



ADAPTATION FUND

AFB/PPRC.17-18/1
11 January 2016

Adaptation Fund Board
Project and Programme Review Committee

**REPORT OF THE SECRETARIAT ON INITIAL
SCREENING/TECHNICAL REVIEW OF GRANT PROPOSALS
UNDER THE READINESS PROGRAMME**

Background

1. This document presents to the Project and Programme Review Committee (PPRC) of the Adaptation Fund Board (the Board) an overview of the grant proposals/request documents submitted by Implementing Entities (IE) for intersessional approval, and the process of screening and technical review undertaken by the secretariat.

2. The analysis of the request documents mentioned above is contained in a separate addendum to this document.

3. In its twenty-third meeting, the Adaptation Fund Board (the Board) discussed a recommendation made by the Project and Programme Review Committee (PPRC) of the Board, on arranging intersessional review of project and programme proposals. Having considered the comments and recommendation of the PPRC, the Board decided to

a) Arrange one intersessional project/programme review cycle annually, during an intersessional period of 24 weeks or more between two consecutive Board meetings, as outlined in document AFB/PPRC.14/13;

b) While recognizing that any proposal can be submitted to regular meetings of the Board, require that all first submissions of concepts and fully-developed project/programme documents continue to be considered in regular meetings of the PPRC;

c) Request the secretariat to review, during such intersessional review cycles, resubmissions of project/programme concepts and fully-developed project/programme documents submitted on time by proponents for consideration during such intersessional review cycles;

d) Request the PPRC to consider intersessionally the technical review of such proposals as prepared by the secretariat and to make intersessional recommendations to the Board;

e) Consider such intersessionally reviewed proposals for intersessional approval in accordance with the Rules of Procedure;

f) Inform implementing entities and other stakeholders about the new arrangement by sending a letter to this effect, and make the calendar of upcoming regular and intersessional review cycles available on the Adaptation Fund website and arrange the first such cycle between the twenty-third and twenty-fourth meetings of the Board;

g) Request the PPRC to defer to the next Board meeting any matters related to the competencies of the Ethics and Finance Committee that may come up during the intersessional review of projects/programmes and to refrain from making a recommendation on such proposals until the relevant matters are addressed; and

h) Request the secretariat to present, in the fifteenth meeting of the PPRC, and annually following each intersessional review cycle, an analysis of the intersessional review cycle.

(Decision B.23/15)

4. In the twenty-fifth Board meeting, the secretariat had requested to the Board to consider whether the rules in the intersessional project review cycle could be made more accommodating, with a view to speeding up the process. The Board subsequently decided to:

- a) *Amend Decision B.23/15 and require that all first submissions of concepts under the two-step approval process and all first submissions of fully-developed project/programme documents under the one-step process continue to be considered in regular meetings of the Project and Programme Review Committee (PPRC);*
- b) *Request the secretariat to review, during its inter-sessional review cycles:*
 - (i) *First submissions of fully-developed project/programme documents for which the concepts had already been considered in regular meetings of the PPRC and subsequently endorsed by the Board;*
 - (ii) *Resubmissions of project/programme concepts and resubmissions of fully-developed project/programme documents;*
- c) *Request the PPRC to consider intersessionally the technical review of such proposals as prepared by the secretariat and to make intersessional recommendations to the Board;*
- d) *Consider such intersessionally reviewed proposals for intersessional approval in accordance with the Rules of Procedure; and*
- e) *Inform implementing entities and other stakeholders about the updated arrangement by sending a letter to this effect, and make effective such amendment as of the first day of the review cycle between the twenty-fifth and twenty-sixth meetings of the Board.*

(Decision B.25/2)

5. In the twenty-sixth Board meeting, the secretariat had requested the Board to consider whether the rules in the intersessional project review cycle could include grant proposals under the Readiness Programme and allow the secretariat to review and submit grant proposals by implementing entities for technical assistance and South-South cooperation intersessionally, with a view to speeding up the grant approval process. Under the second phase of the Readiness Programme, National Implementing Entities (NIEs) could request a Technical Assistance Grant of up to US\$ 20,000 to help them comply with the Environmental and Social Policy (ESP) of the Fund, and/or could request for a South-South Cooperation Grant of up to US\$ 50,000, to help those applying for accreditation as an NIE prepare their application. To facilitate timely review of applications, the Board decided to:

Request the secretariat to review intersessionally, between the 26th and 27th meetings of the Board, proposals submitted by National Implementing Entities for technical assistance grants and South-South cooperation grants under the Readiness Programme, and to submit the reviews to the PPRC for intersessional recommendation to the Board.

