



ADAPTATION FUND

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15 September 2016

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Ethics and Finance Committee  
Nineteenth Meeting  
Bonn, Germany, 4-5 October 2016

Agenda item 3

## **ANNUAL PERFORMANCE REPORT FOR THE FISCAL YEAR 2016**



## Executive summary

The Adaptation Fund (the Fund) was established under the Kyoto Protocol of the UN Framework Convention on Climate Change (UNFCCC). It has committed, to date, USD 337 million in 46 countries to concrete adaptation projects/programmes since 2010 to support climate change adaptation and strengthen resilience for countries impacted by climate change. In a very dynamic and changing climate finance environment, the Fund strives to provide visible and tangible solutions that help the most vulnerable communities in developing countries, based on country needs, views and priorities.

The present report provides a wide range of information about the Fund performances during the Fiscal Year 2016, and since its inception in 2010, relying on information collected by the secretariat. The methodology followed uses data from various sources such as annual project performance reports (PPRs), financial reports from the trustee, information received from implementing entities (IEs), and from various monitoring tools implemented by the secretariat, among others.

The report confirms the growth of the Fund's portfolio with a total of 52 projects representing US\$337 million that have been approved for funding, including eighteen implemented by national IEs (NIEs). The approved projects are expected to directly benefit 3.57 million people. In addition, 17 project formulation grants for single country proposals (6 for regional proposals) for a total of US\$ 506,500 for single country proposals (US\$ 180,000 for regional proposals) have been approved, to date. The Fund's portfolio is maturing, with forty-two projects currently under implementation, representing US\$ 275.8 million. US\$ 171.26 million of grant funding has been transferred to implementing entities (48% of approved amount), and thirty projects have submitted at least one annual project performance report.

Among the approved projects, funds are allocated across a variety of sectors, the most significant in terms of grant amount being agriculture, food security, and multi-sector projects/programmes, and across a variety of regions, with the biggest flow of approved grant funds going to Africa and Asia-Pacific. Moreover, in line with the Fund's mandate to finance concrete adaptation projects and programmes, a constant feature since the creation of the Fund has been to channel the largest amount of grant funding in projects, on average, toward increasing ecosystem resilience in response to climate change and variability-induced stress, and increasing adaptive capacity within relevant development and natural resources sectors.

Out of the 42 projects under implementation, 35.7 percent have started within the six-month target that the Board has set from the first cash transfer to the inception workshop, and 28.6 percent started within six to eight months. For the reporting period, one project exceeded the six-month target, and had not yet started by 30 June 2016: Jordan (MOPIC) with 12.3 months (the project has started in July 2016). The IE in charge of this project has submitted various documentation regarding this delay.

Furthermore, the report compiles information on all the requests from IEs that have been received by the secretariat during FY 2016, for issues such as allowing direct project support services to be provided by the IE, proposed material changes, including changes in budget, and proposed project extensions. Eight requests have been submitted during FY16. Finally, the report has tracked a series of effectiveness and efficiency indicators, as approved in the RBM approach document. A synthesis is presented in the report.



## Introduction

1. The following document presents the Adaptation Fund's fifth annual performance report and covers the period from 1 July 2015 through 30 June 2016. The report also provides cumulative data on project and programme approvals.

2. As of 30 June 2016, 52 projects for a total amount of US\$337 million have been approved for funding.<sup>1</sup> In addition, the Board has approved 18 project formulation grants for a total of US\$ 536,400. 42 projects are currently under implementation, for a total grant amount of US\$ 275.8 million. A total of US\$ 171.26 million has been transferred to implementing entities (48% of approved amount).

3. Of the 52 projects approved to date, 18 are being or have been implemented by National Implementing Entities (NIEs) – Centre de Suivi Ecologique, Senegal; Agencia Nacional de Investigación e Innovación, Uruguay; Unidad Para el Cambio Rural, Argentina; Planning Institute of Jamaica; the Ministry of Natural Resources of Rwanda; the National Bank for Agriculture and Rural Development, India; Fundecooperación, Costa-Rica; the National Environment Management Authority, Kenya; the South African National Biodiversity Institute; the Ministry of Planning and International Cooperation, Jordan; the Agence pour le Développement Agricole, Morocco; the Agencia de Cooepracion Internacional, Chile; and the Peruvian Trust Fund for National Park and Protected Areas (Profonanpe).

4. The remaining 34 projects are being implemented by Multilateral Implementing Entities (MIEs). The United Nations Development Programme (UNDP) has the largest share of projects with 22 (42 percent of approved funding amount), followed by the World Food Programme (WFP) with six projects, the United Nations Environment Programme (UNEP) with three projects, the World Bank (WB) with two projects, and the International Fund for Agricultural Development (IFAD) with one project.

5. During the reporting period, there was no pipeline of projects/programmes proposals from Multilateral Implementing Entities (MIEs) recommended for funding by the PPRC and awaiting availability of funds.

6. The Annual Performance Report (APR) for the Fiscal year 2016 (FY16) confirms the maturation of the overall portfolio of active projects since the Fund approved its first project in 2010, with the number of projects under implementation at 42, and that of projects having submitted at least one project performance report (PPR) as of 30 June 2016 at 31. Eleven projects have submitted a mid-term review, and three projects have been completed as of 30 June 2016 and have submitted terminal evaluation reports.

7. The present report provides an analysis of project approvals through 30 June 2016, an elapsed time analysis, expected results from approved projects, a summary of progress made for projects under implementation in FY16, and a presentation of the management effectiveness and efficiency indicators for the Fund. Table 1 below provides a summary of key figures for the reporting period.

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<sup>1</sup> All amounts are in US dollars. The figures above include implementing entity fees but not project formulation grants



**TABLE 1: ADAPTATION FUND AT A GLANCE (AS OF 30 JUNE 2016)**

TABLE 11 ADAP TATION FUND AT A GLANCE (AS OF 30 JUNE 2016)					
Approvals Cumulative*					
Projects approved **	52				
Grant amount (excluding fees and execution costs)	289				
Execution costs	23.9				
Entity fees	25.1				
Grant amount approved	337				
Entity fees as percentage of total grant amount approved	8 %				
Approvals by FY					
	FY 12	FY 13	FY 14	FY15	FY16
Projects approved	15	3	6	14	4
Grant amount (excluding fees and execution costs)	90.2	15.7	35.7	78.4	17.9
Execution costs	7.7	1.0	2.5	6.9	1.2
Entity fees	7.9	1.2	3.1	7.1	1.2
Grant amount approved	105.8	17.9	41.2	92.4	19.2
Entity Fees as percentage of total grant amount approved	8.1%	7.2%	8.0%	8.3%	6.8%
Projects Under Implementation					
Total number under implementation	42				
Value of projects under implementation	267.7				
Percentage of total grant amount approved	82%				

\*Figures in USD Millions

\*\* Only concrete adaptation projects are included in this figure, not South-South cooperation grants

### Project and Programme Approvals

8. From the Board's first review of proposals in June 2010 through 30 June 2016, a total of 52 projects have been approved by the Adaptation Fund Board. The table below provides a detailed breakdown of projects approved by region.

**TABLE 2: TOTAL PROJECTS AND GRANT AMOUNT APPROVED BY REGION (USD MILLIONS)<sup>2</sup>**

REGION	Total	
	Projects (no.)	Grant
<b>Africa</b>	16	116.9
<b>Asia-Pacific</b>	21	113.7
<b>Eastern Europe</b>	1	5.3
<b>Latin America &amp; Caribbean</b>	14	101.3
<b>TOTAL</b>	<b>52</b>	<b>337.2</b>

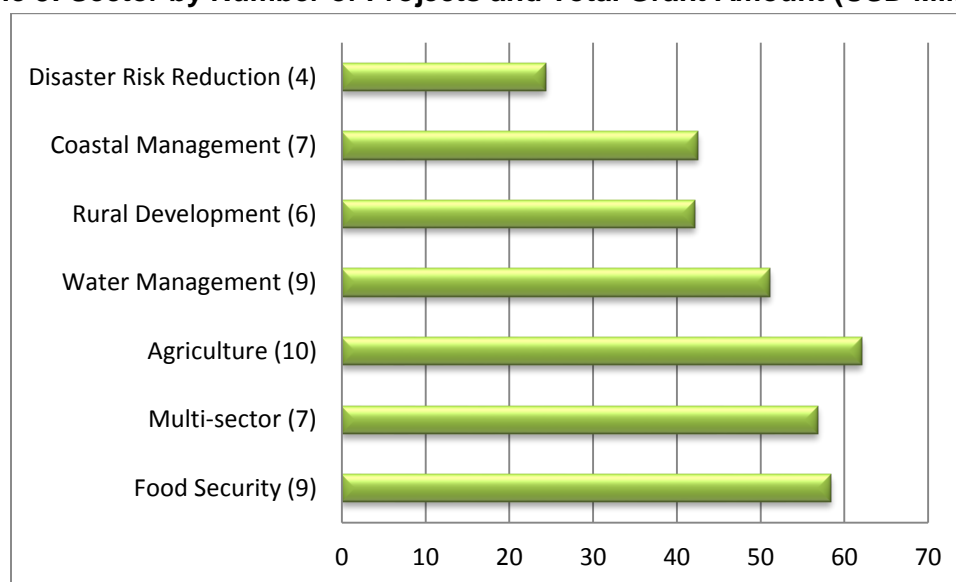
9. The largest amount of grant funding approved thus far has been to the Africa region with 16 projects totaling US\$ 116.9 million in grants (34.7 percent), followed closely by Asia-Pacific<sup>3</sup> with 21 projects totaling US\$ 113.7 million in grants (33.7 percent) and Latin America & Caribbean with 14 projects totaling US\$ 101.3 million (30 percent). Out of these, 11 projects are from least developed countries (LDCs) and 10 from Small Island Developing States (SIDs) – with Solomon Islands included in both groups.

<sup>2</sup> Numbers may not add up due to rounding<sup>3</sup> The Asia region includes projects in the Pacific Island States.



10. In terms of sector allocation for the approved adaptation projects, the largest grant amount has gone to projects in the agricultural sector with US\$ 62 million approved for ten projects (18.4 percent), followed closely by nine projects in the food security sector for US\$ 58.4 million and seven multi-sector projects for US\$ 56.8 million.<sup>4</sup> Nine water management projects, for US\$ 51 million, were approved. Table 3 below provides a breakdown of total grant amounts approved by sector. A complete list of all approved projects through 30 June 2016 is provided in Annex 1.

**Table 3: Sector by Number of Projects and Total Grant Amount (USD Millions)**



11. After the first APR was presented in December 2011, fully developed project documents were required to explicitly indicate the alignment of project outcomes and objectives to Fund level outputs and outcomes. This has allowed the secretariat to provide a breakdown of the proposed grant amount by Adaptation Fund outcome (Table 4). The table does not include project execution costs, management fees or any project level outputs that do not align with the Adaptation Fund results framework. Table 4 presents the grant amount programmed by Fund level outcome for all projects approved through 30 June 2016.

<sup>4</sup> Other sectors tracked but not yet programmed include: health, infrastructure, insurance, and urban management.



**TABLE 4: GRANT AMOUNT PROGRAMMED BY ADAPTATION FUND RESULTS FRAMEWORK  
OUTCOME AMONGST APPROVED PROJECTS/PROGRAMMES (USD MILLIONS)<sup>5</sup>**

<b>Fund Outcome</b>	<b>Total</b>
<b>Outcome 1:</b> Reduced exposure at national level to climate-related hazards & threats	24.1
<b>Outcome 2:</b> Strengthened capacity to reduce risks associated with climate-induced socioeconomic & environmental losses	30.5
<b>Outcome 3:</b> Strengthened awareness & ownership of adaptation and climate risk reduction processes at local level	30.3
<b>Outcome 4:</b> Increased adaptive capacity within relevant development & natural resource sectors	74.7
<b>Outcome 5:</b> Increased ecosystem resilience in response to climate change and variability-induced stress	66.5
<b>Outcome 6:</b> Diversified and strengthened livelihoods & sources of income for vulnerable people in targeted areas	33
<b>Outcome 7:</b> Improved policies and regulation that promote and enforce resilience measures	8.6
	<b>267.6</b>

12. In line with the Fund's mandate to finance concrete adaptation projects, the Fund has, since the start of project approvals in 2010, continuously channeled the largest amount of grant funding toward outcome four, *increased adaptive capacity within relevant development and natural resource sectors* (US\$ 74.7 million, 28 percent) and outcome five, *increased ecosystem resilience in response to climate change and variability-induced stress* (US\$ 66.5 million, 25 percent). Many of the activities associated with concrete measures often fall within these two outcome areas – such as restoration of ecosystem services, investment in coastal protection infrastructure, or increased access to irrigation water and production schemes.

13. In addition to project approvals the Board endorsed a total of five project concepts in FY16. One of these was approved within FY16 as fully developed proposal. While there is no guarantee that the fully developed proposals from these concepts will be funded, it is a useful indicator for keeping track of positive early signals on new project ideas. Annex 2 provides a comprehensive analysis of the Active pipeline of project and programme proposals submitted to the Adaptation Fund but not approved as of 30 June 2016.

<sup>5</sup> Figures may not add up due to rounding



14. The Board has set a target of six months for projects to start after the first cash transfer has been received. Projects that start more than six months after the first cash transfer are therefore considered to have a delayed start. For all projects that have started implementation prior to 30 June 2016, the average time from the first cash transfer to project start is 8.8 months. Table 5 provides the elapsed time from first cash transfer to start for all projects approved but not started through 30 June 2016.

15. Out of the 42 projects under implementation, 15 started within six months (35.7 percent), 12 projects started within six to eight months (28.6 percent), and 15 took longer than eight months to start (35.7 percent).

**Table 5: Projects Approved Not Started as of June 30 2016**

Country	Sector	Implementing Entity	Project Approval (Date)	First cash transfer (date)	Elapsed Time*
Nepal	Food Security	WFP	01/04/2015	Not processed yet	N/A
Indonesia	Food Security	WFP	11/05/2015	Not processed yet	N/A
Jordan <sup>6</sup>	Multi-sector	MOPIC	10/04/2015	22/06/2015	12.3
India (#4)	Agriculture	NABARD	09/10/2015	02/05/2016	1.9
Chile	Agriculture	AGCI	09/10/2015	03/03/2016	3.9
India (#5)	Water Management	NABARD	09/10/2015	02/05/2016	1.9
Peru	Coastal Management	PROFONANPE	18/03/2016	Not processed yet	N/A
Myanmar <sup>7</sup>	Rural Development	UNDP	27/02/2014	07/04/2014	16.6

\*Elapsed time calculations are made as of June 30, 2016

16. For the current reporting period there is one project that is beyond the six month target for project start. As outlined, in the Fund's Policy for Project Delays (adopted July 2013), implementing entities can work to mitigate delays by working with the government, during project design, to ensure a mutual understanding and commitment on how to proceed once a project is approved. There are, however, many factors that are situation-specific and may be outside the control of the implementing entity. The six month target is therefore a target for the average in the Fund's portfolio.

17. The policy requires an implementing entity to send a notification to the secretariat with an explanation of the delay and an estimated start date if a project is not expected to start within six months.

18. AGCI has reported on the project it is implementing in Chile – see annex 4.

19. MOPIC has reported on the project it is implementing in Jordan – see annex 5.

<sup>6</sup> This project held its inception workshop on the 13th July 2016.

<sup>7</sup> The secretariat has noticed during FY16, during its review of the first PPR of the project that the previously communicated inception date was not the right one. This project has started on the 25<sup>th</sup> of August 2015, with a delay of 16.6 months.



20. UNDP has reported on the project it is implementing in Myanmar - see annex 6.

### **Expected Results**

21. The secretariat has observed that although most of the projects approved to date align well with the seven key Fund-level outcomes, it is difficult to aggregate these indicators at the portfolio level. The diverse nature of the Fund's projects covering a number of different sectors and a myriad of activities on the ground makes it particularly challenging to provide aggregated quantitative results for the portfolio. This challenge has become more acute given the flexible nature of the Fund's results framework whereby project proposals are only required to report on one Fund level outcome indicator. The indicators selected by projects and how they are measured are not always comparable across projects. Thus even if two projects are targeting similar outcomes, it becomes difficult to aggregate indicators across projects.

22. At the Board's twenty-first meeting, the secretariat put forth a proposal for steps to be taken to improve the system and to add impact-level indicators. The core indicators were approved at the Board's twenty-fourth meeting and are expected to help the secretariat report on the expected results from the Fund's approved portfolio.

23. For the current report, the secretariat extracted expected results from all 52 approved project proposals (see Table 6). The information is therefore based on initial targets proposed at approval for a small sub-set of outcomes.<sup>8</sup>

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<sup>8</sup> The underlying figures provided depended on interpretation of project level results frameworks by the secretariat. As the new results tracking system is established, the data will be adjusted to reflect specific calculations from the implementing entities.



**TABLE 6: PRELIMINARY AGGREGATION OF FUND INDICATORS**

<b>Impact 1:</b> Reduction in vulnerability of communities and increased adaptive capacity of communities to respond to the impacts of climate change		
PRELIMINARY INDICATORS	TARGET IN DOCUMENTS	PROJECT COMMENTS
<i>No. of Direct Beneficiaries</i>	3.57 million	Not all projects have reported on direct beneficiaries and some report as no. of households <sup>9</sup> .
<i>No. of Early Warning Systems</i>	99	Includes projects targeting several small scale EWS at the village level as well as those targeting one large regional system
<b>Impact 2:</b> Strengthened policies that integrate climate resilience strategies into local and national plans		
PRELIMINARY INDICATORS	TARGET IN DOCUMENTS	PROJECT COMMENTS
<i>No. of policies introduced or adjusted to address climate change risks</i>	54	Includes any policy whether at the local, regional or national level
<b>Impact 3:</b> Increased ecosystem resilience in response to climate change induced stresses		
PRELIMINARY INDICATORS	TARGET IN DOCUMENTS	PROJECT COMMENTS
<i>ha of natural habitats created, protected or rehabilitated restored</i>	119,845 ha	
<i>m of coastline protected</i>	121,025 m	

### Progress on Projects and Programmes under Implementation

24. At its sixteenth meeting the Board decided that “the Adaptation Fund will consider the start date of a project to be the date the inception workshop for the project takes place. The Implementing Entity must therefore submit both the date of the inception workshop and the entity’s inception report to the Fund secretariat no later than one month after the workshop has taken place.” Based on this definition, there are 42 projects that were under implementation for at least part of FY16, provided in Annex 1.

<sup>9</sup> For those projects reporting on no of households, the secretariat has taken the average household figure of the country to multiply by no of households targeted.



25. Projects are required to submit a PPR one year after the start date and every year thereafter for the duration of the project.<sup>10</sup> As of 30 June 2016, a total of 31 projects have submitted project performance reports (PPR). Four projects submitted their first PPR during the reporting period. PPRs are available on the Adaptation Fund website.<sup>11</sup> The table below provides more detailed information on the 31 projects that have submitted PPRs.

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<sup>10</sup> This is the minimum requirement for all projects, the Board may request more frequent reporting. A report submission period of two months after the end of the reporting year applies.

