Learner Guide

THE PACIFIC GUIDE TO PROJECT PROPOSAL PREPARATION FOR THE KYOTO PROTOCOL ADAPTATION FUND

Photo: Carlo Iacovino/SPREP

SPREP Secretariat of the Pacific Regional Environment Programme

PACIFIC ISLANDS FORUM SECRETARIAT

ADAPTATION FUND

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Our vision: The Pacific environment, sustaining our livelihoods and natural heritage in harmony with our cultures.

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[1] www.prea.com.au

Contents

ACRONYMS AND ABBREVIATIONS

ADB	Asian Development Bank
AF	Adaptation Fund
AFB	Adaptation Fund Board
BaU	Business as Usual
DA	Designated Authority
DRR	Disaster Risk Reduction
EE	Executing Entity
IE	Implementing Entity
IPCC	Intergovernmental Panel on Climate Change
JNAP	Joint National Action Plan (on climate change and DRR)
KM	Knowledge Management
MIE	Multilateral Implementing Entity
M&E	Monitoring and Evaluation
NAPA	National Adaptation Programme of Action
NSDP	National Sustainable Development Plan
NIE	National Implementing Entity
PACCSAP	Pacific-Australia Climate Change Science and Adaptation Planning
PIC	Pacific Island Country
PPR	Project Performance Report
RBM	Results Based Management
RIE	Regional Implementing Entity
SPREP	Secretariat of the Pacific Regional Environment Programme
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
WFP	World Food Programme
WMO	World Meteorological Organization

SECTION 1. INTRODUCTION

Photo: Carlo Iacovino/SPREP

SECTION 1. INTRODUCTION

USING THE LEARNER GUIDE

The guide is divided into sections and contains icons to help you navigate through the guide.

Introduction to the Course

This course is designed to introduce the participants on how to prepare a proposal for the Adaptation Fund (AF) through SPREP as a Regional Implementing Entity (RIE). The course assumes participants have some prior knowledge and experience of project design and project management.

The course covers the requirements of the AF proposal template, and provides an overview of specific components of the proposal development process. The AF has made available through its website (www.adaptation-fund.org) a number of guidelines to support countries to prepare proposals. This course makes reference to the guidelines, but presents the information in a simplified manner to suit the timeframe of the course. A list of priority supporting reading materials available from the AF website can be found in ANNEX 1.

Learning Objectives

The overall learning objective of the course is to train representatives of Pacific island countries to develop proposals for the AF.

More specifically at the end of this course, participants will:

- Be more familiar with the full AF proposal development cycle including specific AF requirements and existing projects which have successfully completed this cycle;
- Be able to respond to each of the key components of the application form through hands-on experience;
- Be more familiar with the AF on-line resources, and the roles of the Adaptation Fund Secretariat;
- Be aware of the opportunities and processes to become a National Implementing Entity (NIE).

Learner Guide Icons

A range of icons are used throughout the body of this guide to signal when you have to do something such as completing a learning activity or assessment task.

Learning Activities are there to help you reflect on and consolidate your learning.

Readings are provided to guide you to further technical information to allow you to further build upon the learning objectives.

SECTION 2.
THE ADAPTATION FUND

Photo: Carlo Iacovino/SPREP

SECTION 2. THE ADAPTATION FUND

INTRODUCTION TO THE ADAPTATION FUND

The AF was established to finance **concrete** climate change adaptation projects in developing countries that are Parties to the Kyoto Protocol[2].

"A **concrete** adaptation project/programme is defined as a set of activities aimed at addressing the adverse impacts of and risks posed by climate change. The activities shall aim at producing visible and tangible results **on the ground** by reducing vulnerability and increasing the adaptive capacity of human and natural systems to respond to the impacts of climate change, including climate variability[3]."

Access to funding is available to countries that are particularly vulnerable to the adverse impacts of climate change.

Eligible countries seeking to access the Fund must do so through an accredited **Implementing Entity** at the national, regional or multilateral level (Table 1). As of September 2014, there are no Pacific islands countries with an accredited National Implementing Entity (NIE).

Table 1. Implementing Entities Relevant to Supporting Pacific Island Countries

Multilateral Implementing Entity (MIE)[4]	e.g. UNDP, UNEP, the World Bank, WFP, WMO or ADB
Regional Implementing Entity (RIE)	e.g. SPREP
National Implementing Entity (NIE)	e.g. National institutions[5]

Accreditation as an NIE allows countries to have direct access to the AF. Alternatively countries can access funding through an RIE such as SPREP.

Funding for projects and programmes is on a full adaptation cost basis to address the adverse effects of climate change. Countries may propose to undertake climate change projects at the national, regional, or local levels.

The Fund does not have specific sectors which it funds, or does not fund. The projects/programmes currently funded can be categorised into six broad sectors:

- Food Security
- Disaster Risk Reduction
- Coastal Management
- Water Management
- Agriculture
- Rural Development

[2] Developing countries are generally listed in non-annex 1.http://unfccc.int/parties_and_observers/items/2704.php

[3] Operational Policies and Guidelines for Parties to Access Resources From The Adaptation Fund, p2.

[4] Funding cap for MIE (50% of available AF funds) has been met. Only RIE & NIE are open to funding at present.

[5] No NIEs have yet been accredited in the Pacific as of October 2014.

This does not mean that projects in other sectors (e.g. health) would not get funding. It is up to the project proponent(s) to justify how they meet the AF's funding criteria.

Projects and programmes can focus on one sector or be multi-sectoral.

Amount of Funding Available

The Adaptation Fund has two categories of funding:

- Small-sized project/programme, for proposals requesting grants up to US $1 million;
- Regular project/programme for proposals requesting grants of more than US $1 million.

The Fund has a streamlined approval process for projects costing less than US $1 million. If a country seeks funding for multiple adaptation projects, or if the activities are to take place in multiple locations or within multiple sectors, the proposal could be defined as a "programme." There is a US $10 million cap per country.

A **project** is defined as a set of specific activities within a set timeline.

A **programme** typically has a broader scope, and can consist of several ongoing projects within a broader timeframe.

Implementing Entities, Executing Entities, and Designated Authorities

There are three 'bodies' that have a role to play in getting a proposal together (Table 2). As noted previously, all applicants must submit project proposals through an Implementing Entity (MIE, RIE or NIE).

Proposals also require endorsement by the **Designated Authority** of the country in which the project or programme would take place[6]. Designated Authorities are government officials who act as points of contact for the Fund.

The **Executing Entity**, which is often the government department or agency responsible for putting forward the proposal, is responsible for delivering on a successful project or programme under the oversight of the implementing entity. Executing entities may also be non-profit organisations, or a regional agency engaged to provide executing entity services[7].

[6] A list of Designated Authorities is available at https://www.adaptation-fund.org/page/parties-designated-authorities.

[7] This may occur if the national government department or agency is not able to meet the financial standards required by the AF.

Table 2. Roles of Entities and Authorities

Type of Entity	Role	Examples
Implementing Entity	Ultimately responsible for all financial, monitoring, and reporting responsibilities	UNDP (MIE), SPREP (RIE), Planning Institute of Jamaica (NIE)
Executing Entity	Responsible for executing the project/programme and working with the Implementing Entity on fiscal, monitoring, and reporting responsibilities	Ministry of Natural Resources and Environment (Samoa); Ministry of Environment, Climate Change, Meteorology and Disaster Management, and the Ministry of Agriculture and Livestock (Solomon Islands)
Designated Authority	Country's focal point toward the AF Board/Secretariat; Endorses project/programme proposals for the country before they are sent to the Fund; Responsible for endorsing the application of a national entity to be accredited as a national implementing entity (NIE), should the country chose to seek accreditation.	Ministry of Foreign Affairs and Immigration (Cook Islands); Department of Environment (Niue)

Who is the Designated Authority for your country?

Parties' Designated Authorities[https://www.adaptation-fund.org/page/parties-designated-authorities]
AF Handbook[https://www.adaptation-fund.org/document/260-adaptation-fund-handbook]

Tip. Accredited NIEs can access a Project Formulation Grant (PFG) to help them prepare a fully developed proposal submission, once a concept has been approved. RIEs cannot access such a grant as it is expected that RIEs have sufficient funds/capacity to develop submissions.

Eligibility Criteria

The project or programme to be proposed must meet all of the following basic criteria to be eligible for financial support from the Fund.

- ☐ The project will be implemented in a developing country that is a Party to the Kyoto Protocol. All Pacific Island Countries are Parties and are thus eligible.
- ☐ The country is particularly vulnerable to the adverse impacts of climate change. According to the AF, these countries include, "low-lying and other small island countries, countries with low-lying coastal, arid and semi-arid areas or areas liable to floods, drought and desertification, and developing countries with fragile mountainous ecosystems."
- ☐ The project or programme will be a concrete adaptation project or programme, in other words, a set of activities aimed at addressing the adverse impacts and risks of climate change. The proposed project or program will be clearly distinguished from a "business-as-usual" development or environmental activity.

Strategic Priorities of the Fund

The Fund's guidelines for project and programmes do not limit the kinds of adaptation measures or the sectors that countries should address. However, the AF does set forth some general priorities of importance in order to ensure funding is used effectively. Proposals requesting funding from the AF will be assessed with particular attention to the Fund's four Strategic Priorities[8]:

1. Supporting adaptation priorities set by and within the developing country
2. Consistent with relevant national development, poverty reduction, and climate change strategies
3. Taking into account existing scientific and political guidance
4. Special attention to the particular needs of the most vulnerable communities

How can you demonstrate meeting the Fund's four strategic priorities?

The guidelines also note that the AFB, in deciding on funding, also take into account:

a) Level of vulnerability;
b) Level of urgency and risks arising from delay;
c) Ensuring access to the fund in a balanced and equitable manner;
d) Lessons learned in project and programme design and implementation to be captured;
e) Securing regional co-benefits to the extent possible, where applicable;
f) Maximising multi-sectoral or cross-sectoral benefits;

[8] Accessing Resources from the Adaptation Fund: The Handbook, p7.

g) Adaptive capacity to the adverse effects of climate change.

Proposal Requirements

The *Operational Policies and Guidelines for Parties to Access Resources from the Adaptation Fund* notes that proposals must pay attention to the following strategic policies and guidelines[9]:

a) Consistency with national sustainable development strategies, including, where appropriate, national development plans, poverty reduction strategies, national communications and national adaptation programmes of action and other relevant instruments, where they exist;
b) Economic, social and environmental benefits from the projects;
c) Meeting national technical standards, where applicable;
d) Cost-effectiveness of projects and programmes;
e) Arrangements for management, including for financial and risk management;
f) Arrangements for monitoring and evaluation and impact assessment;
g) Avoiding duplication with other funding sources for adaptation for the same project activity;
h) Moving towards a programmatic approach, where appropriate.

Proposals must also be submitted on the AF templates [https://www.adaptation-fund.org/page/proposal-submission-materials]

Copies of key AF templates are included in the resource pack on the USB drive that were handed out during the training workshop, however, participants are encouraged to download templates from the official website to ensure they have the most up-to-date version.

Operational Policies and Guidelines for Accessing Funding[https://www.adaptation-fund.org/policies_guidelines]

ADAPTATION FUND BOARD PROJECT CYCLE

The Fund's proposal review and decision-making process has multiple steps that commence with the submission of proposals by the selected entity to the AFB Secretariat (Figure 1).The steps are described in Table 3.

Small-size projects undergo a **one-step** approval process. Larger proposals may undergo either a one-step or a two-step approval process. In the one-step approval process the proponent submits a fully-developed project/programme document.

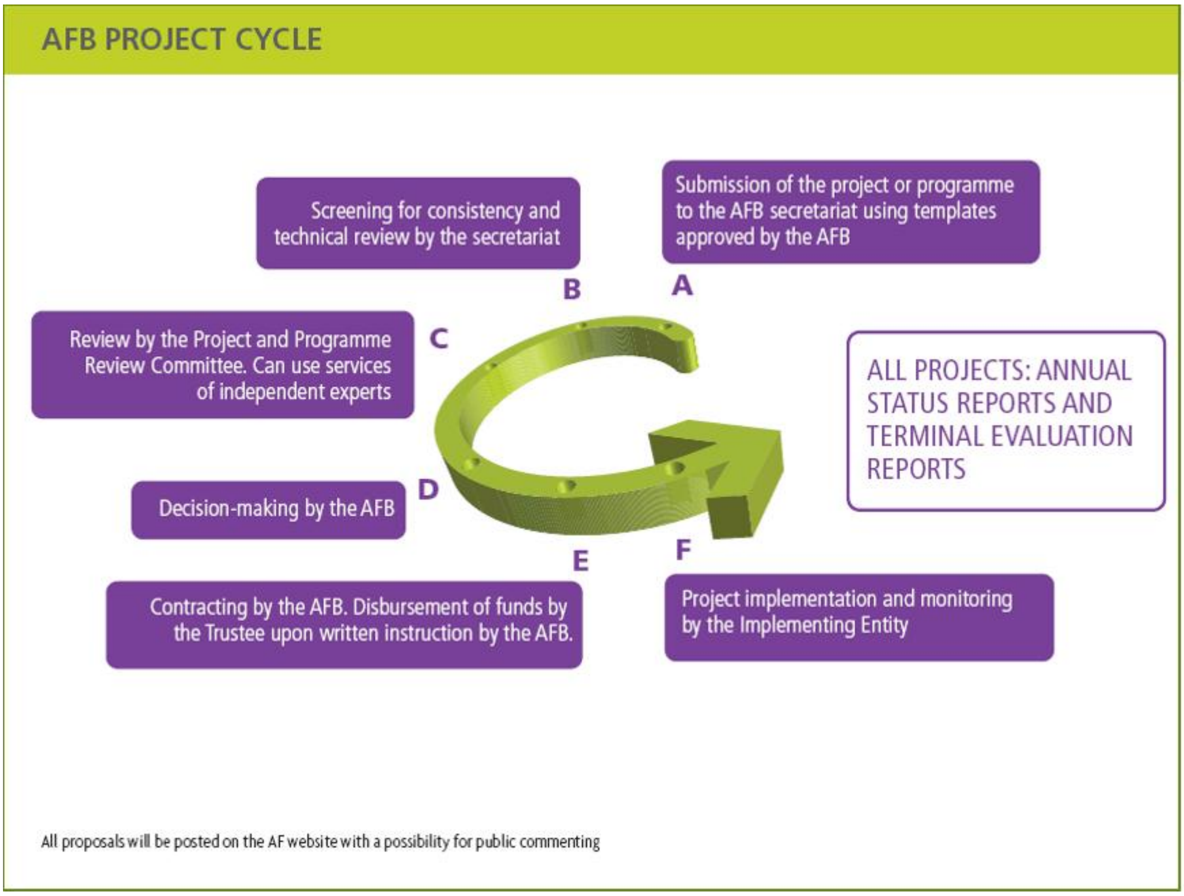
In the **two-step** approval process a brief project/programme concept[10] is submitted as a first step followed by a fully-developed project/document. The benefit of the two-step process is that the

[9] Strategic Priorities, Policies and Guidelines of the Adaptation Fund, Paragraph 15 - https://www.adaptation-fund.org/sites/default/files/OPG%20ANNEX%201.pdf.