(Decision B. 26/28)

Technical Assistance Grant Proposals Submitted by Implementing Entities

6. The secretariat had sent out a call for proposals to all accredited NIEs to submit request documents for a grant to help them comply with the Fund's ESP. Accredited implementing entities submitted eight proposals to the secretariat for Technical Assistance (TA) grants totaling US\$ 204,737.50. The proposals were submitted by the *Centre de Suivi Ecologique* (CSE, Senegal), the National Environment Fund (FNE, Benin), the *Fundación Natura* (Panama), the *Fundecooperación para el Desarrollo Sostenible* (Fundecooperación, Costa Rica), the Micronesia Conservation Trust (MCT, Federated States of Micronesia), the South African National Biodiversity Institute (SANBI, South Africa), the Desert Research Foundation of Namibia (DRFN, Namibia), and the National Environment Management Authority (NEMA, Kenya). Following the receipt of such proposals, the secretariat shared the initial technical review findings with all NIE applicants and solicited their responses to specific items requiring clarification. Responses were requested by e-mail, and the time allowed for the Implementing Entity to respond was one week. In some cases, however, the process took longer. One NIE did not submit a response to the secretariat by the submission deadline and had still not submitted a response by the time of the final review of applications while another did not submit an endorsement letter by the DA as required. Following the initial technical review carried out by the secretariat, two of the final applications were not accompanied by the required Designated Authority endorsement letters and had to be considered ineligible in accordance with the Operational Policies and Guidelines of the Fund. The final total requested funding for TA grant proposals for the current period amounted to US\$ 118,000.

7. The remaining six proposals were submitted by the *Centre de Suivi Ecologique* (CSE, Senegal), the National Environment Fund (FNE, Benin), the *Fundación Natura* (Panama), the *Fundecooperación para el Desarrollo Sostenible* (Fundecooperación, Costa Rica), the Micronesia Conservation Trust (MCT, Federated States of Micronesia), and the South African National Biodiversity Institute (SANBI, South Africa). Details of these proposals are contained in the following PPRC working documents as follows:

AFB/PPRC.17-18/2 *TA Grant Proposal for Senegal (CSE)*

AFB/PPRC.17-18/3 *TA Grant Proposal for Benin (FNE)*

AFB/PPRC.17-18/4 *TA Grant Proposal for Panama (Fundación Natura)*

AFB/PPRC.17-18/5 *TA Grant Proposal for Costa Rica (Fundecooperación)*

AFB/PPRC.17-18/6 *TA Grant Proposal for the Federated States of Micronesia (MCT)*

AFB/PPRC.17-18/7 *TA Grant Proposal for South Africa (SANBI)*

AFB/PPRC.17-18/1/Add.1 *Report of the secretariat on initial review of grant proposals under the Readiness Programme*

8. The submitted technical assistance grant proposals provide an explanation and a basic breakdown of the costs associated with accredited NIEs building their capacity to comply with the Fund's Environmental and Social Policy (ESP). The proposals are in compliance with the Board Decision made at the twenty fifth meeting to approve Phase II of the Readiness Programme as outlined in document AFB/B.25/5. At this meeting, the Board decided to:

Approve Phase II of the Readiness Programme, as outlined in document AFB/B.25/5, with a total funding of US\$ 965,000, including funding of US\$ 565,000 to be transferred to the secretariat's budget and funding of US\$ 400,000 to be set aside for small grants to National Implementing Entities from resources of the Adaptation Fund trust fund.

*(Decision B.25/27)***Table 1: Technical Assistance grant proposals submitted to the intersessional review cycle between the twenty-sixth and twenty-seventh Adaptation Fund Board meetings**

Country	IE	Financing Requested (USD)
Senegal	CSE	18,000
Benin	FNE	20,000
Panama	<i>Fundación Natura</i>	20,000
Costa Rica	<i>Fundecooperación</i>	20,000
Federated States of_Micronesia	MCT	20,000
South Africa	SANBI	20,000
Total		118,000

9. The secretariat subsequently reviewed the NIEs' responses to the clarification requests, and compiled comments and recommendations that are presented in the addendum to this document (AFB/PPRC.17-18/1/Add.1).

