



ADAPTATION FUND

AFB/PPRC.35/36/Add.1
17 March 2025

Adaptation Fund Board
Project and Programme Review Committee
Thirty fifth Meeting
Bonn, Germany, 8-9 April 2025

Agenda Item 8 d)

PROJECT FORMULATION GRANT FOR LLA SINGLE COUNTRY PROPOSAL FOR SENEGAL

I. Background

1. The Board at its eleventh meeting discussed the document "Funding for Project Formulation Costs" (AFB/11/6) and agreed, in its Decision B.11/18, that:

- i. project formulation grants (PFG) should be given once a project concept has been approved
- ii. consideration should be given in terms of differentiating between NIEs and MIEs, since some NIEs might have financial difficulties in trying to formulate project or programme proposals;
- iii. a flat rate should be given for project formulation costs;
- iv. a list of eligible activities and items still needed to be prepared; v. the grant should be additional to the project cost; and
- v. the fate of funds if the final project document was rejected should be determined.

2. There was consensus that a three-tiered system should be considered for project formulation grants: endorse a project concept with a PFG amount, endorse a project concept without a PFG amount, or reject the project concept.

3. Following the discussion, the Board decided:

To request the secretariat to reformulate the document, to include a comparison of eligible activities provided by other funds for project formulation grants, to take into account guidance provided by the Board at the present meeting, and to submit the document to the Board at its twelfth meeting, through the EFC. The EFC should review and finalize the process and policy of the project formulation grant focusing, in particular, on: the issue of unspent project funds; the procedures followed by other funds in that regard; and the determination of a flat-rate.

4. A document was prepared by the secretariat in response to the above mandate and presented at the third EFC meeting, which made specific recommendations to the Board at its twelfth meeting. Having considered the recommendation of the Ethics and Finance Committee, the Board, in its Decision B.12/28, decided that:

(a) Project Formulation Grants (PFGs) will only be made available for projects submitted through NIEs. The Board would continue reviewing the question of PFGs for projects submitted through MIEs and would solicit comments from members and alternate members by February 14, 2011; the views would be compiled by the secretariat for presentation to the Board at its March 2011 meeting;

(b) If a country required a project formulation grant, a request should be made at the same time as the submission of a project concept to the secretariat. The secretariat will review and forward it to the PPRC for a final recommendation to the Board. A PFG could only be awarded when a project concept was presented and endorsed;

(c) A PFG form, reproduced in Annex V, should be submitted;

- (d) Only activities related to country costs would be eligible for PFG funding;*
- (e) A flat rate of up to US\$30,000 shall be provided, inclusive of the management fee, which cannot exceed 8.5 per cent of the grant amount. The flat fee would be reviewed by the Board at its thirteenth and all subsequent meetings;*
- (f) If the final project document is rejected, any unused funds shall be returned to the Adaptation Fund Trust Fund;*
- (g) Once a project/programme formulation grant is disbursed, a fully developed project document should come to the Board for approval within 12 months. No additional grants for project preparation can be received by a country until the fully developed project/programme document has been submitted to the Board; and*
- (h) The Trustee was instructed to remove the set-aside of US\$100,000 for project preparation that had been decided at the June 2010 meeting, as project preparation would be approved on a project-by-project basis.*

5. In its twenty-fourth meeting, the Board had initiated steps to launch a pilot programme on regional projects and programmes, not to exceed US\$ 30 million and had requested the secretariat to prepare for the consideration of the Board a proposal for such a pilot programme (Decision B.24/30). In its twenty-fifth meeting, the secretariat submitted such document and the Board decided to:

- (a) Approve the pilot programme on regional projects and programmes, as contained in document AFB/B.25/6/Rev.2;*
- (b) Set a cap of US\$ 30 million for the programme;*
- (c) Request the secretariat to issue a call for regional project and programme proposals for consideration by the Board in its twenty-sixth meeting; and*
- (d) Request the secretariat to continue discussions with the Climate Technology Center and Network (CTCN) towards operationalizing, during the implementation of the pilot programme on regional projects and programmes, the Synergy Option 2 on knowledge management proposed by CTCN and included in Annex III of the document AFB/B.25/6/Rev.2.*