<sup>11</sup> Due to the sensitive information contained in the PPR's procurement section, including bid amounts and winning bids, information, such as names of bidders in the procurement process will be kept confidential in line with the Open Information Policy.



TABLE 7: PROJECTS SUBMITTING PPRs AND IMPLEMENTATION PROGRESS (IP) RATINGS

Country	NIE/M IE	Duration (months) <sup>12</sup>	Cumulative Disbursements (USD) <sup>13</sup>	First PPR IP Rating	Second PPR IP Rating	Third PPR IP Rating	Fourth PPR IP Rating <sup>14</sup>
<b>Argentina</b>	UCAR	33	1,156,742	S	MS		
<b>Belize</b>	WB	22	370,244	S			
<b>Cambodia</b>	UNEP	37	929,312	S	S		
<b>Colombia</b>	UNDP	39	1,304,091	MS	MS		
<b>Cook Islands</b>	UNDP	47	1,926,554	S	S	S	
<b>Cuba</b>	UNDP	19	358,829	S			
<b>Djibouti</b>	UNDP	49	1,618,179	S	MS		
<b>Ecuador</b>	WFP	54	6,309,767	MU	MS	S	S
<b>Egypt</b>	WFP	39	1,098,415	HS	HS		
<b>Eritrea</b>	UNDP	43	2,182,155	S	S	S	
<b>Georgia</b>	UNDP	47	3,162,620	S	S	S	
<b>Honduras</b>	UNDP	59	3,560,333	S	S	S	S
<b>Jamaica</b>	PIOJ	55	893,016	MS	MS		
<b>Madagascar</b>	UNEP	43	1,102,237	MS	MS	MU	
<b>Maldives</b>	UNEP	48	7,134,612	MU	MU	MS	
<b>Mauritania</b>	WFP	22	2,015,156	S			
<b>Mauritius</b>	UNDP	45	1,033,308	S	S	S	
<b>Mongolia</b>	UNDP	48	4,076,250	S	S	S	S
<b>Nicaragua<sup>15</sup></b>	UNDP	59	5,070,000	S	S	S	S
<b>Pakistan<sup>15</sup></b>	UNDP	55	3,600,000	S	MS	HS	
<b>Papua New Guinea</b>	UNDP	47	3,513,204	U	S	S	
<b>Rwanda</b>	MINIR ENA	24	1,300,302	S			
<b>Samoa</b>	UNDP	41	2,651,287	U	U		
<b>Senegal<sup>15</sup></b>	CSE	46	8,335,815	S	S	S	S
<b>Seychelles</b>	UNDP	24	799,999	MU	S		
<b>Solomon Islands</b>	UNDP	59	3,979,746	MS	S	MS	S
<b>Sri Lanka</b>	WFP	22	309,231	MS			
<b>Tanzania</b>	UNEP	56	248,963	MU	MU		
<b>Turkmenistan</b>	UNDP	48	1,368,317	MU	MS	S	
<b>Uruguay</b>	ANII	44	2,886,399	S	S		
<b>Uzbekistan</b>	UNDP	25	164,863	MS			

<sup>12</sup> The number of months a project has been under implementation through 30 June 2016<sup>13</sup> Disbursements from the IEs to the project/programme activities<sup>14</sup> Rating scale: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU).<sup>15</sup> These projects/programmes are completed as of 30 June 2016



## Requests received by the Secretariat from the IEs as of June 2016

26. Annex 3 summarizes the list of requests received by the Secretariat from the Implementing Entities during FY 2016. Eight requests have been received by the Secretariat: three of them include requests for no-cost project extension; three include requests for material change (any change that involves ten percent or more of the total budget as defined in the project agreement<sup>16</sup>); and three of them include revision of activity/output/outcomes target indicators. None of them include requests for Direct Project Services.

27. The secretariat would like to draw to the attention of the EFC Article 4.03 of the standard legal agreement between the Adaptation Fund Board and Implementing Entity as amended in October 2015, which stipulates that *“Any material change made in the original budget allocation for the Project by the Implementing Entity, in consultation with the Executing Entity, shall be communicated to the Board for its approval. “Material change” shall mean any change that involves ten per cent (10%) or more of the total budget”*.<sup>17</sup> As highlighted in Annex 3, the secretariat has received during this reporting year, and over the last years, several requests from implementing entities related to that Article. Since it does not explicitly mention it, some requests included changes of budget allocation of more than 10 per cent at activity level, output level, and/or outcome level. That led to different interpretations among Implementing Entities. In addition, some of these requests were closely related to changes in initial target indicators (at activity, output or outcome level), which, here again, are not covered by the Article 4.03. In both cases, when such requests are at the outcome level (and therefore could be considered as major changes of activities), one interpretation could be that a new review of the project/programme proposal is needed, as the modified project component may substantially differ from the one included in the initial project agreement. However, given the lack of clear guidance on this matter, a new review of the project/programme proposal for such cases has never been recommended by the secretariat. Therefore, the secretariat is of the view that the Fund’s legal agreement would greatly benefit from clarifying whether the scope of the “material change” under Article 4.03 refers to changes in the budget at output or outcome level, and clarifying which level of changes in the scope of the project – be it at the output, outcome, or even objective level, including their related indicators and associated targets – would be acceptable without triggering a new review of the project/programme proposal by the Board.

28. Such clarification could help avoid any ambiguity in the interpretation by both the secretariat and the IE of future requests that the secretariat may receive.

## Effectiveness and Efficiency Indicators

29. As approved by the Board through the *RBM Approach Paper (AFB/EFC.1/3/Rev.2)*, Indicators for Fund level processes are tracked and reported annually. These indicators cover: (i) secure financing, financing mechanisms, and efficiency of use; (ii) project cycle efficiency; (iii) results driven performance; and (iv) accreditation processes. Table 8, provides the data on the Fund level indicators for FY 2013, FY 2014, FY 2015, and FY 2016.

<sup>16</sup> Article 4.03, the standard legal agreement between the Adaptation Fund Board and Implementing Entity (amended in October 2015).

<sup>17</sup> This text has remained unchanged since the agreement was first drafted.



**TABLE 8: ADAPTATION FUND LEVEL EFFECTIVENESS AND EFFICIENCY RESULTS FRAMEWORK**

<b>1. Secure Financing and Financing Mechanisms</b>					
<b>1.1 Increased and Diversified Resources</b>					
<b>Item</b>	<b>As of 30 June 2013</b>	<b>As of 30 June 2014</b>	<b>As of 30 June 2015</b>	<b>As of 30 June 2016</b>	
Total value of CERs (US\$ millions)	188.2	190.4	194.2	196.6	
Number of donors	11	14 <sup>18</sup>	15 <sup>19</sup>	16 <sup>20</sup>	
Actual donor contributions (US\$ millions)	134.5	213.7	284.9	344.8	
Total cash transfers vs. funds committed	32%	44%	45%	53%	
<b>1.2 Efficient Cost Structure</b>					
<b>Item</b>	<b>FY13</b>	<b>FY14</b>	<b>FY15</b>	<b>FY16</b>	<b>Target</b>
Board, Secretariat, and Trustee operational expenses against total Adaptation Fund resources committed - %	16.2% <sup>21</sup>	8.3%	4% <sup>22</sup>	16.6% <sup>23</sup>	5%
Implementing Entities fees against total Fund resources allocated	7.2%	8.0%	8.3%	6.8%	8.5%
Execution Cost against total grant (minus fees) - % <sup>24</sup>	6.2%	7.6%	8.1%	6.6%	9.5%
<b>2. Improve Efficiencies in Project Cycle</b>					
<b>2.1 Project Cycle Efficiency</b>					
<b>Item</b>	<b>FY13</b>	<b>FY14</b>	<b>FY15</b>	<b>FY16</b>	<b>Target</b>
Average response time of secretariat to review submissions of projects/programs (months)	2	1.5	2	2	2
Average time from first submission to approval for one-step projects (months)	NA	5.1	10.1 <sup>25</sup>	21.4	9
Average time from first submission to approval for two-step projects (months)	12.6	6.4	18.4 <sup>17</sup>	31.2	12
Average time from first cash transfer to project start (NIEs) (months)	7.2	4.8	5.6	8.1	6
Average time from first cash transfer to project start (MIEs) (months)	7	9.1	13.1 <sup>26</sup>	18.1	6
<b>3. Results Driven Implementation</b>					

<sup>18</sup> Include the number of donors that have pledged. 14 donors include separately, Belgium, Brussels Capital, Flanders and Wallonia Regions.

<sup>19</sup> Include the number of donors that have pledged. 15 donors include separately, Belgium, Brussels Capital, Flanders and Wallonia Regions.

<sup>20</sup> Include the number of donors that have pledged. 16 donors include separately, Belgium, Brussels Capital, Flanders and Wallonia Regions.

<sup>21</sup> If the projects in the pipeline had been approved (\$59 million in addition to the \$17.9 million approved) the % of expenses against resources committed would have been at 3.8%.

<sup>22</sup> The Fund's evaluation (USD 153,585 in FY15), a non-recurring cost, has been included in the operational expenses.

<sup>23</sup> Mainly due to the low level of financial commitments made during FY 16 in terms of projects/programmes approval (USD 18.8 million compared to USD 92.4 million during FY15).

<sup>24</sup> The project implemented by the NIE UCAR (Argentina) does not have any associated execution costs charged to the project budget. The average (based on the three approved projects) is therefore skewed to the lower average.

<sup>25</sup> For pipeline projects, the "approval date" is the date at which the project has been put in the pipeline.

<sup>26</sup> Three projects that were approved during FY 12 or FY 13 (namely Argentina WB, Sri Lanka WFP and Mauritania UNDP) have started during FY15. If these three projects are subtracted, the indicator goes down to 7.



Item	FY13	FY14	FY15	FY16
Percent of project performance reports (PPRs) submitted in complete form and meeting deadline	67%	65%	65%	44%
Percent of projects that have received implementation ratings of MS or above	80%	70%	87%	94%
Number of project concepts endorsed	2	8	2	5
Number of project concepts submitted but not endorsed	2	2	4	5
Number of fully developed proposals approved	3	6	13	4
Number of fully developed proposals not approved	1	4	3	4
Number of project concepts rejected	0	0	0	0
Number of fully developed proposals technically cleared and placed in pipeline	8	2	0	0
Percent of projects that received MS rating or above at midterm review	NA	NA	100%	90%
Percent of projects that received MS rating or above at terminal evaluation	NA	NA	100%	100%
Number of suspended/canceled projects	NA	NA	NA	NA

#### 4. Accreditation Applications

##### 4.1 Increased and Diversified Access Modalities

Item		FY13	FY14	FY15	FY16
MIEs	Number of Applications Accredited	0	1	0	1
	Number of Applications <i>Not Accredited</i>	0	0	0	0
NIEs	Number of Applications Accredited	3	2	2	4
	Number of Applications <i>Not Accredited</i>	2	3	0	0
	Number of Applications <i>Under Consideration</i>	9	12	9	12
RIEs	Number of Applications Accredited	1	2	0	2
	Number of Applications <i>Not Accredited</i>	1	0	1	0
	Number of Applications <i>Under Consideration</i>	4	3	2	3



Total number of field visits	3	4	2	3
Field visits (percentage over total number of applications received)	20%	33%	16%	16%
Average months between first submission of <b>accredited</b> application and Board's decision (NIEs and RIEs)	10.6	21.3	20	15.6
Average months between first submission of <b>accredited</b> application and Board's decision (MIEs)	NA	23 <sup>27</sup>	NA	30.5
Average number of months between first submission of <b>non-accredited</b> applications and Board decision (NIEs and RIEs)	11.3	17	19	NA

### Recommendation

30. The EFC may want to consider the document AFB/EFC.19/3 and recommend the Board to:

- (a) Approve the Adaptation Fund's Annual Performance Report for the fiscal year 2016;
- (b) Request the secretariat to prepare a proposal for consideration by the Ethics and Finance Committee at its twentieth meeting clarifying the scope of the "material change" under Article 4.03 of the standard legal agreement between the Board and Implementing Entity (amended in October 2015) in consideration of paragraph 28 of document AFB/EFC.19/3.

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<sup>27</sup> Based on accreditation of only one MIE application



### Annex 1: Status of the active portfolio (approved projects/programmes) of the Fund as of 30 June 2016

**Table 1:** Status of the active portfolio of approved projects/programmes by the Adaptation Fund Board as of 30 June 2016

	Country	Title	Implementing Entity	Approved Amount (USD)	Amount Transferred (USD)	Approval Date	Project Start	Project status
1	Senegal	Adaptation to Coastal Erosion in Vulnerable Areas	CSE	\$8,619,000	\$8,619,000	17/9/2010	21/1/2011	Completed
2	Honduras	Addressing Climate Change Risks on Water Resources in Honduras: Increased Systemic Resilience and Reduced Vulnerability of the Urban Poor	UNDP	\$5,620,300	\$5,620,300	17/9/2010	21/6/2011	Under implementation
3	Nicaragua	Reduction of Risks and Vulnerability Based on Flooding and Droughts in the Estero Real River Watershed	UNDP	\$5,500,950	\$5,500,950	15/12/2010	23/6/2011	Completed
4	Pakistan	Reducing Risks and Vulnerabilities from Glacier Lake Outburst Floods in Northern Pakistan -	UNDP	\$3,906,000	\$3,906,000	15/12/2010	15/11/2011	Completed
5	Ecuador	Enhancing resilience of communities to the adverse effects of climate change on food security, in Pichincha Province and the Jubones River basin -	WFP	\$7,449,468	\$6,751,451	18/3/2011	29/11/2011	Under implementation
6	Eritrea	Climate Change Adaptation Programme In Water and Agriculture In Anseba Region, Eritrea -	UNDP	\$6,520,850	\$5,144,303	18/3/2011	6/11/2012	Under implementation
7	Solomon Islands	Enhancing resilience of communities in Solomon Islands to the adverse effects of climate change in agriculture and food security	UNDP	\$5,533,500	\$5,533,500	18/3/2011	28/6/2011	Under implementation
8	Mongolia	Ecosystem Based Adaptation Approach to Maintaining Water Security in Critical Water Catchments in Mongolia	UNDP	\$5,500,000	\$4,968,853	22/6/2011	15/6/2012	Under implementation
9	Maldives	Increasing climate resilience through an Integrated Water Resource Management Programme in HA. Ihavandhoo, ADh. Mahibadhoo and GDh. Gadhdhoo Island	UNDP	\$8,989,225	\$8,989,225	22/6/2011	20/6/2012	Under implementation



10	Turkmenistan	Addressing climate change risks to farming systems in Turkmenistan at national and community level	UNDP	\$2,929,500	\$2,708,790	22/6/2011	22/5/2012	Under implementation
11	Mauritius	Climate Change Adaptation Programme in the Coastal Zone of Mauritius	UNDP	\$9,119,240	\$3,710,877	16/9/2011	30/8/2012	Under implementation
12	Georgia	Developing Climate Resilient Flood and Flash Flood Management Practices to Protect Vulnerable Communities of Georgia	UNDP	\$5,316,500	\$5,316,500	14/12/2011	4/7/2012	Under implementation
13	Tanzania	Implementation Of Concrete Adaptation Measures To Reduce Vulnerability Of Livelihood and Economy Of Coastal Communities In Tanzania	UNEP	\$5,008,564	\$4,553,294	14/12/2011	29/10/2012	Under implementation
14	Cook Islands	Strengthening the Resilience of our Islands and our Communities to Climate Change	UNDP	\$5,381,600	\$4,512,080	14/12/2011	4/7/2012	Under implementation
15	Uruguay	Uruguay: Helping Small Farmers Adapt to Climate Change	ANII	\$9,967,678	\$5,739,544	14/12/2011	22/10/2012	Under implementation
16	Samoa	Enhancing Resilience of Samoa's Coastal Communities to Climate Change	UNDP	\$8,732,351	\$4,527,475	14/12/2011	28/1/2013	Under implementation
17	Madagascar	Madagascar: Promoting Climate Resilience in the Rice Sector	UNEP	\$5,104,925	\$3,197,224	14/12/2011	24/10/2012	Under implementation
18	Papua New Guinea	Enhancing adaptive capacity of communities to climate change-related floods in the North Coast and Islands Region of Papua New Guinea	UNDP	\$6,530,373	\$5,537,734	16/3/2012	26/7/2012	Under implementation
19	Cambodia	Enhancing Climate Resilience of Rural Communities Living in Protected Areas of Cambodia	UNEP	\$4,954,273	\$3,086,352	28/6/2012	21/5/2013	Under implementation
20	Colombia	Reducing Risk and Vulnerability to Climate Change in the Region of La Depresion Momposina in Colombia	UNDP	\$8,518,307	\$4,893,900	28/6/2012	21/3/2013	Under implementation
21	Djibouti	Developing Agro-Pastoral Shade Gardens as an Adaptation Strategy for Poor Rural Communities in Djibouti	UNDP	\$4,658,556	\$3,492,556	28/6/2012	13/3/2013	Under implementation
22	Egypt	Building Resilient Food Security Systems to Benefit the Southern Egypt Region	WFP	\$6,904,318	\$3,905,765	28/6/2012	31/3/2013	Under implementation



23	Jamaica	Enhancing the Resilience of the Agricultural Sector and Coastal Areas to Protect Livelihoods and Improve Food Security	Planning Institute of Jamaica (PIOJ)	\$9,965,000	\$5,980,360	28/6/2012	2/11/2012	Under implementation
24	Lebanon	Climate Smart Agriculture: Enhancing Adaptive Capacity of the Rural Communities in Lebanon (AgriCAL)	IFAD	\$7,860,825	\$1,589,200	28/6/2012	15/09/2015	Under implementation
25	Mauritania	Enhancing Resilience of Communities to the Adverse Effects of Climate Change on Food Security in Mauritania	WFP	\$7,803,605	\$3,930,312	28/6/2012	14/8/2014	Under implementation
26	Sri Lanka	Addressing Climate Change Impacts on Marginalized Agricultural Communities Living in the Mahaweli River Basin of Sri Lanka	WFP	\$7,989,727	\$2,801,000	14/12/2012	4/11/2013	Under implementation
27	Argentina	Increasing Climate Resilience and Enhancing Sustainable Land Management in the Southwest of the Buenos Aires Province	WB	\$4,296,817	\$584,154	14/12/2012	11/06/2015	Under implementation
28	Argentina	Enhancing the Adaptive Capacity and Increasing Resilience of Small-size Agriculture Producers of the Northeast of Argentina	UCAR	\$5,640,000	\$4,314,261	4/4/2013	24/10/2013	Under implementation
29	Guatemala	Climate change resilient production landscapes and socioeconomic networks advanced in Guatemala	UNDP	\$5,425,000	\$1,238,046	14/09/2013	07/02/2015	Under implementation
30	Rwanda	Reducing Vulnerability to Climate Change in North West Rwanda through Community based adaptation.	MINERENA	\$9,969,619	\$6,874,413	01/11/2013	2/6/2014	Under implementation
31	Cuba	Reduction of vulnerability to coastal flooding through ecosystem-based adaptation in the south of Artemisa and Mayabeque provinces	UNDP	\$6,067,320	\$2,250,719	20/02/2014	11/09/2014	Under implementation
32	Seychelles	Ecosystem Based Adaptation to Climate Change in Seychelles	UNDP	\$6,455,750	\$1,272,217	20/02/2014	30/10/2014	Under implementation
33	Uzbekistan	Developing Climate Resilience of Farming Communities in the drought prone parts of Uzbekistan	UNDP	\$5,415,103	\$1,424,612	20/02/2014	26/05/2014	Under implementation



