



ADAPTATION FUND

AFB/PPRC.25/41
30 September 2019

Adaptation Fund Board
Project and Programme Review Committee
Twenty-fifth Meeting
Bonn, Germany, 7-9 October 2019

Agenda Item 10

**REPORT OF THE SECRETARIAT ON INITIAL
SCREENING/TECHNICAL REVIEW OF PROJECT SCALE-UP
GRANT PROPOSALS**

Background

1. This document presents to the Project and Programme Review Committee (PPRC) of the Adaptation Fund Board (the Board) an overview of the grant proposals submitted by National Implementing Entities (NIEs) to the Board at its thirty-third meeting in March 2019 in the first review cycle for project scale-up grants, and to the current meeting. It should be noted that due to lack of time at its thirty-third meeting, the Board could not conclude the discussion on the recommendations by the Project and Programme Review Committee (PPRC) to document AFB/PPRC.24/44. The proposal presented in that PPRC document has been resubmitted to the current meeting and has been considered as a submission by the NIE to the current meeting. The current document therefore presents the consolidated process of screenings and technical reviews undertaken by the Adaptation Fund Board Secretariat (the secretariat) based on the resubmitted proposal and the proposals received and assessed in the current meeting.

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

Funding window for project scale-up grants

3. At its thirtieth meeting, the Board adopted the medium-term strategy (MTS) for the Fund through decision B.30/42, and subsequently approved the implementation plan for the strategy at its thirty-first meeting. 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)

4. 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 project scale-up grants, with potential options, for its consideration.*

(Decision B.32/39)

5. In accordance with decision B.32/39 (d), the call for project scale-up proposals was issued in July 2019 and eligible national implementing entities (NIEs) were given the opportunity to submit proposals.

7. At its thirty-third meeting the Board had expressed that it would like to consider proposals for small grants under the medium-term strategy (MTS) at its regular meetings. The proposals submitted therefore followed the regular review cycle for concrete adaptation projects and programmes.

8. The secretariat received proposals for project scale-up grants and reviewed them as explained below.

Project scale-up grants submitted by national implementing entities

8. Two proposals were submitted to the secretariat by accredited NIEs with the total requested funding amounting to US\$ 198,937. The proposals were submitted by the Ministry of Environment (MoE) of Rwanda and the *Centre de Suivi Ecologique* (CSE) of Senegal.

9. Both proposals were eligible to be considered and the details of these proposals are contained in the following PPRC working documents:

AFB/PPRC.25/42 *Proposal for project scale-up grant for Rwanda (MoE)*

AFB/PPRC.25/43 *Proposal for project scale-up grant for Senegal (CSE)*

10. The proposal submitted by MoE included co-financing by MoE in the form of Implementing Entity (IE) management fees to the value of US\$ 34,092. The proposal submitted by CSE included US\$ 7,560 or 8.18%¹ in IE management fees and US\$ 1,386 or 1.5%² in execution costs which complies with Board Decision B.11/16 to cap management fees at 8.5% of the project/programme budget, and with the Fund's policy for IEs that provide execution services as detailed in Annex 7 of the Fund's operational policies and guidelines (OPGs), and also with Board Decision B.17/17.f to cap execution costs at 1.5% for projects/programmes implemented and executed by the same entity.

11. The total funding requested is within the funding limit per project outlined in document AFB/B.32/10 and approved by the Board through decision B.32/39.

Table 1: Project scale-up grant proposals submitted to the 33rd Adaptation Fund Board meeting

Country	IE	Financing Requested (USD)	IE Fee (USD)	IE Fee, %	Execution Cost (EC), USD	EC, %
Rwanda	MoE	\$99,000	\$0	0%	\$0	0%
Senegal	CSE	\$99,937	\$7,560	8.18%	\$1,386	1.5%
Total		\$198,937	\$7,560	8.18%	\$1,386	1.5%

The review process

12. In accordance with Decision B.32/39 by the Board, the secretariat issued a call for proposals for project scale-up grants and screened and prepared technical reviews of the submitted proposals

¹ The implementing entity management fee percentage is calculated compared to the project budget including the project activities and the execution costs, before the management fee.

² The execution costs percentage is calculated as a percentage of the project budget, including the project activities and the execution costs, before the implementing entity management fee.

in line with readiness grant approval procedures approved by the Board. One proposal was submitted to the current review cycle in response to the call for proposals and a second proposal was resubmitted to the current meeting as the Board could not conclude discussions on that proposal as stated above.