(Decision B.25/28)

6. The approved document AFB/B.25/6/Rev.2 contained provisions for the approval of project formulated grants for regional project and programme proposals, at different development stages, as follows:

“It is proposed that the Board open a structured call for MIEs and RIEs to submit pre-concepts for regional projects and programmes. The optional pre-concepts would be very brief proposals of maximum 5 pages that would explain the proposed regional adaptation project/programme. The pre-concepts would be screened and technically reviewed by the

secretariat, and subsequently reviewed by the PPRC. Together with the pre-concept, the proponent could submit a Phase I PFG request, up to the maximum level of US\$ 20,000. While endorsing the pre-concept, the Board could also approve the Phase I PFG request. The endorsement of the pre-concept would not create an obligation for the Board for later funding. As the next step, the proponent would submit a concept, and with it the proponent could submit a Phase II PFG request. The maximum AFB/PPRC.18/25/Add.1 level of the Phase II PFG would be US\$ 80,000 for proposals that had been previously granted Phase I PFG, and US\$ 100,000 for proposals that bypassed the optional pre-concept stage. While endorsing the concept, the Board could also approve the Phase II PFG request. The endorsement of the concept would not create an obligation for the Board for later funding, as it is the case for the national projects. The final stage of the proposal process would be the submission of the fully-developed regional project document”.

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

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

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

(Decision B.42/37)

II. The Project Formulation Grant Request

8. This addendum to the document, AFB/PPRC.35.36/Add.1 “Proposal for LLA Single Country Proposal for Senegal” includes a request for a Project Formulation Grant, requesting a budget of US\$ 150,000, which was received by the secretariat along with the concept for the project AF00000411 “*Strengthening the resilience of communities in the Dead Sine Valley*”. This proposal was submitted by Centre de Suivi Ecologique (CSE), which is a National Implementing Entity of the Adaptation Fund, in time for consideration by the Adaptation Fund Board at its forty-fourth Board meeting.

9. In accordance with Decision B.12/28, paragraph (b), the secretariat carried out an initial review of the PFG request and found that the document provided detailed information on the use of the requested funds. The proposed activities were aligned with the goal of the project. The \$150,000 Project Formulation Grant (PFG) will support the development of a comprehensive full project proposal to strengthen community resilience in the Dead Sine Valley through extensive stakeholder engagement, feasibility assessments, and technical studies. Key activities include stakeholder workshops to validate the project design, field visits across the nine municipalities to assess vulnerabilities and gather inputs, and expert-driven development of the project’s log frame, results framework, and budget. Additionally, the PFG will fund a gender assessment to integrate gender-responsive adaptation strategies and an Environmental Impact Assessment (EIA) to ensure sustainability and compliance with environmental safeguards. The process will also include a detailed analysis of project components and expected outputs, along with a comprehensive proposal development phase, ensuring alignment with the Adaptation Fund’s requirements and enhancing the feasibility and effectiveness of proposed interventions.

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



ADAPTATION FUND

REQUEST FOR PROJECT/PROGRAMME FUNDING FROM THE ADAPTATION FUND

The annexed form should be completed and transmitted to the Adaptation Fund Board Secretariat by email or fax.

Please type in the responses using the template provided. The instructions attached to the form provide guidance to filling out the template.

Please note that a project/programme must be fully prepared (i.e., fully appraised for feasibility) when the request is submitted. The final project/programme document resulting from the appraisal process should be attached to this request for funding.

