



ADAPTATION FUND

AFB/PPRC.26.a-26.b/41/Add.2

25 June, 2020

Adaptation Fund Board
Project and Programme Review Committee

PROJECT FORMULATION ASSISTANCE GRANT FOR UGANDA

I. Background

1. The Board at its twenty-second meeting, in decision B.22/24, approved the document AFB/B.22/6 which included, in the options for the Readiness Programme, grants for Project Formulation Assistance (PFA) which would provide support for project formulation to accredited National Implementing Entities (NIEs) in addition to Project Formulation Grants (PFGs). NIEs that are at the concept development stage of the Fund's project cycle process have the option to request a PFG up to a maximum of US\$30,000 together with their submission of the project concept to the Board. To compliment the PFG and support the undertaking of specialist technical assessments during project preparation and design, the PFA grant is available for each accredited NIE up to a maximum of US\$20,000 per project and can be accessed by submitting a request to the Board through the Adaptation Fund Board Secretariat.

2. In July 2018, the Fund's Readiness Programme launched a call for PFA grants, which is open throughout the year and does not close. In the call, the Board is inviting accredited NIEs that are going through the 2-step project approval process to apply for a PFA grant to strengthen their capacity to undertake the necessary technical assessments related to the design and development of adaptation projects and programmes. The PFA grants are meant to help NIEs undertake specific technical assessments such as environmental impact assessments and vulnerability assessments to comply with the Fund's Environmental and Social Policy (approved 2013, amended 2016) and Gender Policy (approved 2016). The PFA grant is meant to support, among other areas, the following types of assessments

- Environmental Impact Assessment (EIA)
- Vulnerability Assessment (VA)
- Risk Assessment
- Other Environmental and Social Assessments for adaptation projects

II. The Project Formulation Assistance Grant Request

3. This addendum to the document AFB/PPRC.26.a-26.b/41/Add.2 "Proposal for Uganda" includes a request for a Project Formulation Assistance Grant, requesting a budget of US\$ 20,000 which was received by the secretariat along with the concept for the project UGA/NIE/Water/2019/1 "Enhancing Resilience of Communities and Fragile Ecosystems to Climate Change in Katonga Catchment". This proposal was submitted by the Ministry of Water and Environment (MOWE), which is the National Implementing Entity of the Adaptation Fund, in time for consideration by the Adaptation Fund Board at intersessional period between the first and the second sessions of the thirty-fifth Board meeting.

4. In accordance with Decision B.22/24, the secretariat carried out an initial review of the PFA request and found that the document provided detailed information on the use of the requested funds. The proposed activities were aligned with the goal of the project and would conduct a feasibility study and a gender/social assessment to support the development of the full funding proposal.

5. Therefore, the PPRC may want to consider and recommend to the Board to approve the PFA Grant Request, provided that the related concept proposal is endorsed.



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ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT PROPOSAL UNDER THE READINESS PROGRAMME

PROJECT CATEGORY: Project Formulation Assistance Grant

Country: **Uganda**Implementing Entity: **Ministry of Water and Environment (MOWE)**Requested Financing from Adaptation Fund (US Dollars): **20,000**Reviewer and contact person: **Martina Dorigo**Co-reviewer(s): **Saliha Dobardzic**Implementing Entity Contact Person: **James Kawesi**

Review Criteria	Questions	Comments
Country Eligibility	1. Is the country Party to the Kyoto Protocol?	Yes.
Eligibility of IE	1. Is the project submitted through an Implementing Entity accredited by the Board?	Yes.
Project Eligibility	1. Has the designated government authority for the Adaptation Fund endorsed the project?	Yes.
	2. Are the proposed activities within the scope of enabling the implementing entity to undertake special technical assessments to support formulation of a fully developed project proposal?	Yes. The proposed activities of conducting a feasibility study and environmental/ social assessment are necessary technical assessments related to the design and development of a full funding proposal that complies with the Adaptation Fund's Environmental and Social Policy and Gender Policy. In addition, the entity will undertake a consultation workshop targeting all relevant stakeholders in the project area.
Resource Availability	1. Is the requested project funding within the cap for Project Formulation Assistance Grants set by the Board?	Yes.
	2. If the implementing entity has requested, is the Implementing Entity Management Fee at or below 8.5 per cent of the total	Yes.

	project/programme budget before the fee?	
Implementation Arrangements	1. Is the timeframe for the proposed activities adequate?	Yes.
	2. Is a summary breakdown of the budget for the proposed activities included?	Yes.
Secretariat's Overall Comment	The proposed activities are eligible for a Project Formulation Assistance Grant and would support the development of the funding proposal of the project "Enhancing Resilience of Communities and Fragile Ecosystems to Climate Change in Katonga Catchment".	
Date:	May 26, 2020.	



