



ADAPTATION FUND

AFB/PPRC.34/5
18 September 2024

Project and Programme Review Committee
Thirty-fourth Meeting
Bonn, Germany, 8-9 October 2024

Agenda item 8.

**REPORT OF THE SECRETARIAT ON INITIAL
SCREENING/TECHNICAL REVIEW
OF INNOVATION SMALL GRANT PROPOSALS**

Background

1. This document presents to the Project and Programme Review Committee (PPRC) of the Adaptation Fund Board (the Board) an overview of the innovation small grant proposals submitted by National Implementing Entities (NIEs) to the current meeting, and the process of screening and technical review undertaken by the secretariat.

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

- (a) *To adopt the medium-term strategy as amended by the Board, as contained in the Annex 1 of the document AFB/B.30/5/Rev.1 (the MTS); and*
- (b) *To request the secretariat:*
 - (i) *To broadly disseminate the MTS and work with key stakeholders to build understanding and support;*
 - (ii) *To prepare, under the supervision of the MTS task force, a draft implementation plan for operationalizing the MTS, containing a draft budget and addressing key assumptions and risks, including but not limited to funding and political risks, for consideration by the Board at its thirty-first meeting; and*
 - (iii) *To draft, as part of the implementation plan, the updates/modifications to the operational policies and guidelines of the Adaptation Fund needed to facilitate implementation of the MTS, for consideration by the Board at its thirty-first meeting.*

(Decision B.30/42)

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

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

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

- (a) *To approve the implementation plan for the medium-term strategy for the Fund for 2018–2022 contained in the Annex I to document AFB/B.31/5/Rev.1 (the plan);*

(b) *To request the secretariat:*

[...]

(iii) To prepare, for each proposed new type of grant and funding window, a specific document containing objectives, review criteria, expected grant sizes, implementation modalities, review process and other relevant features and submit it to the Board for its consideration in accordance with the tentative timeline contained in Annex I to document AFB/B.31/5/Rev.1, with input from the Board's committees;

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

(Decision B.31/32)

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

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

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

(Decision B.32/4)

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

8. In line with Document AFB/PPRC.31/60, only those proposals will be presented to the PPRC that are technically recommended for endorsement/approval or otherwise requested to be presented by Board members in accordance with Decision B.34/50.

Programming to-date

9. The proposals approved since the inception of the innovation small grants funding window are summarized in Table 1.

10. Active pipeline under the Innovation Small Grants funding window are summarized in Table 2.

Table 1: Proposals Submitted, Approved

Project name	Country	Implementing Entity	Funding (USD)	Status
Innovative technologies for improved water availability to increase food security in Antigua and Barbuda	Antigua and Barbuda	ABED	250,000	Under Implementation
Engaging Future Leaders: Digital Education Module on Adaptation Challenges and Best Practices for Youth	Armenia	EPIU	231,250	Under Implementation
Building Adaptive Capacity through Innovative Management of Pests/Disease and Invasive Alien Species (IAS) in Bhutan to Enhance Sustainable Agro-Biodiversity and Livelihoods	Bhutan	BTFEC	250,000	Under Implementation
Water Security: Improving Water Access during Emergency Situations in San Antonio Province, Region Valparaíso	Chile	AGCICL	230,000	Under Implementation
Strengthening of a Replicable Micro Ecosystem of Accelerated Technological Innovation for Adaptation and Mitigation to Climate Change in Dominican Republic through the Development of a Pilot Thermo Solar Desalination Appropriate Technology	Dominican Republic	IDDI	249,929	Under Implementation
Developing "Climate Smart Community" System to Increase Climate Resilience for Saddang Watershed Communities	Indonesia (1)	Kemitraan	250,000	Proposal Approved (AFB40)
Towards Climate and Economic Resilience: Development Sustainable Adaptation-based of Coffee Village and Tourism Village through Co-production	Indonesia (2)	Kemitraan	250,000	Proposal Approved (AFB40)
Enhancing Resilience to Climate-induced Flooding and Drought through the Deployment of a Water-filled Barrier	Uganda	MOWE	250,000	Under Implementation
Total			1,961,179	

