



## ADAPTATION FUND

AFB/EFC.33/8  
1 April 2024

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Adaptation Fund Board  
Ethics and Finance Committee  
Thirty-third Meeting  
Bonn, Germany, 16-17 April 2024

### **OBSERVATIONS ON PROJECT POST-APPROVAL REQUESTS FOR CHANGES RECEIVED BY THE SECRETARIAT**

## Background

1. With a view of supporting adaptive management practices of the funded projects and programmes, the Adaptation Fund Board (the Board) approved two policies containing provisions to guide Implementing Entities (IEs) in the processes to be followed in case of need of project post approval changes.

2. These policies, namely the Policy for Project/Programme Implementation, which is the annex seven (7) of the Operational Policies and Guidelines of the Fund, and the Policy for Project/Programme Delays, were approved by the Board respectively in October 2017 (Decision B.30/39) and in October 2019 (last updated in October 2019 through Decision B.34-35/12).

3. The Policy for Project/Programme Implementation was developed following different requests for post approval project changes received from implementing entities, pertaining to needs of revising the originally approved project budgets at output level, and of revising the originally approved project results framework.

4. Some of these requests highlighted the need to clarify the scope of “material change” under Article 4.03 of the standard legal agreement between the Board and implementing entities (amended in October 2015). Following, material change has been further defined as “any cumulative total budget change at output-level between the revised budget and the original budget that involves ten per cent (10%) or more of the total budget of the project/programme” (Decision B.29/31).

5. Similarly, with respect to requests for revision of a project original target indicators for activities, outputs or outcomes, the Board decided:

*(a) For changes in project activities or associated indicators or targets, including introductions, modifications and deletions, to request the implementing entities to inform the secretariat and the designated authority of such changes as soon as possible;*

*(b) For changes in project outputs, including introductions, modifications and deletions, to request the implementing entities:*

*(i) To obtain prior approval from the Board;*

*(ii) To communicate such changes to the secretariat; and*

*(iii) To submit a letter from the designated authority endorsing such changes to the secretariat, in order to obtain such approval;*

*(c) For changes in project outcomes, including introductions, modifications and deletions, on the understanding that such changes would only be accepted in exceptional circumstances, to request the implementing entities:*

*(i) To obtain prior approval from the Board following a full technical review of the revised fully-developed project/programme document by the Project and Programme Review Committee;*

*(ii) To communicate such changes to the secretariat; and*

*(iii) To submit a letter from the designated authority endorsing such changes to the secretariat, for the purposes of such technical review and approval; and*

*(d) For changes in project output or outcome indicators and/or associated targets, including modifications and deletions, on the understanding that such changes would only be accepted in exceptional circumstances and up to the submission of the first Project Performance Report for the project/programme, to request the implementing entities:*

*(i) To obtain prior approval from the Board following a full technical review of the revised fully-developed project/programme document by the Project and Programme Review Committee;*

*(ii) To communicate such changes to the secretariat; and*

*(iii) To submit a letter from the designated authority endorsing such changes to the secretariat, for the purposes of such technical review and approval.*

*(Decision B.29/32)*

6. Building upon the two aforementioned Decisions, the Board further decided:

*(a) To request the secretariat:*

*(i) To consolidate all previous decisions related to requests for direct project services, requests for material change, and requests for revision of original activity/output/outcome and/or associated indicators and targets into a new annex of the Operational Policies and Guidelines related to project/programme implementation; and*

*(ii) To present the new annex to the EFC at its twenty-first meeting.*

*(Decision B.29/33)*

7. Having considered the comments and recommendation of the EFC, the Board decided at its thirtieth meeting to approve the annex to document AFB/EFC.21/5 as a new annex (numbered 7) to the Operational Policies and Guidelines (OPG) related to project/programme implementation (Decision B.30/39).

8. The annex 7 of the OPG, included as annex 2 to the present document, contains some provisions describing the approach to be followed whenever Implementing Entities submit certain categories of post-approval requests for changes, namely:

*(i) Direct project services:* when an implementing entity asks, during implementation, to undertake some of the execution duties on behalf of an executing entity<sup>1</sup>;

*(ii) Material change:* when any cumulative total budget change at output-level between the

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<sup>1</sup> Annex 7 also recalls that, when Implementing Entities are requested by governments to provide all, or part of the execution services related to the project they seek to implement, such a request is expected to be raised before project/programme approval.

revised budget and the original budget involves ten per cent (10%) or more of the total budget of the project/programme;

(iii) *Revision of the original target indicators for activities, outputs or outcomes.*

9. In addition to the Annex 7 of the OPG, the Fund's Policy for Project/Programme Delays (last updated in October 2019 through Decision B.34-35/12 – see annex 3 of the present document) outlines procedures for communicating and addressing delays in the planned schedule for implementing projects and programmes financed by the Fund, namely:

- (i) *Delay of inception*: when a project/programme is not expected to start within six months of the first cash transfer. More recently, Decision B.36/35 has further specified requirements for project inception delays; and
- (ii) *Extension of completion date*: when an implementing entity expects that a concrete adaptation project/programme would require additional time to close than the set completion date at project approval stage.

10. Since the approval of these two policies, the portfolio of the Fund has evolved significantly. Indeed, at the time of approval of Annex 7, the Board had approved only 63 single country and regional projects/programmes, representing US\$ 416.1 million, and only forty projects had submitted at least one project performance report. As a matter of comparison, the Board had approved a total of 164 concrete projects<sup>2</sup> as of October 2023, amounting to US\$ 1,137.1 million, and 112 projects had submitted at least one project performance report. Furthermore, in addition to regular single country and regional projects/programmes, the Fund has opened new funding windows since the approval of Annex 7 of the OPG. These include the innovation-related grants and enhanced direct access (EDA) grants.

11. As the Fund portfolio of projects/programmes grew, so did the number of post-approval requests for changes received by the secretariat.

### **Analysis of post-approval requests for changes received by the secretariat**

12. As highlighted in annex 1, the secretariat has received post-approval requests from Implementing Entities for 71 projects/programmes since the Fund started its operations.<sup>3</sup> Some projects/programmes submitted several distinct post-approval requests at different stages of implementation. In total, the secretariat has thus received 131 post-approval requests. While some (116) of these requests involved one single category of change (e.g., a request for extension of completion date or a request for material change), others (15) involved multiple categories of changes (e.g., a request for no-cost extension of completion dates together with a request for direct project services, or a request for material change together with a request for direct project services and no-cost extension of completion dates), representing 33 individual requests in total. Adding both single category of change and multiple categories of change, a total of 149 changes were processed by the secretariat.

