



ADAPTATION FUND

Overview of access criteria for Innovation grants

Climate Finance Workshop, Costa Rica

21-23 June 2022

Alyssa Gomes,

Climate Change Specialist, Innovation

Outline



Innovation Facility

- Background
- Definition of innovation
- Innovation pathway



Access modalities

- Small grants for innovation
- AFCIA programme
- Large innovation projects



Criteria & How to apply

- Innovation Criteria and Indicators
- Application process
- Key materials



ADAPTATION FUND



ACTION

- Support eligible countries to undertake high quality adaptation projects and programmes consistent with their priority needs, goals and strategies.

INNOVATION

- Support the development and diffusion of innovative adaptation practices, tools, and technologies for effective, long-term adaptation to climate change accelerated, encouraged and enabled.

LEARNING AND SHARING

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

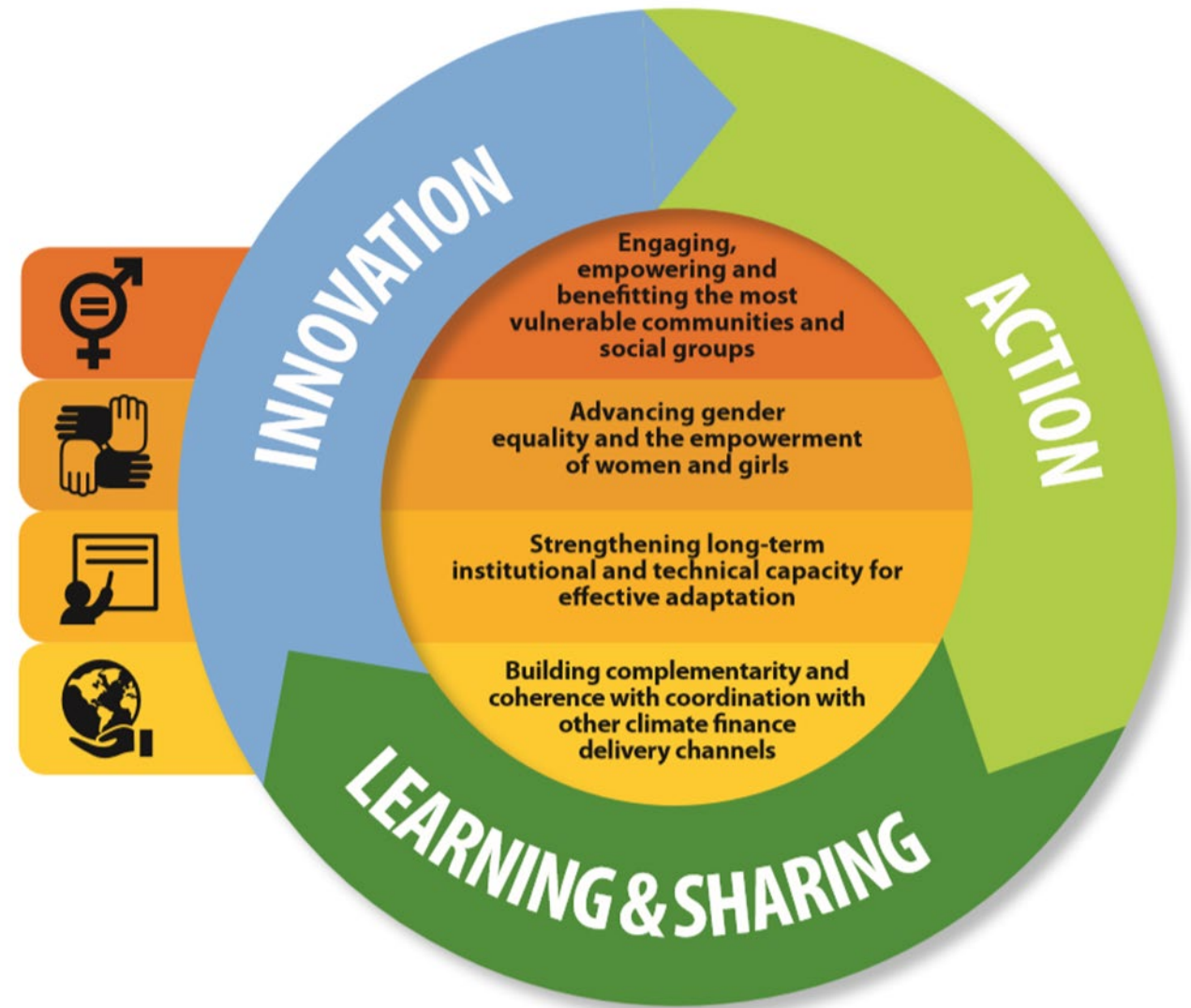


Innovation as a Strategic Focus for Adaptation

The Adaptation Fund's Medium-Term Strategy established the Innovation Facility

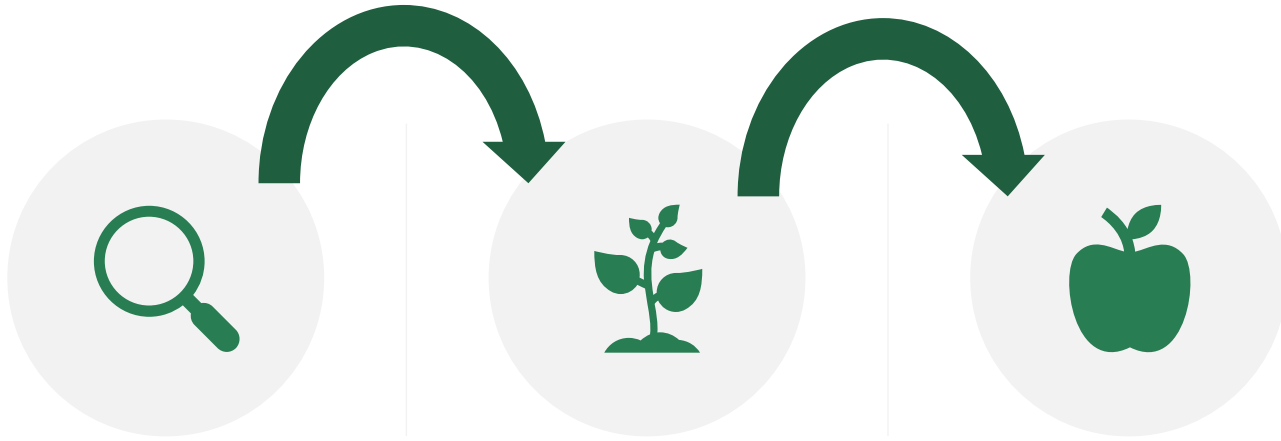
An **Innovation Facility** dedicated to:

- a) Roll out successful innovations;
- b) Scale up viable innovations;
- c) Encourage and accelerate innovations; and
- d) Generate evidence of effective and efficient innovation in adaptation.



ADAPTATION FUND

What is Innovation?



Understood as the creating, testing, deployment or diffusion of new, adapted or improved adaptation solutions

Developed contextually and with the inclusion of the communities most vulnerable to climate change

Emphasis on iterative deployment where change, learning, and new information are embraced



What is innovation for the Adaptation Fund

- ✓ Innovation is understood as the **development, testing, deployment or diffusion at scale of new, adapted and/or improved** adaptation solutions.
- ✓ Innovation solutions may relate to **physical and technological tools, knowledge and skills, and institutions, policies, rules, and organizations.**
- ✓ All innovation solutions should be **developed with the relevant social, ecological, economic, and cultural context in mind.**



What is not innovation for the Adaptation Fund

- ✓ Patents and business generation in isolation
- ✓ **Basic technology transfers**, i.e. projects that include no or insignificant innovative techniques and/or practices or their adaptation to new circumstances
- ✓ **Measures well demonstrated elsewhere** over a significant period of time, **with no innovative element** in their application in the new context
- ✓ Very high-risk ideas with no evidence base