Complete documentation should be sent to the email: submissions@adaptation-fund.org



Project Formulation Grant (PFG)

Submission Date: November 4, 2024

Adaptation Fund Project ID:
 Country/ies: Senegal
 Title of Project/Programme: Strengthening the resilience of communities in the Dead Sine Valley
 Type of IE (NIE/RIE/MIE): National Implementing Entity (NIE)
 Implementing Entity : Centre de Suivi Ecologique
 Executing Entity/ies: Fatick Regional Development Agency (ARD)

A. Project Preparation Timeframe

Start date of PFG	April 2025
Completion date of PFG	September

B. Proposed Project Preparation Activities (\$)

Describe the PFG activities and justifications:

List of Proposed Project Preparation Activities	Output of the PFG Activities	USD Amount	Budget note
Literature review	Detailed literature review, a list of reviewed literatures	5,400	Desk review and onsite literature gathering
Stakeholders’ workshops for validating the project design and inputs for full proposal development	Workshop reports, validated project design, improved design, inputs to the design process	20,000	Projects design workshops with stakeholders from the 9 municipalities
Field visits in the project area for validating project design and obtaining inputs for full project proposal development	Validated project design	38,800	Visit of the project sites in the 9 municipalities and potential beneficiaries of the projects

Detailed analysis of project components, outputs and activities	Well described and detailed Project components, output and activities	7500	Desk work with experts to refine the project's components and activities
Development of project log frame and results framework	Detailed Project Logframe and Results Framework developed	4,500	Expert's work for the definition of the project logframe, results framework
Detailed project budget development	Detailed and concrete project budget	3000	Financial expert work to define the project's detailed budget
Gender assessment	Gender analysis report	16,200	Gender expert for ground activities and survey to produce the gender analysis for the project
Environmental Impact Assessment (EIA) of the proposed project	EIA report, EIA review report and Environmental Clearance Certificate	26,850	ESS expert for ground activities and survey for the final EIA report
Full project proposal development	Full Project Proposal developed	15,000	Diverse expertise linked to the project sector workshops to finalize the project development
Implementing Entity's Management Fee		12,750	Follow and supervision of NIE for the activities for the full proposal development
Total Project Formulation Grant		150,000	

Please describe below each of the PFG activities and provide justifications for their need and for the amount of funding required:

➤ **Literature review**

The literature review will involve systematically gathering, evaluating, and synthesizing existing research, policy, strategy and all other relevant document; to identify best practices, highlight knowledge gaps, provide contextual understanding, inform project design and methodology, avoid redundancy, and establish theoretical frameworks, encompassing steps such as defining objectives, searching for and evaluating literature, synthesizing information, and reporting findings.

➤ **Stakeholders' workshops for validating the project design and inputs for full proposal development**

The stakeholders' workshops for validating the project design and gathering inputs for full proposal development are critical for ensuring that the project aligns with local needs and conditions. These workshops will involve a diverse group of stakeholders, including community members, local government officials, NGOs, experts, and other relevant parties. The activities in these workshops include presenting the initial project design, discussing its goals, methods, and expected outcomes, and soliciting feedback and suggestions. This participatory approach ensures that the project benefits from local knowledge, addresses actual vulnerabilities, and enhances community buy-in and ownership. The feedback collected is then used to refine the project proposal, making it more robust, context-specific, and likely to succeed in achieving its adaptation goals.

➤ **Field visits in the project area for validating project design and obtaining inputs for full project proposal development**

Field visits in the project area are essential for validating the project design and gathering inputs for the full project proposal. These visits will involve on-site evaluations and interactions with local communities, stakeholders, and environmental conditions. The activities will include assessing the physical and social landscape, identifying climate vulnerabilities, and understanding local adaptation needs. Meetings and discussions with community members, local leaders, and experts will help gather firsthand information and feedback on the proposed project design. These interactions ensure that the project is context-specific, addresses actual and future climate risks, and incorporates local knowledge and practices. The insights gained from these field visits will be crucial for refining the project proposal, making it more effective and sustainable in enhancing climate resilience.