<sup>2</sup> including the innovation large and small grants and the EDA grant approved and excluding PFG and readiness grants

<sup>3</sup> Please note that this list does not include the COVID-19 related extension requests which were temporarily allowed by paragraph (b) of decision B.35.b/16 provided that such requests met the criteria described in paragraph 33 of document AFB/EFC.26.b/4, given that the secretariat has provided an update to the EFC at its thirty-first meeting (AFB/EFC.31/.9) and that the Board subsequently provided further guidance on this specific cases of extension requests through Decision B.40/69

13. Of these 149 changes, 128 fall within the provisions of the Annex 7 of the OPG or those of the Policy for Project/Programme Delays. A breakdown is provided below:

- (i) Ninety-one (91) requests for no-cost extension of project and programme completion dates, for 52 different projects/programmes;
- (ii) Fifteen (15) requests for revisions of the original target indicators for activities, outputs or outcomes for 12 different projects/programmes;
- (iii) Twelve (12) requests for provision of direct project services for 12 different projects/programmes; and
- (iv) Ten (10) requests for material change for 10 different projects/programmes.

14. The figures above illustrate that most of these post-approval requests were aimed at extending project/programme completion dates, followed by changes in the original target indicators for activities, outputs or outcomes.

15. 21 changes did not fall within the provisions of Annex 7 of the OPG nor within those of the Policy for Project/Programme Delays (e.g., revisions in the project implementation arrangements (10 for 8 different projects/programmes); revisions of project disbursement schedule (10 for 8 different projects/programmes); and one change of project target sites.

16. Finally, the secretariat has identified 34 projects which experienced delays in inception, and for which updates were provided by Implementing Entities to the secretariat through different means. An in-depth analysis for these cases is challenging, as the guidelines for cases of inception delays have changed throughout time. For example, the first extension for project inception required the Board approval (B.15-16/2), while subsequent cases only required Implementing Entities to send notifications to the secretariat, in compliance with the Policy for Project/Programme Delays developed in 2013 and updated later in 2019. More recently, the Board has introduced new requirements on this specific case of inception delays through Decision 36/35.

### **Observations on post-approval requests for changes received by the secretariat**

17. Since the approval of Decision 36/35, the secretariat has identified a need to update the Policy for Project/Programme Delays reflecting on the inception delays-related criteria introduced by Decision 36/35, and based on options to be proposed to the Board, following the associated request to conduct a study on possible options for project's suspension or cancellation.

18. The revision of the original target indicators for activities, outputs or outcomes is the category that generated the most challenges for implementing entities and the secretariat, despite the definition provided through Decision B.29/32. Indeed, when considering such category of requests, the secretariat observed cases where:

- (i) Implementing Entities would not necessarily use the same terminology used in the annex 7 for "activity", "output" and/or "outcome", although the annex 7 uses the widely accepted definitions from the Organization for Economic Co-operational and Development (OECD), leading to different interpretations among Implementing Entities;
- (ii) Implementing Entities submit requests for changes in project output or outcome indicators and/or associated targets, after the submission of the first Project Performance Report, although paragraph 12 of the annex 7 explicitly states that such changes would only be

allowed in exceptional circumstances and up to the submission of the first Project Performance Report for the project/programme; and

- (iii) Time for Implementing Entities to gather all necessary documents required to submit the request for changes (i.e., securing a letter from the DA(s), undertaking an environmental and social impact assessment) may generate delays in implementation.

19. Annex 1 of this document outlines that 21 post-approval requests for changes received by the secretariat did not fall within any provisions of the current Annex 7 of the OPG, nor those of the Policy for Project/Programme Delays. This is notably the case for requests for changes in target sites (one request received), in disbursement schedules (10 requests received), and in implementation arrangements (10 requests received). While in the past the secretariat has done its best to approach such requests on a case-by-case basis, the increase in volume may now warrants to provide further clarification regarding the type of changes that might be accepted and to issue corresponding guidance to the Implementing Entities.

20. The current annex 7 of the OPG and Policy for Project/Programme Delays does not specify whether its provisions apply only to regular single country/regional adaptation projects and programmes, or whether they also apply to other funding windows (e.g., EDA projects, innovation large and small grants). A clarification of the extent to which the existing policies may apply to such funding windows is recommended in anticipation of cases whereby Implementing Entities may submit post-approval requests for changes for these types of projects.

21. Considering the paragraphs 16-19 above, it is advisable to review the extent to which further clarification and guidance to Implementing Entities on requests for project post-approval changes may be needed to avoid any ambiguity in interpreting the Fund's policies.

### **Recommendation**

22. Having considered document AFB/EFC.33/8, the Ethics and Finance Committee (EFC) may want to recommend that the Board decides to:

- (a) Request the secretariat to prepare a gap analysis of the current policies pertaining to project post-approval requests for changes, namely the Policy for Project Implementation (OPG Annex 7) and the Policy for Project/Programme Delays;
- (b) Develop options to address the gaps identified, including, as necessary, suggestions for revisions of these policies; and
- (c) Present to the EFC the results of (a) and (b) above for its consideration at its thirty-fourth meeting.

### **Annexes**

- 1) List of post-approval requests for changes received by the secretariat since the Fund started operating
- 2) Annex 7 of the Operational Policies and Guidelines
- 3) Policy for Project and Programme Delays

**Annex 1: List of post-approval requests for changes received by the secretariat since the Fund's started operating<sup>4</sup>**

Country(ies)	Project/Programme title	Category of request	Date	Related Decision
Federated States of Micronesia	Practical Solutions for Reducing Community Vulnerability to Climate Change in the Federated States of Micronesia	Extension of completion date	FY 24	B.40-41/15
Jamaica	Enhancing the Resilience of the Agricultural Sector and Coastal Areas to Protect Livelihoods and Enhance Food Security	Extension of completion date	FY 24	B.40-41/9
Saint Lucia	Building Resilience for Adaptation to Climate Change and Climate Vulnerabilities in Agriculture in Saint Lucia	Extension of completion date	FY 24	B.40-41/14
Uganda	Enhancing resilience of communities to climate change through catchment-based integrated management of water and related resources in Uganda	Extension of completion date	FY 24	B.40-41/10
Bhutan	Adaptation to Climate-induced Water Stresses through Integrated Landscape Management in Bhutan	Revision of implementation arrangements	FY 23	B.39-40/8
Armenia	Engaging Future Leaders: Digital Education Module on Adaptation Challenges and Best Practices for Youth	Extension of completion date	FY 23	B.40-41/3
Chile, Colombia, Peru	Enhancing Adaptive Capacity of Andean Communities through Climate Services (ENANDES)	Direct project services	FY 23	B.39-40/12
Colombia, Ecuador	Building Adaptive Capacity through Food and Nutrition Security and Peacebuilding Actions in Vulnerable Afro and Indigenous Communities in the Colombia-Ecuador Border Area in Colombia and Ecuador	Multiple: i) Extension of completion date ii) Revision of disbursement schedule	FY 23	B.38-39/7
Global (AFCIA administrator)	United Nations Environment Special Financing Window in Support of Innovation for Adaptation	Revision of disbursement schedule	FY 23	B.40-41/1
Kazakhstan, Kyrgyzstan, Tajikistan, Uzbekistan	Reducing vulnerabilities of populations in the Central Asia region from glacier lake outburst floods in a changing climate	Change in target sites	FY 23	B.40-41/2
Kenya	Integrated Programme to Build Resilience to Climate Change and Adaptive Capacity of Vulnerable Communities	Extension of completion date	FY 23	B.38-39/18

