



ADAPTATION FUND

AFB/PPRC.38/36/Add.1
20-21 October 2026

Adaptation Fund Board
Project and Programme Review Committee
Thirty-eighth meeting
Bonn, Germany, 20-21 October 2026

Agenda Item 6 d)

**PROJECT FORMULATION GRANT FOR
LLA SINGLE COUNTRY PROPOSAL FOR ZIMBABWE**

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. At its forty-second meeting the Board approved modifications to project formulation grants contained in document AFB/PPRC.33/40. Having considered the recommendation of the Project and Programme Review Committee, the Adaptation Fund Board decided:

- a) *That project formulation grants (PFGs) be made available for projects submitted through national, regional and multilateral implementing entities;*
- b) *That the maximum size of the PFG for single country projects for all windows, inclusive of the management fee, be set as follows:*
 - (i) For projects below US\$ 2,000,000, the limit is set at US\$ 50,000;*
 - (ii) For projects at or above US\$ 2,000,000 and below US\$ 5,000,000, the limit is set at US\$ 100,000;*
 - (iii) For projects at or above US\$ 5,000,000, the limit is set at US\$ 150,000;*
- c) *That an additional PFG amount (inclusive of the management fee) can be provided on a case-by-case basis for locally-led adaptation projects up to a maximum of US\$ 100,000, and that such amount should be dedicated to support activities that enable decision-making by local actors over how adaptation actions are defined, prioritized, designed and implemented;*
- d) *That the maximum size of the PFG for all regional projects, inclusive of the management fee, is set as follows:*
 - (i) For regional projects of US\$ 5,000,000 and above, and with less than three countries, the limit is set at US\$ 150,000;*
 - (ii) That this limit increase by US\$ 15,000 for each additional country involved, up to a maximum of US\$ 250,000;*
- e) *That requests for a PFG should be made at the same time as the submission of a project concept or pre-concept to the secretariat using the revised PFG form in annex I to document AFB/PPRC.33/40;*

- f) *That, for a PFG at the pre-concept stage, up to 20 percent of the maximum amount of the PFG set in out in subparagraphs (b), (c) and (d) above could be granted;*
- g) *That only activities that support project preparation and formulation would be eligible for PFG funding, as per paragraph 32 of document AFB/PPRC.33/40.*

(Decision B.42/37)

II. The Project Formulation Grant Request

8. This addendum to the document, AFB/PPRC.38.36 “LLA Single Country Proposal for Zimbabwe” includes a request for a Project Formulation Grant, requesting a budget of US\$179,350, comprising a PFG of US\$119,350 plus an additional amount of US\$60,000, which was received by the secretariat along with the concept-note for the project AF00000466 “*Locally-Led Resilience: Enhancing Community-Based Disaster Preparedness and Climate Adaptation in Manicaland and Masvingo*”. This proposal was submitted by Environmental Management Agency (EMA), which is a National Implementing Entity of the Adaptation Fund, in time for consideration by the Adaptation Fund Board at its forty-seventh 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. The US\$119,350 Project Formulation Grant (PFG) will support national and community-level consultations and project design; climate risk, cost-effectiveness, capacity needs, gender, and environmental and social assessments; development of a participatory small grants mechanism for community-led adaptation actions; and preparation of a fully developed proposal, including the theory of change, results framework, budget, and implementation arrangements. The additional US\$60,000 PFG amount will support community prioritization and co-design workshops, development and testing of the small grants mechanism, a targeted capacity needs assessment for locally led adaptation implementation, and specialized technical support to strengthen community-driven planning, inclusive monitoring, and local adaptation finance systems within the fully developed proposal.