[10] Both the concept and fully develop submission both use the same AF application template.

proponent can ensure the concept meets the Fund's criteria before investing the time and resources for a full proposal.

Figure 1. The AFB Project Cycle



Tip.AF submissions should not be developed by one person alone. Countries should assemble a **national team**. Countries using the assistance of RIEs may be able to access expertise in specific areas such as budgeting, CBA, M&E, knowledge management, climate change adaptation etc.

Table 3. AFB Project Cycle Steps

A. Proposal submission	An eligible country submits a proposal, with approval of their Designated Authority, though the National, Regional, or Multilateral Implementing Entity that they choose. Countries may choose to either submit a project concept first or submit a fully-developed project document. The Adaptation Fund Board provides countries with templates and instructions for their applications.
B. Screening for consistency and review by secretariat	The Adaptation Fund Secretariat screens proposals and prepares technical reviews, which it forwards to the Project and Programme Review Committee (PPRC). During the technical review process, the Secretariat shares an initial review with the implementing entity, and may request further information or clarifications from it as part of the technical review. The implementing entity will also have an opportunity to discuss the initial findings with the Secretariat on the phone.
C. Project and Programme Review Committee (PPRC) review	The PPRC provides a review and recommendation to the Board. The PPRC may call on independent adaptation experts to provide input into the review process. Any comments or requests for clarification are forwarded by the Secretariat to the implementing entity. Responses and other input along with the conclusions of the technical review by the secretariat are then incorporated to the review template. The PPRC reviews the proposals and give its recommendation to the Board for a decision at the Board's meeting[11].
D. Funding decision	The Board may **endorse, not endorse or reject** a project concept, and **approve**, **not approve** or **reject** a fully-developed proposal with a clear explanation to the implementing entities. Proposals that are 'not approved' are given a set of questions or clarifications sought before a further submission of the proposal should be considered. Rejected proposals cannot be resubmitted whereas proposals can be submitted a second time if they are 'not approved' upon the first assessment.
E. Disbursement of funds	The Board contracts with the Implementing Entity to oversee and manage the project or programme. The funds are dispersed based on a disbursement schedule and after the first disbursement, funds are transferred yearly based on project performance.
F. Project implementation and Monitoring	The Implementing Entity disburses funds to in-country organisations that will execute the project, and it oversees project implementation, finances, monitoring, and reporting.

AF Handbook[https://www.adaptation-fund.org/document/260-adaptation-fund-handbook]

ANNEX 1 of this guide provides a list of supporting AF documents that applicants should become familiar with to understand the fine details of the AF and guidelines for applying. This guide provides a short synthesis of information presented in these supporting documents.

[11] See 'Deadline for project/programme proposal submissions' in the Fund's calendar https://www.adaptation-fund.org/page/calendar.

SECTION 3.
PUTTING A PROPOSAL TOGETHER

Photo: Carlo Iacovino/SPREP

SECTION 3. PUTTING A PROPOSAL TOGETHER

RESULTS BASED MANAGEMENT FRAMEWORK

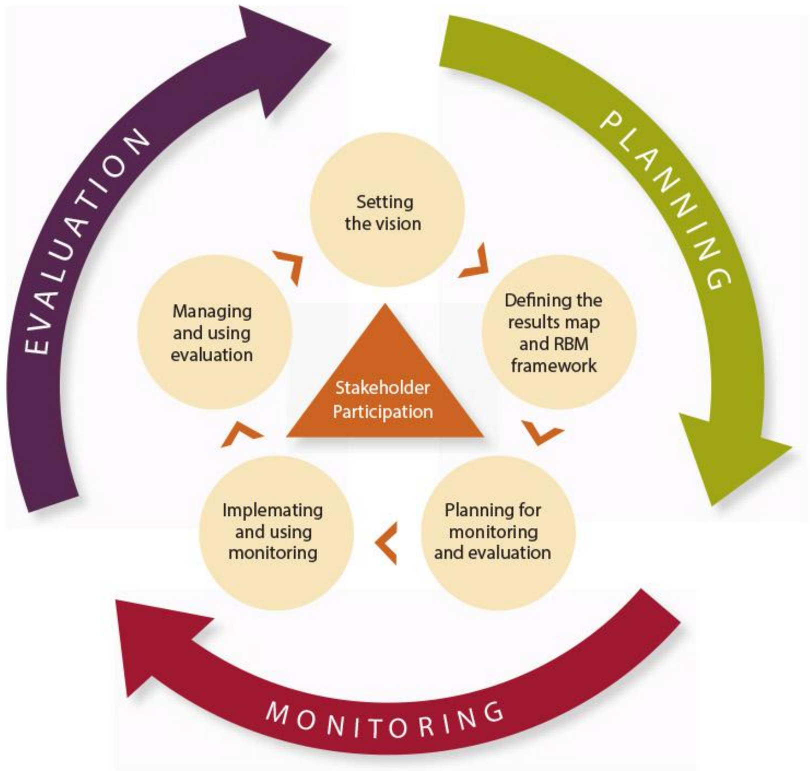
The AF's application process is underpinned by the development of a **Results Based Management (RBM) Framework**.

"*RBM is a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the achievement of desired results (outputs, outcomes and higher level goals or impact). The actors in turn use information and evidence on actual results to inform decision making on the design, resourcing and delivery of programmes and activities as well as for accountability and reporting*."[12]

A RBM Framework incorporates covers planning, monitoring, and evaluation (Figure 2). Stakeholder participation at all stages is central to the process.

Figure 2. The RBM lifecycle approach

FIGURE 1: The RBM life-cycle approach



Source: UNDP, Handbook on Planning, Monitoring and Evaluating for Development Results, 2009.

[12] United Nations Development Group (UNDG) Results Based Management (RBM) Handbook 2011.

Results-based management handbook, United Nations Development Group, [http://www.undg.org/docs/12316/UNDG-RBM%20Handbook-2012.pdf]

ADAPTATION FUND APPLICATION TEMPLATE

Proposals must be submitted using the template (Amended November 2013) provided on the Fund website[13]. The template is accompanied by *Instructions for Preparing a Request for Project/Programme Funding*[14]. The sections of the template, and a summary of the guidelines, along with tools and information sources to guide its completion, are provided in Table 4.

Table 4. Overview of the Fund's Application Template

Template Section	Description	Tool(s) / Information Source
PART I		
Project/Programme Category	Small-sized project/programme (grants up to $1 million) OR Regular project/programme (grants of more than $1 million)	
Country/ies	Name of country requesting the grant	
Title of Project/Programme	Title of the project/programme	
Type of Implementing Entity	NIE, RIE or MIE	
Implementing Entity	Name of the Implementing Entity (e.g. SPREP)	
Executing Entity/ies	Name of the organisation(s) that will execute the project/programme	
Amount of Financing Requested	Grant amount (in US Dollars equivalent)	Budget
Project / Programme Background and Context	Provide brief information on the problem the proposed project/programme is aiming to solve. Outline the economic social, development and environmental context in which the project would operate.	Desktop research, stakeholder analysis, National Sustainable Development Plan (NDSP), National Adaptation Programme of Action (NAPA), climate modelling reports, Vulnerability& Adaptation (V&A) assessment, , National Communications documents and Joint National Action Plans (JNAPs)
Project / Programme Objectives	List the main objectives of the project/programme.	Results Framework (logframe)
Project / Programme Components and Financing	Indicate relationships among project components (outcomes), expected concrete outputs and the corresponding budget amounts. Also indicate the budget for	Results Framework (logframe) and Budget

13 https://www.adaptation-fund.org/page/proposal-submission-materials

14 https://www.adaptation-fund.org/page/instructions-preparing-request-projectprogramme-funding-amended-november-2013

	execution costs and project cycle management fee.	
Projected Calendar	Indicate the dates of the milestones for the proposed project- start, mid-term review (if planned), closing, terminal evaluation	Timeline or Gantt Chart

PART II		
A. Describe project/programme components focussing on how activities contribute to climate resilience	Describe how the activities will help with adaptation to climate change and improve climate resilience. Activities need to produce visible and tangible results on the ground by reducing vulnerability and increasing the adaptive capacity to respond to the impacts of climate change, including climate variability. Activities should ensure cohesion of the components among themselves, and be distinguished from a "business-as- usual" development or environmental protection project. The project/programme proposal should therefore explain the project rationale in relation to the climate scenario(s) outlined in the background and context section. Finally, the non-climatic barriers to achieving the project objective, whenever relevant, should be taken into account when designing the project/programme.	Results Framework (logframe) and Budget, Alternative scenarios (inclusion BaU), Problem/Solution Tree
B. Describe how the project/ programme provides economic, social and environmental benefits, with particular reference to the most vulnerable communities, and vulnerable groups within communities, including gender considerations, and compliance with Environmental and Social Policy	Identify the beneficiaries of the project/programme, and specific benefits with particular reference to the equitable distribution of benefits to vulnerable communities, households, and individuals. In target areas where minority groups and indigenous communities have been identified, particular benefits provided by the project/programme to those groups should be outlined. Fully developed proposals should, whenever possible, quantify the estimated benefits. All proposed projects/programmes need to demonstrate compliance with the environmental and social principles as outlined in the Environmental and Social Policy.	Stakeholder analysis, past project evaluation reports, V&A assessment, vulnerability mapping, trend analysis, cost-benefit analysis (CBA), economic modelling, surveys, focus groups
C. Describe or provide an analysis of the cost-effectiveness of the proposed project / programme	Provide a logical explanation of the selected scope and approach. The cost effectiveness should be demonstrated from a sustainability (ongoing) point of view. Fully developed proposal should provide a clear description of alternative options to the proposed measures to allow an assessment of the cost effectiveness of the proposed intervention. The	Results Framework (logframe) and CBA. Problem tree / solution tree.

	proposal should compare to other possible interventions that could have taken place to help adapt and build resilience in the same sector, geographic region, and/or community. Quantitative estimates of cost-effectiveness are required only where feasible and useful.	
D. Describe how the project / programme is consistent with national or sub-national sustainable development strategies	Identify relevant plans and strategies, including as a minimum the most important adaptation-related plans and strategies and the most important relevant sectoral plans and strategies in the country. For a fully developed proposal, the compliance of the project/programme with the relevant plans and strategies has to be explained in detail (e.g. which actions or priorities the project/programme meets etc.)	Desktop review: NSDP, NAPA, UNFCCC National Communications, JNAPs, other development plans, poverty reduction strategies, national communication strategies, DRR plans See Seychelles proposal (pp 38-41)
E. Describe how the project / programme meets relevant national technical standards, where applicable, such as standards for environmental assessment, building codes, etc., and complies with the Environmental and Social Policy of the Adaptation Fund	Identify relevant national technical standards (e.g. EIAs, building codes, water regulations) and state project/ programme's compliance with them in a logical manner. Regarding EIAs, all projects/programmes need to demonstrate compliance with the Fund's environmental and social principles. Compliance needs to be explained in detail for fully developed proposals (e.g. for a specific activity's requires compliance with technical standards, the legal source of the requirement, the steps taken to comply with it and the nature of the authorisation/clearance granted for the project to be implemented will have to be explained, and timelines for approvals noted as this may impact on implementation). For projects/programmes that have the potential to cause environmental or social harm, an environmental and social assessment needs to be prepared.	Desktop review (e.g. Mauritius proposal, p32)
F. Describe if there is duplication of project / programme with other funding sources, if any	Identify related projects / programmes and determine their overlap / complementarily, and what gaps the proposed project/programme will fill. For fully developed proposals, also identify lessons from current, or earlier interventions, and measures to coordinate with current relevant projects/ programmes.	Overlap/Gap analysis table (e.g. Mauritius proposal, p36; Fiji proposal, p31)
G. Describe the learning and knowledge management component to capture and disseminate lessons learned	Activities related to knowledge management (KM) and dissemination of lessons learned have to be included. KM refers to capturing lessons from implementation to allow for adaptive management, as well as sharing lessons with local, national, and global audiences. A KM plan should be developed to	KM / Communications plan, KM product planning template (see page 31)

	identify means to disseminate knowledge (e.g. newsletters, radio, website, social media, photos etc.)	
H. Describe the consultative process, including the list of stakeholders consulted, undertaken during project preparation, with particular reference to vulnerable groups, including gender considerations, in compliance with the Environmental and Social Policy of the Adaptation Fund.	For concept proposals, describe the initial consultation process with key stakeholders (e.g. local communities, government, private sector, universities/research centres), and especially any indigenous, minority and vulnerable groups in the target area. For full proposals, a comprehensive consultation process must take place and be described and the results be reflected in the design. Any environmental and social risks identified as part of the consultation process must be reflected in an environmental and social assessment, and eventually an environmental and social management plan, in compliance with the environmental and social policy. The documentation of the consultation process should contain a) the date and list of stakeholders consulted, b) a description of the consultation techniques, and (c) the key consultation findings.	Stakeholder matrix, consultation records, reports from consultation meetings, notes
I. Provide justification for funding requested, focusing on the full cost of adaptation reasoning.	Demonstrate that activities are relevant in addressing its adaptation objectives and that they will help achieve these objectives without additional funding. Though co-financing is possible, and it is good for proposed intervention to build on existing projects, the proposal must not rely on additional funding to implement the activities and achieve the objectives. For a fully developed proposal, the full cost of adaptation reasoning should be more detailed and demonstrated for each component of the project/programme.	Logframe, desktop review, CBA
J. Describe how the sustainability of the project/programme outcomes has been taken into account when designing the project / programme	Demonstrate how the benefits of the intervention will be sustained after the end of the funding, including replication or up-scaling, and maintenance of any infrastructure or installations, governance arrangements, and knowledge management and dissemination. All key areas of sustainability should be addressed, including economic, social, environmental, institutional, and financial.	Letters of support (for recurring budget expenditure), policy review
K. Provide an overview of the environmental and social impacts and risks identified as being relevant to the project / programme	Identify potential environmental and social impacts and risks according to the Environmental and Social Policy. Consider all potential direct, indirect, transboundary, and cumulative impacts and risks that could result from the proposed project/programme. Categorise the	Screening table, consultation with experts

	project/programme based on the screening process (A- diverse, widespread impacts; B- fewer impacts; C- no adverse impacts). The screening will determine whether or not the project/programme requires further environmental and social assessment, mitigation, and management.	