➤ **Detailed analysis of project components, outputs and activities**

A detailed analysis of project components, outputs, and activities will involve several important steps. First, project components are detailed, encompassing inputs such as resources (funding, expert knowledge), activities (events, research, capacity building), and intended outcomes. This analysis uses a logical framework (logframe) to summarize core elements, ensuring clarity and coherence in the project's design. Outputs refer to the direct results of project activities, such as the development of climate-resilient infrastructure. Activities will include the specific actions taken to achieve these outputs, such as training smallholder farmers beneficiaries on value chain approach and climate-resilient agricultural practices and organizing stakeholder workshops. Regular monitoring and evaluation (M&E) are integral to track progress, assess effectiveness, and inform necessary adjustments. This systematic approach ensures that the project is well-structured, targeted, and adaptable to changing climate conditions

➤ **Development of project log frame and results framework**

The project log frame and results framework will involve defining the project's goal and objectives, developing a logical framework matrix capturing the hierarchy of results (impact, outcomes, outputs, activities, inputs), establishing indicators and means of verification, identifying assumptions and risks, visually representing the logical linkages between project components, engaging stakeholders for validation, and implementing a monitoring and evaluation plan to track progress and make necessary adjustments, ensuring the project is well-designed, effectively managed, and capable of delivering sustainable benefits to vulnerable communities.

➤ **Detailed project budget development**

Developing a detailed project budget will involve several key steps to ensure comprehensive financial planning and resource allocation. First, this activity will detail and categorize all necessary components of the project, such as baseline data collection, capacity building, community engagement, infrastructure development, monitoring, and evaluation. Each category will be broken down into specific activities, with estimated costs for personnel, materials, equipment, travel, and administrative expenses. Incorporate contingency funds to address unforeseen expenses.

➤ **Gender assessment**

The gender assessment will involve evaluating the different impacts of climate change on men and women and ensuring gender-responsive strategies. This activity will start with collecting gender-disaggregated data to understand the specific vulnerabilities and needs of women and men in the project areas. The assessment will identify gender-specific barriers to adaptation and proposes measures to overcome them, such as enhancing youth and women's access to resources, information, and decision-making processes. It will also examine how

the proposed adaptation strategies might affect gender dynamics, aiming to avoid reinforcing existing inequalities. Furthermore, the assessment will develop indicators to monitor and evaluate gender outcomes throughout the project. Engaging both women and men in the planning and implementation stages ensures that the adaptation efforts are inclusive and equitable.

➤ **Environmental Impact Assessment (EIA) of the proposed project**


The Environmental Impact Assessment (EIA) will involve evaluating the potential environmental impacts of the project to ensure it does not adversely affect the environment or hinder its resilience. This process will include screening to determine the necessity of an EIA, scoping to identify key environmental concerns, assessing potential impacts on natural resources and ecosystems, proposing mitigation strategies to address negative effects, consulting stakeholders to gather feedback, and documenting the findings in a comprehensive report. Moreover, it will involve monitoring the project's environmental effects to ensure compliance with mitigation measures and to adapt strategies as needed for unforeseen impacts.

➤ **Full project proposal development**

Developing the comprehensive project proposal will involve several key components. Initially, the proposal will define the specific climate change impacts and vulnerabilities the project aims to address, using data and assessments to justify the need for adaptation. The objectives will be clearly articulated, with detailed activities designed to achieve these goals. Engaging stakeholders, including local communities, ensures that the project is designed taking into account the actual needs and constraints of the target population. The proposal will outline a detailed budget, specifying how funds will be allocated to various activities, and include a timeline for implementation. Furthermore, a robust monitoring and evaluation plan will be included because it is essential to track progress, assess outcomes, and make necessary adjustments. Risk management strategies will also be detailed to address potential challenges that might arise during the project lifecycle. Finally, the proposal will align with the requirements of the Adaptation Fund to enhance its chances of approval

C. Implementing Entity

This request has been prepared in accordance with the Adaptation Fund Board’s procedures and meets the Adaptation Fund criteria for project identification and formulation

Implementing Entity Coordinator, IE Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Pr Cheikh Mbow		September, 20, 2024	Aissata Boubou SALL	+221 33 825 80 66 +221 77 685 15 90	aissata.sall@cs e.sn