



ADAPTATION FUND

AFB/PPRC.31/51
12 March 2023

Project and Programme Review Committee
Thirty-first Meeting
Bonn, Germany, 21-22 March, 2023

Agenda item 10

**REPORT OF THE SECRETARIAT ON INITIAL
SCREENING/TECHNICAL REVIEW
OF INNOVATION SMALL 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 innovation small grant proposals submitted by National Implementing Entities (NIEs) to the current meeting, and the process of screening and technical review undertaken by the secretariat.

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

3. At its thirtieth meeting, having considered document AFB/B.30/5/Rev.1, the Adaptation Fund Board decided:

(a) *To adopt the medium-term strategy as amended by the Board, as contained in the Annex 1 of the document AFB/B.30/5/Rev.1 (the MTS); and*

(b) *To request the secretariat:*

(i) *To broadly disseminate the MTS and work with key stakeholders to build understanding and support;*

(ii) *To prepare, under the supervision of the MTS task force, a draft implementation plan for operationalizing the MTS, containing a draft budget and addressing key assumptions and risks, including but not limited to funding and political risks, for consideration by the Board at its thirty-first meeting; and*

(iii) *To draft, as part of the implementation plan, the updates/modifications to the operational policies and guidelines of the Adaptation Fund needed to facilitate implementation of the MTS, for consideration by the Board at its thirty-first meeting.*

(Decision B.30/42)

4. Pursuant to decision B.30/42, subparagraph b (ii), the secretariat prepared a draft implementation plan for the MTS, including an assessment of assumptions and risks. The secretariat shared a version of the draft with the MTS task force for comments.

5. The draft implementation plan also contains suggestions for specific funding windows that might be opened under the MTS in complement of the Fund's existing funding windows for single-country and regional adaptation projects and readiness support projects. Following the approval of the implementation plan, the secretariat would present specific proposed details for each new funding window at subsequent meetings of the Board for its consideration, in accordance with the timeline contained in the implementation plan.

6. At its thirty-first meeting, the Adaptation Fund Board discussed the draft implementation plan for the MTS, and members of the Board proposed amendments to the document. The secretariat then presented a revised draft, in document AFB/B.31/5/Rev.1. Having considered that document, 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:*

[...]

(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;

(iv) Following consideration of the new types of support mentioned in subparagraph (b)(iii), to propose, as necessary, amendments to the Fund's operational policies and guidelines Fund to better facilitate the implementation of such new types of support; and

[...]

(Decision B.31/32)

7. At its thirty-second meeting, the Board considered document AFB/PPRC.23/4/Rev.2, Program on Innovation: Small Grants Projects through Direct Access Modality, and the Board decided:

(a) To approve the process for providing funding for innovation through small grants to National Implementing Entities (NIEs), as described in document AFB/PPRC.23/4/Rev.2, including the proposed objectives, review criteria, expected grant sizes, implementation modalities, review process and other relevant features as described in the document; and

(b) To request the secretariat to prepare the first request for proposals to NIEs for US\$ 2 million, to be launched at the twenty-fourth session of the Conference of the Parties to the United Nations Framework Convention on Climate Change in December 2018.

(Decision B.32/4)

8. Subsequently, the first request for proposals (RFP) to NIEs for US\$ 2 million was launched at the UNFCCC Conference of the Parties in December 2018.

Programming to-date

Table 1: Proposals Submitted, Approved

Project name	Country	Implementing Entity	Funding (USD)	Decision
Innovative technologies for improved water availability to increase food security in Antigua and Barbuda	Antigua and Barbuda	ABED	250,000	Under Implementation
Engaging Future Leaders: Digital Education Module on Adaptation Challenges and Best Practices for Youth	Armenia	EPIU	231,250	Under Implementation
Building Adaptive Capacity through Innovative Management of Pests/Disease and Invasive Alien Species (IAS) in Bhutan to Enhance Sustainable Agro-Biodiversity and Livelihoods	Bhutan	BTFC	250,000	Under Implementation
Water Security: Improving Water Access during Emergency Situations in San Antonio Province, Region Valparaíso	Chile	AGCICL	230,000	Under Implementation
Strengthening of a Replicable Micro Ecosystem of Accelerated Technological Innovation for Adaptation and Mitigation to Climate Change in Dominican Republic through the Development of a Pilot Thermo Solar Desalination Appropriate Technology	Dominican Republic	IDDI	249,929	Under Implementation
Enhancing Resilience to Climate-induced Flooding and Drought through the Deployment of a Water-filled Barrier	Uganda	MOWE	250,000	Proposal Approved
Total			1,461,179	

