



ADAPTATION FUND

# Meeting the project review criteria

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Climate Finance Readiness Seminar for NIEs #2  
Washington DC, 28-30 July 2015

# The funding application is made on a structured template available online

## PROJECT/PROGRAMME PROPOSAL TO THE ADAPTATION FUND

### PART I: PROJECT/PROGRAMME INFORMATION

Project/Programme Category:

Country/ies:

Title of Project/Programme:

Type of Implementing Entity:

Implementing Entity:

Executing Entity/ies:

Amount of Financing Requested:  (in U.S Dollars Equivalent)

#### Project / Programme Background and Context:

*Provide brief information on the problem the proposed project/programme is aiming to solve. Outline the economic social, development and environmental context in which the project would operate.*



#### Project / Programme Objectives:

*List the main objectives of the project/programme.*



#### Project / Programme 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.*

### Funding Application

<https://www.adaptation-fund.org/content/request-projectprogramme-funding-adaptation-fund-amended-november-2013>

# A key companion document is the 'Instructions to Proponents'

## **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:

### **Instructions to Proponents**

[https://www.adaptation-fund.org/sites/default/files/OPG%20ANNEX%204-2%20Instructions%20\(Nov2013\).pdf](https://www.adaptation-fund.org/sites/default/files/OPG%20ANNEX%204-2%20Instructions%20(Nov2013).pdf)

# A look at the review criteria in detail

- Country(ies) Eligibility
  - Country(ies) should be party to the Kyoto Protocol
  - Should be developing country(ies) particularly vulnerable to the adverse effects of climate change (all non-Annex I countries qualify)



# Endorsement by the government through its Designated Authority



- Most eligible countries have nominated DA
- Letter template available under **submission materials** on AF website
- Separate endorsement letter to be submitted for each submission





# Concrete adaptation actions

- The project / programme supports concrete adaptation actions to assist the country in addressing the adverse effects of climate change and builds in climate change resilience: description of activities
  - How the activities help with adaptation and resilience
  - Concrete: visible and tangible results.
  - Good project design: cohesion and alignment
  - Linking intervention to climate threat (not BAU, ENV)
  - Taking non-climatic barriers into account
  - Full proposal: details on specs, linking to CC scenario
  - Regional project to include both regional and country perspective/added value



# Environmental, socio-economic benefits

- The project / programme provides economic, social and environmental benefits, with particular reference to the most vulnerable communities, including gender considerations
  - Who are the beneficiaries, particular reference to vulnerable groups
  - Full proposal: whenever possible, quantifying the expected benefits
  - Accounting for any negative impacts, using government safeguards criteria (often also agency criteria)
  - Regional project: to demonstrate, whenever possible, how it promotes new and innovative solutions to climate change adaptation, such as new approaches, technologies and mechanisms.



# Cost-effectiveness

- Logical explanation why the proposed scope and approach were selected to the particular adaptation challenge, given all other variables and available financing
- Sustainability dimension is important
- Full proposal: clear description of alternative options to the proposed measures, in the same sector, geographic region and/or community (typically 1 or 2 declined options)
- Quantification in monetary terms not required as a rule
- Regional project: should further explain how the regional approach would support cost-effectiveness





# Consistency with national strategies and plans

- Project / programme has to be consistent with national sustainable development strategies, national development plans, poverty reduction strategies, national communications or adaptation programs of action, and other relevant instruments
- Concept stage: identification of key strategies and plans
- Full proposal: detailed explanation of compliance with relevant plans and strategies
- Regional project: if applicable, should refer to relevant regional plans and strategies where they exist.



# Meeting relevant national technical standards

- Using national standards: no AF-level sets of standards
- Typically: EIAs, building codes, water quality related regulations, land-use, and sector specific regulations
- If required: assessment for compliance before full proposal submission (EIA study etc.), and explanation of process
- Full proposals: regulatory clearance has to be received and technical feasibility ensured for core parts of project design – for a pending issues with minor parts of the project design, clear procedures for a fallback option



# Duplication / overlap with other funding sources

- The project must not duplicate / overlap with activities funded through other funding sources
- Identification of all potentially overlapping activities (donor, government, others)
- Full proposals: clear outline of linkages and synergies with each relevant project
- Lessons learned from earlier projects
- Coordination arrangements



# Knowledge management

- The project / programme must have a learning and knowledge management component to capture and feedback lessons
- The only “must-have” project component activity
- KM is part of AF Results Based Management: systematic project-level tracking of experiences gained
- Adaptive management, development of learning objectives and indicators
- Full proposals: detailed explanation



# Consultation process

- Consultative process involving all stakeholders, including vulnerable communities and women
  - An initial consultation before concept submission, with key stakeholders
  - For NIEs, PFG should also facilitate consultations
  - Full proposals: description of a comprehensive consultation process, involving all direct and indirect stakeholder groups, including vulnerable groups
  - Inclusion of stakeholder views in project design
  - List: stakeholders, ways of consultation, key findings
  - Under extraordinary circumstances, consultation can be deferred to implementation stage (e.g. all beneficiary communities have not been identified)
  - Real, continuous stakeholder participation during project



# Full cost of adaptation reasoning

- The project / programme provides justification for the funding requested on the basis of the full cost of adaptation
  - No co-financing required: possible and often beneficial, but should not constitute a risk of delay
  - Demonstration that activities are relevant in addressing adaptation objectives and that the project intervention (with approved funds) will help achieve the objectives without other funding
  - Full proposal: more details and if applicable, quantification of expected project impact on adaptation





# Sustainability of outcomes

- The sustainability of the project/programme outcomes taken into account when designing the project: the adaptation benefits achieved should be sustained after the end of project/programme
- Should enable replication and scaling up with other funds
- Arrangements for ensuring sustainability (maintenance, continuing processes etc.)
- All key areas of sustainability: economic, social, environmental, institutional, and financial



# Adequacy of project / programme management 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.
- For regional project: describe arrangements for management at the regional and national level, including coordination arrangements within countries and among them, and how the potential to partner with national institutions or NIEs has been considered and included in the management arrangements
- The implementation arrangements should be cost-effective and efficient, and country-ownership should always be privileged.