PART III		
A. Describe the arrangements for project / programme implementation	Describe the roles and responsibilities of the implementing entity as well as any executing entity or other stakeholders.	Organisational chart
B. Describe the measures for financial and project / programme risk management	Identify all major risks, consider their significance, and include a plan of monitoring and mitigating them.	Risk management matrix
C. Describe the measures for environmental and social risk management, in line with the Environmental and Social Policy of the Adaptation Fund	Identify all major environmental and social risks, consider their significance, and include a plan of monitoring and mitigating them. If the proposed project/programme rates A or B, prepare an environmental and social assessment that identifies any environmental or social risks and an environmental and social management plan that identifies those measures necessary to avoid, minimise, or mitigate the potential risks.	Social and environmental risk assessment matrix, social and environmental risk management plan
D. Describe the monitoring and evaluation arrangements and provide a budgeted M&E plan	Include a budgeted M&E plan. The plan must also address all environmental and social risks identified during project/programme assessment, design, and implementation. Projects with more than 4 years of implementation must have a mid-term evaluation in addition to the mid-term review required by the implementing entity.	M&E plan, M&E budget
E. Include a results framework for the project proposal, including milestones, targets and indicators	Include the results framework (logframe) with realistic, quantified expected results. Whenever possible, the indicators and targets should be disaggregated by sex.	Expanded logframe
F. Demonstrate how the project / programme aligns with the Results Framework of the Adaptation Fund	Directly link **at least one** project objective and outcome to the Fund level outcome and outputs and include relevant core impact indicators .	Alignment table (in template), Adaptation Fund's Strategic Results Framework , core impact indicator table
G. Include a detailed budget with budget notes, a budget on the Implementing Entity management fee use,	Provide a detailed budget with the break-down of costs at the activity level.	Budget tables and notes

and an explanation and a breakdown of the execution costs		
H. Include a disbursement schedule with time-bound milestones	Identify when funds need to be received based on milestones relative to project inception and the annual reporting requirement.	Disbursement matrix

PART IV		
A. Record of endorsement by designated government authority	Provide the name, position, and government office of DA and indicate date of endorsement. Regional project/programmes must list the DAs of all participating countries endorsing the project. The endorsement letter(s) should be attached as an annex to the proposal.	DA endorsement letter(s)
B.	Provide the name, signature and contact details of the Implementing Entity Coordinator.	

Adaptation Fund website '[How to Apply](https://www.adaptation-fund.org/page/apply-for-funding)' [https://www.adaptation-fund.org/page/apply-for-funding]

[Instructions for Preparing a Request for Project/Programme Funding (Amended in November 2013)](https://www.adaptation-fund.org/page/instructions-preparing-request-projectprogramme-funding-amended-november-2013)[https://www.adaptation-fund.org/page/instructions-preparing-request-projectprogramme-funding-amended-november-2013]

STEPS TO TAKE IN PUTTING THE PROPOSAL TOGETHER

The Fund's application template requires considerable research, consultation, and thought put into the design and its costing. This requires investment of time and human resources. It is important to know up front the deadline for submission of proposals which is available on the calendar, accessible from the Fund's website[15].The applicant can then work backwards to allow enough time to develop their application. Depending on how much baseline information is already available and how many people are working on the application, it may take anywhere between 2 and 6 months to complete a quality AF application.

It is important to identify and inform the relevant Implementing Entity and Designated Authority of the intention to submit a proposal so that they are aware and can provide the appropriate support.

Writing the proposal (completing the template) should be done once all the information required to complete it is available. This can be facilitated by breaking down the proposal preparation into the following broad steps in Table 6.

[15] https://www.adaptation-fund.org/page/calendar.

Table 6. Steps to Put Together a Proposal

Research	
Step 1. Scoping and situation analysis	Identifying the context for the intervention, including the existing situation (baseline), causes to problems, potential solutions, and stakeholder views.
Developing the results framework	
Step 2. Developing the logic model	Identifying how the project/programme will logically lead, from activities to outputs, to outcomes, objective and goal, so that the desired change is achieved.
Step 3. Assessing risks and assumptions	Identifying assumptions for the logic model to occur, and risks to the project/programme, including environmental and social risks in line with the Fund's Environmental and Social Policy.
Step 4. Assigning indicators to measure progress	Identifying relevant indicators to measure the project/programme, including setting baseline measures and targets.
Step 5. Aligning project to AF strategic results framework	Aligning project objective and outcomes to the AF strategic results framework. AF indicators must also be selected.
Step 6. Knowledge management	Describing what knowledge management products will be created and shared (e.g. best-practice guidelines for a specific climate change adaptation measure).
Step 7. Monitoring and evaluation plan	Describing how deliverables and results will be measured, and how progress will be tracked from baseline to targets.
Step 8. Budget and timeline	Identifying the cost of the project/programme, and the timeline including start and end dates, and key milestones.
Step 9. Sustainability	Describing how the benefits will last beyond the funding period.
Finalising the template	
Writing the proposal	Putting all the information gathered into the template.
Signoff	Getting the signoff from the relevant authority and entity.

STEP 1.
SCOPING AND SITUATION ANALYSIS

Photo: Carlo Iacovino/SPREP

STEP 1. SCOPING AND SITUATION ANALYSIS

The scoping and situation analysis is designed to[16]:

- Characterise the prevailing conditions and context that inform the proposed interventions
- Describe the average conditions, as well as variability by location and time and extreme events, which could significantly affect the interventions
- Identify ongoing trends or cycles
- Create a baseline reference to compare future changes.

This step can involve a combination of desktop research and conducting new research, including stakeholder consultations.

Review the existing scientific information about the impacts of and risks posed by climate change in your country, and specifically the target area. In addition to national vulnerability and risk assessments, the Fund recommends countries to consult information included in official reports such as those from the IPCC. A good resource are the climate change country profiles on the Pacific Climate Change Portal[17] and associated in-depth country analyses provided by PACCSAP[18].

Gather information on the country's relevant national priorities and strategic frameworks for sustainable development, poverty reduction, and climate change (e.g. its NAPA, National Communications to the UNFCCC, JNAP, NSDP, and sector policies[19]). These are also available through the country profiles on the Pacific Climate Change Portal.

Review recent V&A assessment, VRA, and other vulnerability and risk assessments (e.g. by university or research centres, government agencies, NGOs). Also review any relevant studies undertaken by development assistance organisations (e.g. DFAT, NZAID, USAID, etc.)

Review existing or recently completed climate change projects/programmes to see what lessons you can learn from their design, implementation and evaluation, and to build on their achievements by identifying gaps and avoiding possible overlaps.

The new research to undertaken will be determined by the extent of the existing information, and what gaps exist. New research may include obtaining updated information into the vulnerabilities and relevant adaptation measures for the target population. This may be done through a number of data collection tools:

- V&A assessments
- Vulnerability Reduction Assessment (VRA)
- Vulnerability mapping
- Trend analysis
- Cost-benefit analysis

[16] Results Framework and Baseline Guidance, p22- https://www.adaptation-fund.org/document/results-framework-and-baseline-guidance-project-level.

[17] www.pacificclimatechange.net.

[18] www.bom.gov.au/climate/pacific/index-pacific.shtml.

[19] E.g. agriculture, fisheries, transportation, energy, infrastructure, public health, tourism, biodiversity sector policies.

- Causal Loop Diagram
- Problem/Solution trees
- Surveys
- Focus groups.

It is important to identify key stakeholders to consult. This includes people in the target area, particularly indigenous, minority and vulnerable groups. In consulting the target population, it is important to consider the most appropriate method to gather information, based on language, literacy and cultural aspects. Participatory methods (e.g. transect walks, mapping etc.) may be used where appropriate.

Government ministries/departments/agencies, the private sector, CSOs, NGOs, universities or research centres, and regional organisations should be consulted where relevant. Technical experts will be important stakeholders to consult with during the project design process.

The information gathered in Step 1 will help inform the project design (Step 2), identify risks and assumptions (Step 3), and the baseline against which to measure the project/programme's success (Step 4).

Read the Paraguay case study in Annex 2 of this Learner Guide.
Identify what documents, research and tools might have been used in the scoping and analysis stage to inform their application. Who would be some of the stakeholders to consult?

What existing research is there to assist you with your scoping and situation analysis?

What new research needs to be undertaken?

Who are your stakeholders?

Who should you consult with at the government level (e.g., ministries of environment and natural resources, health, economic development, agriculture, climate change, meteorology, and disaster response)?

What technical experts are available in-country, and what gaps are there (if any) in local technical expertise?

projects specifically **their background/situation analysis**[https://www.adaptation-fund.org/funded_projects]

STEP 2.
DEVELOPING THE LOGIC MODEL

Photo: Carlo Iacovino/SPREP

STEP 2. DEVELOPING THE LOGIC MODEL

A **logic model** is a tool and process to articulate and clarify the how a set of activities will achieve the desired outcomes and objective of a project (or its 'theory of change'). There are different ways to represent logic models, with the **logframe** being one of the most used methods (Table 7). The logframe represents a **results map** or **results framework** which is part of RBM framework. The logframe also captures basic monitoring and evaluation (M&E) requirements which are also key aspects of the RBM Framework.

The project/programme's logframe is critical to determining the costs at the activity level required in the proposal template, the overall budget, and the timeline and key milestones.

Table 7. Designing Projects Using a Logframe

Project description	Indicators	Means of Verification	Assumptions
Goal:			
Objective (impact):			
Outcome(s):			
Outputs:			
Activities:			

The AF has an overall Strategic Results Framework that includes a long-term goal, outcomes, and outputs that guides the Fund as a whole[20]. Funded projects/programmes must align with the AF Strategic Results Framework and contribute to the overall objectives and outcomes (see page 26).

There are several ways to develop the project/programme description for logframes. One way is to use the steps of the logical framework approach (LFA), specifically the problem/solution tree[21]. Another way is to use the collective knowledge of key stakeholders, combined with the scoping and situational research, to identify the 'logic' of the intervention, through a process of '**backcasting'**[22].

Backcasting (opposite of forecasting) is a planning process that starts with the desired future (objective) and works backwards to identify the outcomes (e.g. infrastructure, policy, training etc.) needed to connect the future and the present (baseline) situation. The logic of the model can then be rechecked by working from the baseline, up through the activities, and onwards to the objective and goal.

The sequential process to develop the project description for the log frame using backcasting is outlined in Table 8, and represented diagrammatically in Figure 2. The project description forms the left column of the logframe, and is critical to completing the remainder of the logframe.

[20] For more information and the full Adaptation Fund Strategic Results Framework, see pages 4-6 in Results Framework and Baseline Guidance, https://www.adaptation-fund.org/document/results-framework-and-baseline-guidance-project-level.

[21] See the LFA training resources developed as part of the GCCA:PSIS training project- http://evaluationtoolbox.net.au/index.php?option=com_content&view=article&id=72:logicalframeworkapproach&catid=12&Itemid=153.

[22] For more on backcasting, see http://www.naturalstep.org/backcasting.

