

INSTRUCTIONS FOR PREPARING A REQUEST FOR PROGRAMME ON INNOVATION SMALL GRANTS PROJECTS THROUGH DIRECT ACCESS, WITH THE OPTION OF BUNDLING INNOVATION WITH LEARNING GRANTS

These instructions are intended to assist in preparation of the proposals under the small grant proposals under the modality of Programme on Innovation: Small Grant Funding through Direct Access. Moreover, these instructions cover the option of **combining small innovation grants with learning grants**, such that both types of grants can be accessed through a single submission. The instructions are intended to accompany the submission template that can be used to access small innovation grants, either by themselves or in combination with a learning grant. If you are attempting to access small innovation grant funding in combination with learning grant funding, please fill this submission template completely. Please specify the source of funding in the “Projects components and financing” table – i.e. Innovation or Learning – per component. If attempting to access small innovation grant funding only, please skip Part II, section E1.

Project proposals must be clear on the adaptation challenge to be addressed, the objective(s), what the project will deliver when, how and by whom. Clear baselines, milestones, targets and indicators should be included to ensure progress and results can be measured.

Please note that a simple results framework is advised for innovation small grant projects through direct access modality. Among the eight outcomes outlined in the current Strategic Results Framework (SRF), **Outcome 8** specifically focuses on innovation. This aligns with the objective of the Innovation Strategic Focus under the Implementation Plan of the Medium-Term Strategy (MTS), which aims to 'support the development and diffusion of innovative adaptation practices, tools, and technologies.' The associated outcome indicators in the current SRF provide a foundation for measuring results under the innovation pillar. Moreover, **Outcome 3** aligns with the objectives of learning grants focusing on '*strengthened awareness and ownership of adaptation and climate risk reduction processes at local level*'.

In Section III.C of the Application Form, include a results framework that outlines realistic and quantified expected results. Ensure that indicators and targets are gender-responsive and, where relevant, disaggregated by sex.¹

Parts II and III of the proposal should not exceed ten pages total.

DATE OF RECEIPT. Please leave this space on the top right of the page blank. The Adaptation Fund Board Secretariat will fill in the date on which the proposal is received at the Secretariat.

ADAPTATION FUND PROJECT ID. Please leave this space on the top right of the page blank. The Adaptation Fund Board Secretariat will assign a number to your project internally.

PART I: PROJECT INFORMATION

COUNTRY. Please insert the name of the country requesting the grant.

TITLE OF PROJECT. Please enter the title of the proposed project.

NAME OF NATIONAL IMPLEMENTING ENTITY. Please specify the name of the National Implementing Entity.

EXECUTING ENTITY(IES). Please specify the name of the organisation(s) that will execute the Project funded by the Adaptation Fund under the oversight of the National Implementing Entity.

AMOUNT OF FINANCING REQUESTED. Please fill the grant amount (in US Dollars equivalent) requested from the Adaptation Fund for this proposal.

PROJECT BACKGROUND AND CONTEXT. Provide brief information on the problem the proposed project is aiming to solve. Outline relevant climate change scenarios according to best available scientific information. Outline the economic social, development and environmental context in which the project would operate.

PROJECT OBJECTIVES. List the main objectives of the project. The objectives have to be aligned with the Adaptation Fund Results Framework.

¹ Paragraph 23, AFB/PPRC.23/4/Rev.2

PROJECT COMPONENTS AND FINANCING¹.

Please fill out the table presenting the project components, activities, expected concrete outputs, and their corresponding budgets to accomplish them, and the source of funding if applying for the option of the bundled modality of innovation with learning grants. Please also indicate the budget for execution costs and project cycle management fee.

Project Component	Expected Concrete Outputs	Expected Outcomes	Amount (US\$)	Sources of funding (specify if innovation or learning)*
1.				
2.				
3.				
4.				
5.				
Project Execution cost				
Total Project Cost				
Project Cycle Management Fee charged by the Implementing Entity (if applicable)				
Amount of Financing Requested				

Projected Calendar:

Indicate the dates of the following milestones for the proposed project/programme

Milestones	Expected Dates
Start of Project/Programme Implementation	
Mid-term Review (if planned)	
Project/Programme Closing	
Terminal Evaluation	

The afore mentioned terms are defined below to facilitate the process of completing the table:

- **PROJECT COMPONENTS.** The division of the project into its major parts; an aggregation of set of activities.
- **ACTIVITIES.** Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.
- **MILESTONES / TARGETS.** Milestones help with regular monitoring of progress towards the target. Targets indicate the desired result at the end of the project. Please see

¹ Please use the IE and EE fee calculator. Link available - [IE and EE Fees Calculator](#) (EXCEL)

document “AF Results Framework and Baseline Guidance – Project level”

- **INDICATORS** – What is going to be measured to assess if targets are met?
- **EXPECTED CONCRETE OUTPUTS**. The product, capital goods and services which result from a development intervention relevant to the achievement of outcomes.
- **EXPECTED OUTCOMES**. The change in conditions, or intended effects of an intervention, usually brought about by the collective efforts of partners. Outcomes are achieved in the short to medium term.