34	Myanmar	Addressing Climate Change Risks on Water Resources and Food Security in the Dry Zone of Myanmar	UNDP	\$7,909,026	\$2,456,700	27/02/2014	25/08/2015	Under implementation
35	Belize	Implement priority ecosystem-based marine conservation and climate adaptation measures to strengthen the climate resilience of the Belize Barrier Reef System	WB	\$6,000,000	\$3,109,310	18/08/2014	17/03/2015	Under implementation
36	India	Conservation and Management of Coastal Resources as a Potential Adaptation Strategy for Sea Level Rise	NABARD	\$689,264	\$161,367	10/10/2014	23/06/2015	Under implementation
37	India	Enhancing Adaptive Capacity and Increasing Resilience of Small and Marginal Farmers in Purulia and Bankura Districts of West Bengal	NABARD	\$2,510,854	\$376,628	10/10/2014	28/05/2015	Under implementation
38	Costa Rica	Reducing the vulnerability by focusing on critical sectors (agriculture, water resources, and coastlines) in order to reduce the negative impacts of climate change and improve the resilience of these sectors	FUNDECOOPERACION	\$9,970,000	\$1,621,559	10/10/2014	07/10/2015	Under implementation
39	Kenya	Integrated Programme To Build Resilience To Climate Change & Adaptive Capacity Of Vulnerable Communities In Kenya	NEMA	\$9,998,302	\$4,956,906	10/10/2014	29/01/2016	Under implementation
40	South Africa	Building Resilience in the Greater uMngeni Catchment	SANBI	\$7,495,055	\$852,328	10/10/2014	11/12/2015	Under implementation
41	South Africa	Taking Adaptation to the Ground: A Small Grants Facility for Enabling Local Level Responses to Climate Change	SANBI	\$2,442,682	\$190,986	10/10/2014	16/09/2015	Under implementation
42	Ghana	Increased resilience to climate change in Northern Ghana through the management of water resources and diversification of livelihoods	UNDP	\$8,293,972	\$575,965	05/03/2015	23/05/2016	Under implementation
43	Mali	Programme Support for Climate Change Adaptation in the vulnerable regions of Mopti and Timbuktu	UNDP	\$8,533,348	\$4,374,194	25/03/2015	03/02/2016	Under implementation
44	Nepal	Adapting to climate induced threats to food production and food security in the Karnali Region of Nepal	WFP	\$9,527,160	\$ 2,341,906	01/04/2015	Not Started	Not started
45	Indonesia	Adapting to Climate Change for Improved Food Security in West Nusa Tenggara Province	WFP	\$5,995,666	\$ 0	11/05/2015	Not Started	Not Started



46	Jordan	Increasing the resilience of poor and vulnerable communities to climate change impacts in Jordan through implementing innovative projects in water and agriculture in support of adaptation to climate change	MOPIC	\$9,226,000	\$1,865,193	10/04/2015	Not Started	Not Started
47	Morocco	Climate changes adaptation project in oasis zones – PACC-ZO	ADA	\$9,970,000	\$2,907,922	10/04/2015	14/12/2015	Under implementation
48	India	Building adaptive capacities of small inland fishers for climate resilience and livelihood security, Madhya Pradesh	NABARD	\$1,790,500	\$447,620	10/04/2015	18/11/2015	Under implementation
49	India	Climate Smart Actions and Strategies in North Western Himalayan Region for Sustainable Livelihoods of Agriculture-Dependent Hill Communities	NABARD	\$969,570	\$165,933	09/10/2015	Not Started	Not Started
50	Chile	Enhancing resilience to climate change of the small agriculture in the Chilean region of O'Higgins	AGCI	\$9,960,000	\$1,909,974	09/10/2015	Not Started	Not Started
51	India	Climate proofing of watershed development projects in the states of Rajasthan and Tamil Nadu	NABARD	\$1,344,155	\$470,454	09/10/2015	Not Started	Not Started
52	Peru	Adaptation to the Impacts of Climate Change on Peru's Coastal Marine Ecosystem and Fisheries	PROFONANPE	\$6,590,239	\$ 0	18/03/2016	Not Started	Not Started
TOTAL				\$337,230,037				

**Table 2:** Breakdown of the status of the active portfolio of approved projects/programmes by the Adaptation Fund Board as of 30 June 2016

Status	Number of projects/programmes	Total value (USD)
Not started	7	\$51,293,615
Under implementation	42	\$275,771,297
Completed	3	\$18,025,950



## Annex 2: Active pipeline of project and programme proposals submitted to the Adaptation Fund but not approved as of 30 June 2016

Table 3: Single-country proposals that had been submitted to the Adaptation Fund between 1 July 2015 and 30 June 2016 but not yet approved by the AFB nor cancelled by the proponent by the end of that period.<sup>28</sup>

Active pipeline of single-country proposals submitted to the Adaptation Fund during fiscal year 2016 (1 July 2015 to 30 June 2016)			
Country	Agency	Financing requested	Stage
<b>NIE proposals</b>			
Antigua and Barbuda	ABED	\$9,970,000	Concept
Belize	PACT	\$4,000,000	Concept
India	NABARD	\$2,514,561	Concept
Micronesia (F.S. of)	MCT	\$1,000,000	Concept
Namibia	DRFN	\$750,000	Concept
Namibia	DRFN	\$750,000	Concept
Panama	Fundación Natura	\$9,952,121	Concept (endorsed)
Benin	FNE	\$8,913,255	Full proposal
Namibia	DRFN	\$6,000,000	Full proposal
Namibia	DRFN	\$1,500,000	Full proposal
Senegal	CSE	\$1,351,000	Full proposal
<b>Total, NIEs</b>		<b>\$46,700,937</b>	
<b>RIE proposals</b>			
Ecuador	CAF	\$2,489,373	Concept
Guinea Bissau	BOAD	\$9,979,000	Concept (endorsed)
Marshall Islands	SPREP	\$7,560,000	Concept
Peru	CAF	\$2,236,925	Concept (endorsed)
Togo	BOAD	\$10,000,000	Concept
Micronesia (F.S. of)	SPREP	\$8,967,600	Full proposal

<sup>28</sup> Funding request amounts as in the latest submission of the proposal. Only proposals that had been endorsed by the government of the prospective recipient country are included.



Niger	BOAD	\$9,911,000	Full proposal
Uganda	OSS	\$7,751,000	Full proposal
<b>Total, RIEs</b>		<b>\$58,894,898</b>	
<b>MIE proposals</b>			
Lao People's Dem. Rep.	UN-Habitat	\$4,500,000	Full proposal
Albania	World Bank	\$6,000,000	Full proposal
<b>Total, MIEs</b>		<b>\$10,500,000</b>	
<b>Total, all IEs</b>		<b>\$116,095,835</b>	

Table 4: **Regional proposals** that had been submitted to the Adaptation Fund between 1 July 2015 and 30 June 2016 but not yet approved by the AFB nor cancelled by the proponent by the end of that period.<sup>29</sup>

<b>Active pipeline of single-country proposals submitted to the Adaptation Fund during fiscal year 2016 (1 July 2015 to 30 June 2016)</b>			
<b>Country</b>	<b>Agency</b>	<b>Financing requested</b>	<b>Stage</b>
<b>RIE proposals</b>			
Chile, Ecuador	CAF	\$13,910,400	Pre-concept (endorsed)
Benin, Burkina Faso, Ghana, Niger, Togo	BOAD	\$14,000,000	Concept
<b>Total, RIEs</b>		<b>\$27,910,400</b>	
<b>MIE proposals</b>			
Cambodia, Lao PDR, Myanmar, Thailand, Vietnam	UNESCO	\$4,542,250	Pre-concept (endorsed)
Colombia, Ecuador	WFP	\$14,000,000	Pre-concept (endorsed)

<sup>29</sup> Funding request amounts as in the latest submission of the proposal. Only proposals that had been endorsed by the governments of all prospective recipient countries are included.



Cuba, Dominican Republic, Jamaica	UNDP	\$4,969,367	Pre-concept (endorsed)
Ethiopia, Kenya, Uganda	WMO	\$6,800,000	Pre-concept (endorsed)
Kyrgyzstan, Tajikistan, Uzbekistan	UNESCO	\$5,000,000	Pre-concept (endorsed)
Madagascar, Malawi, Mozambique and Union of Comoros	UN-Habitat	\$15,088,553	Pre-concept
Mauritius, Seychelles	UNDP	\$4,900,000	Pre-concept (endorsed)
Burundi, Kenya, Rwanda, Tanzania, Uganda	UNEP	\$5,000,000	Concept (endorsed)
<b>Total, MIEs</b>		<b>\$60,300,170</b>	
<b>Total, all IEs</b>		<b>\$88,210,570</b>	

Table 5 : Overview of active pipeline of single-country and regional proposals under development

Status	Submitted by NIE	Total value (USD)	Submitted by RIE	Total value (USD)	Submitted by MIE	Total value (USD)	Total	Total value (USD)
<b>Single-country projects and programmes</b>								
Concept submitted, not endorsed	6	\$18,984,561	3	\$20,049,373	0	\$0	9	\$39,033,934
Concept submitted, endorsed	1	\$9,952,121	2	\$12,215,925	1	\$4,500,000	4	\$26,668,046
Full proposal submitted, not approved	4	\$17,764,255	3	\$26,629,600	1	\$6,000,000	9	\$50,393,855
<b>Regional projects and programmes</b>								
Pre-concept submitted, not endorsed	-	-	0	\$0	1	\$15,088,553	1	\$15,088,553



<b>Pre-concept submitted, endorsed</b>	-	-	1	\$13,910,400	6	\$40,211,617	7	<b>\$54,122,017</b>
<b>Concept submitted, not endorsed</b>	-	-	1	\$14,000,000	0	\$0	1	<b>\$14,000,000</b>
<b>Concept submitted, endorsed</b>	-	-	0	\$0	1	\$5,000,000	1	<b>\$5,000,000</b>
<b>Full proposal submitted, not approved</b>	-	-	0	\$0	0	\$0	0	<b>\$0</b>



## Annex 3: Requests received from Implementing Entities during FY 2016

Project	IE	Nature of request	Status of the request	Date of project approval	Date of internal arrangements	Date of receipt of the request	Amount / scope	Time btw project approval and request (months)
Eritrea	UNDP	Extension for project start up	Approved B.15-16/2	3/18/2011			N/A	N/A
Ecuador	WFP	No-cost extension	Approved B.27-28/4	03/18/2011	N/A <sup>30</sup>	02/18/2016	N/A	59
Jamaica	PIOJ	No-cost extension	Approved B.27-28/1	06/28/2012	N/A <sup>30</sup>	01/19/2016	N/A	42.7
Honduras	UNDP	No-cost extension	Approved B.26-27/4	09/17/2010	N/A <sup>30</sup>	12/14/2015	N/A	62.9
Madagascar	UNEP	Material change + revision of activity/ output/outcomes target indicators	Approved B.26-27/22	12/14/2011	12/01/2013	12/22/2015 <sup>31</sup>	>10% (see supporting documents of B.26-27/22- see Annex 7)	48.3
Tanzania	UNEP	Material change + revision of activity/ output/outcomes target indicators	Approved B.27-28/11	12/14/2011	03/11/2016	03/14/2016 <sup>27</sup>	>10% (see supporting documents of B.27-28/11 – see Annex 8)	51
Rwanda	MINIR ENA	Material change	Pending additional documents	11/01/2013	Unknown	05/13/2016	>10%	30.4
Myanmar	UNDP	Revision of activity/ output/outcomes target indicators	Pending additional documents	02/27/2014	June 2016	06/22/2016	Pending additional documents	27.8

<sup>30</sup> No internal arrangements were made before submission of the request

<sup>31</sup> Date at which all the necessary documents were received



**Annex 4: Letter received from AGCI about the AF project in Chile**





AGCI Nº 10/ 1201

REF.: Your email dated July 6, 2016, inquiring about the status of the "Enhancing Resilience of Climate Change of the Small Agriculture in Chilean Region of O'Higgins" project.

SANTIAGO, 13 JUL. 2016

Adaptation Fund Board Secretariat  
Washington, DC  
**Estados Unidos**

Dear Sirs:

We refer to your email dated July 6, 2016, inquiring about the current status of the "Enhancing Resilience of Climate Change of the Small Agriculture in Chilean Region of O'Higgins" project for your Annual Performance Report, and are pleased to inform you that we are currently working on the last steps to finalize the formal process required by the Chilean Government prior to the implementation of the project.

As part of this formal procedure, the Comptroller General's Office of the Republic of Chile had to approve the agreement signed between the Adaptation Fund and AGCI, a process that took several months and has recently been completed.

Based on this approval, we are currently working on the interinstitutional agreement between AGCI, the Ministry of Agriculture and the Ministry of Environment of Chile, which will likewise require the approval of the Comptroller General's Office's approval, and which we hope will enter into force by September at the latest, giving way to the inception of the project.

We have notified the Ministry of Environment, as the Adaptation Fund's Designated Authority in Chile, by official communication about the current situation, of which we enclose a copy to this letter.

In case you should require any more details or further information about the implementation process, please do not hesitate to contact us.

Sincerely,

  
  
**RICARDO HERRERA**  
 Executive Director  
 Chilean International Cooperation Agency

EOF/NSM/vgn  
 c. c.: Depto. Bilateral y Multilateral, AGCI  
 Oficina de Partes y Archivo, AGCI





AGCI CF. Nº 21/ 1226

ANT.: No hay

MAT.: Informa situación de proyecto presentado al Fondo de Adaptación.

SANTIAGO, 14 JUL. 2016

A : SEÑOR PABLO BADENIER MARTÍNEZ  
MINISTRO DEL MEDIO AMBIENTE

DE : DIRECTOR EJECUTIVO  
AGENCIA DE COOPERACIÓN INTERNACIONAL DE CHILE

1. Tengo el agrado de dirigirme a Ud. en relación al proyecto "Enhancing Resilience of Climate Change of the Small Agriculture in Chilean Region of O'Higgins" (**"Mejoramiento de Resiliencia al Cambio Climático de la Pequeña Agricultura en la Región de O'Higgins" en Chile**), el que como es de su conocimiento fué aprobado por el Fondo de Adaptación para su ejecución en nuestro país.
2. Al respecto, tengo a bien informar a usted que el proceso de inicio de ejecución se ha visto retrasado en función de que deben cumplirse de manera obligada las formalidades de tramitación, correspondientes a este tipo de proyectos. Puntualmente correspondió en primer lugar tramitar la aprobación del Acuerdo firmado entre el Fondo de Adaptación y AGCI, ante la Contraloría General de la República, proceso que tomó un par de meses.
3. Actualmente, desde la semana pasada, contamos con la aprobación de la Contraloría al citado Acuerdo (copia de esa resolución se adjunta al presente), y basados en dicha aprobación tenemos autorización para acordar y firmar un Acuerdo Interinstitucional entre los Ministerios de Agricultura, Ministerio de Medio Ambiente y AGCI, el cual a su vez requiere el mismo procedimiento de aprobación por parte de la Contraloría General de República.
4. Lo anterior, para su conocimiento y fines pertinentes

Sin otro particular, le saluda atentamente,

  
**RICARDO HERRERA SALDÍAS**  
EJECUTIVO  
Agencia de Cooperación Internacional de Chile

  
EP/IMG/mmu  
Distribución:

1. Destinatario
2. Subsecretaría de Agricultura.
3. AGCI, Depto. de Coordinación,
4. AGCI, Depto. de Cooperación Bi-Multilateral
5. AGCI, Unidad de Documentación



**Annex 5: Letter received from MOPIC about the AF project in Jordan**





MINISTRY OF PLANNING AND INTERNATIONAL COOPERATION

5/9/1/6532

Ref. No: .....

Date : 11/07/2016

The Adaptation Fund Board Secretariat  
1818 H Street NW  
MSN G6-602  
Washington DC. 20433  
U.S.A.  
Fax: +1 (202) 522 3240/5  
Email: [Secretariat@Adaptation-Fund.org](mailto:Secretariat@Adaptation-Fund.org)

**Subject: Status Update**

*"Increasing the Resilience of Poor and Vulnerable Communities to Climate Change Impacts in Jordan through Implementing Innovative Projects in Water and Agriculture in Support of Adaptation to Climate Change"*

Dear Sirs,

In reference to the Adaptation Fund Board Secretariat's email dated 6 July 2016 (*attachment 1*), requesting an updated on the subject project implemented by the Ministry of Planning and International Cooperation, kindly find below a brief update on the status of the Project, noting the below milestones dates:

- Adaptation Fund Board approval date: 10 April 2015
- Cabinet of Ministers of Hashemite Kingdom of Jordan's approval date: 8 June 2015
- Legal Agreement signing date 10 June 2015 (*while it's printed 14 May 2015*)
- First Disbursement date: 22 June 2015 (US\$1,719,027.0)
- Inception Workshop date: planned to take place on 13 July 2016

The program will be the first implementation initiative to address the climate change adaptation and give priority to the field of adaptation, thereby addressing adaptation of the agricultural sector in Jordan to climate change induced water shortages and stresses on food security. Furthermore, it will initiate and strengthen the institutional and technical capacity of key partners in this area including Ministry of Planning and International Cooperation (MOPIC), Ministry of Environment (MoEnv), Ministry of Water and Irrigation (MoWI), Ministry of Agriculture (MoA), Jordan Valley Authority (JVA), National Center for Agricultural Research and Extension (NCARE), and the local community, with a special focus on increasing community participation and empowering women. Moreover, the following actions have been taken since the signing of Legal Agreement:

- The Project document has been circulated officially to all ministries and entities which will be involved in implementing the Project.
- The implementation action plan has been drafted (*attachment 2*).
- The Project Steering Committee (PSC) has been formed, chaired by H.E. Secretary General of MOPIC, and composed of Secretary Generals and General Directors of executing entities, in addition to five representatives of local community and the Royal Marine Conservation Society.

THE HASHEMITE KINGDOM OF JORDAN

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MINISTRY OF PLANNING AND INTERNATIONAL COOPERATION

Ref. No: .....

Date : .....

- The PSC held two meeting at MOPIC; on 12 August 2015 and 11 February 2016.
- The Project Management Unit (PMU) has been hosted at Enhanced Social & Economic Productivity Program (EPP) of the Ministry of Planning and International Cooperation (MOPIC).
- Terms of References (TORs) have been prepared for the PMU staff including, Project Manager, Procurement Officer, M&E Specialist, Training and Awareness Specialist, and Financial/ Accountant, and Administrative Assistant (*attachment 3*).
- Terms of References (TORs) have been prepared for the Inception Workshop, discussed and approved by the Project Steering Committee, as mentioned above, the Inception Workshop is planned to take place on 13 July 2016 (*attachment 4*).
- Given the importance of local community engagement in this project, a consultation process has started and is still in process with NGOs and community-based organizations (CBOs) on the implementation of the project to ensure participation and ownership by local communities, all of which will assure sustainability of CC adaptive measures and investments.

