



ADAPTATION FUND

AFB/B.33/6  
5 March 2019

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Adaptation Fund Board  
Thirty-second meeting  
Bonn, Germany, 14-15 March 2019

Agenda item 10 b)

## **ARRANGEMENTS FOR MONITORING AND REPORTING CRITERIA FOR PROJECT SCALE-UP 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. As outlined in document AFB/B.31/5/Rev.1, the strategic focus on Action, consists of an objective, expected results (ER) and outcome, and ER3 speaks directly to project scale-up grants as follows:

*Objective: Support eligible countries to undertake high quality adaptation projects and programmes consistent with their priority needs, goals and strategies*

*Expected results:*

- *ER1 – Vulnerability reduced, resilience strengthened, and adaptive capacity enhanced. Project/programme beneficiaries’ vulnerability to climate variability and change reduced, their resilience strengthened, and adaptive capacity enhanced*
- *ER2 – Institutional capacity strengthened. Long-term capacity of national and regional institutions to implement and execute high quality adaptation projects/programmes strengthened through Fund processes, including accreditation and adaptive management*
- *ER3 – Effective action scaled up. Countries readied to scale up effective projects/programmes with support from other climate funds and finance channels (including private sector)*

*Outcome: Eligible countries supported to undertake high-quality adaptation projects/programmes consistent with their development needs, goals and strategies*

2. At its thirty-first meeting, the Board had discussed the proposed implementation plan for the MTS. To realize ER3, the implementation plan established project scale-up grants under the Readiness Programme of the Fund. The implementation plan established that project scale-up grants would provide the necessary readiness funding to support planning, assessment and capacity enhancement for designing and developing scaling-up pathways for project scale-up. 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.32/10 which outlines the objectives, review criteria, expected grant sizes, implementation modalities, review process and eligibility criteria for project scale-up grants. Having considered the proposed approach, application process, review criteria and features of the project scale-up grants as set out in document AFB/B.32/10, the Board decided:

*(a) To make project scale-up grants available for national implementing entities between financial year 2019 and financial year 2023 up to a maximum of US\$ 200,000 per year as direct transfers from the resources of the Adaptation Fund Trust Fund;*

*(b) That the project scale-up 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 project scale-up grants as set out in document AFB/B.32/10; and*

*(ii) The application form, review criteria and review template for the project scale-up grants as set out in annexes I, II and III of document AFB/B.32/10;*

*(d) To request the secretariat to issue a call for proposals for project scale-up 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 project scale-up grants;*

*(ii) Notification templates for project start and project completion for project scale-up grants;*

*(iii) Monitoring and evaluation templates for project scale-up grants; and*

*(iv) A results framework for project scale-up grants;*

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

*(g) To request the secretariat to report to the Board annually on the implementation progress for project scale-up 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 readiness grants, with potential options, for its consideration.*

*(Decision B.32/39)*

4. In response to the request by the Board through Decision B.32/39(e), the current document presents the proposed notification templates, monitoring and completion templates, and the results framework for project scale-up grants. As the review of project scale-up grants would be done similar to readiness grant review and approval procedures as decided by the Board through decision B.32/39(f), and learning grant review and approval procedures, the legal framework and reporting templates for project scale-up grants could also be aligned with those for readiness 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 project scale-up 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 project scale-up 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 project scale-up 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 project scale-up 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 template presented in Annex I to this document.

## Monitoring and evaluation templates

9. Similar to projects implemented through readiness 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 grants, 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 project scale-up grants and that the templates for project monitoring and completion reports used for readiness grants be updated to accommodate additional information relevant to project scale-up grants. The updated templates are presented in Annex II to this document.

## Results framework for project scale-up grants

11. The proposed results framework for project scale-up 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 project-scale-up 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 the monitoring and reporting criteria for project scale-up grants contained in document AFB/B.33/6, and decide:

- a) To approve:
  - (i) the notification template for project start and project completion for readiness grants and project scale-up grants as contained in Annex I of document AFB/B.33/6;
  - (ii) the project monitoring report and completion report templates for readiness grants and project scale-up grants as contained in Annex II of document AFB/B.33/6;
  - (iii) the results framework for project scale-up grants as contained in Annex III of document AFB/B.33/6;
- b) To request the secretariat to present the legal agreement templates for readiness grants and project scale-up 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 project scale-up grants, the notification template, monitoring report template and the completion report template pursuant to (a) above.

**ANNEX I: NOTIFICATION TEMPLATE 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:**

**Grant Type:** [~~TA Grant for the ESP and gender policy~~] [~~South-South Cooperation Grant~~] [~~TA Grant for the gender policy~~]

**Project Description:** Grant to support [~~include short project description with maximum 100 words~~] [~~accreditation through South-South cooperation~~] [~~sourcing of technical assistance for assessment and management of environmental, social and gender risks within projects and programmes~~] [~~sourcing of technical assistance for assessment and management of gender risks within projects and programmes~~] in [~~name of country~~]

**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**

**MONITORING REPORT SUBMITTED SIX MONTHS AFTER PROJECT START AND EVERY SIX MONTHS AFTER THE LAST MONITORING REPORT**

Date **submitted to 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*].

Support Activity Provided/Received <i>Activity</i>	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>
Overall comment on progress			

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

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



**A. COMPLETION REPORT SUBMITTED NOT MORE THAN SIX MONTHS AFTER PROJECT COMPLETION**Date **submitted to 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].

Support Activity Provided/Received 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 more than 30%.		
<b>Summary of 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>			
<b>Any feedback/general comment to the AFB secretariat</b>			

\*If there have been any delays in project implementation that affected project completion dates, state the reasons for the delays.

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

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

### ANNEX III: RESULTS FRAMEWORK FOR PROJECT SCALE-UP GRANTS

#### Proposed Results Framework for Project Scale-Up 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> The capacity of eligible countries to undertake high quality adaptation projects and programmes consistent with their priority needs, goals and strategies is increased.			
<b>Outcome</b>	<b>Outcome Indicator</b>	<b>Output</b>	<b>Output Indicator</b>
Effective action scaled up. Countries readied to scale up effective Adaptation Fund projects/programmes for funding from other climate funds and finance channels (including private sector)	(i) Number of projects/programmes building on Adaptation Fund projects/programmes, funded by other climate funds and finance channels.	(i) Plans and strategies for scaling-up successful outcomes from concrete adaptation activities funded by the Adaptation Fund are developed.  (ii) Partnerships and collaborations are formed to support project scale-up.	(i) Number of Adaptation Fund NIE project scale-up proposals, scaling-up plans, bilateral arrangements and memoranda of understanding with other funders.  (ii) Number of notifications received of NIE partnerships and collaborations formed with other funders.