AMOUNT (\$). Indicate grant amounts in US dollars by project components and source of funding.

PROJECT / PROGRAMME EXECUTION COST. The main items supported by the Adaptation Fund for project management including consultant services, travel and office facilities, etc. Please note that project execution costs should not be more than 9.5% of the total budget requested, before the implementing entity fees. In the case of an implementing entity acting as the executing entity for a project, execution costs are capped at 1.5% of the total budget requested, before the implementing entity fees. The project cycle management fees should not be more than 8.5% of the total budget requested. For more information on these fees, see document “Administrative and execution costs: Analysis of current rules and comparison of practices with other funds”. Please see document “AF Results Framework and Baseline Guidance – Project level”

TOTAL PROJECT COST. This is the sum of all project components requesting Adaptation Fund Board approval.

IMPLEMENTING ENTITY PROJECT CYCLE MANAGEMENT FEE. This is the fee that is requested by an Implementing Entity for project cycle management services.

AMOUNT OF FINANCING REQUESTED. This amount includes the total project cost plus the project cycle management fee.

PROJECTED CALENDAR. Please indicate the dates of the following milestones for the proposed project.

START OF PROJECT IMPLEMENTATION The date on which project becomes effective.

PROJECT CLOSING. Project closing is set as six months after Project Completion. This is the date on which Implementing Entity completes disbursement from the grant and may cancel any undisbursed balance in the grant account.

TERMINAL EVALUATION. The date on which the Implementing Entity completes the final evaluation report, normally two months after project completion but in any case, no later than nine months after project completion.

PART II: PROJECT JUSTIFICATION

A. Describe the project components, particularly focusing on the concrete adaptation activities of the project, and how these activities contribute to climate resilience.

Describe how the activities will help with adaptation to climate change and improve climate resilience. Decision 10/CP.7 establishing the Adaptation Fund stipulates that it shall finance concrete adaptation projects and programmes. In the AF Operational Policies and Guidelines, a concrete adaptation project 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. Projects/programmes concern activities with a specific objective(s) and concrete outcome(s) and output(s) that are measurable, monitorable, and verifiable.”

The project objective has to be aligned with the Adaptation Fund Results Framework. The project activities should align with its overall goal and objectives hence ensuring the cohesion of the components among themselves.

B. Describe how the project provides economic, social and environmental benefits, with particular reference to the most vulnerable communities, and vulnerable groups within communities, including gender considerations. Describe how the project will avoid or mitigate negative impacts, in line with the Environmental and Social Policy of the Adaptation Fund (the Environmental and Social Policy).

The proposal should include information on the expected beneficiaries of the project, 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 to those groups should be outlined. Consultations with the potentially affected stakeholder groups should be carried out as appropriate and applicable.

C. Describe how the project encourages or accelerates development of innovative adaptation practices, tools or technologies. Describe how the project helps generate evidence base of effective, efficient adaptation practices, products or technologies, as a basis for potential scaling up.

The proposal should include information on the specific *process* that will encourage or accelerate development of innovation, as well as the *desired result* of that process. (For example, a national competition is organized to solicit adaptation innovation ideas by either individuals or small teams. The desired result is receiving at least 250 submissions.) The proposal should also briefly outline what kinds of additional evidence the project would or might generate, and also briefly describe the process how this evidence could be used towards scaling up. (For example, the selected innovations would be tracked for interest by the accelerators, or attractiveness to venture capital or angel investors, other private sources, or potential consumers, end-users, and/or beneficiaries, depending on the type of innovation.)

D. Confirm that the project meets relevant national technical standards, where applicable, such as standards for environmental assessment, building codes, etc., and complies with the Environmental and Social Policy. All proposed projects shall undertake a screening of environmental and social risks and demonstrate compliance with the environmental and social principles as outlined in the Environmental and Social Policy.

Please note that this section is only applicable and need to be completed if accessing the bundled modality of innovation and learning grants.

E. Describe the learning and knowledge management component to capture and disseminate lessons learned, as well as the innovation component to ensure continuous innovation cycle.