Please accept my high esteem and consideration.

Sincerely,

Dr. Saleh Kharabsheh  
Secretary General  
Chair of the Project Steering  
Committee

THE HASHEMITE KINGDOM OF JORDAN

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Attachment I

**Hazar Badran**

**From:** Hugo Remaury <hremaury@adaptation-fund.org> on behalf of Adaptation Fund Board Secretariat <afbsec@adaptation-fund.org>  
**Sent:** Wednesday, July 06, 2016 6:38 PM  
**To:** Hazar Badran; Raed Badwan  
**Cc:** Mikko Ollikainen; Daouda Ndiaye; Hugo Remaury; Adaptation Fund Board Secretariat  
**Subject:** Status of AF/MOPIC project  
**Importance:** High

Dear MOPIC colleagues,

we hope this email finds you well. We are in the process of drafting the Adaptation Fund Annual Performance Report for the fiscal year 2016 (1<sup>st</sup> July 2015 to 30<sup>th</sup> of June 2016) and wanted to touch base with you about the AF project that MOPIC is implementing. Would you mind providing us with a brief update on the status of the "Increasing the resilience of poor and vulnerable communities to climate change impacts in Jordan through implementing innovative projects in water and agriculture in support of adaptation to climate change" (approval date 2015-04-10).

In the case the project has already had its inception workshop, we would be grateful if you could please forward the date of the workshop(s) and the report(s). We also would like to take this opportunity to give you a gentle reminder that, according to the AF Policy for project/programme delays (available at: <https://www.adaptation-fund.org/wp-content/uploads/2015/01/Project%20delays%20policy.pdf>):

*"3. Implementing entities can work to mitigate delays by working with the government, during project/programme design, to ensure a mutual understanding and commitment on how to proceed once a project/programme is approved. There are, however, many factors that are situation-specific and may be outside the control of the implementing entity. The six month target is therefore an average target for the Fund's portfolio. If a project/programme is not expected to start within six months, however, the implementing entity must send a notification to the secretariat with an explanation of the delay and an estimated start date. The Designated Authority (DA) must also be notified.*  
*4. The secretariat will report to the Board through the Annual Performance Report (APR) on any project/programme start delays. The Board may decide, on a case-by-case basis to cancel a project/programme if start-up delays are significant."*

Should the above-listed project be beyond the six months deadline mentioned above, we would kindly asked MOPIC to send a formal letter to the AF Board attention explaining the reasons of the delays and providing an estimated start date. Evidence that the AF Designated Authority of Jordan has been notified of the current situation would also be requested.

We remain available in case you have any questions regarding this email. We are looking forward to hearing from you.  
 Best regards,  
 The AFB secretariat.



Attachment 2

- 1 -

**National Center for Agricultural Research and Extension (NCARE)**

**Increasing the resilience of Poor Vulnerable communities to Climate  
Change Impact in Jordan through Implementing Innovative Projects  
in Water and Agriculture in Support of Adaptation to Climate  
Change**

**Sub- Component (1-2) Rainwater Harvesting (WH) and  
Permaculture**

**Project (1.5): Community Resilience and Adaptation to Climate  
Change through WH Technologies in Poverty Pockets**

**Work plan, 2016**



**1. Site selection:**

- Preliminary site selection using available information and maps in the GIS unit.
- Identify the villages existing in the watersheds
- Reconnaissance field survey to select the suitable sites to implement the project activities.

**2. watershed Characterization:**

- GIS layers will be produced in GIS environment using ARCGIS software. The GIS layers as following:

**A. Based on Digital Elevation Model (DEM):**

- Subdivision of the watersheds into sub watershed
- Derivation streams networks.
- The elevation map represents the Contour lines.
- Derivation and classification of slope map.

**B. Based on the soil survey project (At scale 1:250000) produced by Ministry of Agriculture (MOA), year 1994.**

- Soil map and the descriptions of the soil mapping units.
- Available information related pits and bores existing in the watersheds.

**C. Existing land use/ land cover classes with area analysis.**

**D. Available topographic sheets.**

**3. Field survey and site description**

- The watershed will be characterized in the field using GPS and data sheets collecting information about soil depth, stones at the surface, stones in the horizon, rockiness, slope, vegetation and land use, erosion.....etc.
- Soil samples will be collected for lab analysis.



**4. Lab analysis , data entry and processing**

- Soil samples will be analyzed and reported by data entry using excel.
- Sites of samples will be downloaded using GIS with related information.
- Some information will be derived according to site lab analysis using pedotransfer function .

**5. Potential suitability for water harvesting techniques**

- Determine the physical requirements (criteria) of each water-harvesting techniques
- Data processing and analysis using GIS.
- Characterize the watersheds.
- Matching processes .
- Production of suitability maps for the watersheds .



Activity	First month	2th	3th	4th	5th	6th	7th	8th	9th	10th	11th	12th
1. Site selection												
2. Watershed characterization												
3. Field survey & description												
4. Lab analysis , data entry and processing												
5. Potential suitability for water harvesting techniques												



**Sub-Component (1-2) Rainwater Harvesting (WH) AND Permaculture**

**PROJECT (1.5): Community Resilience and Adaptation to Climate Change through WH Technologies in Poverty Pockets**

مرونة وتكيف المجتمع مع التغير المناخي من خلال نشر تقنيات الحصاد المائي في مناطق جيوب الفقر

<b>Budget:</b>	US\$ million 0.626
<b>EE:</b>	National Center for Agricultural Research and Extension (NCARE) Department of Meteorology (الأرصاد) Water Use Associations (WUAs)
<b>Aim:</b>	Improving livelihoods of communities through sustaining land production and high quality ground and surface water resources ,restore productivity of degraded lands and reduce soil erosion and sediment.
<b>Activities:</b>	<ul style="list-style-type: none"> <li>- Data collection on rainfall and rainwater harvesting potentials in the <b>Mazraah, Haditha and Fufa regions</b></li> <li>- Prepare engineering design and feasibility studies for potential earth dams</li> <li>- Construction of a rainwater harvesting earth dam in <b>khnezeera area</b></li> <li>- Training and involving communities in planning and managing the watershed.</li> <li>- Water quality monitoring by JVA labs</li> <li>- Rehabilitation and install where needed new on-farm irrigation and filtration system</li> </ul>
<b>Target Area</b>	المناطق المستهدفة : غور المزرعة، غور حدبثة، وغور فيفا، وادي خنزيرة



- 2 -

**National Center for Agricultural Research and Extension (NCARE)**

**Increasing the resilience of Poor Vulnerable communities to Climate Change Impact in Jordan through Implementing Innovative Projects in Water and Agriculture in Support of Adaptation to Climate Change**

**Component 2: Capacity Building, Knowledge Dissemination, Policy and Legislation Mainstreaming**

**Project (2.1): Strengthen the Capacities of Poor & Remote Communities to Better Adapt to Climate Change Adverse Impacts**

**Work plan, 2016**



## Work plan

Main activities	Sub activities	Timeline
<p>1. Conduct a 6 introductory seminars for the community-based organizations (CBOs).</p> <p><u>Objectives:</u> Providing explanation of the climate change science, climate change projected impacts, explanation of vulnerabilities and adaptation methods as well as the communities adaptive capacity.</p> <p><u>Outcomes:</u> CBOs will be able to transfer what they learned to the farmers.</p> <p><u>Target area</u> At the Four Geographical Zones of the Jordan Valley and WadiMousa.</p> <p><u>Stakeholders</u> 48 WUAs in JV, one WUA in WadiMousa and community CBOs. Stakeholders and decision makers from governmental entities such MOA, NCARE and Universities.</p>	<ol style="list-style-type: none"> <li>1. Determine the location, date and the duration of each seminar.</li> <li>2. Determine the number of audiences. And ensure that the audiences represent the stakeholders in each area.</li> <li>3. Each seminar will cover the topics of climate change science, climate change projected impacts, explanation of vulnerabilities and adaptation methods.</li> <li>4. Each target area priorities will be considered in their seminar.</li> <li>5. Mainly the wastewater treatment, rainwater harvesting, desalination, increasing efficiency of irrigation technologies, grey water reuse and public awareness will be explained as adaptation strategies and measures suggested for the water sector condition.</li> <li>6. Professional lecturers will be selected from NCARE, Universities, RSA, JV and MOA.</li> <li>7. Each seminar will be full organized regarding documentation, logistics, media and evaluation.</li> </ol>	9 months (2016)
<p>2. Workshops for farmers will then be delivered by the CBOs giving them tools to better adapt to climate change adverse impacts on agriculture activities.</p> <p><u>Objectives:</u> Dissemination the concept of climate change, it is projected impacts, and adaptation</p>	<ol style="list-style-type: none"> <li>1. Determine the CBOs that have the ability to transfer the information to the farmers.</li> <li>2. Work with that CBOs to prepare awareness campaigns which include (workshops, field days, social media groups (whatsapp group, facebook).</li> </ol>	12 months (2017)



<p>methods among the farmers through CBOs. And promote several adaptive agriculture practices that will help farmers maximize their production.</p> <p><u>Outcomes:</u> 80% of the targeted farmers will be aware of predicted adverse impacts of climate change.</p> <p><u>Target area</u> At the Four Geographical Zones of the Jordan Valley and WadiMousa.</p>	<p>3. The number, date, location and type of awareness campaigns will be determined later with the CBOs.</p> <p>4. The ability of CBOs to transfer the informations will be monitored.</p> <p>4. Each awareness campaigns will be full organized regarding documentation, logistics, media and evaluation.</p> <p>5. Farmers feedbacks will be considered in each campaigns.</p>	12 months (2018)
<p>3. Creating a data base for farmers and agriculture CBOs to be used by the SMS system.</p> <p><u>Objectives:</u> keep each record for each farmer (name, telephone number, ownership, education, planted crops ...) and CBOs in a special data base and link the data base with SMS, social media applications (whatsapp group, facebook).</p> <p><u>Stakeholders</u> 48 WUAs in JV, one WUA in WadiMousa and community CBOs. Governmental entities such as MOA, NCARE, JV and Universities.</p>	<p>1. Collect the needed data in our seminars and awareness campaigns, MOA, JV and CBOs.</p> <p>2. Microsoft access software will be used to prepare the data base.</p> <p>3. Entities, data design, normality, ER diagram, minimum cardinality enforcement, tables design, and data dictionary will be our steps in preparing the data base.</p> <p>4. In cooperation with stakeholders we will keep the data up to date.</p> <p>5. The data base system will be linked with SMS, social media applications (whatsapp group, facebook).</p>	9 months (2018-2019)
<p>4. Sending informative messages related to climate change and adaptation.</p> <p><u>Objectives:</u> create a system for information inquiries, share, and extension among the farmers and</p>	<p>1. The SMS system will enable the farmers to send SMS and specify the parameters they wish to inquire about (e.g crop type, land area, climate conditions... etc) and a message or</p>	



<p>professionals. That system will use the SMS (via mobile customized interface) and social media applications (whatsapp group, facebook)</p>	<p>notice using the application will be sent back with the needed answer according to standard studies of needed amounts of water, best practices and specific warnings.</p> <p>2. NCARE has 3 weather stations in the four geographical zones of the Jordan valley. Weather data from these weather station will be sent to the farmers through SMS, whatsapp group and facebook.</p>	
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- 3 -

**National Center for Agricultural Research and Extension**

**Project Title:**

**Increasing the resilience of poor vulnerable communities to climate change impacts in Jordan through implementing innovative projects in water and agriculture in support of adaptation to climate change.**

**Component 2: Capacity Building , Knowledge Dissemination, Policy and Legislation Mainstreaming**

**PROJECT (2.3): Jordan Valley Water Sustainability and Agribusiness Competitiveness**

**Work plan 2016**



Component 2: Capacity Building, Knowledge Dissemination, Policy and Legislation Mainstreaming	
PROJECT (2.3): Jordan Valley Water Sustainability and Agribusiness Competitiveness	
استدامة المياه في وادي الأردن والتنافسية للأعمال التجارية الزراعية	
<b>Budget:</b>	US\$ million 1,150
<b>EE:</b>	National Center for Agricultural Research and Extension (NCARE) Ministry of Water and Irrigation (MWI) Ministry of Agriculture (MOA) Jordan Exporters and Producers Association (JEPA) Agricultural Credit Corporation (ACC) Water Use Associations (WUAs) Representatives of individual farmers.
<b>Aim:</b>	To support a participatory process, whereby Jordan Valley agribusiness sector Stakeholders identify the most critical issues facing the regional agribusiness sector, and jointly design and produce realistic and implementable solutions to achieve an effective integrated water resources and agribusiness management system in the Valley.
<b>Activities:</b>	<p><b>Phase 1: Securing buy -in, setting up &amp; Maintaining a Multi-Stakeholder Engagement Process:</b></p> <ul style="list-style-type: none"> <li>- Creation of an Ad hoc committee to change the mechanism for establishing and utilizing processing facilities and central markets.</li> <li>- A government guarantee of airfreight space for produce exports.</li> <li>- Support of an "Agricultural Risk Management Fund" (MOA)</li> <li>- Technical assistance through the MOA/NCARE Extension Services</li> <li>- Implement protection measures along the king Abdullah Canal at JV to prevent pollution from local activities.</li> </ul> <p><b>Phase 2: Establishment Consensual Policy Reform Proposals Sustaining the participatory process.</b></p> <ul style="list-style-type: none"> <li>- Deployment of advanced innovative irrigation methods.</li> <li>- Sustaining the participatory process</li> <li>- Feasibility studies for reform proposals resulting from JVWF</li> <li>- Establishment consensus around policy reform proposals</li> </ul> <p><b>Phase 3: Support to reform implementation and monitoring implementation support</b></p> <ul style="list-style-type: none"> <li>- Support implementation (programme management)</li> <li>- Establish monitoring systems and feedback loops</li> <li>- Monitor progress against action plans</li> <li>- Provide technical inputs across the reform program</li> <li>- The process will involve workshops to build understanding of the issues and promotion of reforms.</li> </ul>



Code	Description	Duration	1	2	3	4	5	6	7	8	9	10	11	12
2.1	<b>2.1: Securing buy -in, setting up &amp; Maintaining a Multi-Stakeholder Engagement Process:</b>													
2.1.1	<b>Creation of an Ad hoc committee to change the mechanism for establishing and utilizing processing facilities and central markets (G. Alnman &amp; Jordan Valley).</b>													
	<p>1.1 Consulted the following stakeholders for nomination working team / Establishing the Committee from responsible Governance &amp; Agriculture partners:</p> <p>Proposed contact stakeholders NCARE (MOA, JV, Greater Amman Municipality (GAMM), Ministry of Agriculture, Jordan Valley Authority (JVA), Jordan Valley Transporting Agency (JVA), Jordan Valley Chemical residue analysis Lab</p> <p>1.2. Negotiations leading up to the official endorsement</p> <p>1.3. Define the key partners/Endorsement official Team for implementation;</p> <p>1.3. Communicate them by Send official invitation for key partners to get their approval on participatory/ Engagement</p>													
	<p><b>2. Setup Regular Meeting Platform</b></p> <p>2.1 - Pre Launching Start-up meeting for EE</p> <p>2.1.1- Inclusive dialogue or session and Project debate at all levels</p> <p>Preparation (start-up workshop) meeting, project awareness session &amp; review phase one activities &amp; timeline</p> <p>2.2- Deep dive review or brain storming session for identifying the bottlenecks of central market</p> <p>2.3- Define the main obstacles &amp; difficulties, determine the priorities, targeting groups &amp; setup the way of working</p> <p>2.4- Review &amp; confirm on the questionnaire format determine the time line for Surveying process</p>	1st Month												
	<p><b>3. IMPROVING INFORMATION FOR DECISIONMAKING Platform</b></p> <p>3.1- Preparation for survey Questionnaire</p> <p>3.1.1- Prepare the first draft &amp; forms for survey based on the brain storming session &amp; the targeting groups outcome</p> <p>3.2- Review on the survey components &amp; agree on the final version &amp; number of requested forms</p> <p>3.3- Define the accountable team for handling survey data collection &amp; responsibility</p> <p>3.4- Start-up the survey process &amp; dissemination of the form &amp; determine the time line per each targeting groups</p> <p>3.4.1- Primary evaluation for the survey information manipulate aimed</p> <p>3.5- Filling the data into the forms down load the content &amp; handling the data</p> <p>3.6- Analyze the data &amp; extract the outcome</p> <p>3.7- Prepare for data presentation &amp; recommendation</p>	3 months												
	<p>4. Define &amp; analyze the Food &amp; Produce supply chain:</p> <p>4.1- Prepare for Launching a testimonial shipping/Transportation rules or details 5-6 case studies of on-farm obstacles using a modified Commodity</p> <p>4.2- Collection of feedback from testimonial &amp; analysis</p> <p>4.3- Evaluation of feedback from testimonial &amp; analysis</p> <p>4.4- Upgrade or reform action for current Food Supply Chains</p> <p>4.5- Improving the performance of producer Suppliers organizations by encouraging policy dialogue &amp; helping to ensure more coordinated produce Supply</p>	4 months												
	<p>5- Review the questionnaire survey data &amp; discussion:</p> <p>5.1- Presenting the qualitative results &amp; discussion</p> <p>5.2- Validation &amp; confirmation on the questionnaire Outcome</p> <p>5.3- Preparation for getting workshops &amp; dissemination of invitations for the stakeholders/ Governance at all levels, JV, U</p>	3 months												
	<p>6.1- General Workshop for sharing the Studies outcome &amp; recommendation with all stakeholders</p> <p>6.2- Definition &amp; setup clear action plan based on the final outcome</p> <p>6.3- Define the Ad hoc committees will be responsible to take the action of Change</p> <p>7- Contact the key parties on the study outputs &amp; setup an implementation plan</p> <p>8- Build &amp; Developing capacity of Stakeholders at all levels</p>	3 months												



Code		Description		Duration											
2.3.1	2.3.1.2	Phase 1: Securing buy-in, setting up & maintaining a Multi-Stakeholder Engagement Process													
		1.1 - Consulted the following stakeholders for Nomination working team/ Committee from responsible Governance approaches for product export.													
		Proposed Committee (KACG, JACO, Queen Alia Airport (QAA), JEPK, Representative Farmer, Jordan Valley Farmers Union (JVAFU), Jordan Valley Authority (JVA), Transporting													
		1.2: Negotiations leading up to the official endorsement													
		1.3: Communicate them by Send official invitation for key partners to get their approval on													
		2. Setup Start-up Meeting													
		2.1: Pre Launching Start-up meeting for EE													
		2.1.1: Preparation (START-UP WORKSHOP) meeting, project awareness session & review													
		2.2: Robust review or brain storming session for identifying the bottleneck, addressing the													
		2.3: Review the main obstacles & difficulties, determine the priorities Key market, targeting													
		Groups / Partners & setup the way of working													
		3 - IMPROVING INFORMATION FOR DECISIONMAKING													
		3.1 - Preparation for Survey Questionnaire - conceptual framework for the assessment on-													
		3.1.1: Prepare first draft & forms of survey based on the brain storming													
		3.2: Review on the survey components & agree on the final version & number of requested													
		3.3: Define the accountable team for handling survey's data collection & responsibility													
		3.4: Start up the survey process & dissemination of the form & determine the time line per													
		3.5: Prepare for data presentation & recommendation													
		3.6: Prepare for data presentation & recommendation													
		4. Define Case Study (yes) for Airfreight transportation													
		4.1: Prepare for Tracking a testimonial shipping Transportation itself Agree on the optimum Kc													
		4.2: Collection of feedback from testimonial & analysis													
		5.1: Review the questionnaire survey data & discussion													
		5.2: Validation & confirmation on the questionnaire Outcome													
		5.3: Preparation for general workshop dissemination of Invitations for the stakeholders													
		6.1: General Workshop for sharing the Studies outcome & recommendation with all													
		6.2: Definition & setup clear action plan based on the final outcome													
		7: Contact the key partner on the study outputs & setup an implementation plan													
		8: Build & Developing capacity of Stakeholders at all levels													



