



ADAPTATION FUND

AFB/B.33/5  
25 February 2019

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Adaptation Fund Board  
Thirty-second meeting  
Bonn, Germany, 12-15 March 2019

Agenda item 10a)

## **ARRANGEMENTS FOR MONITORING AND REPORTING CRITERIA FOR LEARNING GRANTS**

## Introduction

1. At its thirtieth meeting, the Board adopted the medium-term strategy (MTS) for the Fund through decision B.30/42. The MTS places emphasis on the quality of concrete activities and long-term capacity strengthening for effective adaptation. The MTS is expected to be implemented under three strategic foci: Action; Innovation; and Learning and Sharing. As outlined in document AFB/B.31/5/Rev.1, the strategic focus on Learning and Sharing, consists of an objective, expected results (ER) and outcome, and ER1 speaks directly to learning grants as follows:

*Objective: Support learning and sharing about adaptation finance and actions*

*Expected results:*

- *ER1 – Lessons learnt and shared. Practical lessons from Fund processes and projects/programmes captured and effectively communicated to adaptation actors around the world*
- *ER2 – Knowledge and guidance developed. Practical knowledge gained, and guidance provided vis-à-vis select themes (e.g. improving the durability of adaptation actions; integrating traditional knowledge, the knowledge of indigenous peoples and local knowledge systems into adaptation actions; and the role of adaptive management in project implementation)*
- *ER3 – Analytical capacity strengthened. Long-term analytical/learning capacity strengthened in developing country Parties*

*Outcome: Practical knowledge about effective adaptation activities and financing modalities generated and communicated to actors around the world.*

2. At its thirty-first meeting, the Board had discussed the proposed implementation plan for the MTS. To realize ER1, the implementation plan established learning grants which would facilitate learning and sharing of information, good practices and lessons learned from failures as well as successes. At this meeting, the Board decided:

(a) *To approve the implementation plan for the medium-term strategy for the Fund for 2018–2022 contained in the Annex I to document AFB/B.31/5/Rev.1 (the plan);*

(b) *To request the secretariat:*

(i) *To facilitate the implementation of the plan during the period 2018–2022;*

*[..]*

(iii) *To prepare, for each proposed new type of grant and funding window, a specific document containing objectives, review criteria, expected grant sizes, implementation modalities, review process and other relevant features and submit it to the Board for its consideration in accordance with the*

*tentative timeline contained in Annex I to document AFB/B.31/5/Rev.1, with input from the Board's committees;*

[...]

*(Decision B.31/32)*

3. At the thirtieth-second meeting of the Board, the secretariat had presented document AFB/B.32/9 which outlines the objectives, review criteria, expected grant sizes, implementation modalities, review process and eligibility criteria for learning grants. Having considered the proposed approach, application process, review criteria and features of the learning grants as set out in document AFB/B.32/9, the Board decided:

*(a) To make learning grants available for national implementing entities between financial year 2019 and financial year 2023 up to a maximum of US\$ 400,000 per year as direct transfers from the resources of the Adaptation Fund Trust Fund;*

*(b) That the learning grants would not count against the country cap approved by the Board in decision B.13/23;*

*(c) To approve:*

*(i) The features and implementation arrangements of the learning grants as set out in document AFB/B.32/9; and*

*(ii) The application form, review criteria and review template for the learning grants as set out in annexes II, III and IV of document AFB/B.32/9;*

*(d) To request the secretariat to issue a call for proposals for learning grants in accordance with the tentative timeline set out in the annex to document AFB/B.31/5/Rev.1 and the budget pursuant to (a) above;*

*(e) To request the secretariat to develop and present to the Board at its thirty-third meeting:*

*(i) A standard legal agreement for learning grants;*

*(ii) Notification templates for project start and project completion for learning grants;*

*(iii) Monitoring and evaluation templates for learning grants; and*

*(iv) A results framework for learning grants;*

*(f) To request the Project and Programme Review Committee (PPRC) of the Board to review learning grant proposals and make recommendations to the Board in line with other grant approval procedures approved by the Board; and*

(g) *To request the secretariat to report to the Board annually on the implementation progress for learning grants through the annual performance report; and*

(h) *To request the secretariat to present to the PPRC at its twenty-fifth meeting an analysis of the project review cycle for learning grants, with potential options, for its consideration.*

*(Decision B.32/38)*

4. In response to the request by the Board through Decision B.32/38e, the current document presents the proposed, notification templates, monitoring and evaluation templates, and the results framework for learning grants. As the review of learning grants would be done similar to other grant review and approval procedures as decided by the Board through decision B.32/38(f) and to readiness grant and project scale-up grant review and approval procedures, the legal framework and reporting templates for learning grants could also be aligned with those grants.

