



ADAPTATION FUND

AFB/PPRC.30/37/Add.1  
03 October 2022

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Adaptation Fund Board  
Project and Programme Review Committee  
Thirtieth Meeting  
Bonn, Germany, 11-12 October 2022

**PROJECT FORMULATION GRANT FOR  
GUINEA, MALI, MAURITANIA, SENEGAL**

## I. Background

1. The Board at its eleventh meeting discussed the document “Funding for Project Formulation Costs” (AFB/11/6) and agreed, in its Decision B.11/18, that:

- i. project formulation grants (PFG) should be given once a project concept has been approved;
- ii. consideration should be given in terms of differentiating between NIEs and MIEs, since some NIEs might have financial difficulties in trying to formulate project or programme proposals;
- iii. a flat rate should be given for project formulation costs;
- iv. a list of eligible activities and items still needed to be prepared; v. the grant should be additional to the project cost; and
- v. the fate of funds if the final project document was rejected should be determined.

2. There was consensus that a three-tiered system should be considered for project formulation grants: endorse a project concept with a PFG amount, endorse a project concept without a PFG amount, or reject the project concept.

3. Following the discussion, the Board decided:

*“To request the secretariat to reformulate the document, to include a comparison of eligible activities provided by other funds for project formulation grants, to take into account guidance provided by the Board at the present meeting, and to submit the document to the Board at its twelfth meeting, through the EFC. The EFC should review and finalize the process and policy of the project formulation grant focusing, in particular, on: the issue of unspent project funds; the procedures followed by other funds in that regard; and the determination of a flat-rate.”*

4. A document was prepared by the secretariat in response to the above mandate and presented at the third EFC meeting, which made specific recommendations to the Board at its twelfth meeting. Having considered the recommendation of the Ethics and Finance Committee, the Board, in its Decision B.12/28, decided that:

*(a) Project Formulation Grants (PFGs) will only be made available for projects submitted through NIEs. The Board would continue reviewing the question of PFGs for projects submitted through MIEs and would solicit comments from members and alternate members by February 14, 2011; the views would be compiled by the secretariat for presentation to the Board at its March 2011 meeting;*

*(b) If a country required a project formulation grant, a request should be made at the same time as the submission of a project concept to the secretariat. The secretariat will review and forward it to the PPRC for a final recommendation to the Board. A PFG could only be awarded when a project concept was presented and endorsed;*

*(c) A PFG form, reproduced in Annex V, should be submitted;*

- (d) Only activities related to country costs would be eligible for PFG funding;*
- (e) A flat rate of up to US\$30,000 shall be provided, inclusive of the management fee, which cannot exceed 8.5 per cent of the grant amount. The flat fee would be reviewed by the Board at its thirteenth and all subsequent meetings;*
- (f) If the final project document is rejected, any unused funds shall be returned to the Adaptation Fund Trust Fund;*
- (g) Once a project/programme formulation grant is disbursed, a fully developed project document should come to the Board for approval within 12 months. No additional grants for project preparation can be received by a country until the fully developed project/programme document has been submitted to the Board; and*
- (h) The Trustee was instructed to remove the set-aside of US\$100,000 for project preparation that had been decided at the June 2010 meeting, as project preparation would be approved on a project-by-project basis.*

5. In its twenty-fourth meeting, the Board had initiated steps to launch a pilot programme on regional projects and programmes, not to exceed US\$ 30 million and had requested the secretariat to prepare for the consideration of the Board a proposal for such a pilot programme (Decision B.24/30). In its twenty-fifth meeting, the secretariat submitted such document and the Board decided to:

- (a) Approve the pilot programme on regional projects and programmes, as contained in document AFB/B.25/6/Rev.2;*
- (b) Set a cap of US\$ 30 million for the programme;*
- (c) Request the secretariat to issue a call for regional project and programme proposals for consideration by the Board in its twenty-sixth meeting; and*
- (d) Request the secretariat to continue discussions with the Climate Technology Center and Network (CTCN) towards operationalizing, during the implementation of the pilot programme on regional projects and programmes, the Synergy Option 2 on knowledge management proposed by CTCN and included in Annex III of the document AFB/B.25/6/Rev.2.*

