed and demonstrated for each component of the project/programme. If necessary, a comparison of a baseline situation and a with-project scenario for each component of the project/programme can be undertaken (e.g. in the case of a proposal aiming at “climate-proofing” a specific sector).*

**J. Describe how the sustainability of the project/programme outcomes has been taken into account when designing the project / programme.**

The adaptation benefits achieved with the help of the project/programme should be sustained after its end, and should enable replication and scaling up with other funds after its end. The proposal should explain the arrangements through which this would be achieved, taking into account sustainability and maintenance of any infrastructure or installations to be developed, policies and governance arrangements to be developed and implemented, knowledge to be generated, management and other capacity to be improved, etc. All key areas of sustainability should be addressed, including but not limited to economic, social, environmental, institutional, and financial.

**PART III: IMPLEMENTATION ARRANGEMENTS<sup>7</sup>.** Describe the various elements of project implementation as enumerated below:

**A. Adequacy of project / programme management arrangements.**

The implementation arrangements should include a clear description of the roles and responsibilities of the implementing entity as well as any executing entity or organizations/stakeholders that are involved in the project. If necessary, provide a full organization chart showing how they report to each other.

Implementing entities should generally not provide execution services. On an exceptional basis, and at the written request by the recipient country, involving designated authorities in the process, and providing rationale for such a request, they may be authorized to do so. In such case, the responsibility for these services have to be stipulated, their budget estimated in the fully developed project/programme document, and covered by the execution costs budget of the project/programme.

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<sup>7</sup> Note: This section is not required for a project/programme concept document

When an entity intends to serve both as the implementing entity and the executing entity for a project/programme, the same rules as above apply, and the execution costs are capped at 1.5% of the total budget requested, before the implementing entity fees.

In the case of a programme, explain how the programme strategy will be managed and evaluated, and how individual projects have been identified, designed, appraised, approved, implemented and evaluated against programme's strategic objectives. The implementation arrangements should be cost-effective and efficient, and country-ownership should always be privileged.

**B. Measures for financial and project / programme risk management.**

The proposal should identify all major risks, consider their significance, and include a plan of monitoring and mitigating them. It should provide a table with detailed information on the different categories of risks (i.e. financial, environmental, institutional...), their level and how they will be managed.

**C. Monitoring and evaluation arrangements including budgeted M&E plan.**

The proposal should include a budgeted M&E plan, which should be in compliance with the AF M&E guidelines<sup>8</sup>.

**D. Provide a results framework for the project proposal, including milestones, targets and indicators.**

The proposal should include a results framework with realistic, quantified expected results. Whenever possible, the indicators and targets should be disaggregated by sex. More guidelines on preparing the project/programme results framework, including a list of standard AF indicators, can be found in the "[AF Results Framework and Baseline Guidance – Project level](#)" document.

**E. Include a detailed budget with budget notes, a budget on the Implementing Entity management fee use, and an explanation and a breakdown of the execution costs.**

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<sup>8</sup> See section on reporting process requirements in the AFB/EFC.7/4.Rev.2 document "[Annual Performance Report](#)". See also the "[AF Evaluation Framework](#)", the "[AF Results Framework and Baseline Guidance – Project level](#)" and the "[Guidelines for Project and Programme Final Evaluation](#)" documents.

The proposal should include a detailed budget with budget notes indicating the break-down of costs at the activity level.

**F. Include a disbursement schedule with time-bound milestones.**

The proposal should include a disbursement schedule that includes time-bound milestones relative to project inception and the annual reporting requirement.

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

**A. 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/programme, 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/programme proposal.

**B. IMPLEMENTING ENTITY CERTIFICATION.**

Provide the name and signature of the Implementing Entity Coordinator and the date of signature. Provide also the project/programme contact person's name, telephone number