13. In line with the Board request at its tenth meeting, the secretariat shared the initial technical review findings with the IEs that had submitted the proposals and solicited their responses to specific items requiring clarification. Responses were requested by e-mail, and the time allowed for the IEs to respond was one week. The IEs were offered the opportunity to discuss the initial review findings with the secretariat by telephone, and both IEs made use of the offer.

14. The secretariat subsequently reviewed the resubmissions by the IEs and their responses to the clarification requests, and compiled comments and recommendations that are presented in the addendum to this document (AFB/PPRC.25/41/Add.1).

15. The proposals submitted did not furnish adequate information to provide a firm understanding of each IE's goal for scaling-up the proposed project funded by the Adaptation Fund and did not provide adequate justification for the selected project components that would be scaled-up. The telephone conversations held by the secretariat with the IEs following the secretariat initial technical reviews revealed that the IEs did not have adequate understanding of the nature and depth of information required for the project scale-up grant.

16. Whilst all relevant information on the depth and quality of information required is presented in the screening review sheet for project scale-up grants approved by the Board at its twenty-second meeting through decision B.32/39, based on the proposals received during the current review period, it is proposed that IEs could benefit from further guidance on the required information.

17. The Project and Programme Review Committee (PPRC) may wish to consider expanding the information available to NIEs by updating the following documents related to the submission and review of project scale-up grants:

- a) The application form
- b) The project review template
- c) The project screening review sheet

The application form

18. Proposed updates to the application include expanding sections of the initial form to guide Implementing Entities on the required content for submission of project scale-up grant proposals to the Board. It is also proposed to include a guidance to the application form, titled: Instructions for preparing a request for project scale-up grant funding from the Adaptation Fund, which provides an explanation to each of the sections in the application form. Included in the guidance to the application form is also a template for the letter of endorsement by the Designated Authority to the Fund, specific to project scale-up grants. The proposed updated application form is presented in Annex I to the current document.

The project review template

19. Minor edits to the project review template are proposed to clarify the cap on execution costs as set by the Board at its thirteenth meeting through decision B.13/17 and to clarify the requirement for Implementing Entities to submit a breakdown of both the budget for Implementing Entity

management fee and execution costs as outlined in the screening review sheet for project scale-up grants. The proposed updated project review template is presented in Annex II to the current document.

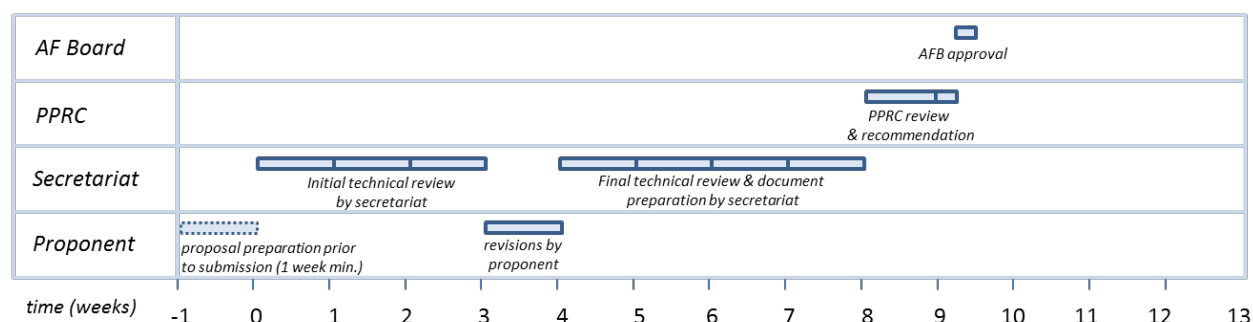
The project screening review sheet

20. A minor edit to the screening review sheet is proposed to clarify the cap on execution costs. The proposed updated screening review sheet is presented in Annex III to the current document.

Analysis of the review cycle

21. The review of the proposals was undertaken in line with the project/programme cycle steps outlined in the operational policies and guidelines (OPGs) of the Fund, and followed in principle, the 9.5-week timeline presented in Figure 1 below.