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



Revised PFG Submission Form¹

Project Formulation Grant (PFG)

Submission Date: 05 August 2025

Adaptation Fund Project ID: [AF000005637BD](#)

Country/ies: Zimbabwe

Title of Project/Programme: *Locally-Led Resilience: Enhancing Community-Based Disaster Preparedness and Climate Adaptation in Manicaland and Masvingo*

Type of IE (NIE/RIE/MIE): *National Implementing Entity*

Implementing Entity: *Environmental Management Agency (EMA) Zimbabwe*

Executing Entity/ies: *Development Aid from People to People (DAPP) Zimbabwe*

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A. Project Preparation Timeframe

Start date of PFG	Upon AF disbursement of PFG grant to EMA
Completion date of PFG	9 months after concept note approval

B. Proposed Project Preparation Activities (\$)

List of Proposed Project Preparation Activities	Output of the PFG Activities	US\$ Amount	Budget note ²
Consultations	Consultation & validation workshops are planned as follows: - Two national workshops targeting national stakeholders (design and validation workshops); - Four District-level consultation rounds of at least 1 week each (including workshops targeting sub-national and local stakeholders, and 'prioritization and co-design workshops' at the community-level).	30,000	- Two national workshops (rent of venue, per diems, refreshments) @5,000 (x2) - Four district-level consultation rounds (local accommodation, materials, refreshments, etc.) @5,000 (x4)
Travel/participation	- Field travel by EMA and DAPP Zimbabwe teams to support PFG studies and consultations. - Technical participation in district workshops	15,000	- Local travel, rent of vehicle and driver @5,000 - Two travels Humana Climate Team ³ @5,000 (x2)

¹ As presented in AFB/PPRC.33/40 Annex 1.

² The proposal should include a detailed budget with budget notes indicating the break-down of costs at the activity level. It should also include a budget on the Implementing Entity management fee use.

³ Humana Climate Team refers to the Humana People to People (HPP) Climate Team, housed at Humana Spain, and which supports members of the HPP Federation – including DAPP Zimbabwe – in the design and development of climate change projects.

	- and stakeholder meetings. - On-site verification of proposed project sites and adaptation measures. - Coordination between national and district-level stakeholders.		
Cost-effectiveness Study	- Assess the economic and financial contribution for the project zones' beneficiaries - Analyze the profitability of project taking into account the cost-effectiveness of the proposed activities related to climate-resilient farming practices, agro-value chain development, and disaster risk management as well as the project added-value at the environmental, social and economic levels.	5,000	Consultant @USD 5,000
Gender Assessment and Action Plan	- Gender review of relevant policies and legal frameworks of Zimbabwe, specifically, to: - Mainstream gender-responsive approaches into the project design: outcomes, outputs, activities, indicators and targets. - Develop a Gender Action Plan - Mainstream AF Gender policy into project design using the existing "guidance document for Implementing Entities on compliance with the Adaptation Fund Gender Policy. - Monitoring and Evaluation interventions to measure progress and/ or impact of gender mainstreaming from the climate change and disaster perspective	10,000	- Consultant @7,500; - Expenses for conducting local gender surveys (local travel, accommodation, etc.) @2,500
Environment and Social Impact Studies/ Reviews	- Environmental and social screening of proposed adaptation measures in line with AF's ESP. - Identification of potential risks, mitigation measures, and opportunities for environmental co-benefits. - Development of an Environmental and Social Management Plan (ESMP). - Stakeholder engagement to validate key findings and E&S safeguards.	15,000	Consultant @15,000 USD
Capacity Needs Assessment	- Assessment of institutional and community-level capacity to implement LLA interventions. - Identification of training, resource, and coordination gaps across implementing and executing entities. - Recommendations for integration of capacity building in the full proposal.	10,000	- Consultant @7,500 - Expenses for needs assessment (local travel, accommodation, materials, etc.) @2,500
Design of Small Grants System	- Development of a participatory and accountable small grants mechanism targeting local adaptation actions. - Design of eligibility criteria, governance structures, and disbursement modalities. - Development of operational guidelines for	15,000	- Consultant @12,500 - Expenses for pilot consultations and meetings with Financial Institutions (local travel, accommodation, materials,