<sup>4</sup> Please note that this list does not include the COVID-19 related extension requests which were temporarily allowed by paragraph (b) of decision B.35.b/16 provided that such requests met the criteria described in paragraph 33 of document AFB/EFC.26.b/4, given that the secretariat has provided an update to the EFC at its thirty-first meeting (AFB/EFC.31/.9) and that the Board subsequently provided further guidance on this specific cases of extension requests through Decision B.40/69

South Africa	Building Resilience in the Greater uMngeni Catchment	Extension of completion date	FY 23	B.39-40/2
Syrian Arab Republic	Increasing the climate change resilience of communities in Eastern Ghouta in Rural Damascus to water scarcity challenges through integrated natural resource management and immediate adaptation interventions	Revision of disbursement schedule	FY 23	B.39-40/6
Chile, Ecuador	Reducing climate vulnerability and flood risk in coastal urban and semi urban areas in cities in Latin America	Multiple: i) Revision of the original target indicators for activities, outputs or outcomes ii) Revision of implementation arrangements	FY 22	B.38-39/2
Jordan, Lebanon	Increasing the Resilience of both Displaced Persons and Host Communities to Climate Change-Related Water Challenges in Jordan and Lebanon	Multiple: i) Revision of the original target indicators for activities, outputs or outcomes ii) Revision of implementation arrangements iii) Direct project services	FY 22	B.38-39/3
Ethiopia, Kenya, Uganda	Agricultural Climate Resilience Enhancement Initiative	Extension of completion date	FY 22	B.37-38/15
Indonesia	Community Adaptation for Forest-Food Based Management in Saddang Watershed Ecosystem	Revision of the original target indicators for activities, outputs or outcomes	FY 22	B.37-38/3
Lebanon	Climate Smart Agriculture: Enhancing Adaptive Capacity of the Rural Communities in Lebanon (AgriCAL)	Multiple: i) Revision of the original target indicators for activities, outputs or outcomes ii) Material change iii) Revision of disbursement schedule	FY 22	B.38-39/1
Morocco	Climate changes adaptation project in oasis zones – PACC-ZO	Extension of completion date	FY 22	B.38-39/6
Zimbabwe	Adaptation Fund financed 'Strengthening local communities' adaptive capacities and resilience to climate change through sustainable groundwater utilisation in Zimbabwe	Direct project services	FY 22	B.38-39/4
Ecuador	Increasing adaptive capacity of local communities, ecosystems and hydroelectric systems in the Río Blanco upper watershed (Toachi-Pilatón watershed) with a focus on Ecosystem and Community Based Adaptation	Multiple: i) Revision of disbursement schedule ii) Revision of implementation arrangements	FY 21	B.35.a-35.b/37



Costa Rica	Reducing the vulnerability by focusing on critical sectors (agriculture, water resources, and coastlines) in order to reduce the negative impacts of climate change and improve the resilience of these sectors	Direct project services	FY 21	B.35-36/24
Mongolia	Flood Resilience in the Ger Areas of Ulaanbaatar (FRUGA)	Multiple: i) Revision of the original target indicators for activities, outputs or outcomes ii) Revision of implementation arrangements	FY 21	B.35.a-35.b/41
Antigua and Barbuda	An integrated approach to physical adaptation and community resilience in Antigua and Barbuda's northwest McKinnon's watershed	Extension of completion date	FY 21	B.35-36/27
Burundi, Kenya, Rwanda, Tanzania (United Republic of), Uganda	Adapting to Climate Change in Lake Victoria Basin	Extension of completion date	FY 21	B.35-36/26
South Africa	Taking Adaptation to the Ground: A Small Grants Facility for Enabling Local Level Responses to Climate Change	Multiple: i) Extension of completion date ii) Direct project services	FY 21	B.35-36/3
Federated States of Micronesia	Enhancing the climate change resilience of vulnerable island communities in the Federated States of Micronesia	Multiple: i) Revision of the original target indicators for activities, outputs or outcomes ii) Revision of disbursement schedule	FY 21	B.35-36/18
India	Conservation and Management of Coastal Resources as a Potential Adaptation Strategy for Sea Level Rise	Extension of completion date	FY 21	B.35.a-35.b/45
India	Climate Proofing of Watershed Development projects in the States of Tamil Nadu and Rajasthan	Extension of completion date	FY 21	B.35.a-35.b/79
India	Climate smart actions and strategies in north western Himalayan region for sustainable livelihoods of agriculture-dependent hill communities	Extension of completion date	FY 21	B.35.a-35.b/80
India	Enhancing Adaptive Capacity and Increasing Resilience of Small and Marginal Farmers in Purulia and Bankura Districts of West Bengal	Extension of completion date	FY 21	B.35.a-35.b/81
Lao People's Democratic Republic	Enhancing the climate and disaster resilience of the most vulnerable rural	Extension of completion date	FY 21	B.35-36/12

	and emerging urban human settlements in Lao PDR			
Lebanon	Climate Smart Agriculture: Enhancing Adaptive Capacity of the Rural Communities in Lebanon (AgriCAL)	Extension of completion date	FY 21	B.35.a-35.b/42
Mauritius	Climate Change Adaptation Programme in the Coastal Zone of Mauritius	Extension of completion date	FY 21	B.35.a-35.b/38
Morocco	Climate changes adaptation project in oasis zones – PACC- ZO	Extension of completion date	FY 21	B.35.a-35.b/77
Panama	Adapting to Climate Change through Integrated Water Management in Panama	Extension of completion date	FY 21	B.35-36/15
Uruguay	Building Resilience to Climate Change and Variability in Vulnerable Smallholders	Extension of completion date	FY 21	B.35.a-35.b/76
Lesotho	Improving adaptive capacity of vulnerable and food- insecure populations in Lesotho	Direct project services	FY 20	B.35.a-35.b/5
Belize	Belize Marine Conservation and Climate Adaptation Project	Extension of completion date	FY 20	B.34-35/1
Cambodia	Enhancing Climate Resilience of Rural Communities Living in Protected Areas of Cambodia	Extension of completion date	FY 20	B.34-35/2
Cambodia	Enhancing Climate Resilience of Rural Communities Living in Protected Areas of Cambodia	Extension of completion date	FY 20	B.35.a-35.b/36
Costa Rica	Reducing the Vulnerability by Focusing on Critical Sectors (Agriculture, Water Resources and Coastlines) in order to Reduce the Negative Impacts of Climate Change and Improve the Resilience of these Sectors	Extension of completion date	FY 20	B.34-35/19
Egypt	Building Resilient Food Security Systems to Benefit the Southern Egypt Region	Extension of completion date	FY 20	B.35.a-35.b/4
Ghana	Increased resilience to climate change in Northern Ghana through the management of water resources and diversification of livelihoods	Extension of completion date	FY 20	B.34-35/10
India	Conservation and Management of Coastal Resources as a Potential Adaptation Strategy for Sea Level Rise	Extension of completion date	FY 20	B.35.a-35.b/45
Jamaica	Enhancing the Resilience of the Agricultural Sector and Coastal Areas to Protect Livelihoods and Improve Food Security	Extension of completion date	FY 20	B.35.a-35.b/31
Jordan	Increasing the resilience of poor and vulnerable communities to climate change	Extension of completion date	FY 20	B.35.a-35.b/1