*(Decision B.25/28)*

6. The approved document AFB/B.25/6/Rev.2 contained provisions for the approval of project formulated grants for regional project and programme proposals, at different development stages, as follows:

*“It is proposed that the Board open a structured call for MIEs and RIEs to submit pre-concepts for regional projects and programmes. The optional pre-concepts would be very brief proposals of maximum 5 pages that would explain the proposed regional adaptation project/programme. The pre-concepts would be screened and*

*technically reviewed by the secretariat, and subsequently reviewed by the PPRC. Together with the pre-concept, the proponent could submit a Phase I PFG request, up to the maximum level of US\$ 20,000. While endorsing the pre-concept, the Board could also approve the Phase I PFG request. The endorsement of the pre-concept would not create an obligation for the Board for later funding. As the next step, the proponent would submit a concept, and with it the proponent could submit a Phase II PFG request. The maximum AFB/PPRC.18/25/Add.1 level of the Phase II PFG would be US\$ 80,000 for proposals that had been previously granted Phase I PFG, and US\$ 100,000 for proposals that bypassed the optional pre-concept stage. While endorsing the concept, the Board could also approve the Phase II PFG request. The endorsement of the concept would not create an obligation for the Board for later funding, as it is the case for the national projects. The final stage of the proposal process would be the submission of the fully-developed regional project document”.*

7. The Board in its thirty-seventh meeting, having considered the recommendation of the Project and Programme Review Committee (PPRC), the Adaptation Fund Board decided:

*(d) To raise the maximum amount of individual project formulation grants available to national implementing entities to US\$ 50,000*

*(Decision B.37/1 (d))*

## **II. The Project Formulation Grant Request**

8. This addendum to the document AFB/PPRC.30/37 “Proposal for Guinea, Mali, Mauritania, Senegal” includes a request for a Project Formulation Grant, requesting a budget of US\$ 80,000, which was received by the secretariat along with the concept for the project AF00000253 “Strengthening the Resilience of Climate-Vulnerable Communities in the Senegal River Basin Using a Multi-Hazard Early Warning System and Building Adaptive Capacity”. This proposal was submitted by Sahara and Sahel Observatory (OSS), which is a Regional Implementing Entity of the Adaptation Fund, in time for consideration by the Adaptation Fund Board at its thirty-ninth Board meeting.

9. In accordance with Decision B.12/28, paragraph (b), the secretariat carried out an initial review of the PFG 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 carry a cost-effectiveness assessment, a gender analysis, environmental impact studies, national and regional workshops and support the design of the full project proposal.

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



## ADAPTATION FUND

### Project Formulation Grant (PFG)

Submission Date: August 8, 2022

Adaptation Fund Project ID:

Countries: **Guinea, Mali, Mauritania and Senegal**

Title of Project: **Strengthening the resilience of climate-vulnerable communities in the Senegal River Basin using a multi-hazard early warning system and building adaptive capacity \_ ARCC-SRB**

Type of IE: **RIE**

Implementing Entity: **Sahara and Sahel Observatory (OSS)**

Executing Entity: **Senegal River Basin Development Authority (OMVS)**

#### A. Project Preparation Timeframe

Start date of PFG	Upon Concept Note approval date
Completion date of PFG	10 months after Concept Note approval date

#### B. Proposed Project Preparation Activities (\$)

Description of the PFG activities and justifications:

List of Proposed Project Preparation Activities	Output of the PFG Activities	USD Amount
<b>Cost-effectiveness</b>	<ul style="list-style-type: none"><li>Assess the economic and financial contribution for the project zones' beneficiaries</li><li>Analyze the profitability of project activities taking into account the cost-effectiveness of the proposed, water management infrastructure, climate-resilient farming practices, IGAs as well as the project added-value at the environmental, social and economic levels</li></ul>	5 000