2.3.1		Phase I: Setting up & Maintaining a Multi-Stakeholder Engagement Process:										
2.3.1.3		Support of an "Agricultural Risk Management Fund" (MOA) .. ARMF										
Main Tasks	1.1	Endorsement of the governance bodies from all stakeholder/Agriculture Policy Makers and Chief National decision makers / technical partners: Proposed contact stakeholders NCARE: MOA, JV, Risk Fund, Branch JV, Jordan Valley Authority (JVA), Regional Jordan Valley Farmers Union (JVAFU) Key Roles: JV growers focus mainly on smallholder farmers 1.2 - Communicate them by Send official invitation for key partners to get their approval on participation										
	1.2	Endorsement										
Main Tasks	2	General Overall Awareness Program: 2.1. Overview on ARMF in JV: Objectives, mission, Budget, Fund policy, Priorities, way of working 2.2. Current Risks classification in Jordan (JV) & define the top market forces/Risks 2.3. Discussion on the benefits of introduction of such solution into the market sector of agricultural										
	3	STRENGTHEN INFORMATION FOR DECISION MAKING: 3.1. Encompass holistic data on the RMF activities in JV benefit from the available & historical experience in the region 3.1.1- RMF summary for last 10 year in JV, Total fund Activities, Policy, bottleneck, official responses to risk 3.2. Analyze the studies outcome, define the outputs, review the recommendations 3.3. Revisit all the implemented actions & efficiency 4. Groups workshops/ brainstorming with gov, institutional, technical, growers.. all partners. - Assessing all risks and their relationship to each other and focusing on a single source - Identify risk management policy options in rural JV that could improve the current economic resilience of Gov - Better understanding the implications of effective implementation of or activation for each Fund source for the smallholders										
Main Tasks	5	Study & Workshops Outcome or Action: 5.1- Diagnose the stages of risk management/identification, assessment and response to risk & classification of the type of risks in Jordan JV 5.2- Identifying the different layers of risk how much frequent or infrequent that affect many or all farmers over a wide area 5.3- Update the top market forces/ Risks & Ranking them based on the market studies, in line with international definition. 5.4- Leverage the main findings, action proposals and policy recommendations that have emerged from this study 5.5- Developing a Comprehensive Agriculture risk management framework policies with focus on catastrophic risks that are cause significant damage to many farmers at the same time 5.6- Adoption a new Government policies based on a holistic approach for risk management 5.7- Improving the Current Fund Mechanism & it is performance 5.8- Proposing multi-sector and multi-stakeholder strategies: Multi-stakeholder partnerships may be made imperative for proposals aimed at widespread coverage or large-scale implementation. 5.9- Launching/ Define a Platform for Agricultural Risk Management (FARM) with clear objective, clear definition of what role for farmers, the private sector and government 5.10- Facilitating good "start up" conditions - information regulation and testing - should be the primary role for the government in the development of market-based risk management tools by to find optimal set of risk management policies to fit all farmers beneficiaries 5.11- Developing Technology-driven programs. 5.12- Diversification Risk management (not concentrate on any one risk factor or any one solution) is nearly always a good strategy to reduce risk and that also holds for reducing the risk of policy failure 5.13- Raising awareness of the local risk and that also holds for reducing the risk of policy failure 5.14- how to use risk management techniques including good farming practices, the role of diversification and the use of futures and insurance can improve farmers ability to assess and manage their risk using a variety of market and on-farm tools. 5.15- Full commitment of Gov. for Adoption & implementation of the new Policy 5.16- Developing an active monitoring/ Tracking actions										
	6											
Main Tasks	7											
	8											
Main Tasks	9											
	10											
Main Tasks	11											
	12											



2.3.1	Phase 1: Securing buy-in, setting up & Maintaining a Multi-Stakeholder Engagement Process:												
2.3.1.4	- Technical assistance through the MOA/NCARE Extension Services												
Main Tasks	1.1 - Endorsement the governance bodies from all stakeholders targeted groups	Duration	1	2	3	4	5	6	7	8	9	10	11
	1.2 - Communicate them by Send official invitation for key partners for participation/ Engagement												
	2. Groups workshops/ brain storming with Gov. Institutional: technical; growers... all partners:												
	2.1- Training Capacity GAP Analysis: (identification, assessment of the Current status for all stakeholders)												
	- Foster dialogue among training inquiry to develop a shared vision of Technical assistance needs												
	3. Build Technical and Training Capacity platform based on the address gaps												
	-Pooling of Expert team from all sectors & with strong networking within & between them (Find the right people whom to be capable to develop the training material)												
	4 - Promote the short list of technical & scientific committee for the training.												
	5 - Developing & Support in training program for all stakeholders in all concerned sectors, particularly those related to the Component topics & studies outcome												
	5.1 Improve the level of technical knowledge of our key partners												
	5.2- Facilitate the transfer of technologies to strengthen local capacities.												



[illegible]



**Figure 1: securing buy-in, setting up & Maintaining a Multi-Stakeholder Engagement Process:**

2.3.1 Engagement Process:	Duration	1	2	3	4	5	6	7	8	9	10	11
<b>Main Tasks</b>												
1-Endorsement the governance body from all stakeholder (JVA), Represent Jordan Valley Farmers Union (JVFU), Key WUA, 1.2 - Communicate them by Send official invitation for key partners to get their approval on participation Engagement												
2-Evaluation for All Available Irrigation SYS in Jordan - Cost efficiency analysis - Water use efficiency analysis - Effective use of all available technology												
3 -Exploring market opportunity for new irrigation regimes Global exploring on the trend 3.1- Review with key stakeholders on their activities/ Options related to the targeted topic 3.2- Contacting all top supplier check on the new systems & technology 3.3- new Proposition for irrigation techniques												
4.1- Setup technical trials for check on their performance & comparison 4.2- Build Awareness Program for new System Values, benefits; 4.3- Organization of general workshop for Identification & Promoting 4.4-Adoption of Pilot Project or Demo sites implementation 4.5-On- Farm Technical training for all beneficiaries												
5- Review on the mechanism ( Fund, Support, ... ) of Adoption & Implementation												
6- Adoption of the new concept & technology!												
7 - Work plan for dissemination of the new te												



attachment 3

**Increasing the resilience of poor and vulnerable communities to climate change impacts in Jordan through Implementing Innovative projects in water and agriculture in support of adaptation to climate change**

**Terms of Reference (TOR) of  
Project Manager**

**1. Background**

The Government of Jordan has received a grant of US\$ 9.226 million from the Adaptation Fund to implement innovative projects in water and agriculture in support of adaptation to climate change. In the framework of the Project titled "Increasing the resilience of poor and vulnerable communities to climate change impacts in Jordan through Implementing Innovative projects in water and agriculture in support of adaptation to climate change" it aims to Adapt the agricultural sector in Jordan to climate change induced water shortages and stresses on food security through piloting innovative technology transfer, policy support linked to community livelihoods & resilience.

The project is being implemented by the Ministry of Planning and International Cooperation (MoPIC) and executed by Ministry of Environment (MOE), Ministry of Water and Irrigation (MWI), Jordan Valley Authority (JVA) /Water Authority of Jordan (WAJ), Ministry of Agriculture (MOA), Petra Development Tourism Region Authority (PDTRA) and National Center for Agricultural Research and Extension (NCARE), the Hashemite Fund for Development of Jordan Badia, in addition to the Royal Scientific Society (RSS), Jordan Food & Drug Administration (JFDA), Department of Meteorology, Jordan Standards & Metrology Organization (JSMO), NGOS and private sector. The project is managed by a Project Management Unit (PMU) that is hosted by the Enhanced Productivity Program (EPP) at the Ministry of Planning and International Cooperation (MOPIC).

The Project comprises two major components, Component 1: Climate Change Adaptation of Agricultural & Water Sector through Technology Transfer (the Use of Non-Conventional Water Resources) which includes six sub-projects. Component 2: Climate Change Adaptation Capacity Building, Knowledge Dissemination, Policy and Legislation Mainstreaming, which includes 3 sub-projects. The targeting areas are Irbid, Balqa, Karak and Ma'an Governorates.

A Monitoring and Evaluation (M&E) Specialist will be contracted to formulate and implement a Monitoring & Evaluation System using agreed performance indicators; assist the different implementing agencies in updating and implementing baseline studies and scientific surveys designed to obtain results to implement on the ground; and evaluate the progress of project activities and prepare M&E reports as required

**2. Scope of work**

A Project Manager will head the PMU. He/she will be responsible for the overall management, technical leadership and coordination of project activities in order to successfully achieve its goals. The Project Manager will ensure the timely and effective implementation of all components of the project in relation to the conservation and development objectives. He/she will liaise and coordinate with the Project National Steering Committee, the Project Technical Committee, concerned ministries, private sector beneficiaries, relevant implementing and donor agencies, NGOs, farmers, etc. The Project Manager will be accountable to the chair of the Project Steering Committee.

**3. Duties**

The Project Manager shall perform the following functions:

- (a) develop and implement a management plan for all project components;



- (b) manage the implementation of activities to ensure full and timely achievement of stated tasks in accordance with defined objectives;
- (c) lead the preparation of: budgets and annual work plans, Steering Committee meetings, and progress reports on project implementation activities in accordance with AF requirements
- (d) refine relevant job profiles, participate in the screening and selection of personnel hired under the project and enforce best practices in all hiring activities;
- (e) collaborate with the Project Financial and Procurement / Disbursement Specialist in order to oversee project financing and procurement activities;
- (f) oversee planning and implementation of training efforts with the M&E and Training Specialist to train the local community (with special focus on women), GOJ officials, technicians and project staff in the skills and knowledge needed to perform their assigned duties under the project;
- (g) facilitate contacts and communication within GOJ, with all implementing entities, the private sector, the local community, NGOs, academia and the donor community;
- (h) ensure relevant communication and knowledge sharing of significant achievements through appropriate media.

#### **4. Qualifications and Experience Required:**

- (a) M.S. or Ph.D. in management, environmental conservation and management, economics and agribusiness, agriculture, natural resource management or other relevant professional skills;
- (b) Strong top executive and managerial skills as demonstrated by 10 at least years of prior work experience in top management in the public or private sector;
- (c) Managerial level work experience with international agencies and demonstrated ability to work effectively with top management and technical staff in the public and private sector and with local community leaders;
- (d) Fluency in Arabic and English, including strong demonstrated oral presentation and writing skills; and (e) knowledge of the entities comprising the relevant sections of the GOJ, private sector and NGOs would be helpful.

#### **5. Terms of Appointment**

The appointment will be for an initial period of three months, renewable thereafter on performance and professionally, and then on an annual basis for the longtime of the project. The salary and benefits are close to MOPIC staff benefits.

#### **6. Application**

Qualified applicants are invited to send:

- 1) cover letter of interest, including recent salary history;
- 2) curriculum vitae; including age, qualifications and experience;
- 3) names of/contact information for three professional referees;
- 4) photocopies of relevant supporting documents;
- 5) recent photograph; to:

Ministry of Planning and International Cooperation, P.O. Box 555 Amman 11118 Jordan

Telephone: (962-6) 4644381

Fax: (962-6) 4649341

E-mail: cca@mop.gov.jo



NOTE:

7. If applying by e-mail, please do not include graphics or other large file attachments.
8. Quote reference M&E Specialist on application (or in subject line if applying by e-mail).

APPLICATION DEADLINE: Applications must be received by 30 July 2016.



**Increasing the resilience of poor and vulnerable communities to climate change impacts in Jordan  
through Implementing Innovative projects in water and agriculture in support of adaptation to  
climate change**

**Terms of Reference (TOR) of  
Monitoring and Evaluation Specialist**

**1. Background**

The Government of Jordan has received a grant of US\$ 9.226 million from the Adaptation Fund to implement innovative projects in water and agriculture in support of adaptation to climate change. In the framework of the Project titled "Increasing the resilience of poor and vulnerable communities to climate change impacts in Jordan through Implementing Innovative projects in water and agriculture in support of adaptation to climate change" it aims to Adapt the agricultural sector in Jordan to climate change induced water shortages and stresses on food security through piloting innovative technology transfer, policy support linked to community livelihoods & resilience.

The project is being implemented by the Ministry of Planning and International Cooperation (MoPIC) and executed by Ministry of Environment (MOE), Ministry of Water and Irrigation (MWI), Jordan Valley Authority (JVA) /Water Authority of Jordan (WAJ), Ministry of Agriculture (MOA), Petra Development Tourism Region Authority (PDTRA) and National Center for Agricultural Research and Extension (NCARE), the Hashemite Fund for Development of Jordan Badia, in addition to the Royal Scientific Society (RSS), Jordan Food & Drug Administration (JFDA), Department of Meteorology, Jordan Standards & Metrology Organization (JSMO), NGOS and private sector. The project is managed by a Project Management Unit (PMU) that is hosted by the Enhanced Productivity Program (EPP) at the Ministry of Planning and International Cooperation (MOPIC).

The Project comprises two major components, Component 1: Climate Change Adaptation of Agricultural & Water Sector through Technology Transfer (the Use of Non-Conventional Water Resources) which includes six sub-projects. Component 2: Climate Change Adaptation Capacity Building, Knowledge Dissemination, Policy and Legislation Mainstreaming, which includes 3 sub-projects. The targeting areas are Irbid, Balqa, Karak and Ma'an Governorates.

A Monitoring and Evaluation (M&E) Specialist will be contracted to formulate and implement a Monitoring & Evaluation System using agreed performance indicators; assist the different implementing agencies in updating and implementing baseline studies and scientific surveys designed to obtain results to implement on the ground; and evaluate the progress of project activities and prepare M&E reports as required

**2. Scope of work**

A well-designed M&E system is critical to ensure the project's timely and successful implementation and to enhance its impact through a systematic analysis of lessons learned and their effective dissemination. The project's M&E will be the responsibility of the PMU. Monitoring will be based on baselines surveys that need to carry out by the M&E specialist. He will prepare a detailed M&E plan.

The M&E will be carried out annually by the PMU by conducting beneficiary surveys. In addition, scientific surveys should be undertaken every two years to monitor Reuse of Wastewater, Rainwater Harvesting & Permaculture. In addition, under the umbrella of the Steering Committee, the EPP M&E Unit will carry out an independent assessment every six months during the first year of the project.



The M&E specialist will design a Management Information System for M&E, reporting formats for each component and sub-component, including targeted annual performance objectives and monitoring indicators. Quarterly, semiannual and annual reports are required covering the implementation progress, the use of funds and the project's impact. These reports will be consolidated by the PMU into annual progress reports to be submitted through the MOP to the AF within one month of the end of the fourth quarterly report. These progress reports will also include an implementation plan and a work program for the following year. The format of the reports will be agreed with the AF. A mid-term review will be carried out to assess overall progress. Lessons learned, with recommendations for improvements, if any, would be used to restructure the project, if necessary.

The consultant will work with the Project Management Unit (PMU) staff, executing agencies, NGOs, community members and other consultants to design and implement the M&E system and reporting. He/She will regularly visit all interested parties, governmental offices, private sector, and NGOs. The consultant will support, cooperate, and participate in comprising the technical committee which will advise the Government of Jordan (GOJ) about innovative to adapt with climate change.

### **3. Duties**

The Monitoring & Evaluation and Training Specialist will assist the Project Manager in the management of daily operations. He/she shall perform the following functions:

- (a) formulate and implement a Monitoring & Evaluation System using agreed performance indicators;
- (b) prepare a detailed M&E plan.
- (c) assist the different implementing agencies in updating and implementing baseline studies and scientific surveys designed to obtain results to implement on the ground;
- (d) evaluate the progress of project activities and prepare M&E reports as required;
- (e) participate in planning and supervision of project M&E activities;
- (f) train project staff and beneficiaries in M&E methods.

In addition to:

- (a) assist in the management of daily operations;
- (b) act as a coordinator for prompt resolution of operational issues;
- (c) assist in the preparation of work plans and reports
- (d) act as Project Manager in his/her absence;
- (e) assist the Project manager with the preparation of all reporting documents; and
- (f) assist in establishing performance standards and development for project personnel

### **4. Qualifications and Experience Required:**

- (a) B.Sc. in natural resource management, business or other relevant professional skills;
- (b) a minimum of 5 year's experience in overall project implementation as well as design and implementation of M&E systems, and log-frames,
- (c) demonstrated ability to produce M&E reports complying with Adaptation Fund guidelines;
- (d) demonstrated ability for field work and visit the project targeted areas and maintain liaison and links with executing entities (EEs).
- (e) excellent computer skills with relevant Windows applications including Word and Excel; and
- (f) fluency in Arabic and English, including strong demonstrated communication, oral presentation, and writing skills.



**5. Terms of Appointment**

The appointment will be for an initial period of three months, renewable thereafter on performance and professionally, and then on an annual basis for the longtime of the project. The salary and benefits are close to MOPIC staff benefits.

**6. Application**

Qualified applicants are invited to send:

- 6) cover letter of interest, including recent salary history;
- 7) curriculum vitae; including age, qualifications and experience;
- 8) names of/contact information for three professional referees;
- 9) photocopies of relevant supporting documents;
- 10) recent photograph; to:

Ministry of Planning and International Cooperation, P.O. Box 555 Amman 11118 Jordan

Telephone: (962-6) 4644381

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E-mail: cca@mop.gov.jo

**NOTE:**

1. If applying by e-mail, please do not include graphics or other large file attachments.
2. Quote reference M&E Specialist on application (or in subject line if applying by e-mail).

**APPLICATION DEADLINE:** Applications must be received by 30 July 2016.



attachment 4

**INCEPTION WORKSHOP OF THE PROGRAMME**

**"Increasing the resilience of poor and vulnerable communities to climate change impacts in Jordan through Implementing Innovative projects in water and agriculture in support of adaptation to climate change"**

**I. Objectives**

The main goal of the workshop is to develop a cohesive understanding of the scope of the project, specific objective, methodologies, project locations and expected outcomes. The inception workshop aims to provide an opportunity to directly interact for further elaboration and clarification of implementation mechanism, monitoring and evaluation, technical reporting, and financial procedures.