# 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.



# Results framework

- The proposal should include a results framework with realistic, quantified expected results.
- Whenever possible, the indicators and targets should be disaggregated by gender.
- 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.



# Budget

- Include a detailed budget with:
  - Budget notes;
  - A budget on the Implementing Entity management fee use;
  - An explanation and a breakdown of the execution costs;
  - For regional projects: budget to be broken down by country as applicable



# Disbursement schedule with time-bound milestones

	Upon Agreement signature	One Year after Project Start <sup>a/</sup>	Year 2 <sup>b/</sup>	Year 3	Year 4 <sup>c/</sup>	Total
Scheduled Date						
Project Funds						
Implementing Entity Fee						

<sup>a/</sup>Use projected start date to approximate first year disbursement (Start date = project inception workshop)

<sup>b/</sup>Subsequent dates will follow the year anniversary of project start

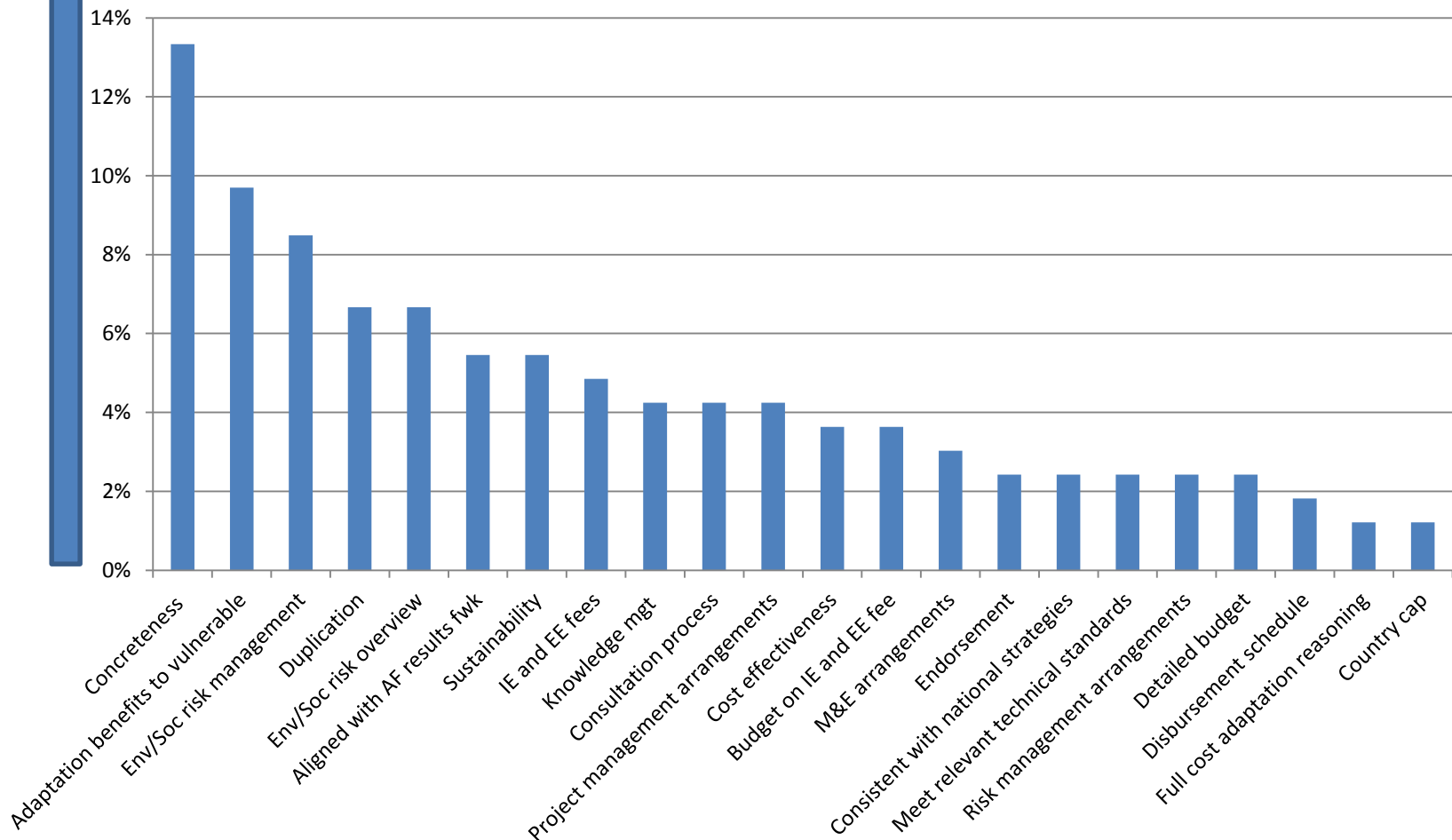
<sup>c/</sup>Add columns for years as needed





# Areas of project proponents that most often require follow-up

**#1 : Compliance with ESP !!**



# Your experiences in those most challenging areas: a working-group exercise

## Regional projects/programmes

Group 1: Discussion on cost effectiveness

Group 2: Discussion on consultative process

Group 3: Discussion on adaptation measures & consistency with national strategies

Group 4: Discussion on delivering economic, social and environmental benefits

45 minute  
group  
discussion

**Report back  
to plenary**