Figure 1: The regular project/programme review cycle (9.5 weeks from start of review to AF Board decision)



22. The PPRC may wish to consider the possibility of only reviewing project scale-up grant proposals during the regular meetings of the Board. Since the funding window for project scale-up grants is still new and the current submissions represent the second review cycle for the grants, following the regular review cycle of concrete projects and programmes, worked well because proponents were already familiar with the review process. In addition, considering proposals for project scale-up during the regular meetings of the Board could be beneficial as any issues affecting concrete projects that the Board would discuss at its regular meetings could have implications on the decisions made by the Board for scaling-up the Fund's portfolio of concrete projects, and these implications could be discussed at the same meeting.

23. However, the PPRC may also wish to consider the possibility of intersessional review of project scale-up grants to manage the workload of the Board and secretariat during each calendar year. In addition, the intersessional review could also be beneficial as the reports for project performance review (PPR) for concrete projects and programmes, which have mostly been presented during the intersessional review cycle, could provide information that may be useful to the Board's consideration of related scale-up grants for those projects.

Draft recommendation

24. The PPRC may want to consider the options for a process of reviewing scale-up grant proposals and make a recommendation to the Board.

25. The PPRC may also want to consider and recommend to the Board:
- a) To approve:
 - (i) the updated application form for project scale-up grants, the accompanying instructions for preparing a request for project scale-up grant funding from the Adaptation Fund and the letter of endorsement template for the Designated Authority to the Adaptation Fund as presented in document AFB/PPRC.25/41;
 - (ii) the amended project review template for project scale-up grants as presented in document AFB/PPRC.25/41
 - (iii) the amended screening review sheet for project scale-up grants as presented in document AFB/PPRC.25/41
 - b) To request the secretariat to notify all national implementing entities of the Board's decision, and to make available on the Fund website, the updated application form and accompanying instructions for preparing a request for project scale-up grant funding from the Adaptation Fund and the letter of endorsement template for the Designated Authority to the Adaptation Fund.

ANNEX I: UPDATED APPLICATION FORM AND PROPOSED INSTRUCTIONS TO THE APPLICATION FORM

Request for assistance to design and develop scaling-up pathway for Adaptation Fund projects/programmes

The application template should be completed and transmitted to the Adaptation Fund Board Secretariat by email or fax.

The overall goal of project scale-up grants is to increase the readiness of accredited national implementing entities (NIEs) to expand³ or replicate⁴ quality projects that are based on country needs, views and priorities, in order to reach more people and/or broaden project/programme effectiveness to help vulnerable communities in developing countries adapt to the adverse effects of climate change.

Please type in the responses using the template provided. The instructions in the annex to the template provide guidance to filling out the template.

Complete documentation should be sent to:

The Adaptation Fund Board Secretariat
1818 H Street NW
MSN N7-700
Washington, D.C., 20433
U.S.A
Fax: +1 (202) 522-3240/5
Email: afbsec@adaptation-fund.org

³ Expansion in this context refers to extending organizational structures and/or service provision such as geographical expansion or expanding the population reached.

⁴ Replication in this context refers to implementing effective or good practices in other settings. Such practices could be new or innovative ones.

A. PROJECT INFORMATION

~~Submission Date~~ **Date of receipt:**

Title of Adaptation Fund project/programme to be scaled-up:

Adaptation Fund Grant ID:

Country:

Implementing Entity:

Execution Entity (if applicable):

Amount of Financing Requested (in U.S Dollars Equivalent):

B. BACKGROUND (Maximum 200 words)

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C. Timeframe of Activity

Expected start date of activity	
Completion date of activity	

D. Type of support requested**D.1. Describe the goal of the proposed scale-up. (Maximum 100 words)**

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D.2. What is the expected output from use of the proposed grant for project scale-up?

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D.3. Provide a brief description of the project components that will be scaled-up, including a description of the scaling-up approach. (Maximum 200 words)

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D.4. Provide a brief rationale/justification for the proposed project/programme scale-up and scaling-up strategy, including any supporting evidence. (Maximum 200 words)

D5. Have you identified potential source(s) of funding to implement the scaled-up project/programme? Please list.

D6. Describe the activities to be undertaken to support planning, assessment, capacity enhancement (individual, organization and institutional) for designing and developing scaling up pathways for the proposed project/programme. Using the table below, provide a breakdown of activities or outline/roadmap of the activities that will be followed to achieve the expected output mentioned in D.2. In the case in which a scaling-up plan/strategy is the output, include a breakdown of the activities leading up to delivery of the plan/strategy. Please add more rows or delete as necessary.