Thematic areas



- Disaster Risk Reduction



- Nature-based solutions



- Coastal management



- Agriculture



- Water resources Management



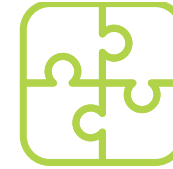
- Forests and Land Use



- Rural development



- Food Security



- Social innovation



- Urban adaptation



- Advancement of gender equality



- Enhancement of cultural heritage



- Focus on communities



- Inclusion of youth

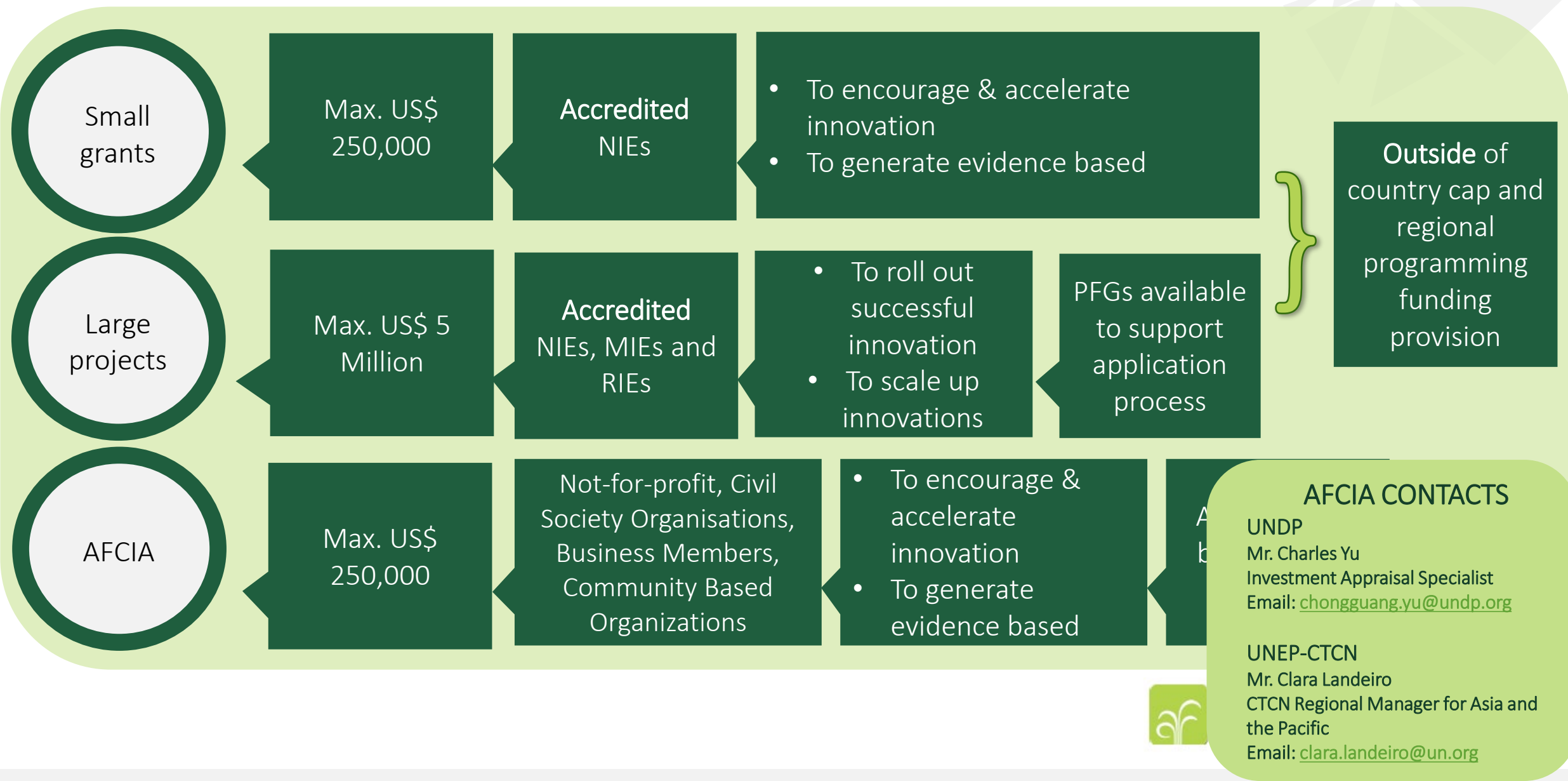


- Innovative adaptation financing



ADAPTATION FUND

Adaptation Fund's Innovation Funding Opportunities