Figure 2. Using Backcasting to Develop the Project Description for the Logframe

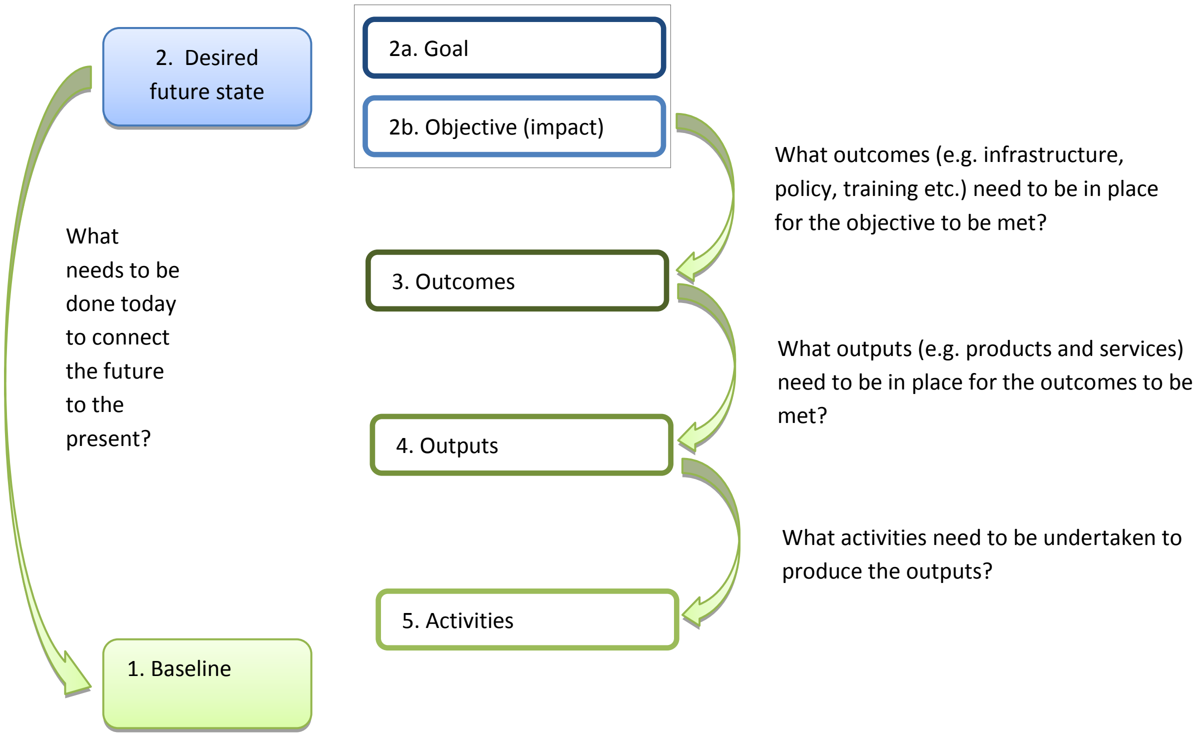


Table 8.Steps to Develop the Project Description for the Logframe

1. Describe the baseline	What is the current situation with regards to the issue you want to overcome?
2. Desired future state	What is the **goal** that the project/programme will contribute towards (e.g. contribute to climate change resilience in vulnerable communities). What is the specific **objective** that the project/programme will achieve by the end of the funding period (e.g. environmental, social, economic impact)?
3. Outcomes	What are the **outcomes** that need to be in place before the objective can be met? This refers to the infrastructure, policy, training, social and cultural preconditions required before further change towards the objective can be achieved.
4. Outputs	What **products or services** need to be established or developed for the outcomes to be achieved? The fund has a focus on on-ground 'concrete' adaptation measures (e.g. coastal protection measures, drainage, farming methods etc.), so these should be the main outputs from the funding. Other outputs such as awareness campaigns, policies etc. can also be part of the project/programme but should complement the concrete measures, rather than be a focus.
5. Activities	What **activities** need to be undertaken to achieve the outputs? Activities should be specific enough to allow the PPRC to understand and be confident in the logic of the proposal, but not so specific that it becomes a detailed implementation plan.

For the Paraguay case study in Annex 2, identify the baseline situation that the project seeks to improve. Then develop the project description column of a logframe by identifying the goal of the project, and what the potential objective may be. Review the case study or use backcasting to identify potential outcomes and outputs.
An example of a pre-completed logframe is presented in Annex 3.

STEP 3. ASSESSING RISKS AND ASSUMPTIONS

Photo: Carlo Iacovino/SPREP

STEP 3. ASSESSING RISKS AND ASSUMPTIONS

Assumptions are factors outside of the project/programme's control that need to occur for one level of the project description to achieve the next level up (e.g. outputs to outcomes). Typical assumptions include factors such as weather, economic and political situation, community participation etc. Assumptions are positively-worded statements (e.g. no storms will hit the target area) and can be turned into risks by framing the positive statement into a negative one (e.g. a storm will hit the area). This allows risks to be categorised based on their likelihood of occurring, and their impact if they occur.

Identify some assumptions for the Paraguay case study logframe you have started to develop.

Risks can be addressed by developing a risk management plan. This is a means to identify how risks can be managed through **mitigation** (measures taken to reduce the risk from occurring). The risk management plan should also identify what will happen to reduce the impact of a risk if it does occur, which is called **risk response** or **contingency**.

Risk Management

A risk is the potential of losing something of value or something going wrong. All projects have associated risks that need to be considered when designing and implementing a project. The process of risk management helps manage the risks in a project. Two principles applied to risk can help reduce the chance a risk will occur and reduce the impact of risks if they do occur.

Risk Mitigation

Using a process of risk identification and management the project can minimise the likelihood that a risk will occur. This is called **risk mitigation** and it involves modifying the project design or adding in additional activities (they may be simple small steps) to reduce the likelihood that the risk will occur.

Risk Response (Contingency)

Risk management can also minimise the impact to the project if a risk does occur. This is done by identifying **risk response or contingency measures** in the design phase of a project (Table 9). If a risk does occur, the project team can quickly respond by implementing these contingency measures.

Table 9.Example of Mitigation and Contingency

Risk	Mitigation measure	Risk response / Contingency
High level endorsement of proposed policy and regulatory changes to support coastal adaptation may be lacking from the Ministry of Environment due to existing priority areas currently tabled.	Engage MoE in initial policy review process to increase their ownership of the revised policy. Prepare policy briefs that clearly and simply communicate the proposed changes Budget for 5 days administrative time for MoE staff to review the proposed changes	Highlight the national importance and strategic benefits of policy endorsements to the PM via memo CC'ing all heads of department.

A project's risks can be documented in a risk management matrix which forms the core component of a risk management plan. The AF requires each project to address the topic of risk management and we recommend that is responded to by the inclusion of a risk management matrix (Table 10).

Steps to develop a risk management matrix:

1. Identify the risks. Assumptions in the logframe matrix can be turned into risks to provide a starting point.
2. Categorise the type of risk
    - Political
    - Financial
    - Time
    - Resources (capacity and capability)
    - Management (internal)
    - Security
    - **Environmental**
    - **Health and safety**
3. Specify the impact of the risk if it eventuates
   This is comprised of a short written summary.
4. Categorise the priority – Likelihood and impact of risk
   This is made up of an assessment of the risk to determine how likely the risk is to occur (Likelihood) and also the impact the risk event will have on the project (Impact). Both Likelihood (L) and Impact (I) are rated on a scale between 1 and 5 where 1=low and 5=high. Risks with high scores require more attention and closer management.
5. Identify risk mitigation and adaptation measures for medium and high risk items
6. Add additional indicators to M&E plan to track risk.

> Environmental and Social risks are given special attention in the next section

Risks identified in the design phase can be monitored and reported on during implementation so the project team can keep a close eye on risks as they arise.

Table 10. Risk Management Matrix

#	Risk description	Type	Implications and Rating. Likelihood (L) & Impact (I) (1=low;5=high)	Mitigation / Contingency

Identify some potential risks from the Paraguay case study (Annex 2) and complete a risk management matrix for them.

Environmental and social risk policy

The AF recently approved a new **Environmental and Social Policy** that requires Fund recipients to identify and assess the environmental and social risks of their activities and then take steps to avoid, minimise, or mitigate those risks.

The policy requires proposals to follow a special process to assess and manage environmental and social risks, summarised below:

Step 1. Initial environmental and social policy risk screening

Part II, section K of the application form requires applicants to complete, by the project concept stage, an initial risk screening checklist against 15 environmental and social principles (Table 11). This is not a simple process of ‘ticking’ whether the principles apply or not to your proposed project/programme. Rather, you must provide some justification as to why a principle applies or does not apply to your case.

Table 11. Environmental and Social Risk Checklist

Checklist of environmental and social principles	**No further assessment required for compliance**	**Potential impacts and risks – further assessment and management required**
Compliance with the Law		
Access and Equity		
Marginalised and Vulnerable Groups		
Human Rights		
Gender Equity and Women's Empowerment		
Core Labour Rights		
Indigenous Peoples		
Involuntary Resettlement		
Protection of Natural Habitats		
Conservation of Biological Diversity		
Climate Change		
Pollution Prevention and Resource Efficiency		
Public Health		
Physical and Cultural Heritage		
Lands and Soil Conservation		

The initial assessment checklist is used to assign the project into one of three environmental and social risk categories.

Category A	Likely to have diverse, widespread, and irreversible adverse environmental or social impacts.
Category B	Potentially has adverse impacts that are less adverse than Category A because they are, for example, fewer in number, smaller in scale, less widespread, reversible, or easily mitigated.
Category C	Has no adverse environmental or social impacts. If the initial checklist assessment identifies that there is 'no further assessment required for compliance' for all principles, the project can assigned to Category C.

This is a self-rating, and there is a degree of subjectivity surrounding categorising projects into Category A or B. Project categorised into categories A or B are required to undertake some additional steps (2, 3 and 4). Projects that fall under category C need only focus on step 5 of the environmental and social risk policy review. Generally, most projects fall under Category B as they will involve some sort of on-ground activity that requires labour (Principle on Labour Rights) or ground-work (Principles on Compliance with the Law, Protection of Natural Habitats). It is rare for projects to fall under Category C.

Step 2.Conduct a detailed environmental and social risk assessment

This assessment must be conducted in a comprehensive and transparent manner, with appropriate consultation. The assessment needs to consider:

- all potential direct, indirect, transboundary, and cumulative impacts and risks that could result from the proposed project/programme
- assess alternatives to the project/programme
- assess possible measures to avoid, minimize, or mitigate environmental and social risks of the proposed project/programme.

As a general rule, the environmental and social assessment must be completed before the project proposal submission to the Adaptation Fund. In some Category B projects where the proposed activities requiring such assessment represent a minor part of the project, and when inclusion in the proposal is not feasible, a timeline for completing the environmental and social assessment before construction begins shall be incorporated in the agreement between the Board and the implementing entity following the project approval, and reported through the annual project performance report.

Step 3.Develop environmental and social risk management plan

The risk management matrix referred to in the previous section can form the core of the environmental and social risk management plan. Additional information about the assessment process, consultation and alternative design measures considered to avoid the risk should also be included.

Step 4.Incorporate risk management in M&E plan[23]

Risks should be assigned indicators to monitor and report against. Threshold targets should be set for indicators which will trigger follow-up action (contingency measures and/or special reporting to the implementing entity and AF). Additionally, the project design should be modified (where required) to reflect additional activities or changes to reflect risk mitigation measures.

Step 5.Submit relevant document

Submit the initial screening checklist, and if required (Category A& B projects) risk management plan and M&E plan incorporating risk management with the AF application

Project categorised into category C need to submit their environmental and social risk checklist with their AF application. They may need to justify why the project poses no environmental and social risk.

The AF 'Draft Guidance document for Implementing Entities on compliance with the Adaptation Fund Environmental and Social Policy' provides additional information to help understand the environmental and social principles that need to be considered. This document can be found on the participant USB drive.

[23] M&E Plan is discussed in detail in later sections of the learner guide.

The AF '[Environmental & Social Policy'](https://www.adaptation-fund.org/content/environmental-and-social-policy-approved-november-2013) provides additional information to help understand the environmental and social principles that need to be considered.
[https://www.adaptation-fund.org/content/environmental-and-social-policy-approved-november-2013]

STEP 4.
ASSIGNING INDICATORS TO MEASURE PROGRESS

Photo: Carlo Iacovino/SPREP

STEP 4.ASSIGNING INDICATORS TO MEASURE PROGRESS

Indicators measure a project/programme's progress towards the desired result. In order to be useful, the process of selecting indicators must include the perspectives of a range of project stakeholders, most importantly the intended beneficiaries, national and local governments, and executing agencies. It is useful, where possible, to select both **quantitative** and **qualitative** indicators.

Indicators should be identified at the output, outcome and objective levels[24]. In selecting indicators, a number of criteria should be considered (Table 12)[25].

Table 12. Criteria to Select Indicators

Valid	Does the indicator measure the result?
Precise	Do stakeholders agree on exactly what the indicator measures?
Practical, affordable, and simple	Is information actually available at reasonable cost? Will it be easy to collect and analyse?
Reliable	Is it a consistent measure over time?
Sensitive	When the result changes, will it continue to be susceptible to change?
Clear	Are we sure whether an increase is good or bad?
Useful	Will the information be useful for decision-making, accountability, and learning?
Owned	Do stakeholders agree this indicator makes sense to use?

Setting baseline and targets

The **baseline** is a measure of the current situation for a specific indicator. The baseline provides a reference point from which to compare future changes. Whether you know the baseline value/condition will affect the way that you express the target (e.g. percentage of population served, or percentage increase from the baseline condition).

[24] Assigning indicators for activities is optional as they can be assessed by their corresponding output. The goal does not require an indicator as measuring progress towards the goal generally falls outside the timeframe of the project implementation and reporting period.

[25] Page 12, Results-Based Framework and Baseline Guidance-Project Level.https://www.adaptation-fund.org/document/results-framework-and-baseline-guidance-project-level.

Targets are commitments that state what needs to be achieved and by when. Targets serve a number of important purposes in the project, including:

- Concretely describe and quantify the desired impact of a project,
- Clarify the results for which managers will be held responsible,
- Serve as a tool for communicating with stakeholders about how the project is progressing.

Final targets are conditions to be achieved by the end of the project, while medium-term or **interim targets** are conditions anticipated to be reached at various points over the project implementation.

An example of the indicators, means of verification (MoV), baseline and target, within an expanded logframe matrix, is presented in the following table (Table 16).

Means of verification and method

The MoV refers to the data source (e.g. progress report, interviews, surveys etc.) to determine the indicator. This method refers to how the data will be collected. Accountability (who will collect data) and frequency (how often data will be collected) can be detailed further in the M&E plan.

Identify some indicators and means of verification for the objective, outcomes and outputs identified in the Paraguay logframe you completed in a previous activity.