5. The templates presented in the current document are therefore updates to the readiness grant notification and reporting templates, which have been further simplified and adapted to include learning grants. The proposed documents are presented as annexes to the current document.

### **Standard legal agreement**

6. The first milestone for a project/programme comes after Board approval, with the signing of the legal agreement between the Board and the implementing entity. The proposed legal agreement for learning grants draws from the experience of existing legal agreements under the Fund approved by the Board and contains information on the purpose and administration of the grant, grant implementation, procurement practices, reporting requirements, procedures for termination of the agreement and the settlement of disputes.

7. It should be noted that the legal agreement templates for readiness grants are undergoing updates as per decision B.29/42 (b) (v) by the Board. The Adaptation Fund Board secretariat had still been receiving legal counsel on the contents of the proposed legal agreement templates for readiness grants and for learning grants at the time of presenting the current document to the Board.

### **Notification templates for project start and project completion**

8. Similar to the reporting requirements for readiness grants, implementing entities would need to send notifications for project start and project completion. This would enable the monitoring of implementation progress for the grants. For learning grants, the date of first disbursement by the implementing entity towards an activity related to the grant is considered the start date of the project. It is proposed that the notifications for project start and completion be

sent to the Board through the secretariat using the templates presented in Annex I to this document.

### **Monitoring and evaluation templates**

9. Similar to projects implemented through readiness and project scale-up grants, once a project is approved by the Board and project implementation starts, the implementing entity is required to submit a monitoring report and a completion report to the Board through the secretariat as per decision B.29/42 by the Board. Similar to projects implemented through readiness, monitoring reports are due six months from the project start date, and every six months thereafter from the date of the previous monitoring report.

10. A completion report should be submitted to the Board through the secretariat within six months of project completion. It is proposed that the same requirements be applied for monitoring performance of learning grants and that the same templates for project monitoring and completion reports used for other grants be used with minor edits to accommodate additional information relevant to learning grants as presented in Annex II to this document.

### **Results framework for learning grants**

11. The proposed results framework for learning grants is consistent with the approach to implementing results-based management adopted by the Board at its tenth meeting through Decision B.10/13 and feeds into the overall results-based management (RBM) system of the Fund. It outlines the overall goal of learning grants and includes measurable outputs, and the indicators of measurement. The proposed framework is presented in Annex III to this current document.

### **Recommendation**

12. The Board may want to consider the proposed arrangements for monitoring and reporting criteria for learning grants contained in document AFB/B.33/5, and decide:

- a. To approve:
  - (i) the notification template for project start and project completion for learning as contained in Annex I of document AFB/B.33/5;
  - (ii) the project monitoring report and completion report templates for learning grants as contained in Annex II of document AFB/B.33/5;
  - (iii) the results framework for learning grants as contained in Annex III of document AFB/B.33/5;

- b. To request the secretariat to present the legal agreement templates for learning grants for consideration by the Board intersessionally between its thirty-third and thirty-fourth meetings.
- c. To request the secretariat to make available to implementing entities during the review period for learning grants, the notification template, monitoring report template and the completion report template pursuant to (a) above.

**ANNEX I: NOTIFICATION FOR PROJECT START/PROJECT COMPLETION FOR  
READINESS GRANTS, PROJECT SCALE-UP GRANTS AND LEARNING GRANTS**

Implementing entity address  
Address

[Date]

The Adaptation Fund Board  
1818 H Street NW  
MSN N7-700  
Washington DC, 20433  
USA  
Email: [afbsec@adaptation-fund.org](mailto:afbsec@adaptation-fund.org)

**Subject: Notification of project [start] [completion]:**

This letter is to inform you that the project to implement the grant proposal for [South-South cooperation] [technical assistance for the ESP and gender policy] [technical assistance for the gender policy] [readiness package] [project scale-up grant] [transferring of knowledge from one NIE to another] [transferring knowledge from one NIE to the wider climate adaptation community] [developing knowledge and guidelines through partnerships] approved by the Adaptation Fund Board on [Date] has officially been [started] [completed]. Details of the project are provided below:

**Implementing Entity:**

**Country:**

**Project Description:** Grant to support [include short project description with maximum 100 words]

**Project Start Date:** [Date]

[Expected] [Actual] **Project Completion Date:** [Date]

Sincerely

[Name]

[Position]

[Email]

[Telephone]