Table 2: Active pipeline under the Small Innovation Grants funding window (Proposals Submitted, Not approved)

Project name	Country	Implementing Entity	Funding (USD)	Decision
Implementation of Action of the Capacity Building and Climate Empowerment Strategy	Chile (1)	AGCID	247,200	Proposal Not Approved (AFB39)
Comprehensive Multi-Energy Isolated System for Community-based Food Security in the Chilean Patagonia	Chile (2)	AGCID	249,900	Proposal Not Approved (AFB39)
Sustainable Corridors. Adapting Electricity Transmission Infrastructure to the Climate Crisis through Nature-based Solutions in the Antofagasta Region	Chile (3)	AGCID	250,000	Proposal Not Approved (AFB39) Proposal Submitted (AFB40)
Developing "Climate Smart Community" System to Increase Climate Resilience for Sadding Watershed Communities	Indonesia (1)	Kemitraan	250,000	Proposal Not Approved (AFB39) Proposal Submitted (AFB40)

Towards Climate and Economic Resilience: Development Sustainable Adaptation-based of Coffee Village and Tourism Village through Co-production	Indonesia (2)	Kemitraan	250,000	Proposal Submitted (AFB40)
Djigui Niokolo: Developing Agro-Sylvo-Pastoral Models for Sustainable Agriculture and Environmental Preservation	Senegal	CSE	248,319	Proposal Not Approved (AFB39)
Climate Change Adaptation Through Operationalization of Vertical Shaft Brick Kiln Technology for Bricks Manufacturing and livelihood enhancement in Iganga District	Uganda	MOWE	250,000	Proposal Submitted (AFB40)
Total			1,745,419	

Innovation Small Grant Proposals Submitted by National Implementing Entities

9. Accredited national implementing entities submitted four innovation small grant proposals to the secretariat, with the total requested funding amounting to US\$ 1,000,000. All four proposals met the requirements for undergoing a complete technical review. The proposals included US\$ 50,307 or average of 5.30% in Implementing Entities management fees and US\$ 144,868 or average of 15.25% in execution costs.

10. The project was submitted by the National Implementing Entities (NIEs) for Chile, Indonesia, and Uganda. Details of the proposals are contained in the separate PPRC working document, as follows:

- (a) Chile: AFB/PPRC.31/53
- (b) Indonesia (1): AFB/PPRC.31/54
- (c) Indonesia (2): AFB/PPRC.31/55
- (d) Uganda: AFB/PPRC.31/56

Review Process

11. The secretariat subsequently reviewed the supplementary information provided by the IE and compiled a recommendation that is presented in the addendum to this document (AFB/PPRC.31/51/Add.1).

12. The eligible submissions were posted online for public review and the Adaptation Fund's CSO network as well as members of the Board were notified and invited to provide comments within a specified time period.

Issues identified

13. No issues of note were identified during this review cycle.

Table 4: Innovation small grant proposal submitted to the fortieth Board meeting

17. Innovation Small Grants	Country	IE	PPRC Document number	Grant Size, USD	IE Fee, USD	IE Fee %	Execution Cost, USD	EC %
NIE								
	Chile (1)	AGCID	AFB/PPRC.31/53	250,000	12,500	5.26%	63,800	26.86%
	Indonesia(1)	Kemitraan	AFB/PPRC.31/54	250,000	9,000	3.73%	21,250	8.82%
	Indonesia(2)	Kemitraan	AFB/PPRC.31/55	250,000	10,307	4.30%	20,818	8.69%
	Uganda	MoWE	AFB/PPRC.31/56	250,000	18,500	7.99%	39,000	16.85%
Sub-total, USD				1,000,000	50,307	5.30%	144,868	15.25%