DECODING THE EDA TEMPLATE AND ACCESS CRITERIA FOR EDA GRANTS

ADAPTATION FUND
Helping developing countries build resilience and adapt to climate change

Alyssa Gomes, Climate Change Specialist
Enhanced Direct Access Workshop, 9-11 May, 2023
ROLLING SUBMISSION REVIEW PROCESS FOR ALL WINDOWS

Steps 2, 3, and 4 will repeat until proposal is cleared for Board consideration

* Business standards (i.e., no. of weeks indicated above)
KEY ELEMENTS OF ROLLING SUBMISSION PROCESS

• Proposals will undergo a technical review within 3 weeks’ time.

• IE will be encouraged to resubmit it within 3 weeks’ time.

• Once cleared by the technical review, proposals will be prepared and forwarded for the consideration of the Board.

• Early submissions are strongly encouraged and will allow the IE to receive a review sooner, with more time and/or opportunities to make changes to the proposal.

• Also affects how a project will be prioritized for funding, should there be a need for waitlisting some of the projects.

• The secretariat will suspend the 3-week review standard close to the Board meeting, as it finalizes the preparation of the reports and project documents for the Board.

• The onset of the review intermission means that any proposals received thereafter will be reviewed only after the Board meeting.

• The next review intermission will be from August 21 until October 23, 2023.

• When submitting a proposal, please provide the following:

  Country and type of submission in the email subject, for example:

  Subject: Enhanced Direct Access fully-developed project_Country; OR
  Subject: Enhanced Direct Access concept-note project_Country;
| **SUBMISSION OF PROJECT AND PROGRAMME PROPOSALS**  
**ALL WINDOWS, AS AT 3 APRIL 2023** |  |
|---|---|
| **Open starting now** | Submission of proposals under above mentioned windows  
Adaptation Fund Board Secretariat - afbsec@adaptation-fund.org |
| **Review Intermission begins on 00:01 EST August 21, 2023** | Proposals submitted thereafter will be reviewed only after the conclusion of AFB 41 in October 2023. |
| **For questions on submissions: Single country and regional projects (main windows)** | Ms. Saliha Dobardzic sdobardzic@adaptation-fund.org  
Ms. Imen Meliane- Imeliane@adaptation-fund.org;  
Ms. Neranda Maurice George- nmauricegeorge@adaptation-fund.org; |
| **For questions on submission: Innovation (Large Projects and Small Grants), **Enhanced Direct Access (EDA)** | Ms. Saliha Dobardzic- Sdobardzic@adaptation-fund.org  
Ms. Alyssa Gomes agomes3@adaptation-fund.org  
Mr. Naoki Uozawa nuozawa@adaptation-fund.org |
| **For questions on submission: Learning grants and project scale-up grants** | Ms. Cristina Dengel cdengel@adaptation-fund.org  
Mr. Farayi Madziwa fmadziwa@adaptation-fund.org  
Ms. Saliha Dobardzic- Sdobardzic@adaptation-fund.org |
| **Submission of LOEs and DA Nominations** | Adaptation Fund Board Secretariat - afbsec@adaptation-fund.org and  
Ms. Sophie Hans Moevi – shansmoevi@adaptation-fund.org |

Source: fundsforngos.org
EDA proposal preparation

Documents and templates
Developing an EDA proposal: Top tips

Not ‘business as usual’

Clearly demonstrate that the proposed EDA approach facilitates the streamlining of decision-making across multiple levels.

Adaptation at its heart

The EDA rationale must relate to the climate scenario(s) outlined in the background and context section.

The adaptation measures must be suited to, or adequate for, the identified climate threats.

EDA can require a higher level of technical assistance, monitoring and oversight.

A strong proposal will clearly describe:

- The arrangements for technical assistance
- The process for specific funding requests and proposals, including the review and decision-making process.
- The capacity-building and support structures.
EDA project proposal

**PART I**
Project information

- Project concept:
  - Up to 50 pages including annexes

**PART II**
Project justification

**PART III**
Implementation arrangements

**PART IV**
Government endorsement and Implementing entity validation

- Full proposal:
  - Up to 100 pages, and up to 100 additional pages for annexes
Part I: Project information

1. Project/Programme Category: EDA
   - Country/ies:
   - Title of Project/Programme:
   - Type of Implementing Entity:
   - Implementing Entity:
   - Executing Entity/ies:
   - Amount of Financing Requested:

2. OBJECTIVES
   - List the main objectives of the EDA projects

3. BACKGROUND AND CONTEXT
   - The focus area for EDA and the problem the proposed local activities are aiming to solve

4. COMPONENTS AND FINANCING
   - Fill out the table presenting the project components, activities, expected concrete outputs, and their corresponding budgets to accomplish them

5. CALENDAR
   - Indicate the dates for the key milestones:
     - Start of implementation, mid-term review, closing, and the terminal evaluation
## COMPONENTS AND FINANCING

Fill out the table presenting the project components, activities, expected concrete outputs, and their corresponding budgets to accomplish them.