**ANNEX II: PROJECT REPORTING TEMPLATES FOR READINESS GRANTS, PROJECT SCALE-UP GRANTS AND LEARNING GRANTS**

**A. MONITORING REPORT SUBMITTED SIX MONTHS AFTER PROJECT INCEPTION AND EVERY SIX MONTHS AFTER THE LAST MONITORING REPORT**

**Date submitted to the AFB Secretariat:**

**Implementing Entity:**

**Country:**

**Adaptation Fund Grant I.D.:**

**Grant Type:** [TA-ESGP] [TA-GP] [S-S Cooperation Grant] [Readiness Package Grant] [*Project Scale-Up Grant*] [*Learning grant*]

**Project Description/Project Title:** [provide the project title or a short description of what the grant was used for – maximum 30 words]

**Project Sector:** e.g. [*coastal zone management, agriculture etc*], [*institutional capacity building*], [*peer-peer support*] [*knowledge and learning*]

Activity	Expected Output	Progress (include completion Date “month & year”)	Comments/Explanation (also explain any deviation from initial plan)
			<i>Please paraphrase, for example: Vulnerability assessment carried out, 2 consultants hired, 3 consultations with vulnerable groups held, 2 studies completed etc.</i>
<b>Overall comment on progress:</b>			

**Contact Person:** \_\_\_\_\_

**Email:** \_\_\_\_\_



**B. COMPLETION REPORT SUBMITTED NOT MORE THAN SIX MONTHS AFTER PROJECT COMPLETION**

Date submitted to the AFB Secretariat:

Implementing Entity:

Country:

Adaptation Fund Project I.D:

Grant Type: [TA-ESGP] [TA-GP] [S-S Cooperation Grant] [Readiness Package Grant] [*Project Scale-Up Grant*] [*Learning Grant*]

Project Description/Project Title: [provide the project title or a short description of what the grant was used for – maximum 30 words]

Project Sector: e.g. [*coastal zone management, agriculture etc*], [*institutional capacity building*], [*peer-peer support*] [*knowledge and learning*]

Activity	Expected Outcome	Outcome Achieved/Not Achieved	Comment/Explanation (also explain any deviation from initial plan)
<b>Budget</b>	State whether overall expenditure was over or under the planned budget and give brief explanation for deviations of <b>more than 30%</b> .		
<b>Summary overall outcome, including any challenges faced and how they were resolved, and an explanation of how achieved outcomes will be disseminated or taken forward*</b>			
Any feedback/general comment to the AFB secretariat			

*\*If there have been any delays in project implementation that affect the completion date, state the reasons for the delays*

Implementing Entity Contact Person: \_\_\_\_\_

Email: \_\_\_\_\_

**ANNEX III: RESULTS FRAMEWORK FOR LEARNING GRANTS**  
**PROPOSED RESULTS BASED FRAMEWORK FOR LEARNING GRANTS**

<b>Goal:</b> People, livelihoods and ecosystems are adequately protected from the adverse impacts of climate change.			
<b>Impact:</b> Adaptive capacity enhanced, resilience strengthened and the vulnerability of people, livelihoods and ecosystems to climate-change reduced.			
<b>Objective:</b> Support learning and sharing about adaptation finance and action.			
<b>OUTCOME</b>	<b>OUTCOME INDICATOR</b>	<b>OUTPUT</b>	<b>OUTPUT INDICATOR</b>
<b>Outcome 1:</b> Lessons learnt and shared. Practical lessons from Fund processes and projects/ programmes captured and effectively communicated to adaptation actors around the world.	1. Number of knowledge products produced and disseminated per year	1.1 Workshops, knowledge platforms, toolkits, trainings, and other knowledge events aimed at sharing knowledge and expertise	1.1.1 Number of relevant knowledge events and workshops per year targeting NIEs, subnational stakeholders or local entities 1.1.2 Number of modalities of sharing knowledge from one NIE to another (internet, knowledge platforms, email lists, face-to-face events) 1.1.3 Number of evaluation surveys used to collect information on the uptake of disseminated knowledge

<p><b>Outcome 2:</b> Increased capacity of national implementing entities to capture and disseminate knowledge</p>	<p>2. Number of partnerships/collaborations to facilitate learning within and across institutions</p>	<p>2.1 Collaboration with relevant technical experts, universities providing knowledge on specific topics</p> <p>2.2 Collaboration with multilateral, bilateral and regional organizations and civil society organizations providing knowledge expertise</p>	<p>2.1.1 Number of collaborations formed for generation of knowledge products to be shared</p> <p>2.2.1 Number of knowledge sharing partnerships formed</p> <p>2.2.2 Number of knowledge sharing events attended by partnering organizations</p>
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