6 Awarded Small Innovation Projects



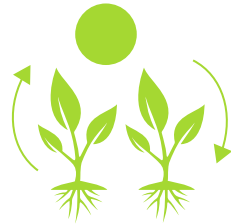
ADAPTATION FUND

Types of innovation



Transformational or disruptive change

- E.g. repurposing land areas and creating novel incomes



Low tech revival

- E.g. Traditional or ingenious tools repurposed



Application of something new to add value

- E.g bringing in an existing technology and adapting it to a new location

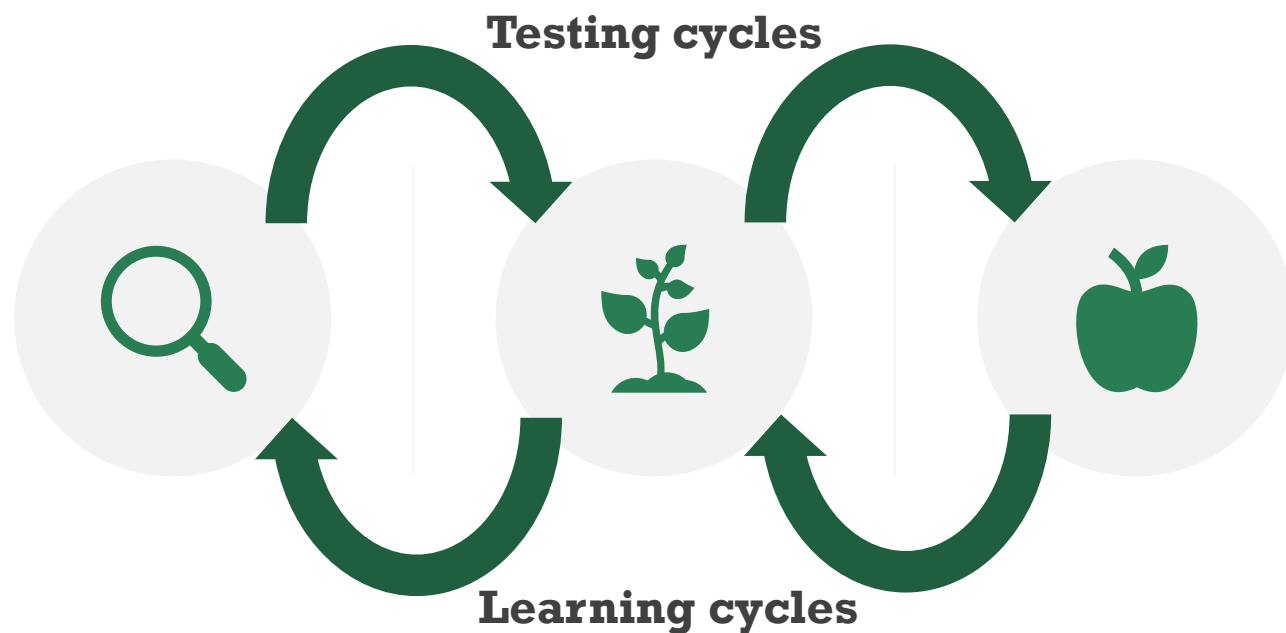


Process or social developments and changes

- E.g. new policy



What is an innovation pathway?