Table 16. Excerpt from Samoa's Project Results Framework[26]

	Indicator	Baseline	Targets	Means of verification	Risks and Assumptions
Objective Strengthened ability of coastal communities to make informed decisions about climate-change induced hazards and undertake concrete adaptation actions	Number of risk-exposed coastal communities protected through coastal adaptation measures based on climate-sensitive Coastal Infrastructure Management Plans (CIMP)	In the lack of systematic implementation of CIM Plans, the target villages and districts are highly exposed to climate-induced hazards	By the end of the programme 139 villages in 25 districts are protected from climate-induced risks as a result of coastal adaptation measures implemented guided by revised CIM Plans	Project progress reports Technical reports Mid-term and Final Evaluations	Linkages between national institutional coordination and local development processes facilitate the timely review of CIM Plans and the implementation of community-level coastal adaptation measures
Outcome 1 Strengthened awareness and ownership of coastal adaptation and climate risk reduction processes at community and national levels in 25 Districts and 139 villages through gender-sensitive processes	No. of Districts covered by reviewed and updated CIM Plans with climate change risks fully integrated	The 6 CIM Plans prepared under IAMP1 have no DRM component. The 19 CIM Plans prepared under SIAM2 require review.	By the end of year one at least 8, year two 18 and by the completion of the programme at least 25 districts will have their CIM Plans reviewed and updated with climate change risks fully integrated, through balanced involvement of man, women and youth population	Project progress reports Annual workplans	Political stability is maintained Strong coordination amongst climate change stakeholders in the country Strong community leadership, cooperation and support for project activities.
	No. of Districts with village hazard zone relocation plans competed	There are currently no village relocation plans available to guide relocation activities for households to move out from coastal hazard zones.	By the end of year one 5, year two 10 and by the completion of the programme at least 15 districts will have at least one village hazard zone relocation plan completed through balanced involvement of man, women and youth population	Project progress reports Annual workplans	

[26]Pages 65-67 in Samoa's Project Document.

Tracking indicators

Interim (e.g. 6 monthly) targets can be set for outputs to facilitate monitoring of the project/programme and to facilitate assessments as to how well the implementation is going, and whether action needs to be taken in certain areas. Milestone targets could also be set for outcome indicators to monitor progress during the implementation process. This will assist the executing entity with their reporting requirements. An example Indicator Tracking Table is provided in Table 17.

Table 17. Example Indicator Tracking Table

Level	Indicator	Baseline	Year 1				Year 2				Notes
			6 month Target	6 month Achieved	12 month Target	12 month Achieved	18 month Target	18 month Achieved	24 month Target	24 month Achieved	
Outcome 1											
Output 1.1											
Output 1.2											

STEP 5.
ALIGNING THE PROJECT TO THE FUND'S STRATEGIC FRAMEWORK

Photo: Carlo Iacovino/SPREP

STEP 5. ALIGNING THE PROJECT TO THE FUND'S STRATEGIC FRAMEWORK

The Fund has a strategic results framework against which it reports the achievements of project/programmes to its funding portfolio (see Annex 4).

Proposals must directly link **at least one** project objective and one outcome to the Fund level outcome and outputs. This is to ensure that the project/programme meets the Fund's strategic outcomes. The strategic outcomes are presented on pages 5-6 of the *Results Framework and Baseline Guidance – Project Level* document. The alignment can be undertaken in the template available on the AF website [https://www.adaptation-fund.org/page/results-framework-alignment-table].

The alignment is done by reviewing the project/programme objective and identifying which Fund outcome(s) it supports or contributes to (see Figure 3 for an example, where the arrows indicate which Fund outcomes are aligned to the project objective).

This is repeated by identifying which project outcome(s) align with Fund outputs. The Fund outputs that you align the project/programme outcomes to should sit under the relevant Fund outcome(s) identified in the previous step (see Figure 4 for an example, where the arrows indicate which Fund outputs are aligned to the project outcomes). The alignment is reported in the '**alignment table**' (see Table 13). The level of proposed expenditure for the project objective that aligns with the Fund outcome should be noted in the alignment table. This allows the AF to report on how much of its funding is apportioned to the different outcomes and outputs of its strategic framework.

Figure 3. Aligning Project Objective to Fund Outcomes

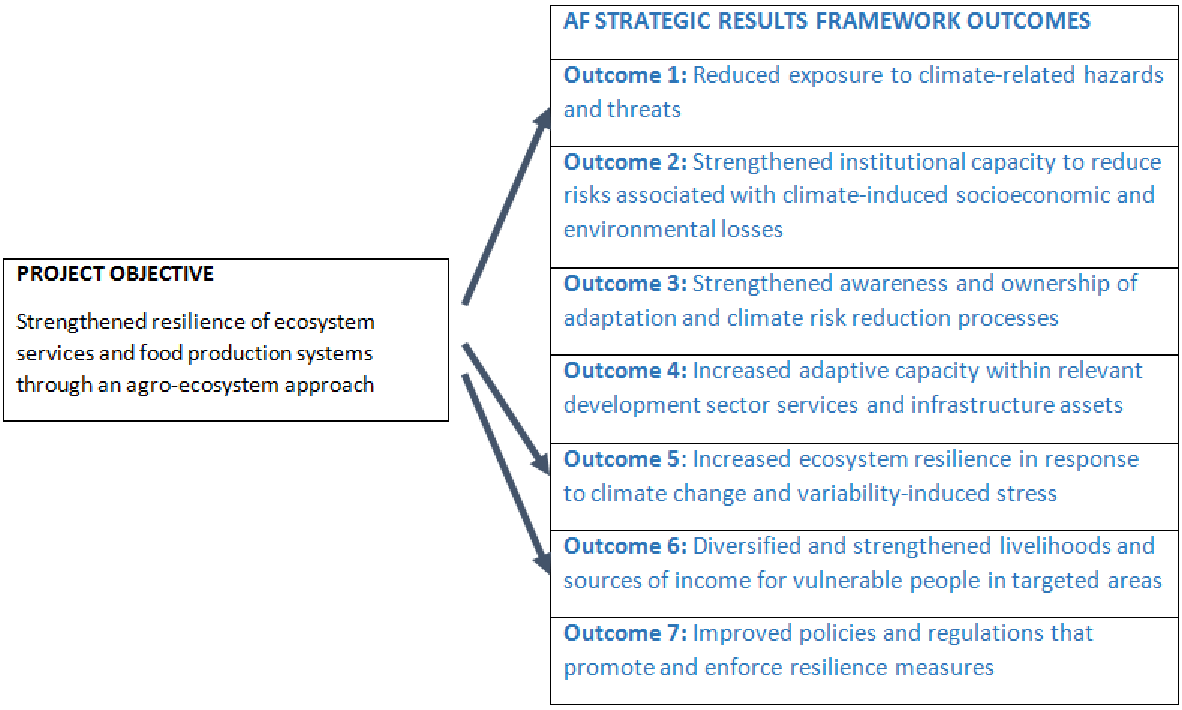
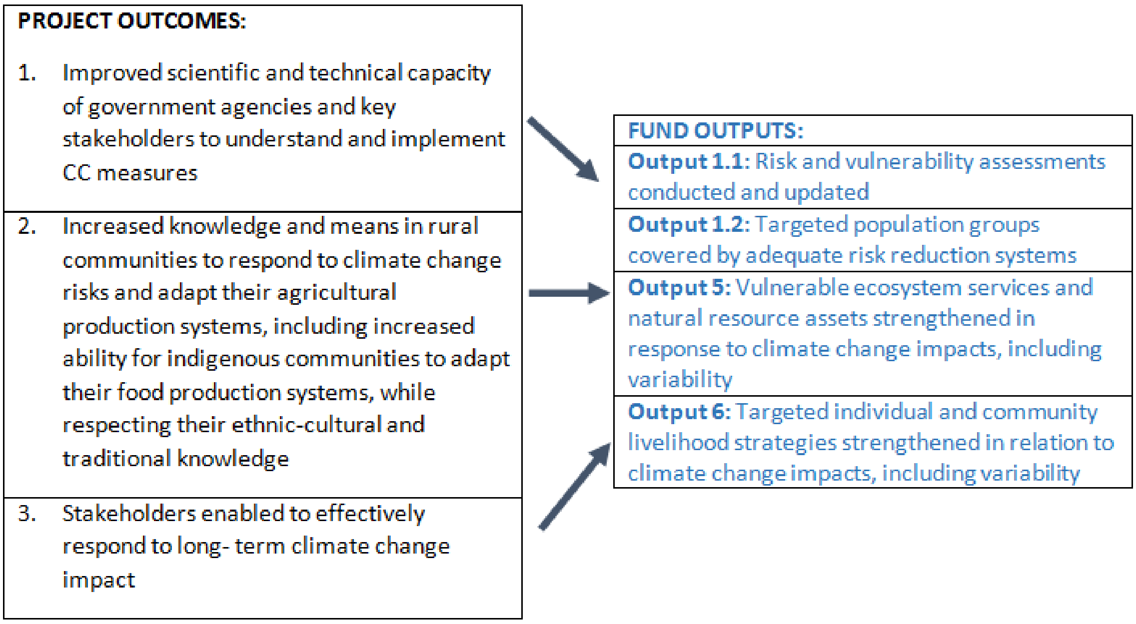


Figure 4. Aligning Project Outcomes to Fund Outputs



Selecting Fund indicators

At least one project/programme output and one outcome indicator need to be selected from the range of standard Fund indicators (see the Strategic Results Framework in Annex 4 of this Learner Guide. Annex 1 of Level has a detailed explanation of the indicators).

The selection of Fund indicators is based on the Fund outcome(s) and output(s) that have been aligned previously. For each Fund outcome and output, the AF Strategic Results Framework has one or more corresponding indicators. You need to select at least one for each of the aligned outcome(s) and output(s) and add them to the alignment table. You then need to review the project logframe and either (a) add to the alignment table the project indicator which most closely aligns with the Fund indicator, or (b) identify a new project level indicator that aligns with the relevant Fund indicator.

An example of a completed alignment table based on the Paraguay case study, and the Paraguay logframe is provided in Table 13 below.

Table 14. Example of a Completed Alignment Table for the Paraguay Case Study

Project Objective(s)	Project Objective Indicator(s)	Fund Outcome	Fund Outcome Indicator	Grant Amount (USD)
Strengthened resilience of ecosystem services and food production systems through an agro-ecosystem approach.	Number of producer collectives receiving annual updates on climate forecasts	**Outcome 1:** Reduced exposure at national level to climate-related hazards and threats	1. Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis	$500K
	Survival rates of crops	**Outcome 5:** Increased ecosystem resilience in response to climate change and variability-induced stress	5. Ecosystem services and natural assets maintained or improved under climate change and variability-induced stress	$2.5M
	% of Chaco/Eastern population targeted (and number)	**Outcome 6:** Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas	6.2. Percentage of targeted population with sustained climate-resilient livelihoods	$1M

Project Outcome(s)	**Project Outcome Indicator(s)**	**Fund Output**	**Fund Output Indicator**	**Grant Amount (USD)**
1. Improved scientific and technical capacity of government agencies and key stakeholders to understand and implement CC measures	Number of vulnerability studies and threat analyses on productive systems	**Output 1.1:** Risk and vulnerability assessments conducted and updated at a national level	1.1. No. and type of projects that conduct and update risk and vulnerability assessments	$250K
2. Increased knowledge and means in rural communities to respond to climate change risks and adapt their agricultural production systems, including increased ability for indigenous communities to adapt their food production systems, while respecting their ethnic-cultural and traditional knowledge	# new varieties planted Area (hectares) under new production methods	**Output 5:** Vulnerable physical, natural, and social assets strengthened in response to climate change impacts, including variability	5.1. No. and type of natural resource assets created, maintained or improved to withstand conditions resulting from climate variability and change (by type of assets)	$1.3M
3. Stakeholders enabled to effectively respond to long- term climate change impact	Number or % farmers cultivating 3 or more climate resilient crops	**Output 6:** Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability	6.1.2. Type of income sources for households generated under climate change scenario	$500K

Results Framework and Baseline Guidance – Project Level
[https://www.adaptation-fund.org/document/results-framework-and-baseline-guidance-project-level]

Results Framework Alignment Table
[https://www.adaptation-fund.org/page/results-framework-alignment-table]

STEP 6.
KNOWLEDGE MANAGEMENT

STEP 6. KNOWLEDGE MANAGEMENT

Knowledge management (KM) is collection, documentation and sharing of the project's processes, results, and personal experiences. It can also include the capture and sharing of recommendations and lessons learned. KM products can be hardcopy, electronic and include text or multimedia. The knowledge documented and shared is expected to benefit the target stakeholders, and other Adaptation Fund projects and countries seeking to implement climate change adaptation projects. All AF projects must develop a KM strategy. The development of the strategy will help applicants incorporate the cost of materials and labour into their AF application. The strategy can be integrated with the projects communications plan.

Steps to develop a KM strategy

Step 1: Analyse existing knowledge, data, and communication products and media

The analysis should involve an

- Assessment of human resources
- Assessment of financial and infrastructure resources
- Analyse Stakeholders
- Assessment of overall context
- Development of a Knowledge Map

Step 2: Design the KM strategy

The strategy should respond to the following questions:

- Whom to share knowledge with?
- Identifying the key message(s)?
- How to share knowledge (what format, what communication channel/network)?
- What are the expected results?

To ensure that the KM strategy is implemented, projects should develop annual work plans that include actions to implement the strategy. These work plans can be combined with the main project work plan for simplicity.

For the project proposal, only a summary KM product planning template needs to be completed to demonstrate KM has been considered and costed (Table 18).

Table 18. Knowledge Management Product Planning Template

Target Audience	**Key Message**	**Product**	**Timeframe for Development**	**Expected Release date**	**Mode(s) of Distribution**	**Budget**	**Person in Charge**	**Partners**
Climate change practitioners	Lessons from project	*Example:* PACC Knowledge Briefing Sheets	May 2014-October 2014	October 31, 2014	PACC Website, 1000 printed copies for distribution at community and international meetings	$7,000	Comms Specialist	SPC, UNDP, GIZ

The steps to take and considerations for designing and carrying out a knowledge management strategy are presented in Section 3 of the "Results Framework and Baseline Guidance – Project Level" document, beginning on page 27.

STEP 7. MONITORING, EVALUATION AND REPORTING

Photo: PACC Vanuatu

STEP 7. MONITORING, EVALUATION AND REPORTING

AF Fund Reporting Requirements

It is useful to cover an overview of the AF reporting requirements to see how these requirements might influence project monitoring and evaluation.

The AF has several evaluation and reporting requirements that are of specific relevance to the Implementing Entity and Executing Entity. A brief summary of these requirements is summarised in the Table 19.

All evaluations should explore five major criteria:

- relevance
- efficiency
- effectiveness (including comparison of reported results against targets)
- impact
- sustainability.

