ADAPTATION FUND

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