Please describe the rationale and how the proposal meets the criteria set for this type of funding. For reference, see the below specific innovation and learning criteria:

Innovation:

- Encouraging and accelerating innovation:
Does the project/programme encourage or accelerate development of innovative adaptation practices, tools and technologies?
- Generating evidence base:
Does the project/programme help generate evidence base of effective, efficient adaptation practices, products or technologies generated, as a basis for potential scaling up?
- Enhance learning and encourage scalability:
Does the project have a potential for maximizing impact through scaling up of AF funded projects and serve as a knowledge broker that supports early interventions based on lessons learned?

Learning:

- Are the proposed activities to support learning adequate? Do they reflect knowledge gaps and learning needs identified by users?
- Do they build on established “best practices” for project/programme learning? Are they based on shared resources and knowledge?
- Does the project harness lessons learned and knowledge that enable integrating them in scaling up approaches?

National Implementing Entities (NIEs) should ensure that proposals include well-balanced elements of both learning and innovation that are complementary and mutually reinforcing. Avoid disproportionate emphasis on one aspect while giving only minimal attention to the other. Additionally, clearly describe how learning generated from proposed innovation activities will be integrated into the institutional knowledge management system for broader sharing and dissemination. This integration should support continuous knowledge exchange, capacity building, and scaling of successful practices.

Explain how the proposed activities combine innovation and learning to enhance climate resilience by fostering knowledge generation, technology transfer, and adaptive capacity-building. Highlight how the proposal meets the funding criteria, such as fostering local-level innovation, building adaptive capacity, and generating scalable solutions. Describe how bundling learning and

innovation creates synergies that would not be possible through separate funding streams, enabling integrated and sustainable project outcomes.

E1: LEARNING ACTIVITIES: Briefly describe how proposed innovation activities contribute to learning, and ultimately to increasing climate resilience of beneficiaries.

Describe the types of knowledge, tools, or methodologies the project will produce through its innovation activities. Outline methods such as participatory research, action learning, or pilot projects that will be used to gather insights. Indicate how learning will lead to increased climate resilience for target beneficiaries, including specific indicators if possible. Describe any planned integration of project findings into national or sectoral policies, fostering policy-driven climate adaptation actions.

E2: CONTINUOUS INNOVATION CYCLE: Describe how evidence based generated innovation will be shared and made available to NIEs and other partners and ensure continuous cycle of innovation and knowledge sharing.

The proposal may explain how evidence from project activities will be documented and validated. Describe how learning will be shared with National Implementing Entities (NIEs), other stakeholders, and global partners through platforms such as workshops, webinars, or publications. The proposal may detail how insights gained will be fed back into project design for continuous improvement. The proposal may highlight partnerships with research institutions, private sector actors, or other relevant stakeholders to facilitate scaling and replication. Explain how knowledge products will be embedded into NIEs' systems and local governance structures to ensure sustainability. Describe any planned integration of project findings into national or sectoral policies.

F. Provide an overview of the environmental and social impacts and risks identified as being relevant to the project. Describe how the project will engage, empower and/or benefit the most vulnerable communities and social groups, including gender considerations, in line with the Environmental and Social Policy of the Adaptation Fund.

All proposed projects shall undertake a screening of environmental and social risks and demonstrate compliance with the environmental and social principles as outlined in the Environmental and Social Policy. In accordance with the Environmental and Social Policy, all proposed projects shall identify potential environmental and social impacts and risks. The screening process shall consider all potential direct, indirect, transboundary, and cumulative impacts and risks that could result from the proposed project, as commensurate with the size and the scope of the project. The screening will determine whether or not the project requires further environmental and social assessment, mitigation, and management.

Proposals submitted through the bundled approach should provide an overview and an initial screening of the environmental and social impacts and risks identified as being relevant to the project, in line with the Environmental and Social Policy of the Fund. The technical review may recommend a deeper assessment and an environmental and social management plan where necessary.

G. Provide justification for funding requested, focusing on the full cost of adaptation

reasoning.

The Adaptation Fund does not require co-financing for the projects/programmes it funds. The principal and explicit aim of the project/programme should be to adapt and to increase resilience of a specific system or communities, to the adverse effects of climate change and variability. Therefore, the proposal should demonstrate that the project/programme activities are relevant in addressing its adaptation objectives and that, taken solely, without additional funding from other donors, they will help achieve these objectives. Although co-financing is not required, it is possible and often cost-effective to implement Adaptation Fund projects in parallel with projects funded from other sources. In such a situation, the Adaptation Fund project should be able to deliver its outcomes and outputs regardless of the success of the other project(s). It is possible to include activities which, taken out of context, could be considered “business-as-usual” development but these should be justified in the context of achieving the adaptation goals of the project.