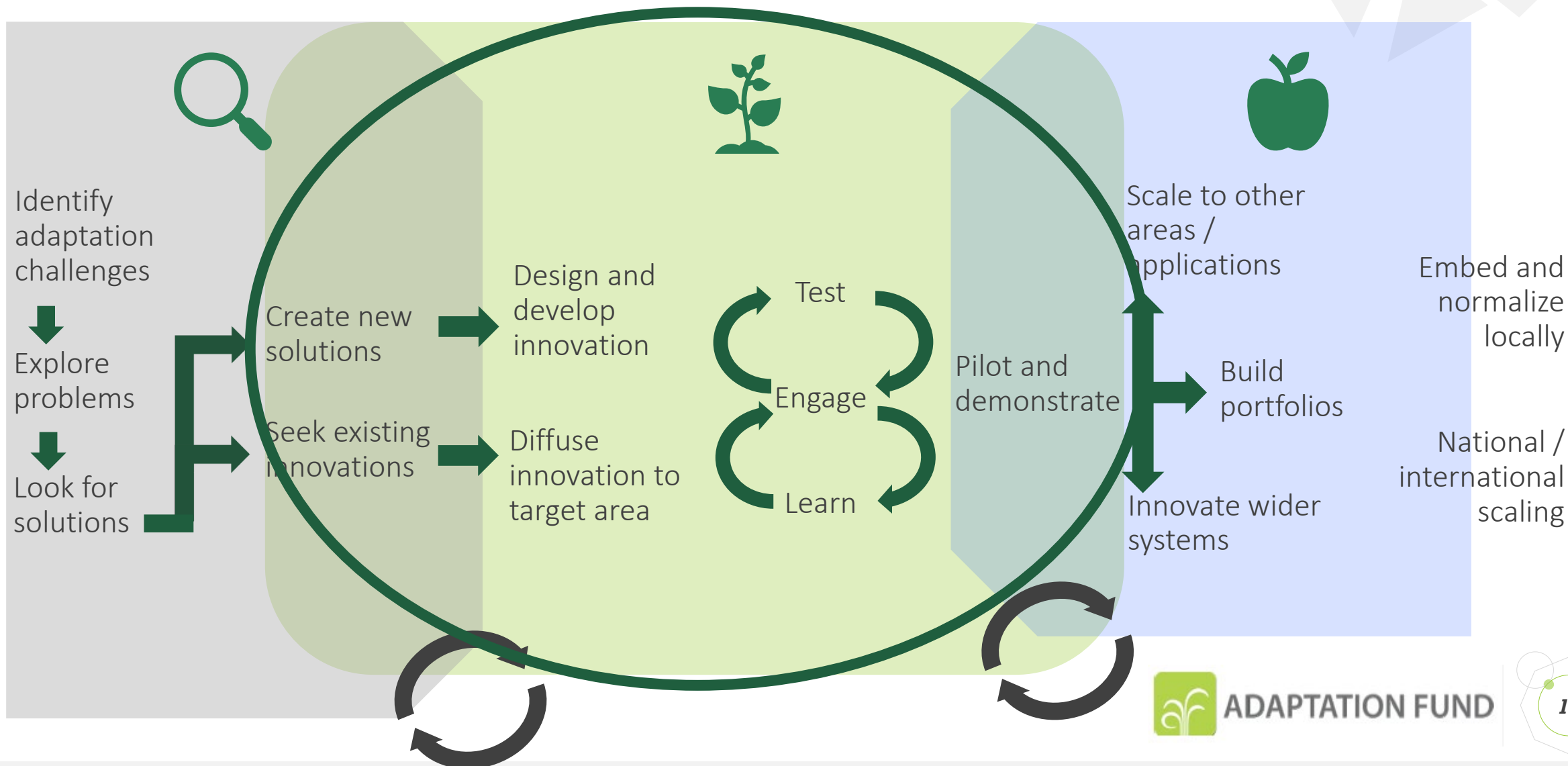


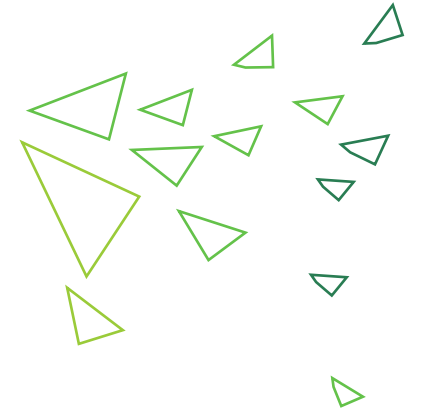
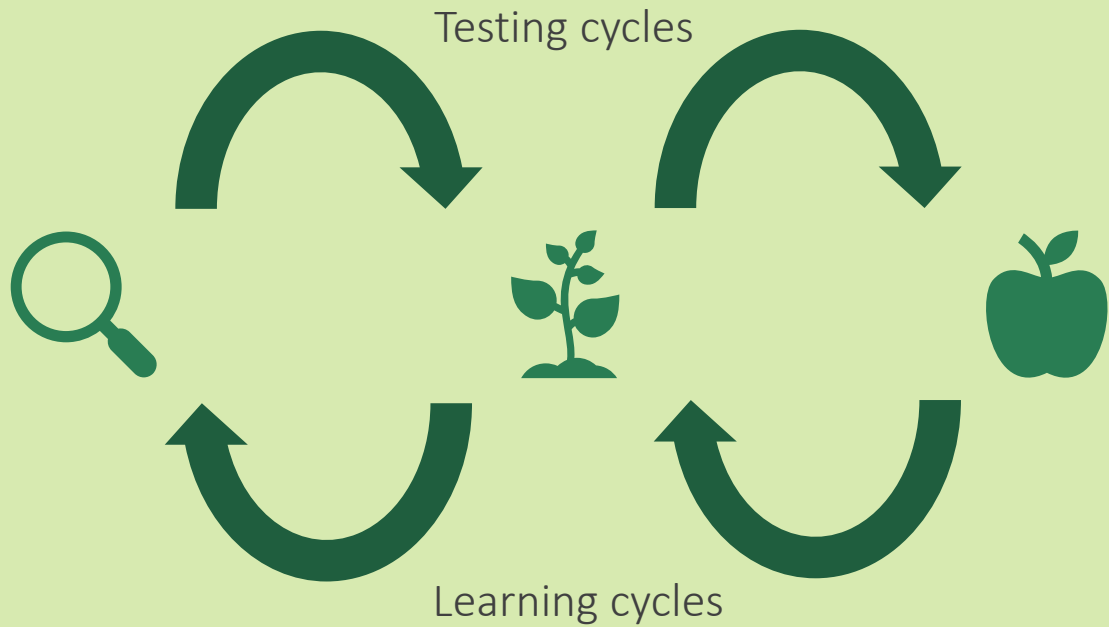
Innovation is an on going process of scoping, testing, learning, and scaling.