ADAPTATION FUND

Request for Project Formulation Assistance to undertake special technical assessments

Submission Date: 02 August 2019

Adaptation Fund Grant ID:
 Country: UGANDA
 Title of Project/Programme: ENHANCING RESILIENCE OF COMMUNITIES AND FRAGILE ECOSYSTEMS TO CLIMATE CHANGE IN KATONGA CATCHMENT, UGANDA
 Implementing Entity: MINISTRY OF WATER AND ENVIRONMENT
 Executing Entity/ies: MINISTRY OF WATER AND ENVIRONMENT IN PARTNERSHIP WITH GLOBAL WATER PARTNERSHIP EASTERN AFRICA

A. Timeframe of Activity

Expected start date of activity	Upon Concept Note Approval
Completion date of activity	Three Months After Concept Note Approval

B. Type of support requested

Describe the technical assessment(s) the implementing entity will undertake to support the design and development of adaptation projects and programmes

Type of Technical Assessment requested*.	Duration (months)	Type/name of provider for the requested support ¹	Requested budget (USD)
Baseline Survey: This will provide evidence of current status before project start. It will enable to measure the project milestones, cost effectiveness and impact after project execution/closure.	3 weeks	Consultant to be determined immediately on approval of the grant	4000


¹ Specify if it is an institution, consulting firm or individual consultant. When possible, provide the name of the institution, firm or individual identified or selected.

<p>Socio-economic and vulnerability assessment: The social and economic well-being of the stakeholders in the project area will be analyzed i.e. how their economic activities affect or are shaped by the social processes and vice versa. The assessment will also analyze how the communities and ecosystems are susceptible to climate change, including climate variability and extremes</p>	4 weeks	Consultant to be determined immediately on approval of the grant	5000
<p>Gender Analysis: Assess how gender is incorporated/ mainstreamed into the climate change related frameworks; gender and governance /leadership in the existing structures in the project area; and gender roles and responsibilities in the nature-based enterprise development</p>	3 weeks	Consultant to be determined immediately on approval of the Project formulation grant	4500
<p>Workshop: Consultation workshop targeting stakeholders in the project area. One workshop targeting the key stakeholders in the catchment (Katonga- the project area). The workshop will cost US\$ US\$4000</p>	One day	Consultant to be determined immediately on approval of the Project formulation grant	4000
<p>Design of the full technical report: The technical report will be compiled, and assessment outcomes will be incorporated into the full proposal, validated before submission to AF</p>	10 days	Consultant to support in the consolidation of the technical issues will be determined immediately on approval of the Project formulation grant	2500
Total Grant Requested (USD)			20000

***Footnote: Technical assistance could include EIA, VA, technical studies, gender assessment etc.**

C. 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
Mr. Alfred Okot Okidi, Permanent Secretary, Ministry of Water and Environment (NIE)		08/05/2019	Mr. James Kawesi, Ministry of Water and Environment	+256 785800094	jkaweesi11@gmail.com

D. Record of endorsement on behalf of the government

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

Mr. Keith Muhakanizi Permanent Secretary/Secretary to the Treasury Ministry of Finance, Planning and Economic Development	Date: (Month, day, year)
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PART IV: ENDORSEMENT BY GOVERNMENT AND CERTIFICATION BY THE IMPLEMENTING ENTITY

A. Record of endorsement on behalf of the government² Provide the name and position of the government official and indicate date of endorsement. If this is a regional project/programme, list the endorsing officials all the participating countries. The endorsement letter(s) should be attached as an annex to the project/programme proposal. Please attach the endorsement letter(s) with this template; add as many participating governments if a regional project/programme:

<p>Mr. Keith Muhakanizi Permanent Secretary/Secretary to the Treasury Ministry of Finance, Planning and Economic Development</p>	<p>Date: (Month, day, year)</p>
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B. Implementing Entity certification Provide the name and signature of the Implementing Entity Coordinator and the date of signature. Provide also the project/programme contact person's name, telephone number and email address

I certify that this proposal has been prepared in accordance with guidelines provided by the Adaptation Fund Board, and prevailing National Development and Adaptation Plans (National Development Plan II, Nationally Determined Contribution (2018), National Adaptation Framework, National Climate Change Policy (NCCP) and implementation Strategy (2013), Sustainable Development Goals and Uganda Vision 2040) and subject to the approval by the Adaptation Fund Board, commit to implementing the project/programme in compliance with the Environmental and Social Policy of the Adaptation Fund and on the understanding that the Implementing Entity will be fully (legally and financially) responsible for the implementation of this project/programme.

Mr. Alfred Okot Okidi,
Permanent Secretary,
Ministry of Water and Environment (NIE)
Implementing Entity Coordinator



Date: (Month, Day, Year)

Tel. and email:

Project Contact Person: **Mr. James Kawesi**, Ministry of Water and Environment

Tel. Email: +256 785800094 Email: jkaweesi11@gmail.com

⁶ Each Party shall designate and communicate to the secretariat the authority that will endorse on behalf of the national government the projects and programmes proposed by the implementing entities.