Types of Activities	Description of proposed activities (please provide short description)	Expected outputs	Tentative timeline (completion date)	Requested budget summary per output* (USD)
Assessment of project/programme scalability				
Development and implementation of a scaling-up strategy/proposal				
Consultation with public and private stakeholders for project/programme scale up				
Enhancing individual, organization and/or institutional capacity for scaling up				
Other type of support requested (please describe)				

Execution entity costs requested***				
Total project costs				
Implementing entity management fee requested**				
Total Grant Requested (USD)				

*Please also provide a detailed budget with budget notes, indicating the break-down of costs at the output level. Where an Implementing Entity (IE) management fee **and/or execution costs (ECs) have been** is requested, the budget must include a ~~budget with budget notes of the Implementing Entity management fee~~ as a simple budget breakdown of the IE management fee and ECs.

**The Project Execution Costs requested should be at or below 9.5 per cent of the total project/programme budget (including the fee). In the event that the NIE is also the execution entity for the proposed activities, then the costs should be at or below 1.5 per cent ~~of the total project/programme budget (including the fee)~~.

***The Implementing Entity Management Fee requested should be at or below 8.5 per cent of the total project/programme budget before the fee.

E. Implementing Entity

This request has been prepared in accordance with the Adaptation Fund Board's procedures

Head of Implementing Entity	Signature	Date (Month, day, year)	Implementing Entity Contact Person	Telephone	Email Address

F. Record of endorsement on behalf of the government

Provide the name and position of the government official, Designated Authority (DA) of the Adaptation Fund, and indicate date of endorsement. The DA endorsement letter must be attached as an annex to the request.

<i>(Enter Name, Position, Ministry)</i>	<i>Date: (Month, day, year)</i>

INSTRUCTIONS FOR PREPARING A REQUEST FOR PROJECT SCALE-UP GRANT FUNDING FROM THE ADAPTATION FUND

The objective of the Project Scale-Up Grants is to provide readiness funding to support planning, assessment, capacity enhancement (individual, organization and institutional) for designing and developing scaling-up pathways for Adaptation Fund project/programmes under implementation and nearing completion or completed. It is expected that the designing and development of the scaling-up pathway should build on existing information, studies and assessments from the identified concrete project/programme to be scaled-up.

Project scale-up proposals must be clear on the expected output from use of the grant, the goal for scaling-up and the rationale for the proposed scaling-up pathway. The project/programme components that will be scaled-up must be clearly identified and a breakdown of the steps that will be implemented to achieve the proposed output of the project scale-up grant must be clear and properly explained.

PART A: PROJECT INFORMATION

DATE OF RECEIPT. Please leave this space blank. The Adaptation Fund Board Secretariat (the Secretariat) will fill in the date on which the proposal is received at the Secretariat.

TITLE OF ADAPTATION FUND PROJECT / PROGRAMME TO BE SCALED-UP. Please enter the title of the proposed project / programme that was funded by the Adaptation Fund that is to be scaled-up.

ADAPTATION FUND GRANT ID. Please leave this space blank. The Secretariat will assign a number to your project internally.

COUNTRY. Please insert the name of the country requesting the grant.

IMPLEMENTING ENTITY. Please specify the name of the Implementing Entity

EXECUTING ENTITY. Please specify the name of the organisation that will execute the project funded by the Project Scale-Up Grant under the oversight of the Implementing Entity. In the case where the Implementing Entity will also take on the role of Execution Entity for the project, please enter the name of the Implementing Entity in this space.

AMOUNT OF FINANCING REQUESTED. Please fill the grant amount (in US Dollars equivalent) requested from the Adaptation Fund for this proposal.

PART B: BACKGROUND

In 200 words or less, provide brief information on the context of the project/programme that is proposed to be scaled-up. Outline whether the project/programme has been completed or is still under implementation and if so, explain at what stage of implementation the project/programme is. Outline the expected or achieved project/programme results and explain how the

project/programme has been or was funded, that is, whether the project received other funding besides Adaptation Fund project funding.

PART C: TIMEFRAME OF ACTIVITY

Project start and completion dates help with monitoring of progress towards the target. Enter the expected project start date and completion dates in month and year format (DD/MM/YYYY). 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.

PART D: TYPE OF SUPPORT REQUESTED

D1: GOAL OF THE PROPOSED SCALE-UP. In 100 words or less, briefly explain the main objective for wanting to scale-up the project/programme. The project should be able to provide a clear description of the benefits of the proposed project/programme scale-up to the most vulnerable communities. It should also be evidence based, drawing on research, evaluation and monitoring data to inform the scale-up process.