However, the specific objectives of the workshop are:

- Understand of the project specific goals, objectives, outcomes and expectations from executing entities.
- Approve on approaches, procedures and implementation plan of the projects and sub-projects.
- Agree on format of project action plans and reporting of outcomes, indicators, targets, and M&E plans Discuss approaches of project components/objectives and relevant activities
- Clarify responsibilities and role of executing entities and teams

**II. Expected Attendance: 60 persons****2.1 National Implementing Entity (NIE)**

Ministry of Planning and International Cooperation (MOPIC)

**2.2 Executing Entities**

- Jordan Valley Authority (JVA) /Water Authority of Jordan (WAJ)
- Ministry of Water and Irrigation (MWI)
- The Petra Development Tourism Region Authority (PDTRA)
- Ministry of Environment (MOE)
- Ministry of Agriculture (MOA)
- National Center for Agricultural Research & Extension (NCARE)
- The Royal Scientific Society (RSS)
- **Royal Marine Conservation Society (JREDS)**
- The Hashemite Fund for Development of Jordan Badia.

**2.3 Local Community****2.3.1 Water User Associations (WUAs):**

2.3.2 Individual farmers from North Ghors, Middle Ghors, South Ghors, Wadi Musa.

2.4 Vulnerable groups: representatives of poor families North Ghors, Middle Ghors, South Ghors, and Wadi Musa).

**2.5 NGOs:**

- Jordan Exporters and Producers Association (JEPA)
- Jordan Royal Ecological Diving Society (JREDS)



- Jordan Farmers Union (JFU)
- Royal Society for Conservation of Nature (RSCN)
- Nour Al Hussein Foundation
- Jordan River Foundation (JRF)
- The Jordan Hashemite Fund for Human Development (JHUD)
- Association of Social Development Centers
- 

#### 2.6 Other Local

- Agricultural Credit Corporation (ACC)
- Universities (relevant Government and Private)

#### 2.7 Regional and International organizations

- United Nations development programme (UNDP)
- United States Agency for International Development (USAID)
- Food and Agriculture Organization (FAO)
- International center for Agricultural research in the Dry Areas (ICARDA)
- Association of Agricultural Research Institutes in Near east and North Africa (AARINENA)

### Calendar

#### Session 1: Inauguration/Launching of the Project

- H.E Minister of Planning and International Cooperation
- H.E Secretary General of Planning and International Cooperation/ Head of Project Steering Committee
- Brake

#### Session 2: Technical Session—Detailed Project Overviews

- Project Manager/MOPIC
- Jordan Valley Authority (JVA) /Water Authority of Jordan (WAJ)
- Ministry of Water and Irrigation (MWI)
- The Petra Development Tourism Region Authority (PDTRA)
- Ministry of Environment (MOE)
- Ministry of Agriculture (MOA)
- National Center for Agricultural Research & Extension (NCARE)

#### Session 3: Discussions and Recommendations









MINISTRY OF PLANNING AND INTERNATIONAL COOPERATION

Ref. No: **5/9/1/7333**  
 Date : **01/08/2016**

The Adaptation Fund Board Secretariat  
 1818 H Street NW  
 MSN G6-602  
 Washington DC. 20433  
 U.S.A.  
 Fax: +1 (202) 522 3240/5  
 Email: [Secretariat@Adaptation-Fund.org](mailto:Secretariat@Adaptation-Fund.org)

**Subject: Status Update**

*"Increasing the Resilience of Poor and Vulnerable Communities to Climate Change Impacts in Jordan through Implementing Innovative Projects in Water and Agriculture in Support of Adaptation to Climate Change"*

Dear Sirs,

In reference to my letter Ref. No. 5/9/1/6532 dated 11 July 2016 (copy attached), providing you with a brief update on the status of the subject Project, and in reference to the Adaptation Fund's email dated 11 July 2016 (copy attached), requesting a confirmation that the Designated Authority (DA), whom is the Jordanian Minister of Environment has been notified.

\* In this regard, I would like to confirm that the DA has been officially notified, moreover, and as mentioned in my above-mentioned letter, the Ministry of Environment is one of the main counterparts and key executing agency for this project. And as such, the Ministry and the DA are fully on board with all of the Project's developments, and is notified by default about this issue

Please accept my high esteem and consideration.

Sincerely,

Dr. Saleh Kharabsheh  
 Secretary General  
 Chair of the Project Steering  
 Committee

Cc/ Department of Local Development and Productivity Enhancement Programs  
 / International Cooperation Department - World Bank Group and UN Agencies Division - HB.

THE HASHEMITE KINGDOM OF JORDAN

TEL: +962 6 4644466 - FAX: +962 6 4649341 P.O.Box: 555 AMMAN 11118 JORDAN -E-MAIL: MOP@MOP.GOV.JO



**Annex 6: Letter received from UNDP about the project it is implementing in Myanmar**



United Nations Development Programme



*Empowered lives.  
Resilient nations.*

7 September 2016

**Re: Justification for changes in the project results framework for the Myanmar Adaptation Fund project**

Dear AF Board members:

During the review of the first Project Performance Report for the Project titled "Addressing Climate Change Risks on Water Resources and Food Security in the Dry Zone of Myanmar", it was noted that the project results framework has been altered from the approved project document. This letter is to seek approval from the AF Board for the adjustments. This letter also confirms that the adjustments in the project results framework are within the approved budget. The reasons for the adjustment are:

- (a) Cost increase
- (b) field verification

Myanmar has registered high inflation rates over the last several years, further exacerbated by the 2015 flood, and this has contributed to a sharp rise in labour and material costs. For example, in the Funding Proposal the daily wage for labour contribution by community members was MMK 2,000 (in 2012-13), but this amount has now increased in 2016 to MMK3,600 (an average of MMK4,000 for men and MMK3,000 for women). In light of this nearly 100% increase in labor costs, the target beneficiaries have been scaled down.

In addition, field surveys that were only possible after AF financing became available suggest that the total number of impoverished households has changed since estimates were made available during the project preparation process.

Taking this into account, some of the targets in the Project Results Framework have been modified.

Sincerely,

Adriana Dinu  
Executive Coordinator  
UNDP – Global Environmental Finance Unit  
Bureau for Policy and Programme Support  
United Nations Development Programme



## United Nations Development Programme



Empowered lives.  
Resilient nations.

7 September 2016

**Subject: The 16-month delay in the project start-up**

There was a significant delay in the project start-up after the project was officially approved by the Adaptation Fund Board. Key milestones with respective timing are presented below:

Milestones	Timing
Letter of notification regarding approval of the project from the Adaptation Fund Board	4 March 2014
Receipt of the Agreement from the AF Secretariat	12 March 2014
UNDP co-signature on the AF/UNDP Agreement	27 March 2014
Local Project Appraisal Committee (Government Led)	30 April 2014
A workshop to mark the official start of the project (Government Led)	17 February 2015
Recruitment of the National Project Manager	August 2015
Inception Workshop	August 2015

As per UNDP's policy, identifying and recruiting a local expert to the post of National Project Manager is critical. However, this recruitment took time to complete as the applicant pool did not meet the required qualification criteria.

Soon after the project appraised locally jointly by the Government of Myanmar and UNDP on 30 April 2014, and following work undertaken by the GoM and UNDP to develop Terms of References and securing internal clearances, the post of National Project Manager was advertised on 8<sup>th</sup> August 2014. One of the reasons for the delay at this stage is the several rounds of consultations with relevant Government departments that were facilitated by UNDP after the official approval of the project by the AF Board. Since the Project was first approved at the 19<sup>th</sup> Adaptation Fund Board meeting (Dec 2012), more than 15 months had passed before the funds became available. Thus, the Government was briefed the steps required towards the commencement of the Project. At this point, the Government considered tabling the Project for a Cabinet approval as a way of formalities, but this was later withdrawn in lieu of a signature from the Ministry of Environmental Conservation and Forestry.

The post was advertised as a National Officer (NO)-D position as per the UNDP national officer grading system. The number of applications received in the first advertisement was 21 and none met necessary qualification requirements for the post. The application deadline was then extended to 5<sup>th</sup> September 2014 in the hope of attracting suitable candidates. An additional 27 applications were received but none of them met the qualification requirements.

At this point, GoM and UNDP agreed that the post needed to be downgraded to a lower level (NO-C) in order to attract qualified candidates. In addition, it was decided by GoM and UNDP that an international technical post be created, funded by the three Outcomes of the project, who could support the NPM on technical aspects of project implementation.

Advertisements for the NO-C and international P-4 posts were made on 27<sup>th</sup> November 2014. For the NO-C position, 20 applications were received at the close of vacancy on 11 December 2014, of which 6 candidates were long-listed and 4 were short-listed. However, only one candidate out of 4 met the required English proficiency skill which was assessed by an accredited external institution. The recruitment of NO-C was again



**United Nations Development Programme**



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Resilient nations.*

halted as there was no sufficient number of applicants to proceed the process. The position was again downgraded to NO-B level and advertised on 25<sup>th</sup> March 2015 and closed on 9<sup>th</sup> April 2015. As soon as the NO-B position was filled in August 2015, the Inception Workshop was organized in the same month. Meanwhile, the P-4 international post was filled in April 2015.

While the recruitment process was ongoing, so as to not further delay the start up of project activities, a workshop to mark the official start of the project was organized in February 2015 prior to the Inception Workshop of the project. This event was needed to facilitate project-related discussions with the Government and field visits that were being carried out by technical specialists who were recruited in the project.

The AF Project Delay Policy is noted. We will ensure that such delays will be informed to the Secretariat in the future.



**Annex 7: Decision B.26-27/22 and supporting documents****ADAPTATION FUND**

24 February 2016

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Adaptation Fund Board***Report on project implementation: UNEP (Madagascar)***

*Following the recommendation of the secretariat after its review of the request for budget revision submitted by the United Nations Environment Programme (UNEP) for the project "Promoting climate resilience in the rice sector through pilot investments in Alaotra Mangoro Region" (Madagascar)", and following the recommendation of the secretariat after its review and clearance of the second annual project performance report provided by UNEP, the Adaptation Fund Board decides to approve the budget revision, as requested by UNEP in its letter dated 5 February 2016, and annex therein.*

*Decision B.26-27/22*





# UNITED NATIONS ENVIRONMENT PROGRAMME

Programme des Nations Unies pour l'environnement    Programa de las Naciones Unidas para el Medio Ambiente  
 Программа Организации Объединенных Наций по окружающей среде    برنامج الأمم المتحدة للبيئة  
 联合国环境规划署



5 February 2016

Adaptation Fund Secretariat  
 1818 H Street, NW  
 MSN P-4-400  
 Washington, DC 20433  
 USA

Dear Adaptation Fund Secretariat,

## **Promoting Climate Resilience in the Rice Sector through Pilot Investments in Alaotra-Mangoro Region, Madagascar**

As the Implementing Entity for the above project, UNEP would like to formally request an amendment to the budget of this project.

In support of this request, we are submitting a proposed revised output-based budget. This budget is based on a Project Steering Committee decision to approve revision of the budget. This decision was made on 7 August 2015. The attached document shows the original budget, the revised budget and provides an explanation of the changes made.

In preparing the revised output-based budget, we have made two sorts of changes. The first change is to introduce the new category of 'Cross cutting component costs' for each of the three components. These costs involve items such as the portion of the National Project Coordinator's salary and travel that is devoted to that component. We have moved the costs from individual outputs to this new 'cross-cutting' category. The rationale for making this change is that it improves the transparency of the budget and makes it easier to manage expenditure in the course of project implementation. It does not make sense to link the salary and travel costs to individual outputs, since the National Project Coordinator will often be undertaking work and travel that is connected to several outputs simultaneously. This change does not necessarily involve any change in what the budget is spent on. Rather, it changes the way this information is presented. Nevertheless, there have been some substantive changes in these cross-cutting costs, and these are noted in the revised output-based budget.

The second sort of change that we have made to the budget does involve substantive changes in how the budget is distributed between outputs. In the course of implementation we have found that some outputs require more budget and others less. The changes we are proposing are designed to improve the overall effectiveness of the project in the light of the circumstances we have encountered. The reasons for making each specific change are listed in the revised budget sheet. Overall, the substantive changes we are proposing involve moving about 16 per cent of the total project costs between outputs.



We hope that the Adaptation Fund will be able to approve these changes to the budget.

Best regards,



Barney Dickson  
Head of Climate Change Adaptation Unit



read output-based budget for the project: Promoting Climate Resilience in the Rusa Sector through Pilot Investments in the Aliboro Mangrove Region, Malaga				
Output	Budget in original document 2012	Budget in revised budget October 2015	Value of change	Explanation
1.1.1 Pilot Activities: Technologies and Integrated Resilient Rice to the Coastal Inhabitants of the Mangrove Region	185000	157793	-27207	-27,207 reflects actual costs of conferences and lower costs of workshops
1.2.1 Crop model are available for rice vulnerability mapping	105000	63933	-41067	reflects lower costs of consultation based on availability of 4,347 telephone numbers to be used for consultation and reduced cost of software purchase work to pre-research report
1.2.2 Upgraded climate agricultural calendars and climate early warning taking into account current and projected climate change and disaster risk assessment to be disseminated to local population	425000	121852	-303148	Reflects changes in scope of activity (reduced scope and coverage), lower cost of weather station leased in each village, assessment of soil salinity and reduced cost of computer equipment and software purchase work to pre-research report. To use of National Coordinator instead of International Coordinator
1.2.3 Agricultural extension staff trained in climate risk management and disaster risk assessment	90000	136000	46000	Increased need for implementation of national extension services due to increased need for extension in agriculture
Cross-cutting component costs	0	18000	18000	Cross-cutting component costs, such as travel, portion of PV, were included in the original budget
2.1.1 Climate resilient rice varieties selected through participatory seed testing	180000	150004	-29996	Costs reflect actual costs of conferences, which included seed field testing
2.1.2 Agricultural extension staff trained in climate risk management and disaster risk assessment	80000	20000	-60000	Reduced cost of initial materials and supplies owing to local availability through regional research center
2.1.3 Upgraded facilitation for climate resilient rice varieties selected through participatory seed testing	550000	350000	-200000	Reflects cost of initial materials and supplies owing to local availability through regional research center
2.1.4 Integrated pest management is implemented	75000	65000	-10000	Reduced cost of conferences

The cross-cutting component cost category was implemented to make the budget more logical and transparent by separating out costs that cut across individual activities/sub-projects in each component. The cross-cutting component for selection of facilitators, participation in relevant training and seminars, monitoring of activities etc. It should be noted that the total cost of salary for the NPC was increased only by \$1,000 overall (\$50,000 in the original budget, \$51,000 in the current budget).



2.1.1 Water efficiency, management and conservation measures and conservation infrastructure are implemented	575000	575000	Reduces enterprise water costs and larger scope of need for water conservation measures in the future through the region as demonstrated in baseline study.
2.2.1 Best available land preparation, cultivation and harvesting techniques determined to reduce water consumption and soil fertility and nitrogen, and to provide adequate growing conditions	375000	385000	reintegration of activities from other outputs also -385000 reduction in costs of NCS and use of national extension services. Project budget revised following inspection
2.2.2 Water-use rehabilitation in production landscapes introduced, including tree-planting, reduction of agrochemicals and adoption of agroecological practices	485000	361500	-98300 Reduced costs using the national forestry programme for supply and conservation.
2.2.3 Soil conservation and livestock management techniques adopted to improve soil fertility and crop yields in light of future climate conditions	330000	226000	-94000 Reduced costs by using VOA as existing partner also reduced scope of activity and length following baseline study
2.2.4 Rehabilitation of producers' cooperatives and water user associations for collaborative nature resources allocation (e.g. land and water) and management	100000	66240	-11375 Lower costs of material for water user association based on time needed
2.2.5 Water quality management and improved delivery of richly product especially rice straw	80000	30000	-50000 Reduced cost as a result of private commercial laboratory facilities and reduced scope of work for the consultants
2.2.6 Post-harvest storage facilities and processing equipment and packaging from ports and markets	130000	250411	-10000 Reduced cost of consultancy
			Revised strategy and increased scope of activity following baseline study proving high needs for construction and rehabilitation of post-harvest facilities



CROSS-CUTTING COMPONENT		COSTS	
2.1.1. gaps and possible solutions identified	0	325099	cross-cutting component established that regulatory, technical and administrative measures at community, national and EU level are required to improve energy efficiency in buildings etc.
2.1.1. gaps and possible solutions identified, needs to be identified and recommendations on updating project outcomes towards the policy reform are made	170000	150000	250000 Reduced cost of consultation
2.2.1. a report on final project results and lessons learned for risk adaptation in readiness	30000	5000	250000 Reduced scope of activity
2.2.2. a study for cross-cutting information on adaptation sector to be implemented	99650		None activities and outputs related upon recommendations from baseline study
2.2.2.2. cross-cutting component costs		18000	cross-cutting costs for component including travel, consultation etc.
4. Workforce and Population	112000	126597	4597 total costs of baseline study, services audits
Subproject Programme Decision cost	200000	277994	17594 increase in costs of salaries in line with current practice, market costs etc.
Total Project/Programme Cost	4488000	4795480	

[illegible]

The content of the resettling component, or component 31s, portion of National Project Coordinator (NPC) salary and travel related directly to component 3 activities (e.g., seminars, participation in relevant trainings and seminars, monitoring of activities, etc.) should be noted that the total costs of salary for the NPC has increased over by \$1,500 overall (\$90,000 in the original ProDoc, \$91,500 in the current budget).

The following cost items have been classified as execution costs: (i) Protect confidential part of cost - see above under technical component cross cutting costs; (ii) Finance assistant (fu) cost; (iii) Administrative assistant (aa) cost; (iv) Travel costs for PM/DSA, no vehicle etc. - see above; (v) Office equipment and expendables; (vi) Communication, translation and printing; (vii) Baseline study; (viii) Mid term review; (ix) Terminal evaluation; (x) audits; (xi) PSC meetings and reception meeting.





Antananarivo 22 DEC 2015

## SECRETARIAT GENERAL

BUREAU NATIONAL  
DE COORDINATION DES  
CHANGEMENTS CLIMATIQUESUNITE DE COORDINATION  
PROJET AFrice

N° 01/2015/MEEMF/SG/BNCC/UCP.-

Dear AFsec,

In my capacity as National Project Coordinator for the AF Rice project and Madagascar Designated Authority for the Adaptation Fund, I wish to clarify the following points in relation to our project's PPR for October 2013-October 2014:

The case concerns Procurement of 07bis/13 attributed to Mr Raymond RABESON based on a single source procurement bid (USD 6,000). In fact, single source procurement is allowed in Madagascar, in a case where XXX, as defined in article 25 of our national public procurement guidelines (see below). Following the question from AF, we have, together with UNEP, scrutinized the process applied in this specific case and we found that the conditions for allowing single source procurement had not been fully met. We have clarified procedures below to make sure full compliance with national guidelines and policies are assured in project procurement going forward.

## "Article 25 : Les marchés de gré à gré

I. Les marchés sont dits de gré à gré lorsque la Personne Responsable des Marchés Publics engage directement les discussions qui lui paraissent utiles et attribue ensuite le marché à un candidat pré-identifié à l'avance.