ADAPTATION FUND

The innovation pathway





Innovation is a pathway

Stage 1: Identify, seek, ideate

Stage 2: Test, engage, learn, adapt

Stage 3: Scale, develop, share, normalize



ADAPTATION FUND



Innovation Projects



Experimenting




Adapting



Transforming



ADAPTATION FUND

The background image shows a close-up of hands working with large, vibrant green leaves. The hands are positioned over a fabric with a bold red floral pattern on a white background. One hand is visible on the left, wearing a black sleeve and a white wristband with a cartoon character. The other hand is on the right, with a dark nail polish. The leaves are being folded or pinned, with small wooden pins visible. The overall scene suggests a craft or agricultural activity.

Access Modalities for AF Innovation Small & Large projects



ADAPTATION FUND

Innovation small grants

Test, evaluate, roll out and scale up innovative adaptation practices, products and technologies.



New innovations encouraged and accelerated.

Development of innovative adaptation practices, tools and technologies encouraged and accelerated

Evidence base generated.

Evidence of effective, efficient adaptation practices, products and technologies generated as a basis for implementing entities and other funds to assess scaling up



ADAPTATION FUND



Key materials



Free on-line training on the understanding of innovation



Free online training on the Innovation Small Grant application



Application sample for Innovation Small Grants

Large innovation projects

Test, evaluate, roll out and scale up innovative adaptation practices, products and technologies.

**NIE, RIE,
MIE**



5 Million



Successful innovations rolled out.

Innovative adaptation practices, tools and technologies that have demonstrated success in one country spread to new countries/regions;

Viable innovations scaled up.

Innovative adaptation practices, tools and technologies that have demonstrated viability at a small scale piloted at larger scales.



ADAPTATION FUND

Innovation specific sections in the proposal template

Innovation Rationale

- ✓ Describe the **problem** the project is aiming to solve.
- ✓ Identify and define the **climate adaptation problem that is to be overcome through innovation**
- ✓ **A concise problem statement:** current situation, the desired future, and the gap between the two.
- ✓ **How the innovation process** (i.e., through the testing of new, adapted or improved methods, technologies and/or approaches to adaptation, or trialing innovation on the path to scale for adaptation solutions) **contribute towards overcoming that problem**
- ✓ Innovation rationale: **fundamental reason or logic that underpins a chosen course of action.**

Learning and knowledge management

- ✓ **Learning loops** are fundamental to innovation.
- ✓ How does the project/programme incorporate approaches that not only assess how well adaptation activities are being implemented, but also which questions the appropriateness of those activities in the first place
- ✓ Encompasses **iterative, participatory and action learning interactions.**
- ✓ **Keep track of experiences gained from their project and analyze them periodically** to enrich the global, national and local knowledge to accelerate understanding about what kinds of interventions work.



Multiple perspectives on innovation

- ✓ How the project/programme was, and will continue to be, co-developed together with the communities most vulnerable to climate change.
- ✓ Outline the perspectives on innovation garnered from a variety of stakeholders
- ✓ Facilitate a **co-design process that ensures inclusive participation** and continuous engagement of all partners, including buy-in and commitment.

Financial and project risk management.