D2: EXPECTED OUTPUT FROM USE OF THE PROPOSED GRANT FOR PROJECT SCALE-UP. Clearly articulate what product will be submitted to the Secretariat upon completion of implementing the project scale-up grant. Project scale-up grants are expected to provide resources additional to those existing within the Implementing Entity to develop a scaling-up pathway for projects funded by the Adaptation Fund. It is expected that the output from use of the Project Scale-Up Grant would be presented to a source of funding outside of the Adaptation Fund to finance the scale-up of the Adaptation Fund funded project/programme. The output from use of the Project Scale-Up Grant should therefore enable the implementing entity to seek funding for actual project/programme scaling-up and could be in the form of a detailed scaling-up strategy or a fully developed project/programme proposal.

Clearly state the source(s) of funding where the output will be submitted to scale-up the project/programme. Include the expected dates for submission (MM/YYYY). Initial identification and engagement with potential funders provides an affirmation of actual intent and some context for the proposed scaling-up on the part of the Implementing Entity.

D3: PROJECT COMPONENTS THAT WILL BE SCALED-UP. Components should be linked with achieving the goal for project/programme scale-up. In 200 words or less, clearly outline which components of the Adaptation Fund funded project/programme under implementation or completed will be scaled-up. Explain how these components will be scaled up, that is, whether they will be expanded, replicated or increased in magnitude.

Projects/programmes that could be scaled-up should have submitted the medium-term review/evaluation or, for projects with a life span of less than 4 years, have submitted at least two project performance reports (PPR) for the project/programme being proposed for scale-up. Such projects/programmes can draw lessons from the project full cycle to inform scale-up. This enables implementing entities to make use of evidence-based planning, drawing on existing and current data and information. Outline any relevant information from the mid-term or terminal evaluation that would improve the components to be scaled-up compared to the current or completed project/programme.

D4: PROJECT/PROGRAMME SCALE-UP RATIONALE/JUSTIFICATION. In 200 words or less, clearly explain the rationale for scaling-up the identified components and the proposed scaling-up

strategy. Describe how the scaled-up activities will help with adaptation to climate change and improve climate resilience further to the current or completed project/programme.

The justification for the proposed scale-up should be clear with regards to any recommendations or positive aspects from the mid-term report or terminal evaluation report that would explain the need to scale-up the identified project components and activities.

D5: Identifying sources of funding to implement the scaled-up project/programme. List potential sources e.g., other financing institutions; agreements under discussion by the implementing entity to fund the scaled-up activities; partnerships or collaborations under discussion for project scaling-up etc. where the implementing entity could seek funding to scale-up the proposed project/programme. Any potential donors that have been approached or communicated with regarding potential funding for the scaled-up activities should be listed and it should be mentioned that communication has taken place between the implementing entity and donor(s) including the outcome of those discussions.

D6: PROJECT SCALE-UP GRANT ACTIVITY BREAKDOWN. Using the provided table, provide a breakdown of activities or a roadmap to achieve the expected output mentioned in D2. The table should present a logic flow of activities that will be implemented. In the case where a scaling-up plan/strategy is the output, include a breakdown of the activities leading up to delivery of the plan/strategy.

At a minimum, the implementation should be evidenced based and include implementation arrangements that draw on:

- an evidence-based assessment of project/programme scalability, that uses research, evaluation and monitoring data to inform the scale-up process, and could include undertaking technical studies such as vulnerability assessment, feasibility study, socio-economic study, cost effectiveness study etc.
- a scaling-up strategy or fully developed project/programme proposal.
- stakeholder consultation.
- a description of institutional arrangements in place or that would be put in place in preparation for scaling-up e.g. updates to policies or manuals to enable project scale-up, capacity building activities such as attending training, workshops, seminars etc, to enhance institutional and individual readiness for scale-up.

Include a detailed budget with budget notes, a budget on the Implementing Entity management fee use, and an explanation and a breakdown of the execution costs.

The proposal should include a detailed budget with budget notes indicating the break-down of costs at the activity level. In accordance with the Gender Policy of the Fund, the proposal should ensure that adequate resources are allocated in the project/programme budget for gender-responsive implementation. Examples of gender responsive budgets include provision for the involvement and capacity-building of women stakeholders as important actors in implementation. Where an Implementing Entity management fee and/or execution costs (ECs) have been requested, the budget must include a simple budget breakdown of the Implementing Entity management fee and ECs.