Kenya	Integrated programme to build resilience to climate change and adaptive capacity of vulnerable communities in Kenya	Extension of completion date	FY 20	B.33-34/35
Kenya	Integrated programme to build resilience to climate change and adaptive capacity of vulnerable communities in Kenya	Extension of completion date	FY 20	B.35.a-35.b/33
Lebanon	Climate Smart Agriculture: Enhancing Adaptive Capacity of the Rural Communities in Lebanon (AgriCAL)	Extension of completion date	FY 20	B.35.a-35.b/42
Mauritania	Enhancing Resilience of Communities to the Adverse Effects of Climate Change on Food Security in Mauritania	Extension of completion date	FY 20	B.33-34/31
Mauritius	Climate Change Adaptation Programme in the Coastal Zone of Mauritius	Extension of completion date	FY 20	B.35.a-35.b/38
Mongolia	Flood Resilience in Ulaanbaatar Ger Areas – Climate Change Adaptation (FRUGA) through community-driven small-scale protective and basic-services interventions	Revision of the original target indicators for activities, outputs or outcomes	FY 20	B.33-34/29
Peru	Peru: Adaptation to the Impacts of Climate Change on Peru's Coastal Marine Ecosystem and Fisheries	Revision of the original target indicators for activities, outputs or outcomes	FY 20	B.35.a-35.b/30
Seychelles	Ecosystem Based Adaptation to Climate Change in Seychelles	Extension of completion date	FY 20	B.34-35/27
South Africa	Taking Adaptation to the Ground: A Small Grants Facility for Enabling Local Level Responses to Climate Change	Extension of completion date	FY 20	B.34-35/14
Sri Lanka	Addressing Climate Change Impacts on Marginalized Agricultural Communities Living in the Mahaweli River Basin of Sri Lanka	Extension of completion date	FY 20	B.34-35/18
Sri Lanka	Addressing Climate Change Impacts on Marginalized Agricultural Communities Living in the Mahaweli River Basin of Sri Lanka	Extension of completion date	FY 20	B.35.a-35.b/35
Uruguay	Building Resilience to Climate Change and Variability in Vulnerable Smallholders	Extension of completion date	FY 20	B.35.a-35.b/6
Ecuador	Increasing adaptive capacity of local communities, ecosystems and hydroelectric systems in the Río Blanco upper watershed (Toachi-Pilatón watershed) with a focus on Ecosystem and Community Based Adaptation	Multiple: i) Revision of implementation arrangements; ii) Revision of disbursement schedule	FY 20	B.35.a-35.b/37
Mongolia	Flood Resilience in Ulaanbaatar Ger Areas – Climate Change Adaptation (FRUGA) through community-driven	Multiple: i) Revision of the original target indicators for activities,	FY 20	B.35.a-35.b/41

	small-scale protective and basic-services interventions	outputs or outcomes ii) Revision of implementation arrangements		
Argentina	Increasing Climate Resilience and Enhancing Sustainable Land Management in the Southwest of the Buenos Aires Province	Extension of completion date	FY 19	B.31-32/23
Colombia	Reducing Risk and Vulnerability to Climate Change in the Region of La Depresión Momposina in Colombia	Extension of completion date	FY 19	B.32-33/3
Cuba	Reduction of Vulnerability to Coastal Flooding through Ecosystem-based Adaptation in the South of Artemisa and Mayabeque Provinces	Extension of completion date	FY 19	B.33-34/5
India	Enhancing Adaptive Capacity and Increasing Resilience of Small and Marginal Farmers in Purulia and Bankura Districts of West Bengal	Extension of completion date	FY 19	B.32-33/12
India	Climate Proofing of Watershed Development projects in the States of Tamil Nadu and Rajasthan	Extension of completion date	FY 19	B.33-34/1
India	Conservation and Management of Coastal Resources as a Potential Adaptation Strategy for Sea Level Rise in Andhra Pradesh	Extension of completion date	FY 19	B.33-34/2
Jamaica	Enhancing the Resilience of the Agricultural Sector and Coastal Areas to Protect Livelihoods and Enhance Food Security	Extension of completion date	FY 19	B.32-33/10
Kenya	Integrated programme to build resilience to climate change and adaptive capacity of vulnerable communities in Kenya	Extension of completion date	FY 19	B.33-34/35
Lebanon	Climate Smart Agriculture: Enhancing Adaptive Capacity of the Rural Communities in Lebanon (AgriCAL)	Extension of completion date	FY 19	B.32-33/18
Mali	Programme Support for Climate Change Adaptation in the vulnerable regions of Mopti and Timbuctou	Extension of completion date	FY 19	B.32-33/2
Mauritania	Enhancing Resilience of Communities to the Adverse Effects of Climate Change on Food Security in Mauritania	Extension of completion date	FY 19	B.33-34/31
Mauritania	Enhancing Resilience of Communities to the Adverse Effects of Climate Change on Food Security in Mauritania	Extension of completion date	FY 19	B.33-34/32
Mongolia	Flood Resilience in Ulaanbaatar Ger Areas – Climate Change Adaptation through community- driven small-scale protective and basic-services interventions	Revision of the original target indicators for activities, outputs or outcomes	FY 19	B.33-34/29