II. Il ne peut être passé de marchés de gré à gré que dans les cas suivants :

1. pour les marchés portant sur des prestations devant être tenues secrètes ;

2. pour les marchés qui, après Appel d'Offres, n'ont fait l'objet d'aucune offre ou pour lesquels il n'a été proposé que des offres irrecevables ou inacceptables au sens de l'Article 22 du présent Code, et sous réserve que les conditions initiales du marché concerné ne se trouvent pas modifiées ;



3. pour les marchés qui, après appel d'offres, ont fait l'objet d'un désistement immédiat du candidat retenu, et sous réserve que la seconde offre évaluée la moins-disante puisse être acceptée;

4. pour les marchés pour lesquels l'urgence impérieuse résultant de circonstances imprévisibles pour l'Autorité Contractante n'est pas compatible avec les délais exigés par les procédures d'Appel d'Offres, et notamment lorsqu'ils agissent de faire exécuter des prestations en lieu et place d'un prestataire défaillant ou encore lorsqu'il est question de faire face à des situations d'urgence impérieuse relevant d'une catastrophe naturelle ou technologique ;

5. pour les marchés destinés à répondre à des besoins qui, pour des raisons tenant à la détention d'un droit d'exclusivité, ne peuvent être satisfaits que par un prestataire déterminé ;

6. pour les prestations dont, en raison de considérations économiques ou sociales, l'exécution peut être confiée à une entité agréée, à condition que le montant estimé de ces prestations soit inférieur à un seuil fixé par voie réglementaire ;

7. pour des prestations qui complètent celles ayant précédemment fait l'objet d'un premier marché exécutées par le même titulaire ; le recours aux marchés complémentaires n'est possible qu'à la condition que le marché initial ait été passé selon la procédure d'Appel d'Offres et pour des prestations qui ne figurent pas dans le marché initialement conclu mais qui sont devenues nécessaires, à la suite d'une circonstance imprévue et extérieure aux parties, à la bonne exécution des prestations et qu'elles ne peuvent être techniquement ou économiquement séparées du marché principal. Le montant cumulé des marchés complémentaires ne doit pas dépasser un tiers du montant du marché principal, avenants compris.

III. La passation d'un marché de gré à gré donne lieu à l'élaboration par la Personne Responsable des Marchés Publics d'un rapport justificatif transmis sans délai à l'Autorité de Régulation des Marchés Publics."

Material change. The project has undergone a number of budget revisions since project inception, the latest one in September 2015. The budget revisions have been discussed and agreed with UNEP as implementing entity of our project. They are also fully endorsed by me in my capacity of AF Designated Authority for Madagascar and National Project Coordinator for the AFRice project. Budget revisions are also discussed and endorsed by the Project Steering Committee on an ongoing basis to ensure that project activities remain fully consistent with national, regional and sectoral priorities. We attach, as requested a comparison sheet of budget changes on an output level.

We look forward to the AF board final approval of the PPR.



RAZANAMI HARISOA Jane



**Annex 8: Decision B.27-28/11 and supporting documents**





## ADAPTATION FUND

11 May 2016

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Adaptation Fund Board***Request for budget revision: United Nations Environment Programme (Tanzania)***

*Following the recommendation of the secretariat after its review of the request for budget revision submitted by the United Nations Environment Programme (UNEP) for the project "Implementation of Concrete Adaptation Measures to Reduce Vulnerability of Livelihoods and Economy of Coastal Communities of Tanzania" contained in document AFB.B.27-28/1, the Adaptation Fund Board decides to:*

*Approve the revised budget for the project "Implementation of Concrete Adaptation Measures to Reduce Vulnerability of Livelihoods and Economy of Coastal Communities of Tanzania", as requested by the United Nations Environment Programme (UNEP).*

***Decision B.27-28/11***





ADAPTATION FUND

AFB/B.27-28/1  
27 April 2016

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Adaptation Fund Board

**REQUEST FOR PROJECT BUDGET REVISION:  
UNEP (TANZANIA)**



AFB/B.27-28/1

## Background

1. The Adaptation Fund Board (the Board) at its sixteenth meeting, approved the project "Implementation of Concrete Adaptation Measures to Reduce Vulnerability of Livelihoods and Economy of Coastal Communities of Tanzania" proposed by the United Nations Environment Programme (UNEP) in Tanzania (decision B.16/19). As mandated by the decision, an agreement was prepared and signed between the Board and UNEP. Following the Fund's standard legal agreement template the agreement states:

*4.03. Any material change made in the original budget allocation for the Project by UNEP, in consultation with the Executing Entity, shall be communicated to the Board for its approval. "Material change" shall mean any change that involves ten per cent (10%) or more of the total budget.*

2. UNEP submitted to the Board, on 14 March 2016, through the secretariat, a request for budget revision. According to that request, its background is "a change in the cost estimates for infrastructure work (sea walls in Ocean road and Kigamboni and drainage in Dar es Salaam). The project partnered with [United Nations Office for Project Services] in early 2015 to deliver these critical components of the project, drawing on their great technical expertise and ability to facilitate an efficient procurement process. As part of this partnership UNOPS undertook a detailed feasibility study that was completed in early 2016, including [Bill of Quantities] and revised cost estimates for all infrastructure elements."

3. The request is further explained: "This feasibility study and updated cost estimate revealed two things: 1. A potential cost saving of around \$700,000 on the sea wall components and 2. The restoration work (clearing/restoration) initially planned for drainage infrastructure was severely underestimated in the original budget. The project had initially intended to work in 5 specific sites (not defined in [project document]). However, rather than the simple renovation initially anticipated the feasibility study revealed that significant structural work would be needed to effectively improve capacity of the drains in response to future climate change. The combined estimated costs of fully climate proofing the 5 drains were in excess of \$4,000,000. Following discussions with UNOPS two of the five sites have been identified that could achieve a meaningful intervention for around \$900,000 (i.e. the original \$200,000 + the \$700,000 liberated from the sea walls). The above, however, would imply a move of \$700,000 from output 1.1 to output 1.2."

4. The letter containing the request mentions that the proposed strategy has been discussed and agreed among the key stakeholders including UNEP (the implementing entity), Vice President's Office (the executing entity and organization hosting the Designated Authority) and UNOPS (partner in the project). Therefore, the change is in line with the requirement for consultation contained in paragraph 4.03. of the project agreement. Further, the strategy was endorsed by the Project Steering Committee during their meeting on March 11, 2016.

5. The secretariat conducted a review of the request, including the revised budget, the revised results framework, and other supporting documents. In the process requested UNEP was asked to provide additional information, and UNEP also revised some of the initially submitted documents for further clarity.

6. The request was complemented by the following documents:



AFB/B.27-28/1

- a) Letter of endorsement by the Designated Authority for Tanzania;
- b) Revised budget;
- c) Revised results framework;
- d) Baseline assessment;
- e) Response sheet prepared by UNEP following the initial review;
- f) Feasibility study on drainage systems;
- g) Feasibility study on sea walls; and
- h) Project cost estimates, design drawings and Bills of Quantities.

#### Secretariat's review of the revised project document

7. The revised budget has the same total amount as the one originally approved through decision B.16/19. The changes are only related to allocation of funds among outputs (budget) and the activities undertaken towards those outputs. The changes are summarized in Table 1 below.

	Original	Revised	Difference
Output 1.1	3,337,500	2,553,000	-784,500
Output 1.2	200,000	900,000	700,000
Output 1.3*	0	87,590	87,590
Output 2.1	76,500	72,500	-4,000
Output 2.2	145,000	147,100	2,100
Output 2.3	67,500	57,500	-10,000
Output 3.1	30,000	19,975	-10,025
Output 3.2	90,000	93,667	3,667
Output 3.3	15,000	10,000	-5,000
Output 3.4	90,000	99,875	9,875
Output 3.5	190,000	166,990	-23,010
Execution	374,688	407,991	33,303
M&E	104,688	104,491	-197
Other exec.	270,000	303,500	33,500
<b>Total</b>	<b>4,616,188</b>	<b>4,616,188</b>	<b>0</b>

Table 1: Comparison of original and revised budget (in US\$).  
Output 1.3 (environmental and feasibility studies) was not present in the original budget.

8. The main proposed changes between the original and the revised budget have taken place between outputs 1.1 (Sea walls raised or rehabilitated) and 1.2 (storm and flood drainage systems), with smaller changes to other outputs. As explained in the request letter, the proposed change in Output 1.1 from US\$ 3,337,500 to US\$ 2,553,000 relates to the cost saving of \$784,500 on the sea wall components.



AFB/B.27-28/1

9. The change in Output 1.2 from US\$ 200,000 to US\$ 900,000 mostly corresponds, according to the request letter, to the significant structural work for drainage infrastructure that is needed in addition to clearing and restoration and that was "severely underestimated" at the project proposal stage work (clearing/restoration) initially planned for drainage infrastructure was severely underestimated in the original budget. A small part of this change was allocated to an output that was not included in the original budget, on environmental and feasibility studies. Execution costs have been increased from US\$ 374,688 to US\$ 407,991, which is still below the cap of 9.5 per cent set by the Board through decision B.13/17.

10. The secretariat's review finds that in light of the baseline assessment, the feasibility studies and cost-related information provided, the conclusion can be supported that for the overall goal of reducing coastal flooding, further investment in drainage infrastructure and restoration is justified, and the budget revision can be supported.

### Recommendation

11. The secretariat finds that UNEP has provided adequate reasoning for the changes made in the project budget.

12. Therefore the Board may consider and decide to: approve the revised budget for the project "Implementation of Concrete Adaptation Measures to Reduce Vulnerability of Livelihoods and Economy of Coastal Communities of Tanzania", as requested by the United Nations Environment Programme (UNEP).

### Annexes:

1. The request to the Board to approve the revised project budget, dated 29 February 2016, submitted by UNEP through the secretariat.
2. Letter of endorsement by the Designated Authority for Tanzania.
3. Revised budget;
4. Revised results framework;
5. Baseline assessment;
6. Response sheet prepared by UNEP following the initial review;
7. Feasibility study on drainage systems<sup>1</sup>;
8. Feasibility study on sea walls<sup>2</sup>; and
9. Project cost estimates, design drawings and Bills of Quantities<sup>3</sup>.

<sup>1</sup> Available via web link contained in the response sheet (Annex 6) or by request from the secretariat.

<sup>2</sup> Idem.

<sup>3</sup> Idem.





# UNITED NATIONS ENVIRONMENT PROGRAMME

Programme des Nations Unies pour l'environnement    Programa de las Naciones Unidas para el Medio Ambiente  
 Программа Организации Объединенных Наций по окружающей среде    برنامج الأمم المتحدة للبيئة  
 联合国环境规划署



29<sup>th</sup> February 2016

Adaptation Fund Secretariat  
 1818 H Street, NW  
 MSN P-4-400  
 Washington, DC 20433  
 USA

Dear Adaptation Fund Secretariat,

## **Implementation of concrete adaptation measures to reduce vulnerability of livelihoods and economy of coastal communities of Tanzania**

As the Implementing Entity for the above project, UNEP would like to formally request an amendment to the budget of this project. In support of this request, we are submitting:

- Comparison sheet of originally approved budget and newly proposed budget at output level.
- Letter from AF DA in Tanzania, Ms Angelina Madete, endorsing the proposed budget change.

The background for the request is a change in the cost estimates for infrastructure work (sea walls in Ocean road and Kigamboni and drainage in Dar es Salaam). The project partnered with UNOPS in early 2015 to deliver these critical components of the project, drawing on their great technical expertise and ability to facilitate an efficient procurement process. As part of this partnership UNOPS undertook a detailed feasibility study that was completed in early 2016, including BoQ and revised cost estimates for all infrastructure elements.

This feasibility study and updated cost estimate revealed two things: 1. A potential cost saving of around \$700,000 on the sea wall components and 2. The restoration work (clearing/restoration) initially planned for drainage infrastructure was severely underestimated in the original budget. The project had initially intended to work in 5 specific sites (not defined in ProDoc). However, rather than the simple renovation initially anticipated the feasibility study revealed that significant structural work would be needed to effectively improve capacity of the drains in response to future climate change. The combined estimated costs of fully climate proofing the 5 drains were in excess of \$4,000,000. Following discussions with UNOPS two of the five sites have been identified that could achieve a meaningful intervention for around \$900,000 (i.e. the original \$200,000 + the \$700,000 liberated from the sea walls).





# UNITED NATIONS ENVIRONMENT PROGRAMME

Programme des Nations Unies pour l'environnement    Programa de las Naciones Unidas para el Medio Ambiente  
 Программа Организации Объединенных Наций по окружающей среде    برنامج الأمم المتحدة للبيئة  
 联合国环境规划署



The above, however, would imply a move of \$700,000 from output 1.1 to output 1.2.

The strategy proposed has been discussed and agreed among all key stakeholders (UNEP, Vice President's Office and UNOPS) and was endorsed by the Project Steering Committee during their meeting on March 11, 2016.

As reported in the PPR in January, the project has experienced a slow start, primarily due to the low procurement capacity of the executing entity, the Vice President's Office. This was confirmed as the lead cause of delays in the recently completed independent mid-term review. With the partnership with UNOPS we have now managed to move ahead. It is also the case that, after the long delays, the political pressure in Tanzania is considerable. In early February, the Minister gave a unilateral deadline of April to get 'shovels in the ground'. This has provided positive momentum for the project.

In this context, we would therefore kindly request that the Adaptation Fund Board to consider and approve these changes to the budget. This will enable us to avoid further delay to the construction work.

Best regards,

Barney Dickson  
 Head of Climate Change Adaptation Unit



THE UNITED REPUBLIC OF TANZANIA

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In reply please quote:  
Ref No: AB.294/305/01



VICE-PRESIDENT'S OFFICE,  
6 Albert Luthuli Street  
P. O. BOX 5380,  
11406 DAR- ES- SALAAM,

1<sup>st</sup> March 2016

Adaptation Fund Board Secretariat,  
1818 H Street, NW,  
MSN P4-400,  
Washington, DC 20433,  
USA.

Fax: 202 522 -3240/3245  
Email: [secretariat@adapation-fund.org](mailto:secretariat@adapation-fund.org)

**Re: Budget revision of the Climate Change Adaptation Project  
in the United Republic of Tanzania**

Kindly refer to the subject.

As you are aware, the United Republic of Tanzania (URT) is implementing the project entitled "***Implementation of Concrete Adaptation Measures to Reduce Vulnerability of Livelihoods and Economy of Coastal Communities of Tanzania***". I wish to inform you that the project has undergone a number of budget revisions since project inception, and we are now proposing a new one that will go above the 10 per cent limit by output set out in the project agreement with the Adaptation Fund Board.

The budget revision has been discussed and agreed with UNEP as the Implementing Entity of our project and will be presented to the Project Steering Committee this month. The budget revision is also fully endorsed by me in my capacity as the Adaptation Fund Designated Authority (DA) for URT as well as the Project Management Team. We attach, for your information a comparison sheet of budget

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All correspondences should be addressed to the **Permanent Secretary**



changes on an output level. We look forward to your swift approval of this request.

We thank you for the continue support and cooperation.

  
Eng. Ngosi C.X. Mwiha  
**For: PERMANENT SECRETARY**

**Copy:** Director  
Division of Environmental Policy Implementation  
United Nations Environment Programme  
P.O.Box 30552  
**Nairobi, Kenya.**



## Annex 3: Revised budget

Project title:

Project Implementation of Concrete Adaptation Measures to Reduce Vulnerability of Livelihoods and Economy of Coastal Communities of Tanzania

Project number: AFB-5060-1111-2G48

Project executing partner: Vice President's Office

Implementing entity: UNEP

Project implementation period:

From

To

31-Oct-17

PROJECT COMPONENTS	EXPECTED CONCRETE OUTPUTS AND TARGETS	BUDGET IN PROJECT DOCUMENT 2012 (US\$)	OUTPUT AS FORMULATED THROUGH BASELINE STUDY	BUDGET IN REVISED BUDGET FEBRUARY 2016 (US\$)	VALUE OF CHANGE (US\$)	CHANGE (%)	EXPLANATION
Component 1 - Addressing climate change impacts on key infrastructure and settlements							
	Sea wall raised, rehabilitated and constructed along 1.335 km in areas showing particular damage in Dar es Salaam city center and in Kigamboni area	3,337,500.00	Seawall raised, rehabilitated, constructed in areas showing particular damage.	2,553,000.00	- 784,500.00	-23.51%	Cost savings to reflect the actual estimates after feasibility study. The feasibility study and BoQ completed in early 2016 showed USD 1,898,424 for contract works implying cost saving of about USD 784,500 for full achievement of rehabilitation of sea walls along ocean road (currently known as Obama road) and Kigamboni. The target has not been effected (now its 1,400km from 1.335km). Out of the budget, USD 654,576 (25.64%) will be used for geo technical and topographical surveys, engineering, construction supervision, operations costs, direct and indirect support costs.
	A 50% reduction in the number of urban flooding events in Dar es Salaam city center during severe rainfall and storms through the rehabilitation of drainage systems	200,000.00	Effective storm and flood drainage systems in urban areas and near coastal communities	900,000.00	700,000.00	350.00%	Costs increased (more than 10%) to reflect the actual estimates as per the feasibility study and preliminary designs. The original budget of USD 200,000 (22.22%) can support only geo technical and topographical surveys, engineering, construction supervision operations costs, direct and indirect support costs. The additional funds of USD 700,000 have been obtained from savings on the seawall budget (see above), but even this will not be enough. Instead of 'cleaning/rehabilitation' predicted in the ProDoc, much more comprehensive reconstruction will be needed to make a meaningful impact on the drainage system in all five sites identified in the inception phase of the project (not the ProDoc). Total cost estimates in the feasibility study even for the four drainages sites is USD 4,298,076. The new budget will therefore focus on rehabilitation/construction in two sites of Ubungoni and Mtoni drainages to make meaningful impact.
	EIA and feasibility study	-		87,589.57	87,589.57	100.00%	EIA study is important for seawalls and drainage systems as per national law and project (ProDoc page 39) requirements. Its cost is US\$ 28,516. Feasibility study of seawall spent also US\$ 36,482 from this budget. US\$ 22,589.57 was necessary to be set to support procurement processes of the project. There was no budget in the original budget to support these important activities. 96.47% of this cost is from seawall saved costs.
Sub total		3,537,500.00		3,540,589.57	3,089.57	0.09%	Overall change/increase of this component is 0.09%
Component 2 - Ecosystem Based Integrated Coastal Area Management (EBICAM)							



	40 ha of mangroves rehabilitated through planting of resilient seedlings, dredging and the creation of no-take buffer zones.	35,000.00	Mangrove rehabilitation through planting of resilient seedlings, dredging and the creation of no-take buffer zones.	57,100.00	22,100.00	63.14%	Costs reflect the actual expenditure as per the contracts: Sub contract NGO for rehabilitation (US\$ 32,500), mangrove specialist (US\$ 15,500), training on sustainable mangrove management (US\$ 9,000). Target not affected.
	Appropriate alternative energy (efficient cookstoves, small solar) technology transferred to 3,000 households in support of sustainable mangrove regeneration including through training	75,500.00	Appropriate alternative energy (efficient cook stoves, small solar) technology transferred for avoided deforestation including through training	72,500.00	- 4,000.00	- 5.23%	Costs saving reflect the actual expenditure as per the contracts: Rural energy consultant (US\$ 20,000), Community training of renewable energy and energy efficiency (US\$ 10,000); Purchase not less than 1,300 cookstoves (US\$ 42,500). Targets not affected.
	2000 m2 of coral reef rehabilitation and protection in coastal sites, leading to a 75% annual growth rate in coverage and health	110,000.00	Coral reef rehabilitation and protection in coastal sites.	80,000.00	- 20,000.00	- 18.18%	Costs saving reflect the actual expenditure as per the contracts: Reef specialist (US\$ 21,000), sub-contract NGO reef rehabilitation (US\$ 64,000), community training on coastal systems (US\$ 5,000). Targets not affected.
	Shoreline stabilized and reforested along the shore (1500m in 20m wide bands) using indigenous resilient trees and grasses	67,500.00	Shoreline stabilization and rehabilitation using trees and grasses	57,500.00	- 10,000.00	- 14.81%	Costs saving reflect the actual expenditure as per the contracts: Coastal rehabilitation specialist (US\$ 20,000), seedlings (US\$ 5,000), labor costs for stabilization (US\$ 22,500). Targets not affected.
<b>Sub total</b>		<b>289,000.00</b>		<b>277,100.00</b>	<b>- 11,900.00</b>	<b>- 4.12%</b>	<b>Overall change/decrease of the component is 4.12% reflecting saving of 4.12% of the original budget.</b>