Detailed explanations about how this criteria applies to AF funded projects is included in the AF Evaluation Framework document.

All evaluation cost should be covered by the project's M&E budget

Table 19. AF Fund Reporting Requirements

Report / evaluation	Description	Timing / Frequency	Responsibility
Project Inception Report	Brief summary of the project inception workshop (the date of the inception workshop is considered the start date of the project). Summary may include changes in the project document since AF approval and clarification on project management arrangements, project implementation, monitoring, evaluation and reporting; and risk management.	Start of project	Implementing Entity
Project Performance Reports (PPR)	Main mechanism for reporting project progress. Captures financial management, procurement, environmental and social risks, and implementation progress.	Yearly, starting 1 year after the first inception workshop	Implementing Entity
Audited financial statement	This is where an auditor provides a statement of assurance that expenditure is correctly receipted. Consult with the implementing entity.	Once at end of project	Implementing Entity
Mid-term evaluations	**Only applicable for projects that have more than four years**. Performed by an independent evaluation team selected by the IE. Reports on project progress (initial outputs and results), quality of implementation, factors affecting the achievement of objectives; and M&E systems and	No later than six months after the mid-point of the project	Implementing Entity to oversee independent evaluation team

	their implementation.		
Mid-term review	An Implementing Entity may require that the project conducts a mid-term review even if a mid-term evaluation is not required. The review focuses assessing if the project is on track. It provides a snapshot of the progress towards achievement of outputs, activities, outcomes, and impacts. Recommendations for project continuation and improvement are made.	No later than six months after the mid-point of the project	Project team
Final evaluations	Required for all AF projects. Performed by an evaluation team independent of the project management team[27]. Evaluations will assess: • Achievements of project outcomes • risks to sustainability • Processes influencing achievement of results, including financial management • Contribution of project to achievement of the AF objectives • evaluation of the M&E systems	End of project implementation to be submitted no later than 9 months after project completion.	Implementing Entity

All evaluations reports produced for AF-funded projects are to be made publicly available.

Further information about the review of PPRs is available on the Adaptation Fund's website at https://www.adaptation-fund.org/page/project-performance-and-reporting.

A good summary of the AF evaluation framework and supporting M&E requirements can be found in the document 'A Pacific Island Countries Guide to Accessing the Adaptation Fund' located on participants USB drive.

Monitoring and Evaluation

Monitoring and evaluation is a core function for all projects that strive to be effective, accountable to donors and continually improve their implementation.

Monitoring	a process of data collection and analysis which helps serve a number of functions with the main one being the measurement of project progress – Is the project on track and meeting targets?
Evaluation	a structured process of assessing the success of a project in meeting its goals and to reflect on the lessons learned. The evaluation considers all the data captured during monitoring and makes a judgment on what the data means.

[27] or be reviewed by an independent evaluation unit of the Implementing Entity.

A plan for monitoring and evaluation a project should be created during the project design or project initiation (kick-off) stage. The AF requires all applicants to complete and include a monitoring and evaluation plan (M&E plan) with their submission. The M&E plan will help identify:

- what data needs to be collected
- where the data will come from
- how the data will be collected
- who will collect the data.

This information will help the applicant assign a cost to the various monitoring and evaluation activities for inclusion in the project budget.

Developing an M&E plan - Where to start?

The logframe matrix developed earlier (Step 2 in this document) provides a starting point for the M&E plan. To create an M&E plan template, take the project logframe matrix and remove the assumptions column and add additional columns for 'frequency' and 'responsibility'.

Frequency	How often the data should be collected and / or at what time the data should be collected. The time could be the stage of the project (start / end / after key project event) or a specific month and year.
Responsibility	The name of the individual or organisation responsible for collecting the data or overseeing that the collection activity takes place. This could be the name of an individual person and their role (as people may change, but the role remains the same) The name of the organisation or department should always be included.

The logframe matrix already contains a core set of indicators to measure the projects progress towards delivering its outputs and achieving its outcomes, objective and goal. These indicators should be considered as a starting point only for the M&E plan (Table 20). The M&E plan should contain additional indicators to measure:

- project progress in more detail. For example, an indicator for an output in the logframe matrix may be square meters of foreshore replanted with mangroves. More detailed indicators may assess mangrove health, growth rates and survival rates, in addition to indicators to prompt for the collection of what lessons can be learned through the planting activity;
- efficiency of the project. Efficiency generally focuses on how well the time and cost (resources) were utilised to produce an output or outcome;
- project risks. Risks can be found in the project's risk management matrix (which includes assumptions from the logframe matrix);
- specific environmental and social risk if these risks where these are identified;
- creation of knowledge management products / achievement of the KM strategy.

Refer to Step 4 for information about selecting indicators for monitoring and assigning baseline and targets.

The AF evaluation reporting requirements also need to be considered. To address all requirements you may find it necessary to add additional indicators.

Table 20. Sample M&E Plan Template

	Indicators	Baseline	Target	Source	Frequency	Responsibility
Goal						
Objectives						
Outcomes						
Outputs						
Activities						

AF Evaluation Framework [https://www.adaptation-fund.org/content/evaluation-framework]

Guidelines for Project/Programme Evaluations [https://www.adaptation-fund.org/document/guidelines-projectprogramme-final-evaluations]

M&E plan costing

To ensure the project has budgeted funds set aside for M&E, it is important to estimate the cost of all the major M&E activities. Estimating the timing of when and how often these activities are implemented (Frequency) will guide the allocation of the funding over the duration of the project. Having this level of detail will assist formulate the project budget.

Steps to develop M&E budget

1. Review each row in the M&E plan and each time a new data source / data collection method (e.g. survey, water testing) is identified, write it down in a new row on the M&E budget table.
2. Estimate the cost of conducting the M&E activity. Assign all or a portion of the funds the year(s) of the project to reflect when the funding for the M&E activity is required.
   It can be useful to refer to past projects to understand the time, resources and costs involved in undertaking M&E activities.
3. Add additional entries to the table to cover the cost of the required evaluation and reporting activities. These will at a minimum include yearly progress reporting and a final evaluation. A mid-term evaluation or review may also need to be budgeted (see Table 21 for more details).

Table 21.M&E Budget Estimation Table

	Estimated cost of M&E activities (USD$)			
Data collection method / activity	**Year 1**	**Year 2**	**Year …**	**Total cost**
Total M&E cost				

STEP 8.
BUDGET AND FINANCE

Photo: Carlo Iacovino/SPREP

STEP 8. BUDGET AND FINANCE

The budget and finance related sections of the AF application form are extremely important and care must be taken to complete all the relevant sections.

Funding for projects and programmes is on <u>full adaptation cost basis</u>.

-

The **full adaptation cost** is broken down into a number of sub-categories to assist the AF with their application assessment process (Table 22).

Table 22. Sub-categories for Budget Development

Cost sub-category	Description
Goods and services to deliver activities and outputs	Cost of all goods and services required to deliver the project output and undertake the activities. Cost can also include the related travel costs for operational staff and transportation costs of goods This should be the main component of your budget. Costs need to be broken down to the activity level with supporting budgetary notes to show how the figure was calculated for the Annual Work Plan (if proposal successful), but presented at the output level for the proposal.
Execution costs (administrative and project management)	Executing Entity administration and project management costs. Includes the cost of travel and office facilities, and M&E data collection and reporting. A breakdown of administrative and execution costs must be provided. Execution costs must be at or below 9.5 per cent of the total project budget.
Implementing Entity management fee	Fee negotiated between the applicant and IE. This fee covers the management and oversight work of the IE. A breakdown of how the IE fee will be used must be provided IE management fee must be at or below 8.5 per cent of the total project budget (before the fee is added) *Note: The IE management fee of 8.5% (maximum) should be calculated after the Project/Programme cost and the Executing cost has been budgeted for, this would lead to the total amount requested for within the proposal without incurring a shortfall.*

Total project cost = Execution costs + Goods and services cost.

Amount of financing requested = Total project cost + IE management fee.

There are several sections of the application form that require information drawn from the budget. These section are highlighted below with supporting information on what is required to address each section.

Part I, Project / Programme Components and Financing requires a summary budget breakdown at the output level[28]. Data from the detailed project (activity level) budget can be used to aggregate the cost delivering project outputs. Summary data from the execution cost budget and IE management fee budget are also included in this template to calculate the amount of funding requested (Table 23).

Table 23. Project Component and Financing Template

Project/Programme Components	Expected Concrete Outputs	Expected Outcomes	Amount (US$)
1. [29]			
2.			
3.			
4.			
5.			
6. Project/Programme Execution cost			
7. Total Project/Programme Cost			
8. Project/Programme Cycle Management Fee charged by the Implementing Entity (if applicable)			
Amount of Financing Requested			

Part iii, Section D. 'Describe the monitoring and evaluation arrangements and provide a budgeted M&E plan', requires a breakdown of the costing for the M&E plan by M&E data collection method / activity (including reporting). Costing template and process for completing the template were covered in section STEP 7. MONITORING, EVALUATION AND REPORTING of learner guide.

[28]The AF request budget at the output level. However, depending on the type of project and the size (budget-wise) of the output, AF may request more detailed information on a particular activity.

[29] Items 1 to 5 represent the goods & services costs to deliver the activities and outputs

Part iii, Section G. '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.' To address this section requires the development of three separate budget templates:

1. Detailed budget with budget notes
2. Implementing Entity management fee use
3. Execution costs.

1. Detailed budget with budget notes

This budget contains all costing for goods and services required to deliver the project. It excludes the IE management fee and execution costs (project management, administration, M&E and auditing).

Costs must be broken down to the activity level to accurately cost out the project but may be presented at the output level and disaggregated by year in the proposal. This would dictate the use of a bottom-up budget estimation approach. A sample budget template will be provided by SPREP. Any alternative budget format should be negotiated with the relevant implementing entity.

Figure 4. Sample SPREP Goods and Services Budget Template

PROJECT OUTCOME	PROJECT OUTPUT	ACTIVITY/BUDGET DESCRIPTION	TIMEFRAME					Amount	Budget Note
			Y1	Y2	Y3	Y4	Y5		
PROJECT/PROGRAMME COMPONENT (INSERT DESCRIPTION): Increased understanding of lessons learnt, and an awareness of how to adapt to climate change through the pilot project and mainstreaming processes									
1. Pilot project process, knowledge products-synthesis/technical/evaluation reports along with lessons learned and evaluation results compiled and produced	**1.1 Carry out a community perception survey on climate change adaptation interventions provided by the project and what it means for men, women, children, youth and community as a whole**	1.1.1 Consultation & Meeting	$ 5,000.00	$10,000.00				**$ 15,000.00**	
		1.1.2 Survye design	$ 2,000.00	$ 4,000.00				**$ 6,000.00**	
		1.1.3 Short Term Assistance to caryy out survey	$ 1,000.00	$ 2,000.00				**$ 3,000.00**	C1.1.1
	1.2 Country-specific education and communication materials developed	1.2.1 Design & print promotional Materials for distribution	$ 6,000.00	$ 6,000.00	$ 6,000.00	$ 6,000.00		**$ 24,000.00**	C1.1.2
2. Media and communication materials on sucesssuccess stories and lessons learned (eg short articles, case studies, photo sotories) developed and shared	**2.1 Shared success stories with countries, regional partners**	2.1.1 Printing & Publication			$10,000.00	$10,000.00	$ 5,000.00	**$ 25,000.00**	
		2.1.2 Promotional Materials			$20,000.00	$20,000.00		**$ 40,000.00**	C1.2.1
	2.2 Documented and shared examples of best practices and lessons learnt in the following areas: community consultation, V&A assessments, adaptation planning and interventions demonstrated, mainstreaming climate change (national, sectoral and community) documented	2.2.1 Contract to caryy out the doumentary				$40,000.00		**$ 40,000.00**	
		2.2.2 Travel & DSA				$10,000.00		**$ 10,000.00**	
		2.2.3 Meeting				$ 5,000.00		**$ 5,000.00**	C1.2.2
	2.3 Exchanged experiences, knowledge and lessons learnt through visits among countries, policy makers and project	2.3.1 Travel & DSA		$ 3,000.00	$ 4,000.00	$ 2,000.00	$ 2,000.00	**$ 11,000.00**	
		2.3.2 Workshop		$ 2,000.00	$ 3,000.00	$ 5,000.00	$ 5,000.00	**$ 15,000.00**	C1.2.3
SUB TOTAL OF COMPONENT 1			**$ 14,000.00**	**$27,000.00**	**$43,000.00**	**$98,000.00**	**$12,000.00**	**$194,000.00**	

2. Implementing Entity management fee use

This budget must outline how the Implementing Entity (SPREP) will allocate the funds being asked for in the IE management fee line item. A suggested budget template is presented below to estimate the IE management fee or show how this pre-negotiated fee will be broken down by category and year (Table 24). This budget template must be included in your AF application.

Table 24. Example Template for Breakdown of Implementing Entity Costs

Category	**Description**	**Year 1 (USD$)**	**Year 2 (USD$)**	**Year … (USD$)**	**Total (USD$)**
Management	Staff salaries (or part thereof) for finance, procurement, admin and project management staff				
Operating Costs	Travel, per diems, workshop and catering costs associated with project oversight and governance activities (not workshops for core activities & outputs)				
Equipment	Costs associated with the provision of equipment to the NIE secretariat including computers and associated peripherals				
Auditing and Consulting Services	Costs for external consulting services, notably external audits and other technical support				
Administration Costs	Printing, photocopying, telecoms and other costs related to office operations				
Total cost					

3. Execution costs

This budget must outline how the Executing Entity will allocate the funds being asked for in the execution costs line item. These costs must only cover administrative and project management expenses. A suggested budget template is presented below to estimate the total execution cost along with a category and year by year breakdown (Table 25). This budget template must be included in your AF application.