Myanmar	Addressing Climate Change Risks on Water Resources and Food Security in the Dry Zone of Myanmar	Extension of completion date	FY 19	B.31-32/24
Namibia	Pilot rural desalination plants using renewable power and membrane technology	Revision of disbursement schedule	FY 19	B.32-33/11
Paraguay	Ecosystem Based Approaches for Reducing the Vulnerability of Food Security to the Impacts of Climate Change in the Chaco region of Paraguay	Direct project services	FY 19	B.31-32/22
Rwanda	Reducing Vulnerability to Climate Change in North West Rwanda through Community Based Adaptation	Extension of completion date	FY 19	B.33-34/4
South Africa	Taking Adaptation to the Ground: A Small Grants Facility for Enabling Local Level Responses to Climate Change	Extension of completion date	FY 19	B.33-34/3
South Africa	Building Resilience in the Greater uMngeni Catchment	Multiple: i) Extension of completion date ii) Revision of disbursement schedule	FY 19	B.33-34/6
Sri Lanka	Addressing Climate Change Impacts on Marginalized Agricultural Communities Living in the Mahaweli River Basin of Sri Lanka	Extension of completion date	FY 19	B.32-33/1
United Republic of Tanzania	Implementation of Concrete Adaptation Measures to Reduce Vulnerability of Livelihood and Economy of Coastal Communities In Tanzania	Extension of completion date	FY 19	B.31-32/29
Uruguay	Building resilience to climate change and variability in vulnerable smallholders	Extension of completion date	FY 19	B.31-32/25
Uzbekistan	Developing climate resilience of farming communities in the drought prone parts of Uzbekistan	Extension of completion date	FY 19	B.33-34/9
Peru	AYNINACUY: Strengthening the livelihoods of vulnerable highland communities in the provinces of Arequipa, Caylloma, Condesuyos, Castilla and La Union in the Region of Arequipa, Peru	Revision of implementation arrangements	FY 19	B.31-32/21
Rwanda	Reducing Vulnerability to Climate Change in North West Rwanda through Community Based Adaptation	Revision of implementation arrangements	FY 19	B.31-32/20
Argentina	Enhancing the Adaptive Capacity and Increasing Resilience of Small-size Agriculture Producers of the Northeast of Argentina	Extension of completion date	FY 18	B.30-31/4

Cambodia	Enhancing Climate Resilience of Rural Communities Living in Protected Areas of Cambodia	Extension of completion date	FY 18	B.31-32/3
Colombia	Reducing risk and vulnerability to climate change in the region of La Depresión Momposina in Colombia	Extension of completion date	FY 18	B.30-31/7
Cook Islands	Strengthening the Resilience of our Islands and our Communities to Climate Change (SRIC CC)	Extension of completion date	FY 18	B.30-31/1
Djibouti	Developing agro-pastoral shade gardens as an adaptation strategy for poor rural communities	Extension of completion date	FY 18	B.30-31/5
Ecuador	Enhancing resilience of communities to the adverse effects of climate change on food security, in Pichincha Province and the Jubones River basin	Extension of completion date	FY 18	B.31-32/4
Egypt	Building Resilient Food Security Systems to Benefit the Southern Egypt Region	Extension of completion date	FY 18	B.30-31/16
Eritrea	Climate Change Adaptation Programme in Water and Agriculture in Anseba Region, Eritrea	Extension of completion date	FY 18	B.30-31/17
Jamaica	Enhancing the Resilience of the Agricultural Sector and Coastal Areas to Protect Livelihoods and Improve Food Security	Revision of the original target indicators for activities, outputs or outcomes	FY 18	B.31/2
Jamaica	Enhancing the Resilience of the Agricultural Sector and Coastal Areas to Protect Livelihoods and Improve Food Security	Extension of completion date	FY 18	B.29-30/11
Lebanon	Climate Smart Agriculture: Enhancing Adaptive Capacity of the Rural Communities in Lebanon (AgriCAL)	Extension of completion date	FY 18	B.30-31/6
Madagascar	Promoting Climate Resilience in the Rice Sector through Pilot Investments in Alaotra-Mangoro Region	Extension of completion date	FY 18	B.31-32/5
Madagascar	Promoting Climate Resilience in the Rice Sector through Pilot Investments in Alaotra-Mangoro Region	Extension of completion date	FY 18	B.30-31/18
Mauritania	Enhancing Resilience of Communities to the Adverse Effects of Climate Change on Food Security in Mauritania	Multiple: i) Revision of the original target indicators for activities, outputs or outcomes ii) Material change	FY 18	B.31-32/2
Mauritania	Enhancing Resilience of Communities to the Adverse Effects of Climate Change on Food Security in Mauritania	Extension of completion date	FY 18	B.30-31/14
Mauritius	Climate Change Adaptation Programme in the Coastal Zone of Mauritius	Extension of completion date	FY 18	B.31-32/1

Samoa	Enhancing resilience of coastal communities of Samoa to Climate Change	Extension of completion date	FY 18	B.30-31/2
Tanzania	Implementation of Concrete Adaptation Measures to Reduce Vulnerability of Livelihoods and Economy of Coastal Communities of Tanzania	Extension of completion date	FY 18	B.30-31/19
Sri Lanka	Addressing Climate Change Impacts on Marginalized Agricultural Communities Living in the Mahaweli River Basin of Sri Lanka	Revision of implementation arrangements	FY 18	B.29-30/13
Argentina	Enhancing the Adaptive Capacity and Increasing Resilience of Small-scale Agriculture Producers of the Northeast of Argentina	Material change	FY 17	B.28-29/15
Cook Islands	Strengthening the Resilience of our Islands and our Communities to Climate Change	Extension of completion date	FY 17	B.30-31/1
Egypt	Building Resilient Food Security Systems to Benefit the Southern Egypt Region	Extension of completion date	FY 17	B.27-28/6
Papua New Guinea	Enhancing Adaptive Capacity of Communities to Climate Change related to Floods in the North Coast and islands Region of Papua New Guinea	Extension of completion date	FY 17	B.27-28/31
South Africa	Building Resilience in the Greater uMngeni Catchment	Revision of disbursement schedule	FY 17	B.29-30/2
Sri Lanka	Addressing Climate Change Impacts on Marginalized Agricultural Communities Living in the Mahaweli River Basin of Sri Lanka	Extension of completion date	FY 17	B.29-30/3
Turkmenistan	Addressing climate change risks to farming systems in Turkmenistan at national and community level	Extension of completion date	FY 17	B.27-28/30
Uruguay	Building Resilience to Climate Change and Variability in Vulnerable Smallholders	Extension of completion date	FY 17	B.28-29/2
Ecuador	Enhancing resilience of communities to the adverse effects of climate change on food security, in Pichincha Province and the Jubones River basin	Extension of completion date	FY 16	B.27-28/4
Guatemala	Climate change resilient production landscapes and socioeconomic networks advanced in Guatemala	Direct project services	FY 16	B.26/33
Honduras	Addressing Climate Change Risks on Water Resources in Honduras: Increased Systemic Resilience and Reduced Vulnerability of the Urban Poor	Extension of completion date	FY 16	B.26-27/4
Jamaica	Enhancing the Resilience of the Agricultural Sector and Coastal Areas	Extension of completion date	FY 16	B.27-28/1