	grant oversight and reporting. - Pilot consultations with potential grantees (e.g., CBOs, women's groups) to test feasibility. - Consultations and pre-teaming agreements with local Financing Institutions.		etc.) @2,500
Design of the full project proposal	- Drafting of full AF project proposal, integrating findings from assessments. - Preparation of Theory of Change, results framework, and alignment with national adaptation priorities. - Incorporation of technical inputs from consultations, gender and E&S studies. - Internal and external validation of draft proposal prior to submission.	10,000	- DAPP Expert for 2 months @5,000 - Technical Assistance Humana Climate Team ⁴ @5,000 USD
Others costs	Management fees EMA (8,5%)	9,350	- Oversight and management of PFG activities – expert time @4,350; - Monitoring & Evaluation of PFG Activities @2,500; - Financial management and reporting of grant @2,500;
Total Project Formulation Grant		119,350	

Description of Project Preparation Activities:

Consultations: The project formulation process will involve an extensive programme of consultations and validation workshops at both national and sub-national levels. Two national-level workshops will be organized, one for design input and one for validation, bringing together government institutions, technical experts, and sectoral stakeholders.

Additionally, four district-level consultation rounds will be conducted, each lasting at least one week and incorporating engagements with sub-national authorities, community-based organizations, and vulnerable groups. These sessions will include structured 'prioritization and co-design workshops' at community level, ensuring that adaptation priorities are informed by local knowledge and lived experience.

Travel and Participation: Field travel will be undertaken by EMA and DAPP Zimbabwe teams to support the implementation of key PFG studies and stakeholder engagements. This includes technical participation in district consultations, site visits to verify proposed intervention areas, and coordination meetings with decentralized structures. In addition, travel is foreseen for two technical experts from the Humana People to People Climate Team, to contribute cross-country experience and technical input to project development and consultations.

Cost-Effectiveness Study: A dedicated cost-effectiveness study will be conducted to assess the economic and financial contributions of the proposed adaptation measures for target communities. The study will analyse the profitability and value-for-money of project interventions, including climate-resilient agriculture, agro-value chains, and disaster risk management components. It will also examine the added value of the project at environmental, social, and economic levels, providing justification for project scale and modality.

Gender Assessment and Action Plan: A comprehensive gender assessment will be carried out to inform the design of a gender-responsive project. This will include a review of Zimbabwe's policy and legal frameworks, as well as an analysis of climate vulnerability and adaptation roles differentiated by gender. The consultant will lead the development of a Gender Action Plan, aligned with the Adaptation Fund's Gender Policy, and will ensure that gender considerations are mainstreamed throughout the project's results framework. The assessment will also define gender-

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sensitive monitoring indicators and recommend inclusive grievance mechanisms.

Environmental and Social Impact Studies: Environmental and social screening will be conducted in line with the Adaptation Fund's Environmental and Social Policy (ESP). The process will include the identification of potential risks and co-benefits associated with proposed interventions, the development of an Environmental and Social Management Plan (ESMP), and stakeholder validation of key findings. This activity ensures compliance with safeguard standards and promotes the integration of environmental sustainability and social equity considerations throughout the project.

Capacity Needs Assessment: A targeted capacity needs assessment will be undertaken to identify institutional and operational gaps that may affect the implementation of Locally-Led Adaptation (LLA) interventions. The assessment will focus on both executing entities and community-based structures, mapping existing capacities and defining training, technical assistance, and governance support requirements. The results will inform the design of tailored capacity-building components in the full project proposal.

Design of Small Grants System: The project will develop a participatory and transparent small grants system to support community-driven adaptation actions. This mechanism will include clear eligibility criteria, governance structures, disbursement procedures, and accountability mechanisms. Operational guidelines will be drafted, and consultations will be held with potential grantees—including women's groups, farmer associations, and youth networks—to test the system's feasibility. Engagements will also be conducted with local financial institutions to explore partnerships and ensure readiness for implementation.