<table>
<thead>
<tr>
<th>Project/Programme Components</th>
<th>Expected Concrete Outputs</th>
<th>Expected Outcomes</th>
<th>Amount (US$)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
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<td>2.</td>
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- **Project/programme execution cost**
  - ≤ 12%
- **Total project/programme cost**
  - ≤ 10%
- **Project/programme cycle management fee charged by the implementing entity (if applicable)**

### Amount of financing requested

In case of Implementing Entity serving as the Executing Entity, the limit for execution is 1.5%. The justifications must be provided, as this arrangement can be approved only on an exceptional basis.
Part II: Project Justification

<table>
<thead>
<tr>
<th>A</th>
<th>COMPONENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clearly articulate the EDA model and practical LLA solutions to funnel funding to vulnerable communities of adverse climate impacts</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>B</th>
<th>BENEFITS</th>
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<tbody>
<tr>
<td>Economic, social and environmental benefits, in compliance with the Environmental and Social, and Gender, Policy of the Adaptation Fund</td>
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</table>

<table>
<thead>
<tr>
<th>C</th>
<th>COST EFFECTIVENESS</th>
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<tbody>
<tr>
<td>An analysis of the cost-effectiveness of the project/programme</td>
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<table>
<thead>
<tr>
<th>D</th>
<th>STRATEGY ALIGNMENT</th>
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<tbody>
<tr>
<td>List all relevant national or subnational strategies, plans or programmes that align to the project</td>
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</table>

<table>
<thead>
<tr>
<th>E</th>
<th>TECHNICAL STANDARDS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Describe how relevant national technical standards, and the Environmental and Social Policy of the Adaptation Fund are met</td>
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</table>

<table>
<thead>
<tr>
<th>F</th>
<th>DUPLICATION</th>
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<tbody>
<tr>
<td>Describe if there is duplication of project/programme with other funding sources</td>
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<thead>
<tr>
<th>G</th>
<th>LEARNING &amp; KNOWLEDGE MANAGEMENT</th>
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<tbody>
<tr>
<td>Describe the learning and knowledge management component to capture and disseminate lessons learned</td>
<td></td>
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</table>

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<thead>
<tr>
<th>H</th>
<th>CONSULTATIVE PROCESS</th>
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<tbody>
<tr>
<td>Include the list of stakeholders consulted, with particular reference to vulnerable groups, including gender considerations</td>
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<table>
<thead>
<tr>
<th>I</th>
<th>FUNDING JUSTIFICATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide justification for funding requested, focusing on the full cost of adaptation reasoning</td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>J</th>
<th>SUSTAINABILITY</th>
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</thead>
<tbody>
<tr>
<td>Describe how the sustainability of the project/programme outcomes has been taken into account</td>
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</table>

<table>
<thead>
<tr>
<th>K</th>
<th>IMPACTS AND RISKS</th>
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<tbody>
<tr>
<td>Provide an overview of the environmental and social impacts and risks identified as relevant to the project/programme</td>
<td></td>
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</tbody>
</table>
Part II: EDA considerations

EDA model

Clearly articulate the characteristics of the EDA model.
Describe the solutions to funnel funding to local, vulnerable communities impacted by adverse climate impacts.

Agency

The approach must enable organizations at the sub-national level, to identify their own adaptation needs and implement adequate measures.

Technical assistance

Clearly describe the arrangements for technical assistance including specific arrangements for monitoring and oversight, and fund flows.

Sub Projects

EDA projects may involve sub-projects which could be unidentified sub-projects (USPs).
Clearly articulate the expected nature and type of sub-projects with aligned objectives.
Environmental and social risks, in compliance with the ESP and GP

✓ Identify all potential environmental and social impacts and risks.

✓ State the category in which the screening process has classified the project. (Category A, B or C). Please also ensure that these categories reflect AF ESP and not your organization’s.

✓ Provide a checklist, indicating which environmental and social impacts and risks have been identified (for each ESP principle) and provide justification of the risk identification findings.

✓ For the identified risk, carry out an environmental and social impact assessment

✓ Include sufficient supporting documentation (annexes) including a gender assessment and action plan report.
### Unidentified sub projects: Deep dive

#### USPs
Unidentified sub-projects (USPs) are subject to specific provisions for USP under the Fund’s environmental and social policy (ESP).

#### Objectives
The objectives of the sub-projects should be aligned with those of the submitted project, the Adaptation Fund Results Framework.

#### Types
The type, sector, size, and geographic locations of potential sub-projects should be described, including the expected nature of sub-projects.