<b>Gender analysis</b>	<ul style="list-style-type: none"> <li>• Assess extent of gender mainstreaming into regional and national disaster risk management related policies with regards to governance, management, and emergency action plans</li> <li>• Analyze the existing gender strategies on addressing gender in water, agriculture and fishing related policies.</li> <li>• Monitoring and Evaluation interventions to measure progress and/ or impact of gender mainstreaming</li> <li>• Propose a gender specific action plan for ARCC-SRB project</li> </ul>	5 000
<b>Environment Impact Studies/Reviews</b>	<ul style="list-style-type: none"> <li>• Assessment of the project areas intervention and preliminary baseline establishment with additional stakeholder mapping</li> <li>• Environmental Impact assessment according to the AF 15 safeguards and OSS E&amp;S policy</li> <li>• Review of project interventions identified to cause disharmony to the environment and socio-economic setup of the communities. T</li> <li>• Development of an ESMP detailing the mitigation actions and its M&amp;E system.</li> </ul>	6 000
<b>Workshops</b>	National and regional concertation workshops with stakeholders and local communities' representatives	40 000
<b>Design of the full project proposal</b>	A complete funding proposal document including all the technical outcome from the preparatory studies and consultation workshops will be developed and validated before submission to the AF	10 000
<b>Travel/participation</b>	Travel costs and technical support	10 000
<b>Other costs</b>	Management fees	4 000
<b>Total Project Formulation Grant</b>		<b>80 000</b>

### C. Implementing Entity

This request has been prepared in accordance with the Adaptation Fund Board's procedures and meets the Adaptation Fund's criteria for project identification and formulation

Implementing Entity Coordinator, IE Name	Signature	Date (Month, day, year)
<b>Mr. Nabil BEN KHATRA,</b> OSS' Executive Secretary (RIE)		08/08/2022

Project Contact Person	Telephone	Email Address
<b>Mrs. Khaoula JAOUI,</b> Climate Department Coordinator	(+216) 71 206 633	<a href="mailto:boc@oss.org.tn">boc@oss.org.tn</a>



## Annexes

## Annex 1: Endorsement Letters



REPUBLIQUE DE GUINEE  
Travail - Justice - Solidarité

ADAPTATION FUND

MINISTÈRE DE L'ENVIRONNEMENT  
ET DU DÉVELOPPEMENT DURABLE

DIRECTION NATIONALE  
DES POLLUTIONS NUISANCES ET  
CHANGEMENTS CLIMATIQUES

CONVENTION-CADRE DES NATIONS UNIES SUR LE  
CHANGEMENT CLIMATIQUE

FOND D'ADAPTATION

N°003/MEDO/DNPNCC/CCNUCC/FA/2022

*Le Point Focal National*

Letter of Endorsement by Government

To: The Adaptation Fund Board  
c/o Adaptation Fund Board Secretariat  
Email: Secretariat@Adaptation-Fund.org  
Fax: 202 522 32405

Subject: Endorsement for the "Strengthening the resilience of climate-vulnerable communities in the Senegal River Basin using a multi-hazard early warning system and building adaptive capacity (ARCC-SRB) project.

In my capacity as designated authority for the Adaptation Fund in Guinea, I confirm that the above regional 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 Guinea.

Accordingly, I am pleased to endorse the above project proposal with support from the Adaptation Fund. If approved, the project will be implemented by the Sahara and Sahel Observatory (OSS) and executed by OMVS (Organisation pour la Mise en Valeur du Fleuve Sénégal).