- ✓ How is data (arising from the project) used to inform the innovation's design, especially during its early stages, that point innovators in the direction of better design choices.
- ✓ Project/programmes may adopt a **“portfolio approach” where multiple projects and investments offers the chance to spread risk**, with multiple investments helping to mitigate the chance of loss, because if one investment fails others might still succeed.
- ✓ While it is important to estimate and measure risk accurately, in designing interventions, **projects/programmes should consider how people (beneficiaries) estimate and perceive risk**



Potential for Scaling

- ✓ For the Adaptation Fund, scaling is in the context of the “potential for scaling”.
- ✓ Learning from the project must be captured and disseminated so others can use it as an evidence base for scaling.
- ✓ Scaling can be implemented where appropriate, and otherwise be considered as part of learning and knowledge capture.
- ✓ Scaling should include long-term partnership and support beyond existing institutional funding cycles and strategies.
- ✓ A key starting point is a well-founded understanding of the problem that needs a solution at scale
- ✓ Vision of scale of impact - focus is on impact of the innovation, rather than solely on the innovation per se.



Indicators for innovation



Strategic Results Framework

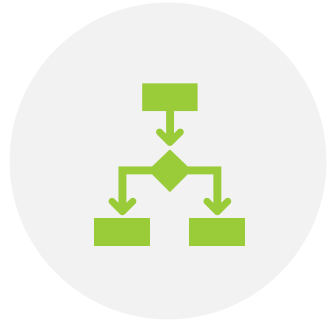
ADAPTATION FUND



Indicators on innovation



Strategic Results Framework amended in March 2019. Consists of impact level results, with associated core indicators, outcomes and outputs, and indicators associated with the outcomes and outputs



Outcome 8 is focused specifically on innovation, which aligns with the MTS Innovation Strategic Focus



It is foreseeable that the objectives and indicators for innovation will need to be **periodically revisited and potentially refined**



ADAPTATION FUND

5 Pilot indicators for innovation activities

(Document AFB/B.37/6) (1/2)

Performance Indicator	Definition	Measurement
Number of innovations advanced	<i>Number of new, adapted or improved adaptation solutions, developed contextually and with the inclusion of the communities most vulnerable to climate change, to enable those communities to become more resilient to climate change. Innovation solutions may include approaches, technologies, and mechanisms.</i>	<i>Number of innovative solutions deployed, adapted or improved</i>
Number of innovators supported	<i>Number of persons or groups who can introduce an innovation, supported.</i>	<i>Number of innovators (persons or groups), disaggregated by gender (male/female/other) and youth status (youth/non-youth)</i>
Number of partnerships in innovation leveraged	<i>Number of partnerships related to innovation, leveraged for exchange of goods or services or ideas, consultations, and assistance (that could be in form of technical assistance, funds, in-kind contributions, and other) between grantee and a stakeholder (for example, contributor, recipient governments, accredited Implementing Entities, the AF CSO Network and other civil society stakeholders, as well as other relevant stakeholders, including unconventional actors.)</i>	<i>Number of innovation related partnerships created</i>

(2/2)

Performance Indicator	Definition	Measurement
<i>Number of innovation “learning and sharing” initiatives</i>	<i>Number of learning and sharing initiatives undertaken, including communication initiatives. This can include studies and reports, lessons-learned events and workshops, articles, broadcasts, social media. This can also include any “change, learning and new information” initiatives that support iterative deployment of the innovation, and can take innovation projects and programmes in different directions.</i>	<i>Number of “learning and sharing” initiatives in innovation</i>
<i>Number of applicants to innovation calls under the project or programme</i>	<i>Number of applications submitted by individuals or organizations to an innovation competition or challenge.</i>	<i>Number of applications (disaggregated by gender, specify if organizational applications are by female-led organizations)</i>

Proposed Revised Outcome 8 of the SRF

Outcome 8: Support the development and diffusion of innovative adaptation practices, tools and technologies

8.1 No. of new, adapted or improved adaptation solutions developed contextually and with the inclusion of the communities most vulnerable to climate change

8.2 No. of key findings on effective, efficient adaptation practices, products, and technologies generated and/or “learning and sharing” innovation initiatives undertaken

8.3 No. of individuals or organizations (disaggregated by gender) that submit an application to an innovation competition or challenge



(...Continued)

Proposed Revised Outcome 8 of the SRF

Output 8: Viable innovations are rolled out, scaled up, encouraged, accelerated, and/or evidence base generated at regional, national, and/or subnational level

- 8.1.1 No. of innovators supported (disaggregated by gender (male/female/other) and youth status (youth/non-youth)).
- 8.1.2 No. of innovation related partnerships leveraged for exchange of goods or services or ideas, consultations, and assistance between grantee and stakeholder/s
- 8.2.1 No. of key findings generated from an innovation practice, tool, and/or technology
- 8.2.2 No. of learning and sharing initiatives undertaken, including communication initiatives
- 8.3.1 No. of applications (individuals or organizations) to innovation calls under the project or programme

Alignment with the Strategic Results Framework (SRF) of the Fund

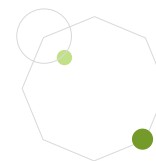
- SRF includes long-term goal, **outcome**, **outputs**, and a small set of **indicators** for the Fund as a whole.
- Projects/programmes must **align with at least one outcome and one output indicator** from the Adaptation Fund's Strategic Results Framework at project design stage.
- Following **Board Decision B.38/43**, a revised outcome 8 of the Strategic Results Framework (SRF) is available in document [AFB/PPRC.29/44](#).