South-South Cooperation Grant Proposals Submitted by Implementing Entities

10. Under the AF's Readiness Programme, eligible¹ NIEs wishing to support other countries that are seeking accreditation with the AF Board can apply for South-South (S-S) cooperation grants to enable them to provide such support. The secretariat received SS cooperation grant proposals for five countries from two implementing entities, with the total requested funding for these grants for the current period amounting to US\$ 241,000. Following the initial technical review carried out by the secretariat, the budget requests of some of the proposals were altered. The final total requested funding for the five SS cooperation grant proposals amounted to US\$ 242,347.

11. The grant proposals were submitted by the *Centre de Suivi Ecologique* (CSE, Senegal), and the National Environment Management Authority (NEMA, Kenya). Details of these proposals are contained in the following PPRC working documents as follows:

AFB/PPRC.17-18/8 *SS Cooperation Grant Proposal for Guinea (CSE)*

AFB/PPRC.17-18/9 *SS Cooperation Grant Proposal for Mali (CSE)*

AFB/PPRC.17-18/10 *SS Cooperation Grant Proposal for Sierra Leone (CSE)*

AFB/PPRC.17-18/11 *SS Cooperation Grant Proposal for Malawi (NEMA)*

AFB/PPRC.17-18/12 *SS Cooperation Grant Proposal for Zimbabwe (NEMA)*

AFB/PPRC.17-18/1/Add.1 *Report of the secretariat on initial review of grant proposals under the Readiness Programme*

12. The submitted S-S cooperation grant proposals provide an explanation and a basic breakdown of the costs associated with an accredited NIE providing support to help those applying for accreditation as an NIE prepare and submit their application. The proposals are in compliance

¹ Eligible NIEs are those that have tangible achievements with the Fund and those that meet the eligibility criteria outlined in document AFB/B.23/5, including the entity's experience in project preparation and implementation, and in supporting other countries at different stages of their application processes.

with the Board Decision made at the twenty-fifth meeting to approve Phase II of the Readiness Programme as outlined in document AFB/B.25/5. At this meeting, the Board decided to:

Approve Phase II of the Readiness Programme, as outlined in document AFB/B.25/5, with a total funding of US\$ 965,000, including funding of US\$ 565,000 to be transferred to the secretariat's budget and funding of US\$ 400,000 to be set aside for small grants to National Implementing Entities from resources of the Adaptation Fund trust fund.

(Decision B.25/27)

13. In line with the Board approval at its twenty-fifth meeting, the secretariat sent out a call for proposals to all accredited NIEs to submit request documents/applications for a grant to enhance South-South cooperation and help those countries applying for accreditation as an NIE to prepare and submit their applications. Following the receipt of such grant proposals, the secretariat shared the initial technical review findings with all NIE applicants and solicited their responses to specific items requiring clarification. Responses were requested by e-mail, and the time allowed for the Implementing Entity to respond was one week. In some cases, however, the process took longer. A summary of the applicants is provided in Table 2 below.

Table 2: South-South cooperation grant proposals submitted to the intersessional review cycle between the twenty-sixth and twenty-seventh Adaptation Fund Board meetings

Country	IE providing support	Initial Requested (current period)	Financing (USD),	Final Requested ² (current period)	Financing (USD),
Guinea	CSE	47,000		47,449	
Mali	CSE	47,000		47,449	
Sierra Leone	CSE	47,000		47,449	
Malawi	NEMA	50,000		50,000	
Zimbabwe	NEMA	50,000		50,000	
Total		241,000		242,347	

14. The secretariat subsequently reviewed the IE's responses to the clarification requests, and compiled comments and recommendations that are presented in the addendum to this document (AFB/PPRC.17-18/1/Add.1).

Issues Identified During the Review Process

15. There were no particular issues identified during this review process.

² Final SS cooperation grant financing requested after the secretariat's initial technical review and request for further clarification to the applicant.