Table 25. Example Template for Breakdown of Executing Entity Costs

Category	**Description**	**Year 1 (USD$)**	**Year 2 (USD$)**	**Year … (USD$)**	**Total (USD$)**
Management	Staff salaries (or part thereof) for finance, procurement, admin and project management staff				
Operating Costs	Travel, per diems, workshop and catering costs associated with project management & admin activities (not workshops for core activities & outputs)				
Equipment	Costs associated with the provision of equipment to the EE project team including computers and associated peripherals				
Auditing and Consulting Services	Costs for external consulting services, notably external audits and other technical support.				
Administration Costs	Printing, photocopying, telecoms and other costs related to office operations				
Total cost					

Part iii, Section H requires applicants to complete a disbursement schedule with time-bound milestones (Table 26).

Table 26. Disbursement Schedule

	Year 1*	Year 2**	Year 3	Year 4	Year 5	Total (USD$)
Scheduled date						
Project funds (goods and services)						
EE execution costs						
IE management fee						
Total						

* Upon agreement signature

** One Year after Project Start

The schedule date can be left blank in the application and filled in at a later date once the actual project start date (contract signed) is known. The values for the other cells should be copied in from the three budgets detailed in Part iii, Section G.

A Microsoft Excel version of the template is included in the training resource pack location on the USB drive.

Tips for creating budgets:

- Best practice procurement guidelines used in your country should be followed to ensure that the estimated cost of goods and services is as accurate as possible. For example, applicants may need to obtain 3 quotes for a good or service.
- Ensure your quotes are valid for a period of time that covers the time period for when you need to purchase the good or service. Alternatively, request the estimated cost for supply of a good or services for the year in which you need that good or service.
- It would be prudent to allocate a small contingency amount to budget lines where there is a degree of cost uncertainty. As an alternative a contingency (e.g. 5%) of total project budget (excluding EE execution costs and IE management fee) can be added to the budget.
- Where currency exchange calculations were required to document costing in USD$, then the exchange rate used should be documented in the budget notes section. This documentation makes it easier to negotiate the needs for top-up funds should there be a large currency fluctuation that results in the project expenses being much higher than budgeted.

Procurement

Implementing entities need to observe the highest ethical standards during the procurement and execution of the concrete adaptation projects/programmes, so this requirement passes on to the executing entities undertaking procurement as part of a planned project/programme. Implementing entities, or any of their attached organisations, are required to act in accordance with internationally accepted procurement principles, good procurement practices and the procurement regulations of the implementing entity.

Proposals need to outline procurement policies and procedures at the national level to ensure procurement is undertaken in a transparent and competitive manner. This should also include dispute resolution procedures, and means to prevent and punish malpractices. The annual PPR requires reporting on procurement.

STEP 9. SUSTAINABILITY

Photo: Carlo Iacovino/SPREP

STEP 9. SUSTAINABILITY

Sustainability refers to the ability of the benefits of a project/programme to be ongoing following the end of the funding period. Sustainability also refers to the ability to replicate or scale up the project/programme with other funds. All key areas of sustainability should be addressed, including but not limited to economic, social, environmental and institutional.

The proposal needs to describe:

- arrangements to be put in place to maintain infrastructure and installations. This might include establishing a regular maintenance schedule and maintenance budget. Ownership of the maintenance needs to be decided and clearly documented so that organisations or Government departments can ensure they are resourced ($ and staff) to undertake the required work. It may be necessary to set up a new entity to manage and maintain infrastructure or resources. These entities will need to be funded.
- policy and governance arrangements to be developed and implemented to sustain outcomes. It may be necessary to introduce new or amended legislation to ensure the sustainability of some AF projects outcomes. For example, if new coastal development guidelines are created, these may need to be drafted into an official policy with supporting regulation and laws to ensure that the key requirements of the original guidelines can be enforced.
- knowledge management (KM) processes to be established to allow lessons to be shared locally, nationally and globally. The applicant needs to address how the KM products developed and distributed during the project duration can continue to be made accessible and of use to the various targeted stakeholders. The hosting of resources electronically on Government websites may form part of this response, however, other hosting options, including SPREP's website and resource library need to be considered. A plan to continue disseminating hardcopy KM products through local and international meetings or PIC libraries can also be documented as an option.

Underpinning many of the requirements to address sustainability is the need to source and secure long-term yearly funding. Commitment from Government to provide this funding is essential and it is recommended that applicants seek to document their Government's long-term commitment to maintaining infrastructure and changes enabled by the AF project. Underpinning this commitment is the need to cost out how much funding is required on a yearly or cyclical basis. For example, new infrastructure may not need significant maintenance or expenditure for 5 years, after which time it may require a yearly contribution.

FINALISING THE PROPOSAL

Applicants must ensure they work closely with their IE (e.g. SPREP) to develop their AF proposal. Unless the applicant is a NIE, they must submit their application through an IE and therefore the IE's support and endorsement of the application is required. The national Designated Authority should also be kept informed about the proposal development as their authorisation is required to submit the final document.

Applicants should ensure that their AF proposal has been peer reviewed and proof read before submitting for approval. The checklist provided below in Table 27 should be completed before the proposal is submitted for final approval.

SECTION 4. PROPOSAL PREPARATION CHECKLIST

Photo: Carlo Iacovino/SPREP

SECTION 4. PROPOSAL PREPARATION CHECKLIST

PROPOSAL PREPARATION CHECKLIST

Use the following checklist as a guide to help you prepare your AF proposal.

Before you start doing your research

- ☐ Assemble a national team to work on the proposal.
- ☐ Select an Implementing Entity (e.g. SPREP as RIE) to work through on your proposal, or the country can nominate to become a NIE. If you select an Implementing Entity, identify areas of expertise that they can provide to assist the development of the proposal (e.g. budgeting, CBA, M&E, adaptation measures, knowledge management etc.).
- ☐ Inform the relevant Designated Authority in your country, or communicate with the Fund to appoint a DA.
- ☐ Check the AF calendar for upcoming submission deadlines which generally coincide with AF Board meetings. Ensure you leave yourself enough time to prepare the proposal.
- ☐ Decide on whether to prepare a one-step (full proposal) or two-step application (concept note followed by full proposal).
- ☐ Read the application template and instructions.
- ☐ Review examples of past AF proposals to see what may be expected from a proposal.

Research before you start designing your project/programme

- ☐ Review relevant scientific information about the impacts of and risks posed by climate change in your country.
- ☐ Review information on your country's relevant national priorities and strategic frameworks for sustainable development, poverty reduction, and climate change etc.
- ☐ Review national vulnerability and risk assessments, economic studies, and other research including past project evaluations, undertaken by other organisations (research centres, universities, NGOs etc.).
- ☐ Collect any new data required to fill in gaps in knowledge (e.g. vulnerability mapping, surveys, CBA etc.).
- ☐ Consult with key stakeholders including the target group (especially vulnerable communities, minority groups etc.), government staff from different ministries or departments, other relevant organisations, and sector experts.

Designing your project/programme

- ☐ Decide on whether you will be designing a project or a programme.
- ☐ Develop your logframe (results framework) using a **participatory process** with key stakeholders (e.g. backcasting workshop, or problem/solution tree), focussing on 'concrete' adaptation measures.
- ☐ Identify alternative options, and justify your design based on cost-effectiveness, and the impact of the intervention against alternatives and doing nothing (business as usual).
- ☐ Identify risks and risk management measures during implementation.
- ☐ Develop a monitoring and evaluation plan.
- ☐ Develop a budget for the full-cost of the project/programme.

Writing your proposal

- ☐ Use simple, clear language to answer all the questions.
- ☐ Use tables and bullet points where required to present information clearly and simply.
- ☐ Have the proposal reviewed by one or more people for clarity and grammar etc.
- ☐ Get letters of support from key implementation partners if relevant.
- ☐ Get the letter of endorsement from the Designated Authority.
- ☐ Have the proposal signed off by the Implementing Entity.

How to Apply

1. Getting Started

Please begin the proposal submission process by reading the Operational Policies and Guidelines for Parties to Access Resources from the Adaptation Fund.

2. The Proposal

Next, fill out the form entitled "Request for Project/Programme Funding from Adaptation Fund," which can be found at the Submission Materials page.

3. To Submit

Kindly e-mail your proposal submissions to the Adaptation Fund Board Secretariat: afbsec@adaptation-fund.org. Please be sure to cc dndiaye@adaptation-fund.org and mollikainen@adaptation-fund.org

Please Keep in Mind:

→ Parties seeking financial resources from the Adaptation Fund *must* submit their project and programme proposals directly through accredited National, Regional, or Multilateral Implementing Entities. If you represent an institution that is interested in becoming accredited, click here.

→ Proposals require endorsement by the Designated Authorities of the country in which the project or programme would take place.

→ The Adaptation Fund Board requests that all proposals be written in English.

→ Parties can request clarification from the Secretariat of the Adaptation Fund Board on matters related to submissions:

+1 202 473-6390 (Phone)
+1 202 522-3240 (Fax)

→ The Adaptation Fund Board accepts and considers project and programme proposals throughout the year on a rolling basis. ***The next submission deadline can be found on the calendar on this website.***

https://www.adaptation-fund.org/page/apply-for-funding

ANNEX 1 - SUPPORTING AF DOCUMENTS

The table below contains a list of the some of the key supporting Adaptation Fund documents that applicants should be aware of. The priority reading column should be used as a guide only to help you prioritise which documents to read. All the documents listed in the table have been included on a USB drive that will be handed to participants.

CAUTION. When developing your AF application we recommend you download the latest version from the website to ensure you have the latest version.
https://www.adaptation-fund.org/

Table 27.Supporting AF documents

File name on USB	Document Title	Priority reading (High, Medium, Low	Comments
AF Project proposal template (Nov2013).doc	Request for project/programme funding from the Adaptation Fund	H	Essential. MS Word editable version of the AF application form.
Guidelines to help complete the AF funding proposal template.pdf	Instructions for preparing a request for project or programme funding from the Adaptation Fund	H	Essential reading to help inform how to respond to the AF application form
Adaptation_Fund_Manual.docx	A Pacific Island Countries Guide to Accessing the Adaptation Fund	H	This document proves an excellent summary of the contents of several of the key AF documents. Two of the key documents covered are “Accessing Resources From the Adaptation Fund THE HANDBOOK”, and “Results Framework and Baseline Guidance” Essential reading before reading the other document in more detail. *** Not available on the AF website. This document was created by SPREP.*
Results Framework and Baseline Guidance.pdf	Results Framework and Baseline Guidance	H	A summary of key information in the handbook is presented in the **A Pacific Island Countries Guide to Accessing the Adaptation Fund** manual created by SPREP. Covers what results based management framework is and some basics around how to develop a RBMF for AF projects. Also covers what the AF call the project-level baseline information. Provides a brief summary of Knowledge Management and outlines some steps to help create a KM strategy. Includes a detailed appendix with all AF indicators & descriptions. Useful when trying to do alignment between the proposed AF project and the AF strategic framework.

New disbursement schedule template_18July2012.doc	Annex 3: Disbursement Matrix	H	Template required for the AF application form.
Review Criteria 5.12.pdf	Adaptation Fund Project/Programme Review Criteria	H	Short 2 page summary of AF application review criteria. This content is likely presented in other documents, however, it is easy to access here. Useful to ensure your project scores highly in meeting the required criteria. .
DRAFT-ESP Guidance document _for public comments.doc	Draft Guidance document for Implementing Entities on compliance with the Adaptation Fund Environmental and Social Policy	H	Summarizes the Environmental and Social risk assessment process. Explains each of the key E&S principles in detail. This will assist you understand these principles and how to respond to sections in the application that require you to identify or respond to the risks. ** NOTE ** Draft only
Guidelines for Proj_Prog Final Evaluations.pdf	Guidelines for Adaptation Fund project/programme final evaluations	H	A summary of key information in the handbook is presented in the **A Pacific Island Countries Guide to Accessing the Adaptation Fund** manual created by SPREP. How to apply the evaluation policy. Different types of evaluation. Responsibilities of different stakeholders.
OperationalGuidelines_ANNEX 2 Fiduciary Responsibilities.pdf	Annex 2: fiduciary risk management standards to be met by Implementing Entities	M	Essential reading for Governments or organizations wanting to become NIE
Adaptation Fund Handbook English.pdf	Accessing Resources From the Adaptation Fund THE HANDBOOK	M	A summary of key information in the handbook is presented in the **A Pacific Island Countries Guide to Accessing the Adaptation Fund** manual created by SPREP. **Read the manual** first and then when you need more detail, **the handbook should be read** The document covers: • How to access resources from the Fund • How to prepare project proposals • How to nominate and accredit national implementing entities. Includes instructions for preparing a request for project or programme funding from the adaptation fund and AF operational policies
AF_Evaluation_Framework_Final.pdf	AF evaluation framework	M	A summary of key information in the handbook is presented in the **A Pacific Island Countries Guide to Accessing the Adaptation Fund** manual created by SPREP. Looks at the AF evaluation requirements. The different types of AF evaluations, roles & responsibilities.
Environmental_&_Social_Policy.pdf	Environmental & Social Policy	M	E&S Policy Similar content covered in the draft E&S guidelines **Draft Guidance document for Implementing Entities on compliance with the Adaptation Fund Environmental and Social Policy**

Cost-benefit analysis for natural resource management in the pacific-a guide.pdf	Cost-Benefit Analysis for Natural Resource Management in the Pacific	M	Covers what is CBA, when to use CBA and the key steps to follow to undertake a CBA. Two supporting documents from the PACC project are in the CBA folder. *** Not available on the AF website. See* *http://www.cepf.net/SiteCollectionDocuments/poly_micro/CostBenefitAnalysisNaturalResourceManagementPacific.pdf*
Learner Guide_SPC_LFA_FINAL_May2014.pdf	The pacific guide to project proposal preparation using the logical framework approach	M	Supporting resource that covers the Logical Frame Approach. Useful to assist with the creation of log-frames and the use of problem analysis (problem tree) and solution analysis (solution tree). Note that some terminology used in this guide will be different to that used in the AF. *** Not available on the AF website. See http://evaluationtoolbox.net.au/*
Project_Performance_Report_Template.xlsx	Project Performance Report (PPR)	M	Excel spreadsheet for yearly project performance reporting. Useful to identify reporting responsibilities by the EE once funded.
LessonsLearnedSummarywithGraphs.pdf	The Adaptation Fund project review process: Summary of the analysis and lessons learned (June 2010 – September 2011)	M	Useful to identify where past AF applications have been weak so you can address these issues. See point 9 onwards.
Knowledge management strategy.pdf	Knowledge Management strategy and work programme	M	More applicable to KM in the AF itself and not so concerned with how EE's plan or deliver their KM component. Can be useful to understand KM from the AF's point of view to see how EE's can tie in and support it.
Guidelines_for_DAs_to_select_NIE.pdf	Guidelines for Designated Authorities to select an NIE:	L	Only applicable for DA's.
Results framework alignment table Aug2011.doc	Alignment of Project Objectives/Outcomes with Adaptation Fund Results Framework	L	This important alignment table is already included in the MS word version of the application form. It enables the EE to demonstrate how their project objective and outcomes align to the AF strategic framework.