	to Protect Livelihoods and Improve Food Security			
Madagascar	Promoting climate resilience in the rice sector through pilot investments in Alaotra-Mangoro region	Multiple: i) Material change ii) Revision of the original target indicators for activities, outputs or outcomes	FY 16	B.26-27/22
Tanzania	Implementation Of Concrete Adaptation Measures To Reduce Vulnerability Of Livelihood and Economy Of Coastal Communities In Tanzania	Multiple: i) Material change ii) Revision of the original target indicators for activities, outputs or outcomes	FY 16	B.27-28/11
Colombia	Reducing Risk and Vulnerability to Climate Change in the Region of La Depresión Momposina in Colombia	Material change	FY 15	B.25-26/5
Eritrea	Climate Change Adaptation Programme In Water and Agriculture In Anseba Region, Eritrea	Direct project services	FY 15	B.23-24/9
Honduras	Addressing Climate Change Risks on Water Resources in Honduras: Increased Systemic Resilience and Reduced Vulnerability of the Urban Poor	Material change	FY 15	B.24-25/2
Pakistan	Reducing Risks and Vulnerabilities from Glacier Lake Outburst Floods in Northern Pakistan	Extension of completion date	FY 15	B.24-25/10
Samoa	Enhancing Resilience of Samoa's Coastal Communities to Climate Change	Direct project services	FY 15	B.24-25/1
Samoa	Enhancing Resilience of Samoa's Coastal Communities to Climate Change	Extension of completion date	FY 15	B.25-26/3
Mauritius	Climate Change Adaptation Programme in the Coastal Zone of Mauritius	Multiple: i) Material change ii) Direct support services iii) Extension of completion date	FY 14	B.23-24/5
Senegal	Adaptation to Coastal Erosion in Vulnerable Areas	Extension of completion date	FY 14	B.22/19



## **Annex 2: Annex 7 of the Operational Policies and Guidelines**

### **ANNEX 7: PROJECT/PROGRAMME IMPLEMENTATION**

#### **Implementing entities providing execution services**

1. In the exceptional case when implementing entities are requested by governments to provide all or part of the execution services related to the project they seek to implement, the Adaptation Fund Board (the Board) had decided (decision B.17/17.f) to cap execution costs for projects/programmes implemented and executed by the same entity at 1.5% of the project/programme cost.

2. The separation between implementing and execution services was confirmed, as a principle, by the Board (decision B.18/30), which decided that execution services will only be provided by Implementing Entities on an exceptional basis and at the written request by the recipient country, involving designated authorities in the process, and providing rationale for such a request. The responsibility for these services shall be stipulated, their budget estimated in the fully developed project/programme document, and covered by the execution costs budget of the project/programme.

#### **Direct project services (DPS)**

3. While projects/programmes approved by the Board are expected to present viable implementation arrangements with differentiated roles for implementing and executing entities, respectively, sometimes such roles need to be revisited during project implementation. Direct project/programme services are services provided by the implementing entity to an executing entity by undertaking some of its execution duties on its behalf. Such services could be identified prior to project approval or during implementation, as the executing entities that are to provide those services can estimate that they are unable to do so. Such services may relate for instance to procurement and payment management.

4. The Board has requested (decision B.26/33) that execution services provided by IEs be submitted for consideration by the Board at the time of project approval, and such submissions to comply with the Board Decisions B.17/17 and B.18/30 on such services. Implementing entities are expected to clarify with partner executing entities the services that may be requested of them before submission of fully-developed project/programme documents to the Board. The RDPS shall also be submitted to the secretariat before an agreement is signed between the IE and the government or executing entity for the provision of those services.

5. In cases where a RDPS is submitted to the secretariat for a project/programme that has been already been approved by the Board, which is only possible on an exceptional basis, the IEs shall submit all the relevant justification for the RDPS explaining how the costs were established, along with a letter from the Designated Authority of the Adaptation Fund for the country(ies) of the project/programme endorsing the RDPS.

## **Material change**

6. A material change is defined by the Board (decision B.29/31) as “any cumulative total budget change at output-level between the revised budget and the original budget that involves ten per cent (10%) or more of the total budget of the project/programme”.

7. Implementing entities wishing to submit a request for a material change shall do so through the secretariat prior to the implementation of the change described in the request. Such requests for a material change should include at least:

- a revised budget at output-level with comparison to the original,
- a revised results framework with comparison to the original,
- a written clarification on the material change itself and the reasons for the material change, and
- a letter from the designated authority endorsing the material change.

8. Lastly, the existing caps on an implementing entity's fees and execution costs shall apply and shall not be exceeded due to budget changes.

## **Revision of the original target indicators for activities, outputs or outcomes**

9. Implementing Entities are requested to inform the secretariat and the designated authority of changes in project activities or associated indicators or targets, including introductions, modifications and deletions, as soon as possible (decision B.29/32).

10. For changes in project outputs, including introductions, modifications and deletions, the implementing entities should:

- (i) obtain prior approval from the Board;
- (ii) communicate such changes to the secretariat; and
- (iii) submit a letter from the designated authority endorsing such changes to the secretariat, in order to obtain such approval.

11. For changes in project outcomes, including introductions, modifications and deletions, on the understanding that such changes would only be accepted in exceptional circumstances, the implementing entities should:

- (i) obtain prior approval from the Board following a full technical review of the revised fully-developed project/programme document by the Project and Programme Review Committee;
- (ii) communicate such changes to the secretariat; and
- (iii) submit a letter from the designated authority endorsing such changes to the secretariat, for the purposes of such technical review and approval; and

12. For changes in project output or outcome indicators and/or associated targets, including modifications and deletions, on the understanding that such changes would only be accepted in exceptional circumstances and up to the submission of the first Project Performance Report for the project/programme, the implementing entities should:

- (i) obtain prior approval from the Board following a full technical review of the revised fully-developed project/programme document by the Project and Programme Review Committee;
- (ii) communicate such changes to the secretariat; and
- (iii) submit a letter from the designated authority endorsing such changes to the secretariat, for the purposes of such technical review and approval.

**Annex 3: Policy for project/programme delays**



**ADAPTATION FUND**

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Adaptation Fund Board

**ADAPTATION FUND  
POLICY FOR PROJECT/PROGRAMME DELAYS  
(UPDATED IN OCTOBER 2019)**

## **Introduction**

1. This document outlines a policy for project delays for the Adaptation Fund (the Fund). The policy outlines procedures for communicating and addressing delays in the planned schedule for implementing projects and programmes financed by the Fund. The policy is intended to build on the Fund's existing policies, operating procedures, and project cycle.