The Project Execution Costs requested should be at or below 9.5 per cent of the total project/programme budget (including the fee). In cases where the Implementing Entity has also taken on the role of Execution Entity for the proposed activities, the costs should be at or below

1.5 per cent as per the Operational Policies and Guidelines (OPGs) of the Fund (See Annex 7 of the OPGs, effective October 2017).

The Implementing Entity Management Fee requested should be at or below 8.5 per cent of the total project/programme budget before the fee.

The total grant requested should not exceed US\$100,000 per project/programme. As per the features and implementation arrangements for project scale-up grants outlined in document AFB/B.32/10 approved by the Adaptation Fund Board through decision B.32/39, national implementing entities may request project scale-up grants up to a maximum of US\$ 100,000 per project/programme. The grants do not count against the country cap.

PART E: IMPLEMENTING ENTITY CERTIFICATION.

Provide the name and signature of the Implementing Entity Coordinator and the date of signature. Provide also the project contact person's name, telephone number.

PART F: LETTER OF ENDORSEMENT



ADAPTATION FUND

Letter of Endorsement by Government

[Government Letter Head]

[Date of Endorsement Letter]

To: The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: afbsec@adaptation-fund.org
Fax: 202 522 3240/5

Subject: Endorsement for Project Scale-Up Grant for the project/programme [Title of Project/Programme]

In my capacity as designated authority for the Adaptation Fund in [country], I confirm that the above project proposal is in accordance with the government's national priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in (select country).

Accordingly, I am pleased to endorse the above Project Scale-Up Grant proposal with support from the Adaptation Fund. If approved, the project will be implemented by [implementing entity] and executed by [national or local executing entity].

Sincerely,

[Name of Designated Government Official]
[Position/Title in Government]

ANNEX II: UPDATED PROJECT REVIEW TEMPLATE**ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW
OF PROJECT PROPOSAL UNDER THE READINESS PROGRAMME**

PROJECT CATEGORY: Project Scale-Up Grant

Country:

Implementing Entity:

Requested Financing from Adaptation Fund (US Dollars):

Title of Adaptation Fund project/programme to be scaled-up:

Reviewer and contact person:

Co-reviewer(s):

Implementing Entity contact person:

Review Criteria	Questions	Comments
Country Eligibility	1. Is the country Party to the Kyoto Protocol?	
Eligibility of IE	1. Is the project submitted through an Implementing Entity accredited by the Board with an accreditation status of "Accredited"?	
Project Eligibility	1. Has the designated government authority for the Adaptation Fund endorsed the project?	
	2. Has the implementing entity submitted a medium-term review/evaluation (MTR/MTE) or for projects/programmes with a life span of less than four years, at least two project performance reports (PPRs) that indicates that activities for the proposed project/programme to be scaled-up are nearing completion? ?	
	3. Is the project justified based on the PPRs, MTR/MTE or terminal evaluation of the project/programme that is proposed for scale-up?	

Resource Availability	1. Is the requested project funding within the cap for project scale-up grants set by the Board?	
	2. If the implementing entity has requested, is the Implementing Entity Management Fee at or below 8.5 per cent of the total project budget before the fee?	
	3. If the implementing entity has requested, are the Project/Programme Execution Costs at or below 9.5 per cent or if the NIE is also the execution entity , at or below 1.5 per cent of the total project budget (including the fee)?	
	4. Has the implementing entity identified a potential source or sources of funding to scale-up the proposed project/programme?	
Implementation Arrangements	1. Are the proposed activities to develop scaling-up pathways for project/programme scale-up adequate, including at a minimum an evidence-based approach to project/programme scale-up?	
	2. Is a detailed budget including budget notes included?	
	3. If an implementing entity management fee has been requested, is a budget breakdown on the implementing entity management fee use included?	
	4. If execution costs have been requested, is an explanation and a breakdown a budget breakdown on the use of the execution costs included?	
Secretariat's Overall Comment		
Date:		

