



## ADAPTATION FUND

AFB/PPRC.18/5/Add.1  
1 March 2016

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Adaptation Fund Board  
Project and Programme Review Committee  
Eighteenth Meeting  
Bonn, Germany, 15-16 March 2016

Agenda Item 7 b)

### **PROPOSAL FOR NAMIBIA (1)**

## I. Background

1. The Board at its eleventh meeting discussed the document “Funding for Project Formulation Costs” (AFB/11/6) and agreed, in its Decision B.11/18, that:

- i. project formulation grants (PFG) should be given once a project concept has been approved*
- ii. consideration should be given in terms of differentiating between NIEs and MIEs, since some NIEs might have financial difficulties in trying to formulate project or programme proposals;*
- iii. a flat rate should be given for project formulation costs;*
- iv. a list of eligible activities and items still needed to be prepared;*
- v. the grant should be additional to the project cost; and*
- vi. the fate of funds if the final project document was rejected should be determined.*

2. There was consensus that a three tiered system should be considered for project formulation grants: endorse a project concept with a PFG amount, endorse a project concept without a PFG amount, or reject the project concept.

3. Following the discussion, the Board decided:

*To request the secretariat to reformulate the document, to include a comparison of eligible activities provided by other funds for project formulation grants, to take into account guidance provided by the Board at the present meeting, and to submit the document to the Board at its twelfth meeting, through the EFC. The EFC should review and finalize the process and policy of the project formulation grant focusing, in particular, on: the issue of unspent project funds; the procedures followed by other funds in that regard; and the determination of a flat-rate.*

4. A document was prepared by the secretariat in response to the above mandate and presented at the third EFC meeting, which made specific recommendations to the Board at its twelfth meeting. Having considered the recommendation of the Ethics and Finance Committee, the Board, in its Decision B.12/28, decided that :

- (a) Project Formulation Grants (PFGs) will only be made available for projects submitted through NIEs. The Board would continue reviewing the question of PFGs for projects submitted through MIEs and would solicit comments from members and alternate members by February 14, 2011; the views would be compiled by the secretariat for presentation to the Board at its March 2011 meeting;
- (b) If a country required a project formulation grant, a request should be made at the same time as the submission of a project concept to the secretariat. The secretariat will review and forward it to the PPRC for a final recommendation to the Board. A PFG could only be awarded when a project concept was presented and endorsed;
- (c) A PFG form, reproduced in Annex V, should be submitted;
- (d) Only activities related to country costs would be eligible for PFG funding;

- (e) A flat rate of up to US\$30,000 shall be provided, inclusive of the management fee, which cannot exceed 8.5 per cent of the grant amount. The flat fee would be reviewed by the Board at its thirteenth and all subsequent meetings;
- (f) If the final project document is rejected, any unused funds shall be returned to the Adaptation Fund Trust Fund;
- (g) Once a project/programme formulation grant is disbursed, a fully developed project document should come to the Board for approval within 12 months. No additional grants for project preparation can be received by a country until the fully developed project/programme document has been submitted to the Board; and
- (h) The Trustee was instructed to remove the set-aside of US\$100,000 for project preparation that had been decided at the June 2010 meeting, as project preparation would be approved on a project-by-project basis.

5. At the twenty-sixth meeting, the Board decided to revise the operational policies and guidelines to amend the review process for small-size project and programme proposals so that:

- a) *Small-size project and programme proposals can be submitted using a two-step review cycle, as an alternative to the one-step review cycle; and*
- b) *Small-size project and programme proposals are eligible for project formulation grants, at the time of endorsement of the concept for such proposal, provided that the total budget of the proposed concept is not less than US\$ 500,000.*

*(Decision B. 26/29)*

## **II. The Project Formulation Grant Request**

6. This addendum to the document AFB/PPRC.18/5 “Proposal for Namibia (1)” includes the Project Formulation Grant, requesting a budget of US\$ 30,000, which was received by the secretariat along with the concept for the project NAM/NIE/Agri/2015/2 “Community-based Integrated Farming System for Climate Change Adaptation”. This proposal was submitted on time by the Desert research Foundation of Namibia (DRFN), which is the National Implementing Entity of the Adaptation Fund for Namibia, for its consideration by the Adaptation Fund Board at its twenty-seventh meeting.