Table 2: Active pipeline under the Innovation Small Grants funding window

Project name	Country	Implementing Entity	Funding (USD)	Decision
AgriElevate: Uplifting Farming Through Innovation	Armenia	EPIU	220,700	Proposal Submitted (AFB43)

Sustainable Corridors. Adapting Electricity Transmission Infrastructure to the Climate Crisis through Nature-based Solutions in the Antofagasta Region	Chile	AGCID	250,000	Proposal Submitted (AFB43)
Djigui Niokolo: Developing agro-sylvo-pastoral models for sustainable agriculture and environmental preservation	Senegal	CSE	244,459	Proposal Submitted (AFB43)
Total			715,159	

Innovation Small Grant Proposals submitted by National Implementing Entities

11. Three accredited national implementing entity submitted three innovation small grant proposals to the secretariat, under the rolling submission process with the total requested funding amounting to US\$ 715,159. All proposals met the requirements for undergoing a complete technical review. The proposals included US\$54,287 or 8.10% in Implementing Entities management fees and US\$44,492 or 6.64% in execution costs.

12. The proposal for Senegal by Centre de Suivi Ecologique (CSE) is technically recommended and details of the proposals are contained in the separate PPRC working documents, as follows:

(a) Proposal for Senegal: AFB/PPRC.34/28

13. Projects were also submitted by the National Implementing Entities (NIEs) for Armenia and Chile. These proposals are not technically recommended. In line with the guidance in Document AFB/PPRC.31/60, proposals that are not yet technically recommended are not presented the PPRC. Details of the proposals are contained in information documents under the PPRC meeting documents, as follows:

(a) Proposal for Armenia: AFB/PPRC.34/Inf.32

(b) Proposal for Chile: AFB/PPRC.34/Inf.33

Review process

14. The secretariat was able to conduct four technical reviews for the proposal for Armenia, four technical reviews for Chile, and five technical reviews for Senegal.

15. The eligible submission was posted online for public review and the Adaptation Fund's CSO network as well as members of the Board were notified and invited to provide comments within a specified time period (no comments were received).

Issues identified

16. With respect to the proposal for Armenia there were no substantive improvements to the innovation justification, details on target beneficiaries, and gender considerations. The technical reviews have progressively identified and raised these key issues in the proposal, nevertheless the same issues persist, with emphasis on the lack of climate change adaptation justification, innovation rationale, and the role of EPIU. The fourth review reiterated these concerns, particularly the insufficient climate change adaptation justification, as outlined in the Clarification Requests (CRs) and Corrective Action Requests (CARs) in the technical review.

Table 3: Innovation Small Grant Proposals Submitted to the Forty Third Board Meeting

17. Innovation Small Grants	Country	IE	Technical Reviews Conducted	PPRC Document number	Grant Size, USD	IE Fee, USD	IE Fee %	Execution Cost, USD	EC %
NIE									
	Senegal	CSE	5	AFB/PPRC.34/28	244,459	17,887	7.89%	19,992	8.82%
Total					244,459	17,887	7.89%	19,992	8.82%

Table 4: Innovation Small Grant Proposals not technically cleared (reference to information document)

17. Innovation Small Grants	Country	IE	Technical Reviews Conducted	PPRC Document number	Grant Size, USD	IE Fee, USD	IE Fee %	Execution Cost, USD	EC %
NIE									
	Armenia	EPIU	4	AFB/PPRC.34/Inf.32	220,700	17,300	8.51%	3,000	1.47%
	Chile	AGCID	4	AFB/PPRC.34/Inf.33	249,600	19,100	8.29%	21,500	9.33%
Total					470,300	36,400	8.17%	24,500	5.50%