ANNEX III: UPDATED PROJECT SCREENING REVIEW SHEET

Screening review sheet for project scale-up grants

Review criteria	Screening questions	Description of screening criteria
Country eligibility	Has this application been submitted by a national implementing entity from a country Party to the Kyoto Protocol?	As per paragraph 24 of the Fund's Operational Policies and Guidelines, main text document, "The Fund shall finance concrete adaptation projects and programmes in developing country Parties to the Kyoto Protocol that are particularly vulnerable to the adverse effects of climate change".
Eligibility of implementing entity	Has this application been submitted through an accredited national implementing entity?	As per Annex 1 of document AFB/B.31/4 approved by the Board through decision B.31/1, only implementing entities that have accreditation status of "Accredited" may receive project funding from the Adaptation Fund. Implementing Entities that have the accreditation status of "In Re-accreditation Process" and "Not Accredited" are not eligible for funding.
Project eligibility	Has this application been endorsed by the Designated Authority (DA) of the country?	Endorsement means that a signed letter on an official letterhead by the DA addressed to the Adaptation Fund Board approving the application was submitted.
	Has the implementing entity submitted the medium-term review/evaluation or, for projects with a life span of less than 4 years, submitted at least two project performance reports (PPR) for the proposed project/programme to be scaled-up?	Projects/programmes that could be scaled-up should have submitted the medium-term review/evaluation or, for projects with a life span of less than 4 years, have submitted at least two project performance reports (PPR) for the project/programme being proposed for scale-up. Such projects/programmes can draw lessons from the project full cycle to inform scale-up. This enables implementing entities to make use of evidence-based planning, drawing on existing and current data and information.
	Is this project justified based on the PPRs, MTR/MTE or terminal evaluation of the proposed project/programme to be scaled-up?	<p>The project should be able to provide a clear description of the benefits of the proposed project/programme scale-up to the most vulnerable communities. It should also be evidence based, drawing on research, evaluation and monitoring data to inform the scale-up process.</p> <p>The overall goal of project scale-up grants is to increase the readiness of accredited national implementing entities (NIEs) to expand or replicate quality projects that are based on country needs, views and priorities, in order to reach more people and/or broaden project/programme effectiveness to help vulnerable communities in developing countries adapt to the adverse effects of climate change</p>
Resource availability	Based on the proposed activities, is the requested budget reasonable?	(i) A reasonable budget should be provided in United States Dollars and is described as one that falls within the USD 100,000 cap per project and provides a summary of the budget breakdown at output level in the application form.

		<p>(ii) Implementing entities may request an implementing entity management fee at or below 8.5 per cent of the total project budget before the fee.</p> <p>(iii) Whilst it is not expected that Implementing entities would have executing entities working on the project scale-up grant, implementing entities may request execution costs at or below 9.5 percent or if they serve as both the implementing and executing entity, at or below 1.5 per cent of the total project budget (including the fee).</p>
	Has the implementing entity identified a potential source or sources of funding where the entity could seek funding to scale-up the proposed project/programme?	It is expected that implementing entities demonstrate commitment to project scale-up and also put in place measures to ensure continuity of the proposed project to a scaled-up initiative. This could be through both the DA letter of endorsement for the scaling-up application and the identification of a potential source or sources of funding for scaling-up the project/programme. Initial identification and engagement with potential funders provides an affirmation of actual intent and some context for the proposed scaling-up on the part of the implementing entity.
Implementation arrangements	Are the proposed activities to develop scaling-up pathways for project/programme scale-up adequate?	<p>Adequacy will depend on the level of detail provided under the description of each activity and the logic flow of the overall activities identified in the proposal. At a minimum, the information should be evidenced based and include implementation arrangements that draw on:</p> <ul style="list-style-type: none"> • An evidence-based assessment of project/programme scalability, that uses research, evaluation and monitoring data to inform the scale-up process, and could include undertaking technical studies such as vulnerability assessment, feasibility study, socio-economic study, cost effectiveness study etc. • A scaling-up strategy or proposal. • Stakeholder consultation. • A description of institutional arrangements in place or that would be put in place in preparation for scaling-up e.g. updates to policies or manuals to enable project scale-up, capacity building activities such as attending training, workshops, seminars etc, to enhance institutional and individual readiness for scale-up.
	Is a detailed budget including budget notes included?	The implementing entity should submit a detailed budget with budget notes indicating the break-down of costs at the activity level as well as any Implementing Entity management fee and execution costs requested.
	Is a budget on the Implementing Entity Management Fee use included?	The implementing entity should also provide a budget indicating how the management fee will be used.
	Is a budget for execution costs included?	The implementing entity should provide an explanation and a breakdown of the execution costs.