PART III: IMPLEMENTATION ARRANGEMENTS.

Describe the various elements of project implementation as enumerated below:

A. Adequacy of project management arrangements.

The implementation arrangements should include a clear description of the roles and responsibilities of the implementing entity as well as any executing entity or organizations/stakeholders that are involved in the project. If necessary, provide a full organization chart showing how they report to each other.

Implementing entities should generally not provide execution services. On an exceptional basis, and at the written request by the recipient country, involving designated authorities in the process, and providing rationale for such a request, they may be authorized to do so. In such case, the responsibility for these services have to be stipulated, their budget estimated in the fully developed project document, and covered by the execution costs budget of the project.

When an entity intends to serve both as the implementing entity and the executing entity for a project, the same rules as above apply, and the execution costs are capped at 1.5% of the total budget requested, before the implementing entity fees.

B. Monitoring and evaluation arrangements including budgeted M&E plan.

The proposal should include a budgeted M&E plan, which should be in compliance with the AF M&E guidelines as appropriate for the grant size.²

C. Provide a simple results framework for the project proposal, including milestones, targets and indicators.

The proposal should include a results framework with realistic, quantified expected results. Whenever possible, the indicators and targets should be disaggregated by sex. More guidelines on preparing the project results framework, including a list of standard AF indicators, can be found in the “AF Results Framework and Baseline Guidance – Project level” document.

D. Demonstrate how the project aligns with the Results Framework of the Adaptation Fund

Any project or programme funded through the AF must align with the Fund’s results framework and directly contribute to the Fund’s overall objective and outcomes outlined. Not every project outcome will align directly with the Fund’s framework but at least one outcome and output indicator from the Adaptation Fund’s Strategic Results Framework must be included at the project design stage. Project proponents shall fill out the table provided in the “Request for Project Funding”

² See section on reporting process requirements in the AFB/EFC.7/4.Rev.2 document “Annual Performance Report”. See also the “AF Evaluation Framework”, the “AF Results Framework and Baseline Guidance – Project level” and the “Guidelines for Project and Programme Final Evaluation” documents.

document to directly link, where relevant, project objectives and outcomes to the Fund level outcome and outputs.

In proposing activities under the bundled approach, the NIEs must ensure alignment with outcome 3 for learning and outcome 8 for innovation under the Fund's Strategic Results Framework. The proposed activities under the bundled approach should complement each other and ensure there are synergies between them.

Outcome 8 aligns with the objective of the Innovation Strategic Focus under the Implementation Plan of the Medium-Term Strategy (MTS), which aims to 'support the development and diffusion of innovative adaptation practices, tools, and technologies.' The associated outcome indicators in the current SRF provide a foundation for measuring results under the innovation pillar.²

Outcome 3 specifically, aligns with the objectives of learning grants focusing on 'strengthened awareness and ownership of adaptation and climate risk reduction processes at local level'. Its associated outcome indicators in the current SRF cover some of the ground with respect to measuring the results under the learning and sharing pillar.

E. Include a budget, including a budget on the Implementing Entity management fee use, and an explanation and a breakdown of the execution costs.

The proposal should include a budget indicating the break-down of costs at the activity level.

F. Include a disbursement schedule with time-bound milestones.

The proposal should include a disbursement schedule that includes time-bound milestones relative to project inception and the annual reporting requirement.³

PART IV: ENDORSEMENT BY THE DESIGNATED GOVERNMENT AUTHORITY FOR ADAPTATION FUND AND CERTIFICATION BY THE IMPLEMENTING ENTITY

A. RECORD OF ENDORSEMENT BY DESIGNATED GOVERNMENT AUTHORITY.

Provide the name, position, and government office of the designated government authority and indicate date of endorsement. The endorsement letter(s) should be attached as an annex to the project proposal.

B. IMPLEMENTING ENTITY CERTIFICATION

Provide the name and signature of the Implementing Entity Coordinator and the date of signature. Provide also the project contact person's name, telephone number.

² [GUIDANCE TO IMPLEMENTING ENTITIES FOR APPLICATION OF INNOVATION INDICATORS FOR FULLY DEVELOPED PROJECT/PROGRAMME PROPOSALS](#) provides guidance on the new indicators that should be referenced when presenting alignment of project objectives and outcomes with the Fund level strategic outcome for innovation (Outcome 8).

³ Please follow the Disbursement Schedule format presented in the following link - [Disbursement Schedule Template](#) (18 kB, XLS)