**USP guidance** document:

## Gender Policy - Requirements

<table>
<thead>
<tr>
<th>2. PROJECT PROPOSAL REQUIREMENTS</th>
<th>CONCEPT STAGE</th>
<th>FULL PROPOSAL STAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial Gender Assessment</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Full Gender Assessment</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Gender-Responsive Indicators</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Gender-Responsive Implementation &amp; Monitoring Programs</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Preliminary gender equal consultation</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Comprehensive gender equal consultation</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Implement a fair and transparent Grievance Mechanism</td>
<td></td>
<td>✓</td>
</tr>
</tbody>
</table>
## Concept and Full Proposal ESP Requirements

<table>
<thead>
<tr>
<th>Project Proposal (OPG Annex 5)</th>
<th>Concept Proposal</th>
<th>Full Proposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>IE will demonstrate and document the following:</td>
<td></td>
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</tbody>
</table>

### II. JUSTIFICATION

| II.B. Economic, social and environmental benefits; Avoidance/mitigation of adverse impacts. | ✓ | ✓ |
| II.E. Compliance with relevant national technical standards | ✓ | ✓ |
| II.H. Consultative process | ✓ | ✓ |
| II.K. Environmental and social impacts and risks | ✓ | ✓ |

### III. IMPLEMENTATION ARRANGEMENTS

| III.C. Environmental & Social risk management measures | ✓ |
| III. D. Monitoring and evaluation program, budget | ✓ |
| III.E. Results framework including milestones, targets, & indicators | ✓ |
Part III: Implementation arrangements

**A.** IMPLEMENTATION ARRANGEMENTS
Describe the arrangements for project/programme implementation

**B.** FINANCE RISK MANAGEMENT
Describe the measures for financial and project/programme risk management

**C.** ENVIRONMENTAL AND SOCIAL RISK MANAGEMENT
Describe the measures for environmental and social risk management, in line with the ESP and Gender Policy of the Adaptation Fund

**D.** MONITORING AND EVALUATION
Describe the monitoring and evaluation arrangements and budget, in compliance with the ESP and the Gender Policy

**E.** PROJECT RESULTS FRAMEWORK
Describe milestones, targets and indicators, including core outcome indicators of the Adaptation Fund Results Framework

**F.** RESULTS FRAMEWORK ALIGNMENT
Demonstrate how the project/programme aligns with the Results Framework of the Adaptation Fund

**G.** BUDGET
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

**H.** DISBURSEMENT SCHEDULE
Include a disbursement schedule with time-bound milestones
Part III: EDA considerations

Funding model
Clearly describe the funding model and institutional levels involved. Include local contexts, needs and preferred decision-making.

Roles and responsibilities
Provide a diagram or chart showing the decision-making structure and how the different stakeholders in the EDA model report to each other.

Capacity building
Clearly describe how continued capacity-building and multi-stakeholder engagement will be carried out throughout the project.
COMPLIANCE WITH ESP/GP– IMPLEMENTATION ARRANGEMENTS (ESMP)

✓ Identify adequate and credible measures to manage the impacts for all environmental and social risks that have been identified in section II, and the corresponding impacts that have been assessed.

✓ ESMP should contain/include:
  ✓ clearly allocated roles and responsibilities for its implementation
  ✓ opportunities for consultation and adaptive management
  ✓ credible budget provisions, as needed, for the implementation of the ESMP

✓ Outline the arrangements for the IE to supervise executing entities for implementation of ESMP.

✓ Include clear monitoring and evaluation arrangements for ESP compliance.

✓ Include an accessible and meaningful grievance mechanism in place, mentioning all parts of the grievance process, including where grievances can be addressed.
Part IV: Endorsement by government and certification by implementing entity

- **NIE CERTIFICATION**
  - Date
  - Coordinator name and signature
  - Contact’s name, telephone and email

- **GOVERNMENT ENDORSEMENT**
  - Name, Position, Ministry, Date

PART IV
Government endorsement and Implementing entity validation
EDA project proposal: Recap

PART I  Project information

- Include enhanced direct access in the project category

PART II  Project justification

- Ensure that the EDA model is clear and well aligned to the adaptation needs of the communities as well as the project aim and objectives.
- Unspecified sub projects can be used with clear criteria developed for their development and execution.

PART III  Implementation arrangements

- Clearly describe the funding model to allow the flow of funds to the most vulnerable communities, and state how they will be supported to build ongoing capacity.
KEY DOCUMENTS AND REFERENCES

➢ OPG-Annex 5 (review sheets/criteria, details of what needs to go in each section – the basis for how we undertake the review) https://www.adaptation-fund.org/document/opg-annex-5/


➢ Following the Board Decision B.39/52, an updated guidance on the use of USPs is available to implementing entities. This supersedes the guidance in Annex 2 to document AFB/B.32-33/7. The updated guidance can be found in this link here https://www.adaptation-fund.org/document/guidance-document-for-project-programme-with-unidentified-sub-projects/.
EDA Case Study: Rwanda Subnational EDA Fund

The focus areas are mapped to Rwanda’s NDC areas of water, agriculture, and land and forestry.

Key adaptation challenge:
The impacts on rural areas from climate variability and change from increasing extreme rainfall, increasing water availability and periodic drought, and the effects on agriculture and livelihoods.

Implementing, monitoring, and evaluating.
CHALLENGES IDENTIFIED

• Coherent Climate Change Adaptation Rationale

• Clarification on the proposed EDA model, how decisions are taken and how funds will flow

• Clear justification for USPs, their scope and at what point they will be identified

• Capacity building activities for local level actors

• Equitable distribution of benefits for direct beneficiaries and sub projects that will be identified at a later stage

• Clear gender assessment and how gender responsiveness will be ensure during implementation

• Monitoring measures during implementation
Thank You!
Discussion

What Challenges are you facing?