## **The policy for project/programme delays**

### *Signing of legal agreement*

2. The first milestone for a project/programme comes after the Adaptation Fund Board (the Board) approval, with the signing of the legal agreement between the Board and the implementing entity. The Board established a standard of a maximum time lag of four months from the date at which the Board notifies an implementing entity of a project/programme approval, and the signing of the legal agreement. The Operational Policies and Guidelines specify:

*If an implementing entity does not sign the standard legal agreement within four (4) months from the date of notification of the approval of the project/programme proposal, the funds committed for that project/programme will be cancelled and retained in the Trust Fund for new commitments (OPG para 58).*

### *Project start*

3. The Board has set a target of six months from the first cash transfer<sup>1</sup> to project/programme start<sup>2</sup>. Each implementing entity has its own internal project cycle with different definitions for various milestones, including project start dates. Some may consider project start to be the date the Board approves the implementing entity's project, others the date of first disbursement, still others the date of signing the legal agreement with the Board.

3.1 For concrete adaptation projects/programmes the Board decided to consider the start date the first day of the project/programme's inception workshop (Decision B.18/29).

3.2 For project formulation grants (PFGs) project start should be considered to be the date of first disbursement towards an activity related to the grant.

3.3 For projects implemented through readiness grants for technical assistance and project formulation assistance (PFA), project start<sup>3</sup> is considered to be the date when the first contract between the implementing entity and a consultant or service provider was signed, or the date when the first disbursement towards an activity related to the grant was made, whichever occurs first.

3.4 For projects implemented through readiness grants for South-South cooperation, project start is considered to be the date of the project inception meeting held by the implementing entity with the recipient of peer support.

<sup>1</sup> This would be the first cash transfer from the Trustee of the Adaptation Fund to the implementing entity

<sup>2</sup> Established through the *Annual Performance Report* as part of the Fund level management effectiveness and efficiency indicators

<sup>3</sup> Project start is the same as project inception and the terms can be used interchangeably

3.5 Notification of project/programme start to the Board by the implementing entity for a concrete adaptation project/programme should be considered as the submission of the inception workshop report by the entity to the secretariat.

3.6 For the PFG, a notification of project start should be sent to the secretariat not more than one month after the project start date. The notification should be sent using the template in Annex C to this document.

3.7 For readiness projects implemented through technical assistance grants, South-South cooperation grants, and project formulation assistance grants, the Board decided that the implementing entity should send a notification of project start to the secretariat using the approved template (Decision B.29/42). The notification of project start should be sent not more than one month after the project start date.

4. For all projects/programmes financed by the Fund, implementing entities can work to mitigate delays by working with the government, during project/programme design, to ensure a mutual understanding and commitment on how to proceed once a project/programme is approved. There are, however, many factors that are situation-specific and may be outside the control of the implementing entity. The six-month target is therefore an average target for the Fund's portfolio. If a project/programme is not expected to start within six months of the first cash transfer, the implementing entity must send a notification to the Board through the secretariat with an explanation of the delay and an estimated start date using the form in Annex D to this document (Decision B.34/45). The implementing entity must also notify the Designated Authority (DA) with an explanation of the delay and an estimated start date.

#### *Reporting on project/programme performance*

5. The secretariat will report to the Board through the Annual Performance Report (APR) on any project/programme start delays.<sup>4</sup> The Board may decide, on a case-by-case basis to cancel a project/programme if start-up delays are significant.

#### *Performance Reports for Concrete Adaptation Projects/Programmes*

6. For concrete adaptation projects/programmes, once a project/programme is approved and the first funds are transferred for the project/programme, an implementing entity is required to submit a project/programme performance report (PPR) on an annual basis to the Ethics and Finance Committee (EFC) through the secretariat.<sup>5</sup> The PPRs should be submitted on a rolling basis, one year after the start of project/programme implementation (date of inception workshop) and the last report should be submitted six months after project/programme completion. This last report will be considered the project/programme completion report.<sup>6</sup>

<sup>4</sup> Whilst the secretariat may alert the Board to any delays outside of the APR and the project monitoring report, it should be noted that for concrete adaptation projects/programmes, implementing entities must provide an update at least once a year on project/programme status through the PPR, and for projects implemented through readiness grants, must provide an update at least twice a year on project status through the project monitoring report.

<sup>5</sup> An annual report is the minimum requirement. There may be cases where the Board requests more frequent reporting or additional reports, as for example through requirements linked to the accreditation of an implementing entity.

<sup>6</sup> The standard legal agreement requires a project/programme completion report: "including any specific [Project]/[Programme] implementation information, as reasonably requested by the Board through the Secretariat, within six (6) months after [Project]/[Programme] completion."

7. PPRs are due no later than two months after the end of the reporting year. The Board made the decision to link the disbursement schedule to the submission of the PPR (Decision B.16/21). Once the PPR is submitted, the secretariat reviews the report and upon its clearance, requests the Chair of the Board to authorize the transfer of additional funds as per the disbursement schedule of the project/programme. To further enhance efficiency and reduce delays, the Board decided to delegate to the secretariat its authority to approve the technical review and clearance of PPRs prior to authorization by the Board Chair of the cash transfer of funding tranches, and requested the Secretariat to notify the Board accordingly (Decision B.28/47)

8. Delays in the submission of complete PPRs will result in delays of subsequent funding tranches to the project/programme.

*Project monitoring reports for projects implemented through readiness grants*

9. For projects implemented through readiness grants, once a project is approved by the Board and project implementation starts<sup>7</sup>, the implementing entity is required to submit a monitoring report to the Board through the secretariat (Decision B.29/42). Monitoring reports for projects implemented through readiness grants are due six months from the project start date, and every six months thereafter from the date of the previous monitoring report.

10. Implementing entities should notify the secretariat of delays in the implementation of readiness grants approved by the Board by capturing the reasons for project delay in the project monitoring report and stating the revised expected project completion dates in that report.

*Project completion*

11. For all projects funded by the Fund, indicative project/programme completion time must be included in project/programme proposals for funding. These are usually general estimates and expected completion dates will depend on when a project/programme starts implementation. For this reason, in the first PPR submitted to the secretariat for concrete adaptation projects/programmes, the implementing entity should include, if applicable, a revised expected project/programme completion date. The revised date will be reviewed and cleared by the secretariat during its PPR clearance procedure. The date included in the first PPR will be the date that the project/programme will be tracked against.

12. If there are any project/programme implementation delays, these should be reported through the PPR for concrete adaptation projects/programmes, and the implementing entity must submit a request for project/programme extension.

13. If for a concrete adaptation project/programme the implementing entity expects that additional time would be required to close the project/programme, the implementing entity must submit a request for extension using the template in Annex A to this document. The request for extension should be submitted as soon as it becomes clear that there are obstacles to the project/programme closing on time and no later than six months prior to the expected project/programme completion date. All project/programme extensions must be approved by the Board.