Sincerely,



Madame Omou DOUMBOUYA  
DNAPNCC/Focal Point Adaptation Fund

Ministère de l'Environnement, des Forêts et de la Faune, Direction Nationale des Pollutions, Nuissances et Changements Climatiques, Coordonnateur Adjoint  
Immuable ON/S, Tél : +220 622 49 82/0982 83 84 85, BP : 3116 Conakry, République de Guinée

MINISTÈRE DE L'ENVIRONNEMENT, DE L'ASSAINISSEMENT  
ET DU DÉVELOPPEMENT DURABLE

REPUBLIQUE DU MALI  
UN PEUPLE - UN BUT - UNE FOI

SECRETARIAT GENERAL



Letter of Endorsement by Government

Bamako le 09 mai 2022

To: The Adaptation Fund Board  
c/o Adaptation Fund Board Secretariat  
Email: Secretariat@Adaptation-Fund.org  
Fax: 202 522 32405

Subject: Endorsement for the "Strengthening the resilience of climate-vulnerable communities in the Senegal River Basin using a multi-hazard early warning system and building adaptive capacity (ARCC-SRB) project.

In my capacity as designated authority for the Adaptation Fund in Mali, I confirm that the above national grant 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 the Mali.

Accordingly, I am pleased to endorse the above project proposal with support from the Adaptation Fund. If approved, the project will be implemented by the Sahara and Sahel Observatory (OSS) and executed by OMVS (Organisation pour la Mise en Valeur du Fleuve Sénégal).

Sincerely,



Mrs. Niamele Aminata Diarra  
Conseiller Technique  
Ministère de l'Environnement, de l'Assainissement et du Développement Durable

الجمهورية الإسلامية الموريتانية  
شرف - عمل - عدل

REPUBLIQUE ISLAMIQUE DE MAURITANIE  
Honneur - Fraternité - Justice

وزارة البيئة والتنمية المستدامة  
Ministère de l'Environnement  
et du Développement Durable

06 MAI 2022

مديرية المناخ والاقتصاد الأخضر  
Direction climat et Economie Verte

Le Directeur المدير

To: The Adaptation Fund Board  
c/o Adaptation Fund Board Secretariat  
Email: Secretariat@Adaptation-Fund.org  
Fax: 202 522 32405


Subject: Endorsement for the "Strengthening the resilience and adaptive capacity of climate-vulnerable communities in the Senegal River basin" project.

In my capacity as designated authority for the Adaptation Fund in Mauritania, I confirm that the above regional project proposal is in accordance with the government's regional priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in the Senegal River basin.

Accordingly, I am pleased to endorse the above project proposal with support from the Adaptation Fund. If approved, the project will be implemented by the Sahel and Sahara Observatory and executed by the OMVS.

Sincerely,

Mr. Sidi Mohamed Ould El Wawi  
NDA/AFB Mauritania




Copy - MEDD



République du Sénégal  
Un Peuple - Une Vie - Une Foi

MINISTÈRE DE L'ENVIRONNEMENT  
ET DU DÉVELOPPEMENT DURABLE

DIRECTION DE L'ENVIRONNEMENT  
ET DES ÉTABLISSEMENTS CLASSES



DEEC

Letter of Endorsement by Government

Dakar, le 16 JUIN 2022


To: The Adaptation Fund Board  
c/o Adaptation Fund Board Secretariat  
Email: Secretariat@Adaptation-Fund.org  
Fax: 202 522 324075

Subject: Endorsement for the "Strengthening the resilience of climate-vulnerable communities in the Senegal River Basin using a multi-hazard early warning system and building adaptive capacity" project.

In my capacity as designated authority for the Adaptation Fund in Senegal, I confirm that the above regional project proposal is in accordance with the government's regional priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in the Senegal River basin.

Accordingly, I am pleased to endorse the above project proposal with support from the Adaptation Fund. If approved, the project will be implemented by the Sahel and Sahara Observatory and executed by the OMVS.

Sincerely,



Ms. Niang Fily NIANG  
DNA/AF Senegal  
Direction de l'Environnement et des Établissements Classés  
Ministère de l'Environnement et du Développement Durable

Direction de l'Environnement et des Établissements Classés (DEEC)  
Parc Forestier de Hann, route des Pères Maristes BP - 6567 Dakar Tél : +221) 33 859 17 58  
106, rue Carnot - tél : +221) 33 821 63 49 Web : www.deec.gov.sn e-mail : call@deec.deec@gmail.com