Design of the Full Project Proposal: The full project proposal will be developed through a structured drafting process that synthesizes the outputs of all technical assessments and stakeholder consultations. The proposal will include a robust theory of change, a results framework with targets and indicators, a detailed budget, and risk management strategies. Contributions will be made by both national experts and regional technical support from the Humana Climate Team, ensuring the integration of lessons from similar initiatives in neighbouring countries. The proposal will undergo internal and external validation prior to submission.

Preparatory Funding specifically to the LLA Aspect of the Project:

To meaningfully devolve adaptation decision-making to the local level, additional activities are required beyond those typically covered under standard Adaptation Fund project preparation processes. These activities are essential to ensure that community actors – notably those most vulnerable to climate impacts – are empowered to participate in defining, designing, and implementing adaptation actions in a way that reflects their lived realities, capacities, and needs.

The requested additional funding supports four specific interventions that directly contribute to the objectives of Locally-Led Adaptation and are reflected in the PFG budget:

- **Prioritization and Co-Design Workshops at District and Community Level (USD 20,000):** These participatory workshops will serve as structured spaces for local stakeholders – including traditional leaders, CBOs, women's and youth groups, and smallholder producers – to articulate adaptation priorities and co-design relevant solutions. They go beyond standard consultations by embedding participatory planning methods that allow community members to influence decision-making processes directly.
- **Development of the Small Grant Mechanism, Including Pilot Consultations (USD 15,000):** This activity aims to establish the operational foundations for a devolved financing mechanism that enables community-based entities to access adaptation resources. The additional resources will support in-depth design, consultative meetings, and pilot consultations to ensure the mechanism is transparent, accessible, and responsive to community-level implementation capacities.
- **Capacity Needs Assessment to Identify Gaps and Priorities (USD 10,000):** A targeted capacity assessment will identify specific institutional, technical, and governance gaps at the local level, which are essential for tailoring capacity-building interventions in the full project. This ensures that devolved functions are not only formalized but also practically supported by adequate local capabilities.
- **Additional Technical Expertise from the Humana Climate Team (USD 15,000):** Drawing on cross-country experience from sister organizations engaged in similar locally-led adaptation programming, this support will bring in specialized knowledge on community-driven planning, inclusive monitoring, and local adaptation finance systems. It will strengthen the technical robustness of the LLA components in the full proposal.

The total additional amount requested specific to support the LLA aspects is **USD 60,000**, to ensure the project is designed in line with the principles and operational guidance of the Adaptation Fund's LLA window.

These additional investments are required to operationalizing the LLA approach in practice. They enable a shift from consultation to shared decision-making and ensure that project mechanisms are not merely top-down instruments, but genuinely co-owned and locally governed.

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)	Project Contact Person	Telephone	Email Address
CHAGONA DARRON Environmental Management Agency (EMA)		05/08/2025	Hlompho Naledi Kulube	+263 775 196 726	naledi. kulube@ ema.co.zw

All communications should be addressed, "The Secretary for Environment, Climate and Wildlife."

P Bag 7753 Causeway,
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Your Ref.:
Our Ref:



ZIMBABWE

MINISTRY OF ENVIRONMENT,
CLIMATE AND WILDLIFE

11th Floor, Kaguvi Building
Cnr 4th Street/Central Avenue
Harare
ZIMBABWE

6 August 2024

To: The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: afbsec@adaptation-fund.org
Fax: 202 522 3240/5

Endorsement for Locally Led Resilience: Enhancing Community-Based Disaster Preparedness and Climate Adaptation in Manicaland and Masvingo

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

Accordingly, I am pleased to endorse the above project proposal being submitted for the Adaptation Fund's consideration. If approved, the project will be implemented by Environmental Management Agency (EMA) and executed by Development Aid from People to People Zimbabwe (DAPP).

Sincerely,

A handwritten signature in blue ink, appearing to be 'W. Zhakata'.

Mr. Washington Zhakata
Director - Climate Change Management Department
Adaptation Fund National Focal Point
Ministry of Environment, Climate and Wildlife
Zimbabwe