Application of Guidance

Application of guidance

- The document also provides guidance to implementing entities for application of innovation indicators in projects/programmes, including sections of relevance in the application template for reporting and monitoring innovation indicators.
- The indicators may also be applicable to the innovation aspects of the single-country and/or regional projects financed outside the funding provisions established under the Innovation Pillar of the MTS.
- Table 4. in the guidance document illustrates how a project's/programme's objectives and outcomes could be aligned with the AF's outcome and output indicators.



Suggested reading

PROGRAMME ON INNOVATION: OPERATIONALIZATION OF LARGE GRANTS FOR INNOVATION describes the process for the creation of Large Innovation Projects and in Annex IV (pages 28 to 43) provides a set of instructions on what type of questions proponents should think when writing their proposals

FURTHER CLARIFICATION OF VISION AND DEFINITION OF INNOVATION UNDER THE ADAPTATION FUND: ANALYSIS OF RELEVANT ELEMENTS AND GUIDANCE ON REVIEW CRITERIA states the Fund's approach to innovation, and in Annex I (pages 13 to 19) presents guidance on how to approach innovation in adaptation within proposals



Key documents



Options for further Defining Innovation in Adaptation Projects and Programmes

[AFB/PPRC.26.b/17](#)



Further Clarification of Vision and Definition of Innovation under the Adaptation Fund:

Analysis of Relevant Elements and Guidance on Review Criteria [AFB/B.36/8](#)



Specific Objectives and Indicators for the Innovation Aspects of Projects and Programmes [AFB/B.37/6](#)



ADAPTATION FUND

How to apply

<https://www.adaptation-fund.org/>

Projects & Programmes

Apply For Funding

Readiness

Knowledge & Learning

News & Events

Adaptation Fund at COP26

Innovation Funding

Accreditation

Project Funding

Innovation Funding

Readiness Grant Funding

Enhanced Direct Access (EDA) Projects

Operational Policies & Guidelines

Designated Authorities

Implementing Entities

NIE Small Grants for Innovation

Adaptation Fund Climate Innovation Accelerator (AFCIA)

Large Innovation Projects

Projects to Date

Key Materials

Apply For Funding

Enhanced Direct Access (EDA) Projects >

Accreditation >

Project Funding >

Innovation Funding >

NIE Small Grants for Innovation

Adaptation Fund Climate Innovation Accelerator

The Fund has supported innovation throughout its history. The Facility builds on the Fund's core strengths and comparative advantage as a highly functioning and innovative fund established to finance concrete adaptation projects in developing countries

the innovation pillar of the Fund's [Medium-Term Strategy](#) for d's innovative aspects. The pillar's objective is to accelerate, effective, long-term adaptation to climate change.

ate Agreement, which calls accelerating, encouraging and active global response to climate change.



How to apply



Download and complete the provided application form



Attach a signed letter of endorsement by the Designated Authority



Send completed application to the Adaptation Fund

The call for innovation grants opens **twice a year** for consideration at the bi-annual board meetings and follows the project cycle submission process. After review by the secretariat comments can be addressed by the IE and the proposal resubmitted.



ADAPTATION FUND



Upcoming opportunities

Under the Innovation Facility

- Small Innovation Grants and Large Innovation Projects are open to receive proposals for the AFB39 Board meeting. Deadline is August 8, 2022 at 18:00 (Washington DC time). Proposals may be submitted as early as August 1, 2022.




ADAPTATION FUND


Thank You





ADAPTATION FUND


Innovation Team at the Adaptation Fund


Saliha Dobardzic 

sdobardzic@adaptation-fund.org 

Alyssa Gomes 

agomes3@adaptation-fund.org 

Claudia Lasprilla Pina 

clasprillapina@adaptation-fund.org 

www.adaptation-fund.org 