7. In accordance with Decision B.12/28 paragraph (b), the secretariat carried out an initial review of the PFG request and found that the document provided detailed information on the use of the requested funds. The proposed activities were aligned with the goal of the project and would support compliance with the Environmental and Social Policy of the Fund, a site identification and stakeholder consultation process, and environmental and social risk assessment and the formulation of the fully-developed project.

8. Therefore, the PPRC may want to consider and recommend to the Board to approve the PFG Request provided that the related concept proposal is endorsed.



ADAPTATION FUND

**Adaptation Fund Project ID:**

**Country:** Namibia

**Title of Project/Programme:** Community-based Integrated Farming Systems for Climate Change Adaptation

**Type of IE:** NIE

**Implementing Entity:** Desert Research Foundation of Namibia (DRFN)

**Executing Entity:** Namibia University of Science and Technology (NUST)

#### **A. Project Preparation Timeframe**

Start date of PFG	February 2016
Completion date of PFG	August 2016

#### **B. Proposed Project Preparation Activities**

PFG funds are kindly requested to facilitate in-country activities for NUST as proponent to develop a Full Project Proposal meeting eligibility requirements of the AF. These mainly include completion of stakeholder consultations; engagement with local and traditional authorities; identification and elaboration of social risks and impacts as well as gender disaggregated beneficiaries; elaboration of the cost effectiveness; development of a social management plan; and detailed financial budget with explanatory notes; lessons learned and refining the project to be in full alignment to AF results framework with an explicit outcome indicator of the AF.


Describe the PFG activities and justifications:

<b>List of Proposed Project Preparation Activities</b>	<b>Output of the PFG Activities</b>	<b>USD Amount</b>
Environmental and social risk assessment and develop the mitigation strategies	Environmental and social risk identified and mitigation strategies fully developed	8,500
Stakeholders' engagement and community beneficiaries' selection, and securing agreement on criteria	Sites identified, identified beneficiaries, assessed the community willingness to	8,500

for beneficiary. Including regional and traditional authorities engagement	participate and MOU signed with concerned bodies	
Development of the full proposal, including financial and M & E aspects plus log frame	Project full proposal developed	10,500
Management of project proposal preparation activities by NIE	Fully developed project proposal meeting AF eligibility requirements is produced	2,500
<b>Total Project Formulation Grant</b>	<b>Full project proposal ready for submission to the AF</b>	<b>30,000</b>

### C. Implementing Entity

This request has been prepared in accordance with the Adaptation Fund Board's procedures and meets the Adaptation Fund's criteria for project identification and formulation.

<b>Implementing Entity Coordinator, IE Name</b>	Mr. S Aldrich, DRFN
<b>Signature</b>	
<b>Date (Month, day, year)</b>	11 January 2016
<b>Project Contact Person</b>	Mr. M Schneider
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23 December 2015

OFFICE OF THE ENVIRONMENTAL COMMISSIONER

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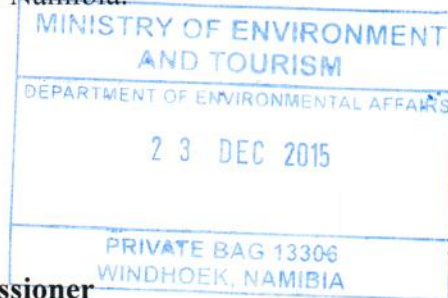
Dear Sir /Madam

**SUBJECT: ENDORSEMENT OF THE PFG REQUEST FOR THE FULL DEVELOPMENT OF A PROPOSAL FOR THE PROJECT "COMMUNITY-BASED INTEGRATED FARMING SYSTEMS FOR CLIMATE CHANGE ADAPTATION"**

In my capacity as Designated Authority for the Adaptation Fund in Namibia, I am pleased to endorse the request for a Project Formulation Grant amounting to USD 30 000 to be used for the purpose of developing a full project proposal for the above project. If the grant is approved, the full project proposal will be developed by the Namibia University for Science and Technology (NUST) as Executing Entity, working under the management and guidance of the Desert Research Foundation of Namibia (DRFN) as the accredited NIE for Namibia.

Sincerely Yours,

**Teofilus Nghitila**  
Environmental Commissioner



**"Stop the poaching of our rhinos"**

All official correspondence must be addressed to the Permanent Secretary