ANNEX 2. PARAGUAY CASE STUDY

Project Title: Ecosystem Based Approaches For Reducing The Vulnerability Of Food Production To The Impacts Of Climate Change In The Eastern And Chaco Regions Of Paraguay[30]

Background information:

Paraguay is a landlocked country bordered by Argentina, Bolivia and Brazil. The country's population is largely rural with 43% or 2.5 million of its 6.3 million inhabitants residing in rural areas. The indigenous population represents 1.7% of the total population, distributed among 20 ethnic groups. Currently, 34.7% of the total population (2.2 million people) live in poverty, while 19.4% (1.2 million) live in extreme poverty . In rural areas, 48.9% of the population, or approximately 1.3 million people, are considered poor, including the vast majority of the indigenous population, which are typically the most impoverished portion of the population and lack access to public services.

The country experiences significant natural recurrent climatic events, including floods, droughts, storms and wildfires, which result in severe social, economic and environmental impacts at national and local levels. However, in recent years, the agriculture sector has suffered serious problems in maintaining production levels due to larger than normal irregularities in rainfall patterns, increased frequency and intensity of droughts and periods of excess humidity, which are beyond the typical cyclical climate variability of the country. This has had severe impacts on the livelihoods of the rural population, especially smallholders and indigenous peoples, since the recovery from losses in agricultural production may take several cycles of agriculture production.

The National Emergency Secretariat´s (SEN) 2010 Country Document II on disaster risk management in Paraguay states that the declared and undeclared emergency situations have increased significantly in the country during the last few years due to extreme weather events, including floods, droughts and forest fires, strong storms with intense rain and gush winds. For example, the 2008-2009 drought, affected more than 22,000 families in the Chaco, most of them peasants and indigenous communities who suffered from a lack of water availability. In the Eastern Region this drought affected up to 75,000 families and soybean yields decreased by 43% with respect to the previous year. Other examples include the wildfires of 2007, which registered more than 5,000 fire spots making it the highest ever recorded and affected more than 50,000 families in the Eastern Region.

Future climate scenarios estimated in the 2nd National Communication for different socio-economic conditions predict increases in temperature of approximately 1ºC until 2020, and between 2-2.5ºC until 2050. Paraguay´s 1st and 2nd National Communications to the UNFCCC have recognized the high vulnerability of the agricultural sector to climate variability and the adverse effects of extreme events. Impacts of these climate threats are likely to be felt in several sectors, including agriculture, ecosystems and biodiversity, and water resources. Communities will be affected both in terms of

[30] Adapted from the Paraguay concept note to the AF.

availability of food for consumption, and economically by having less certainty on their productive activities. Predicted yield losses will worsen the already difficult and vulnerable scenario, especially for small producers. A climate change vulnerability and impact assessment is currently being conducted in the Chaco region, through the UNEP Project.

The National Environmental System (SISNAM) provides an organisational framework comprising of two levels; The National Environmental Council (CONAM) provides the platform for consultation, debate and definition of the national environmental policy, and the **Environment Secretariat (SEAM)** regulates the operation of the institutions in charge of elaboration, normalisation, coordination, execution and control of the environment.

SEAM approved the National Environmental Policy (PAN) in May 2005. The objective of the PAN is to conserve and manage the use of Paraguay´s natural and cultural heritage in order to guarantee sustainable development, equal benefit-sharing, environmental justice and the livelihoods of the population. SEAM also created the National Climate Change Program and established the National Climate Change Commission. In 2011 the National Climate Change Policy (PNCC) was approved; its objective is to mainstream climate change issues at the national level and promote the implementation of coordinated measures that aim at developing an adequate approach that is coherent with the national development priorities and international commitments.

SEAM also prepared the 1st and 2nd National Communications to the UNFCCC. SEAM coordinates actions with a number of other government institutions at the national level. Among these, key institutions dealing with climate change, risk management, natural resources management and agriculture are:

- Ministry of Agriculture and Livestock (MAG)
- National Forest Institute (INFONA)
- National Emergency Secretariat (SEN)
- Meteorology Directorate (DM)
- National Institute for Rural Development and Lands (INDERT)
- Indigenous Peoples´ Institute (INDI)

This proposed AF project is in line with the four pillars of the National Climate Change Policy, namely:

- Strengthening of institutional capacities.
- Financing
- Education
- Management of knowledge and technology

The AF project seeks to address the negative impacts that the forecasted variations in temperature and precipitation will have on the agricultural sector due to the greater number of warmer days, longer dry periods and increase in drought events, greater intensity of rains in a shorter time period, and increase in wildfires. These climate threats will increase the vulnerability of the rural population, especially for family producers and indigenous peoples. This is exacerbated by the following underlying drivers of vulnerability: i) strong dependence on rain-fed agriculture; ii) soil degradation due to prolonged use and insufficient soil management and conservation practices; iii) high poverty levels; and iv) deforestation and degradation of forests.

The project goal is to reduce the vulnerability of the rural population (family agriculture producers) and indigenous communities of the Eastern and Chaco Regions of Paraguay to the impacts of climate change on their food production systems. This will be achieved through an agro-ecosystem approach that strengthens the resiliency of ecosystems to provide key ecosystem services to the production systems.

The project will achieve this through the following three components:

1. Knowledge management on vulnerability and climate change resiliency improved with tools and instruments to implement cost-effective adaptation measures;
2. Adaptive capacity in rural areas of greatest vulnerability strengthened through concrete agro-ecosystem based adaptation measures; and
3. Capacity development and awareness to upscale effective implementation of adaptation measures at the national and local levels.

Potential risks to the project include:

- Lack of adequate coordination, collaboration and cooperation among the executing agencies delays project implementation
- Frequent changes and rotation of staff in local implementing agencies may affect availability of qualified staff
- Lack of buy-in and participation of key stakeholders and target groups, and conflicts or differences between stakeholders/groups may weaken and delay implementation of activities
- Loss of crops due to disease, or climatic events

ANNEX 3. EXAMPLE LOGFRAME FOR PARAGUAY CASE STUDY

The partially completed logframe matrix for the Paraguay example case study is below. Not all outputs and activities have been documented. Not all indicators have been documented.

Project Description	Indicators	Baseline	Target	MoV	Assumptions
GOAL: To contribute to reduced vulnerability of the rural population (family agriculture producers) and indigenous communities of the Eastern and Chaco Regions of Paraguay to the impacts of climate change on their food production systems.					
OBJECTIVES: Strengthened resilience of ecosystem services and food production systems through an agro-ecosystem approach.	% & # population targeted with improved livelihood # producer collectives receiving climate forecasts Survival rates of crops Yield (tonnes per ha.)	0% population 0 collectives 5% of crops fail due to CC stress	30% rural & 40% indigenous of target regions 150 collectives 3% of crops fail due to CC stress	Project reports Project reports MoA district office reports	Climate change follows modelling
OUTCOMES: 1. Improved scientific and technical capacity of government agencies and key stakeholders to understand and implement CC measures 2. Increased knowledge and means in rural communities to respond to climate change risks and adapt their agricultural production systems, including increased ability for indigenous communities to adapt their food production systems, while respecting their ethnic-cultural and traditional knowledge 3. Stakeholders enabled to effectively respond to long-term climate change impact	# new vulnerability studies and threat analyses used in decision making # of institutions with increased capacity to understand and imp CC # new CC resilient crop varieties planted # of alternative agricultural practices used by farmers Area (hectares) under new production methods % farmers cultivating 3 or more CC crops	No new analyses since 2012 Only MoCC has capacity No CC resilient crops planted No alt. practices used 0 hectares under new production methods 5% farmers cultivating CC resilient crops No management	At least 3 policies/sector plans updated with new analyses 3 Govt depts and 2 NGOs have capacity to understand and imp CC impacts 6 new varieties of CC resilient crops by 2018 3 or more alt. practices demonstrated 10 hectares by 2018 20% rural &	Updated policies/plans Survey of govt staff Observation on field visits MoA field reports Interview on farm visit MoA field survey	Qualified staff available Community understand and change practices to respond to CC vulnerability

	# and % of farmers with farm management plans incorporating CC adaptation	plans consider CC adaptation.	30% indigenous of target regions cultivating CC crops 50% of farmers have management plans considering CC adaptation		
OUTPUTS: 1.1 Vulnerability studies and threat analyses on productive systems ecosystems completed 1.2 Information and monitoring system for agro-climatic risk assessment and mapping of agro-ecological zones completed 1.3 Technical standards for protection of forests and appropriate restoration practices developed 1.4 Research on selected priority crop varieties adapted to climate variability undertaken 2.1 Forests conserved and restored, and other ecosystems protected to provide ecosystem services to communities 2.2 Community-based adaptation plans for communities to strengthen ecosystem resiliency enacted 2.3 Traditional and other knowledge exchanged among stakeholders, training and awareness building to implement key adaptation strategies undertaken 3.1 Training conducted for policy-makers and key government stakeholders at national and local levels 3.2 Training conducted for partner agencies involved in project implementation 3.3 Experiences and lessons learned mainstreamed into key ongoing field programs and projects at the national level	Vulnerability study/analyses	No vulnerability report exists	Vulnerability report exists & shared with govt and community	Vulnerability report Community meeting report	Crops do not suffer from pest or disease introduction Community support for ecosystem protection maintained Adequate coordination, collaboration and cooperation among the executing agencies
ACTIVITIES: 2.1.1 Consult communities on community based protection measures 2.1.2 Develop community based forest management plans 2.2.3 Train community rangers in monitoring and enforcement					

measures 2.2.4 Conduct community workshops on forestry protection measures					
BASELINE: In rural areas, approximately 1.3 million people are considered poor and rely on agricultural production for their livelihoods. Climate change impacts affecting agricultural production.					

ANNEX 4. AF STRATEGIC RESULTS FRAMEWORK

The Adaptation Fund Strategic Results Framework includes the long-term goal, outcomes, outputs, and a small set of indicators for the Fund as a whole. The Adaptation Fund works toward the achievement of the overall goal and outcomes. Consequently, any project or programme funded through the AF must align with the Fund's results framework and directly contribute to the overall objective and outcomes outlined. The results architecture for the Fund is framed as follows:

Objective: Reduce vulnerability and increase adaptive capacity to respond to the impacts of climate change, including variability at local and national levels.

EXPECTED RESULTS	INDICATORS
Goal: Assist developing-country Parties to the Kyoto Protocol that are particularly vulnerable to the adverse effects of climate change in meeting the costs of concrete adaptation projects and programmes in order to implement climate-resilient measures.	
Impact: Increased resiliency at the community, national, and regional levels to climate variability and change.	
Outcome 1: Reduced exposure to climate-related hazards and threats	1. Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis
Output 1.1: Risk and vulnerability assessments conducted and updated	1.1. No. of projects that conduct and update risk and vulnerability assessments (by sector and scale)
	1.2 No. early warning systems (by type and no. beneficiaries covered)
Output 1.2: Targeted population groups covered by adequate risk reduction systems	1.2.1. Percentage of target population covered by adequate risk-reduction systems
Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses	2.1. Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased
Output 2: Strengthened capacity of national and sub-national centres and networks to respond rapidly to extreme weather events	2.1.1. No. of staff trained to respond to, and mitigate impacts of, climate-related events (by gender) 2.1.2 No. of targeted institutions with increased capacity to minimize exposure to climate variability risks (by type, sector and scale)
Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes	3.1. Increase in application of appropriate adaptation responses
Output 3: Targeted population groups participating in adaptation and risk reduction awareness activities	3.1.1 Increase in targeted population awareness of predicted adverse impacts of climate change, and of appropriate responses

infrastructure assets	4.1. Increased responsiveness of development sector services to evolving needs from changing and variable climate
	4.2. Physical infrastructure improved to withstand climate change and variability-induced stress
Output 4: Vulnerable development sector services and infrastructure assets strengthened in response to climate change impacts, including variability	4.1.1. No. and type of development sector services modified to respond to new conditions resulting from climate variability and change (by sector and scale)
	4.2.1. No. of physical assets strengthened or constructed to withstand conditions resulting from climate variability and change (by sector and scale)
Outcome 5: Increased ecosystem resilience in response to climate change and variability-induced stress	5. Ecosystem services and natural resource assets maintained or improved under climate change and variability-induced stress
Output 5: Vulnerable ecosystem services and natural resource assets strengthened in response to climate change impacts, including variability	5.1. No. of natural resource assets created, maintained or improved to withstand conditions resulting from climate variability and change (by type and scale)
Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas	6.1 Increase in households and communities having more secure access to livelihood assets
	6.2. Increase in targeted population's sustained climate-resilient alternative livelihoods
Output 6: Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability	6.1.1.No. and type of adaptation assets (tangible and intangible) created or strengthened in support of individual or community livelihood strategies
	6.2.1. Type of income sources for households generated under climate change scenario
Outcome 7: Improved policies and regulations that promote and enforce resilience measures	7. Climate change priorities are integrated into national development strategy
Output 7: Improved integration of climate-resilience strategies into country development plans	7.1. No. of policies introduced or adjusted to address climate change risks (by sector)
	7.2. No. of targeted development strategies with incorporated climate change priorities enforced

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