Component 3 - Knowledge, coastal monitoring and policy linkages							
Available knowledge, science and data on coastal vulnerability gathered	30,000.00	Performance of a baseline study based on coastal vulnerability	15,975.00	-	10,025.00	-33.42%	Reduced costs to reflect cost savings and real expenditures as per the contract of the consultancy services. The target of the output is not affected.
One operational Climate Change Observatory for Tanzania (CCOT) for ongoing monitoring of CDM and Coastal environmental status and scientific research	90,000.00	Create and operate a climate change observatory for Tanzania for ongoing monitoring of CDM and coastal environmental status and scientific research	93,666.78	3,666.78	4.07%	Costs reflect the actual expenditure as per the contracts: Coastal zone management specialist contract (US\$ 43,000), CCOT meetings (US\$ 24,000), anticipated costs met by the project (US\$ 4,356.78), communication costs that were not budgeted (US\$ 19,710).	
Economically viable, cost effective and technically feasible adaptation measures identified for replication and upscaling (i.e. through undertaking cost-benefit analyses)	15,000.00	Assessment of the economic viability and practical feasibility of adaptation measures (i.e. through undertaking cost-benefit analyses)	10,000.00	-	5,000.00	-33.33%	Costs saving to reflect actual costs.
Policy briefing, awareness raising and technical capacity building for policymakers and district-level planners based on project outputs, lessons and challenges, including increased capacity to manage and maintain resilient infrastructure	90,000.00	District level administration have the capacity to adequately manage rehabilitated Infrastructure	90,875.02	8,875.02	10.97%	Costs reflect the actual expenditure: Inception workshop was necessary but there was no original budget (US\$ 8,324.64), climate change knowledge specialist contract (US\$ 30,000), training on ecosystems (US\$ 5,000), training on financial and budgeting (US\$ 8,026.95), briefing workshops (US\$ 25,553.29), purchase of computers and software (US\$ 13,970.14).	
One Ecosystem Based Integrated Area Management (EBICAM) plan for the coastal region approved	190,000.00	One EBICAM Action Plan for the coastal region is approved	166,989.88	-	23,010.12	-12.11%	Costs adjusted to reflect the actual costs and expenditure: international senior technical adviser contracts (US\$ 97,561.5), stakeholder consultations (US\$ 55,756.76), validation workshop on the plan (US\$ 13,671.62), international senior technical adviser/coastal zone adaptation specialist (STA) fee is calculated 550USD per day for 75days per year. For synergy the project will contribute 66% to STA fee while the LDCF project will contribute 34%.
Sub total	415,000.00		390,506.68	-	24,493.32	-5.90%	Overall change/decrease of the component is 5.90% reflecting saving of 5.90% of the original budget.
Monitoring and evaluation		Auditing, mid term evaluation, final evaluation, travel to sites, bank charges, steering and technical committee meetings undertaken	104,688.00		104,491.21	-0.19%	The change/decrease is 0.19% reflecting saving of 0.19% of the original budget.
Sub total	104,688.00		104,491.21	-	196.79	-0.19%	Overall change/decrease is 0.19% reflecting saving of 0.19% of the original budget.
Project/Programme Execution cost		Facilitating Project coordinator, financial and administrative assistant, driver, purchase office equipment and expendables, vehicle and its maintenance	270,000.00		303,500.34	12.41%	Costs slightly adjusted to reflect real expenditure and situation. USD 2500 increase to top allowance salary of the project coordinator calculated at 17days per month at the rate of 125USD per day. USD 3,080 increased to the administrative and financial assistant top allowance calculated at 30 USD/day for 15days/month. The allowance of the project vehicle driver of USD 400/month is necessary but was not budgeted. Slightly cost increase of USD6,000 as additional cost of car purchasing costs to reflect the real expenditure.
Sub total	270,000.00		303,500.34		33,500.34	12.41%	Overall change/increase is 12.41%. The total amount is equivalent to 6.57% of the project budget before MIE fee.
Total Project/Programme Cost	4,616,188.00		4,616,188			0.00%	No change



Project Cycle Management Fee charged by the Implementing Entity 8.5% of total project cost.		392,375.00		392,375.00		No change
Amount of Financing Requested		5,005,564		5,005,564		Overall no change



## Annex 4: Revised results framework

## REVISED RESULTS FRAMEWORKS

## ■ PROJECT/PROGRAMME INFORMATION

PROJECT/PROGRAMME CATEGORY: REGULAR PROJECT  
 COUNTRY/IES: UNITED REPUBLIC OF TANZANIA  
 TITLE OF PROJECT/PROGRAMME: IMPLEMENTATION OF CONCRETE ADAPTATION MEASURES TO REDUCE VULNERABILITY OF LIVELIHOOD AND ECONOMY OF COASTAL COMMUNITIES IN TANZANIA

TYPE OF IMPLEMENTING ENTITY: MIE  
 IMPLEMENTING ENTITY: UNEP  
 EXECUTING ENTITY/IES: VICE PRESIDENT'S OFFICE (DIVISION OF ENVIRONMENT)

	Activities	Output	Indicator	Baseline	Target <sup>1</sup>	Source of verification
<b>Component 1: Addressing climate change impacts on key infrastructure and settlements</b>  <b>Outcome 1: Averse impacts of sea level rise and floods on coastal infrastructure and settlements reduced</b>	Rehabilitate coastal protection facilities to protect settlements economic and cultural infrastructure	Seawall raised, rehabilitated, constructed in areas showing particular damage.	Length of seawalls upgraded to manage the effects of climate change	Dar es salaam seawall (2.6km) showing signs of severe degradation at Ocean Road and Kingomboni	<b>Original</b> 1335 linear meters of seawall rehabilitated along the Ocean Road (Kivukoni-Upanga East) and Kigamboni  <b>Proposal in baseline study</b>  By project end-point: 145 meters of seawall upgraded along Kigamboni seawall 221 meters of seawall constructed in	<ul style="list-style-type: none"> <li>• Engineering reports</li> <li>• Physical assessments (including photographs and GPS coordinates)</li> </ul>

<sup>1</sup> New targets are for only seawalls (at 50yrs design life) and drainages. Other targets remain the same as communicated to the AFSec in February 2015. The Project Steering Committee endorsed the new targets on 11<sup>th</sup> March 2016.



	Activities	Output	Indicator	Baseline	Target <sup>1</sup>	Source of verification
					Kigamboni 800 meters of seawall upgraded along Ocean Road 500 meters constructed along Ocean Road <b><u>Final revised proposal for approval by PSC and AF</u></b> 1400 linear meters of seawall rehabilitated and constructed along the Ocean Road/ <b><i>now known as Obama road</i></b> (950m) and Kigamboni (450m).	
	Clean drainage channels and rehabilitate storm water drains in Dar es Salaam	Effective storm and flood drainage systems in urban areas and near coastal communities	Xm increase along X m of drainage channels and X m of stormwater drains.	X <sup>2</sup> m	<b><u>Original</u></b> a 50% reduction in the number of flooding events during rainy season in targeted sites. <b><u>Proposal in baseline study</u></b> By project end-point, at least 5 (Xm <sup>3</sup> ) sites of drainage channels	<ul style="list-style-type: none"> <li>Engineering assessments following methodology of feasibility assessment</li> </ul>

<sup>2</sup> The feasibility study will establish the actual volume

<sup>3</sup> The actual number will be established by the feasibility study



	Activities	Output	Indicator	Baseline	Target <sup>1</sup>	Source of verification
					<p>cleaned and rehabilitated.</p> <p><b>Sites: Kinondoni Municipality:</b> i) Tandale street in Tandale ward; and ii) Kawe street in Kawe ward.</p> <p><b>Ilala Municipality:</b> i) Bungoni Street in Buguruni ward.</p> <p><b>Temeke Municipality:</b> Miburani-Mtoni Bustani streets in Mtoni ward; and ii) Butiama Street (Butiama drainage) in Kijichi ward.</p> <p><b><u>Final revised proposal for approval by PSC and AF</u></b></p> <p>By project end-point, at least 2300m (40%: construction, 60%: rehabilitation/upgrading) of drainage channels cleaned and rehabilitated.</p> <p><b>Sites:</b> <b>Ilala Municipality:</b> Bungoni Street in Buguruni ward (1050m) <b>Temeke Municipality:</b> Miburani-Mtoni Bustani streets in Mtoni ward (1250m).</p>	



	Activities	Output	Indicator	Baseline	Target <sup>1</sup>	Source of verification
<b>Component 2: Ecosystem-Based Integrated Coastal Area Management (EBICAM)</b>  <b>Outcome 2: Coastal ecosystems are rehabilitated and ICAM is implemented</b>	Rehabilitate coastal ecosystems for climate resilience through the implementation of a GreenJobs program	Appropriate alternative energy (efficient cook stoves, small solar) technology transferred for avoided deforestation including through training	Number of households receiving: i) efficient cookstoves; and ii) training on optimal use and maintenance of these stoves (disaggregated by age and gender).	No baseline data	<u><b>Original</b></u> 1500 households with access to alternative and/or efficient energy sources (disaggregated by gender).  <u><b>Proposal in baseline study</b></u> By project end-point, at least 1,500 households  <u><b>Final revised proposal for approval by PSC and AF</b></u> By project end-point, at least 1,500 households from Ilala, Kinondoni and Temeke Municipal Councils	<ul style="list-style-type: none"> <li>Project implementation reports</li> <li>Registers of families that have received cookstoves</li> </ul>
		Mangrove rehabilitation through planting of resilient seedlings, dredging and the creation of no-take buffer zones	Area of mangroves rehabilitated	There are approximately 2,000 ha of mangroves in Dar es Salaam surroundings	<u><b>Original</b></u> Mangrove rehabilitation underway in a total area of 40 ha.  <u><b>Final revised proposal for approval by PSC and AF (as presented in baseline study)</b></u> By project end-point, 40 ha of mangrove rehabilitated in one or	<ul style="list-style-type: none"> <li>Project implementation reports</li> <li>GPS data collection at project sites</li> </ul>



	Activities	Output	Indicator	Baseline	Target <sup>1</sup>	Source of verification
		Coral reef rehabilitation and protection in coastal sites	Area of reef under rehabilitation	No baseline data	<p>more of the following areas: Salender Bridge, Kunduchi, Mbweni and Ununio.</p> <p><b>Original</b> 2000m<sup>2</sup> (0.2 ha)</p> <p><b>Proposal in baseline study</b> By project end-point, X m<sup>2</sup> under rehabilitation.<sup>4</sup></p> <p><b>Current target pending input from reef specialist</b> 2000m<sup>2</sup> (0.2 ha)</p>	<ul style="list-style-type: none"> <li>• Data collection at project sites</li> <li>• (GPS points and polygons digitised in a GIS to determine the areas in which rehabilitation has been conducted).</li> </ul>
		Shoreline stabilisation and rehabilitation using trees and grasses	Area of coastal vegetation rehabilitated by the AF project using species that are good at stabilising sandy soils.	Rate of coastal erosion estimated between 3 and 8m per year according to recent site specific surveys	<p><b>Original</b> 1500m (20m wide)</p> <p><b>Proposal in baseline study</b> By project end-point, at least 56,430 m<sup>2</sup> of coastal vegetation rehabilitated using three or more fast-growing plant species.</p>	<ul style="list-style-type: none"> <li>• Project implementation reports</li> <li>• Data collection at project sites</li> <li>• (GPS points and polygons digitised in a GIS to determine the areas in which rehabilitation has been conducted). Project implementation</li> </ul>

<sup>4</sup> The coral reef specialist will determine this rate



	Activities	Output	Indicator	Baseline	Target <sup>1</sup>	Source of verification
					<p><b><u>Final revised proposal for approval by PSC and AF</u></b></p> <p>By project end-point, at least 56,430 m<sup>2</sup> of coastal vegetation rehabilitated using indigenous resilient trees and grasses</p>	<p>reports</p> <ul style="list-style-type: none"> <li>• Data collection at project sites</li> </ul>
		N/A	Survivorship of plants and coral in areas that are rehabilitated	N/A	<p><b><u>Original</u></b></p> <p>NIL</p> <p><b><u>New proposal based on baseline study for approval by PSC and AF</u></b></p> <p>Annually, at least<sup>5</sup>:</p> <ul style="list-style-type: none"> <li>• 65% survivorship of mangrove species.</li> </ul>	<ul style="list-style-type: none"> <li>• See data collection protocols</li> <li>• Monitoring of this indicator should be coordinated by experts but conducted by coastal communities at intervention sites.</li> </ul>











	Activities	Output	Indicator	Baseline	Target <sup>1</sup>	Source of verification
		District level administration have the capacity to adequately manage rehabilitated infrastructure	Number of reports developed through the AF project on required district budget allocations to maintain infrastructure for adaptation to climate change.	0	<p><b>Original</b></p> <p>Dar es Salaam Municipal Councils earmarks appropriate annual allocations for infrastructure maintenance</p> <p><b><u>Final revised proposal for approval by PSC and AF (as presented in baseline study)</u></b></p> <p>By the end of the third year, 1 report.</p>	Project implementation reports. Report on budget recommendations.
	Development of EBICAM Action Plan	One EBICAM Action Plan for the coastal region is approved	Number of plans approved	No plan exists as yet but ICZM capacity exists	<p><b>Original</b></p> <p>One plan approved by end of project.</p> <p><b><u>Final revised proposal for approval by PSC and AF (as presented in baseline study)</u></b></p> <p>By project end-point, 1 plan.</p>	project reports, plans and policies



Annex 6: Response sheet prepared by UNEP

### Response to AF queries regarding request for budget revision

#### Implementation of Concrete Adaptation Measures to Reduce Vulnerability of Livelihoods and Economy of Coastal Communities of Tanzania

*Comment 1:* According to the explanation in your letter, the main proposed change, shift of funds within the project budget from Output 1.1 (sea wall) to Output 1.2 (drainage infrastructure) is proposed based on a detailed feasibility study that has been carried out by UNOPS and completed in early 2016. As the shift in budget is significant, we would request you to kindly share the feasibility study (including BoQ and revised cost estimates for all infrastructure elements) with us, in order to help us better understand the proposed changes. **Response: All documents can be downloaded from this link: [https://www.dropbox.com/sh/kzxny6udmd98sdn/AACYTyYgygbYoP-jA\\_rkxR9Wa?dl=0](https://www.dropbox.com/sh/kzxny6udmd98sdn/AACYTyYgygbYoP-jA_rkxR9Wa?dl=0). Folder names should be self-explanatory. For a simple overview of final cost estimates kindly refer to the document 'Project Cost Estimate - Summary AF & LCDF.pdf' in the folder 'final cost estimates'.**

2. The Excel file referred to above ("Copy of Output-based budget Comparison\_Tanzania\_FINAL,rev.2.xls") compares the proposed revised budget to what is called "Budget in project document 2012". The budget figures contained in that 2012 budget appear not to have been shared with us previously, and therefore do not constitute a valid point of comparison for the currently proposed changes. The current proposed changes should be presented in comparison to the budget that was approved by the Adaptation Fund Board in December 2011 and contained in the project agreement between the Board and UNEP. **Response: This has been corrected. It was a mistake. See the revised file namely "Copy of Output-based budget Comparison\_Tanzania\_FINAL (As of 31 March 2016).**

3. According to the aforementioned Excel budget comparison, the execution costs of the project based on "Budget in project document 2012" would have been US\$ 514,688, and that now those would be proposed to be increased to US\$ 529,680. Kindly note that the Adaptation Fund Board had, in its thirteenth meeting in March 2011 (Decision B.13/17), set a cap for execution costs at 9.5 per cent of the project budget (before the Implementing Entity Fee), of which UNEP was aware during the time of proposal development. The execution costs contained in the approved project document (including both items 5a and 5b in Section 3 "Project/Programme Components and Financing") were, at US\$ 374,688, already at that maximum level. Therefore, an increase above the level of execution costs included in the project agreement is not possible in line with Board decision B.13/17. **Response: There was an error that caused a confusion of the figures. This has been corrected (see the**



*revised file). In our estimation execution costs are 6.5% of the project budget before MIE fee. The original execution costs are now correctly noted at \$270,000, which is the figure found throughout the ProDoc (table page 19, table page 59 and annex 1: budget). We did not find any reference in the ProDoc to the \$374,688 mentioned.*

4. In addition to the main budget change referred to in 1 above, some of the changes in the results framework would need to be explained in further detail than was the case in the documentation submitted:

a. Output 2.1: Please clarify what the substantial change in the output has been between the originally approved and the suggested revised version.

***Response: No substantial change, just a specification of sites for intervention to increase 'specificity' of indicator (S in the SMART criteria). Still a total area of 40ha of mangrove will be rehabilitated. See the Revised Results Framework. For alternative energy, not less than 1,500 households will be provided with cookstoves as indicated in ProDoc (pages 25 and 63). There was a confusion in page 19 of the ProDoc.***

b. Output 2.2b: It seems there is a plan to revise the target for coral reef rehabilitation and protection but this has not been done yet. If the revised targets are available, they should be provided. If they are not, the changes cannot be approved at this point (without full information). ***Response: The target is 2,000m<sup>2</sup> (0.2ha) as it was in the project document. See the attached Revised Results Framework. The target may need to be revised later in response to reef expert input, but no major changes to scale of works are expected at this point. If needed, we will seek the approval from AFB of any changes to the target.***

c. Output 2.3: The revised target for shoreline rehabilitation now omits original reference to "indigenous resilient trees and grasses", and instead includes a reference to "fast-growing plant species". Kindly clarify whether the "fast-growing plant species" would include exotic species and if yes, whether there are invasiveness risks involved and if yes, how those risks would be managed. ***Response: This was an oversight. It has been corrected in the Revised Results Framework.***

d. Output 3.5: The original target was to develop the plan for the coastal region, becoming a "supplementary tool for the Tanzania Coastal Zone Management Policy", which was understood to be a plan at a higher geographic level than just Dar es Salaam. Please clarify why the plan has been downscaled to focus on the Dar es Salaam region only. ***Response: It was wrongly presented and was also inconsistent with the baseline study recommendation. A plan for coastal region as indicated in ProDoc***



*will be approved at the end of the project. It has been corrected in the Revised Results Framework.*