14. An implementing entity may request for a project/programme extension beyond the original completion date for up to 18 months for a concrete adaptation project/programme if (i) no additional funds are required; (ii) the project/programme's originally approved scope will not

<sup>7</sup> Project implementation begins on the date of project start

change; and (iii) the entity provides reasons and justifications for the extension. The DA must be notified of an extension request. Additional time beyond the 18 months stated above may be granted under exceptional circumstances.

15. For the PFG, if there is a delay in completion of work, a revised completion date, including the reasons why the implementing entity could not submit a full proposal to the Board 12 months of PFG disbursement (Decision B.12/28), should be submitted to the secretariat using the notification of delay in project completion template in Annex B to this document. The notification should be submitted to the secretariat not less than two months before the project completion date that was communicated by the implementing entity to the secretariat in the notification of project start. A notification of delay in project completion for PFGs is not required if the implementing entity submits a full project/programme document to the Board 12 months after disbursement of the PFG. In such case, any relevant information regarding the PFG is expected to be captured in the project/programme fully developed project/programme document.

16. Any delays in the completion of the PFG should be communicated to the secretariat as per paragraph 15 above. No request for extension would be required.

17. For projects implemented through readiness grants, revised project start and project completion dates should be indicated in the notification of project start that is sent to the secretariat by the implementing entity. The dates included in the notification of project start will be the dates that the project will be tracked against.

18. Any delays in the completion of projects implemented through readiness grants should be reported through the project monitoring report approved by the Board (Decision B.29/42). Explanations should be given as to the reason(s) for the delays and the proposed new completion dates should be stated. No request for extension would be required.

19. For PFGs and for projects implemented through readiness grants, an implementing entity may report an extension of the completion date of up to 12 months if (i) no additional funds are required; (ii) the project/programme's originally approved scope will not change; and (iii) the entity provides reasons and justifications for the extension. The implementing entity should also notify the DA. The implementing entity should submit requests for additional time beyond 12 months for approval by the Board and such requests may only be granted under exceptional circumstances.

20. For concrete adaptation projects, in addition to the project/programme completion report, due six months after the project/programme has closed, as described in the standard legal agreement a final audited financial statement of the implementing entity grant account, prepared by an independent auditor or evaluation body, must be submitted to the Ethics and Finance Committee through the secretariat within six (6) months of the end of the implementing entity's financial year during which the project/programme is completed. Finally, from section 7, 7.01 "...a final evaluation report, prepared by an [independent] evaluator selected by the [Implementing Entity]. The final evaluation report shall be submitted within nine (9) months after [Project]/[Programme] completion. Copies of these reports shall be forwarded by the [Implementing Entity] to the Designated Authority for information."

21. An implementing entity which does not submit the requested reports on time will temporarily be non-eligible to apply for funding from the Board. The non-eligibility can be lifted once the reports are submitted to the secretariat and cleared.



**ANNEX A: REQUEST FOR EXTENSION OF CONCRETE ADAPTATION  
PROJECT/PROGRAMME**

*Request for extension of project/programme completion date*

<b>Implementing Entity Name:</b>			
<b>AF Project/programme ID:</b>			
<b>Project/programme Title:</b>			
<b>Country:</b>			
<b>Project/Programme Approval (date)</b>			
<b>Expected Project/programme Completion (date)</b>		<b>Proposed Revised Completion (date):</b>	

*Reasons/justifications for the extension of project/programme completion:*

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*Implementing Entity certification*

This request has been prepared in accordance with Adaptation Fund policies and procedures, has been agreed by participating executing entities, and the designated authority (DA) has been notified.	
<i>Name &amp; Signature</i>	
Project/programme contact person	
Date: <i>(Month, Day, Year)</i>	Tel. and Email:

**ANNEX B: NOTIFICATION OF DELAY IN PROJECT COMPLETION FOR THE PROJECT FORMULATION GRANT**


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**Adaptation Fund Project ID:**
**Country:**
**Title of Project/Programme:**
**Grant Type:** [Project Formulation Grant]

**Implementing Entity Name:**
**Executing Entity/ies:**

List of Proposed Project Preparation Activities	Expected Output of the PFG Activities	Output Achieved/Not Achieved	Comment/Explanation (also explain any deviation from initial plan)
<b>Budget</b>	State whether overall expenditure due to the delay is expected to be over or under the planned budget and give brief explanation for material changes in budget.		
<b>Overall outcome</b>	State the reasons why the full project document cannot be submitted to the Board within 12 months of disbursement of the PFG and state the proposed new completion date.		

**General Comment:** [any comment on process or to the secretariat]

**Implementing Entity Contact Person:** \_\_\_\_\_

**Email:** \_\_\_\_\_

**ANNEX C: NOTIFICATION TEMPLATE FOR START OF PROJECT FORMULATION GRANT IMPLEMENTATION**

Implementing entity address  
Address

[Date]

The Adaptation Fund Board  
1818 H Street NW  
MSN N7-700  
Washington DC, 20433  
USA  
Email: [afbsec@adaptation-fund.org](mailto:afbsec@adaptation-fund.org)

**Subject: Notification of Project Formulation Grant (PFG) inception**

This letter is to inform you that implementation of the PFG approved by the Adaptation Fund Board on [Date] for formulation of a concrete adaptation project/programme has officially started. Details of the project inception are below:

**Implementing Entity:**

**Country:**

**Description of Concrete Adaptation Project:** [Title of Project] in [name of country]

**PFG Start Date:** [Date]

**Expected PFG Completion Date:** [Date]

Sincerely

[Name]

[Position]

[Email]

[Telephone]

**ANNEX D: NOTIFICATION OF DELAY OF PROJECT OR PROGRAMME INCEPTION**

*Notification of delay of project/programme start (As per Decision B.18/29, for concrete adaptation projects/programmes, the Board decided to consider the start date to be **the first day of the project/ programme's inception workshop**)*

<b>Implementing Entity Name:</b>			
<b>AF Project/programme ID:</b>			
<b>Project/programme Title:</b>			
<b>Country(ies):</b>			
<b>Project/Programme Approval (date)</b>			
<b>Expected Project/programme Start (date)</b>		<b>Proposed Revised Inception (date):</b>	

- 1. Reasons/ justification for delay in the project's/programme's inception and the number of months of delay from the project approval date*

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- 2. Approaches/ mitigation measures to ensure the start of implementation*

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3. *Challenges (in addition to those mentioned in section 1) that may extend the project/ programme completion date)*

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*Implementing Entity certification*

This notification for delay on project/programme inception has been prepared in accordance with Adaptation Fund policies and procedures, and delay on project/programme start has been agreed by participating executing entities and has been notified to the designated authority(ies) (DA).	
<i>Name &amp; Signature</i>	
Project/programme contact person	
Date: <i>(Month, Day, Year)</i>	Tel. and Email: