



# CLIMDEV SPECIAL FUND OPERATIONAL PROCEDURES MANUAL

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for Africa



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## Acronyms and Abbreviations

ACPC	Africa Climate Policy Centre
AfDB	African Development Bank
AMCEN	African Ministerial Conference on the Environment
ARI	Advanced Research Institution
AUC	African Union Commission
CCDU	Climate Change and Desertification Unit
CDSC	ClimDev-Africa Programme Steering Committee
CDSF	ClimDev-Africa Special Fund
CRMA	Climate Risk Management and Adaptation
CSO	Civil Society Organization
FFCO	Financial Control Department
GECL	Office of the General Counsel and Legal Department
GEF	Global Environment Facility
ICB	International Competitive Bidding
IRM	Independent Review Mechanism
JSWG	ClimDev Joint Secretariat Working Group
LOTB	Lapse of Time Basis
MDG	Millennium Development Goals
NAPA	National Adaptation Program of Action
NCB	National Competitive Bidding
NGO	Non-Governmental Organizations
ONEC	Energy and Climate Change Department, African Development Bank
OpsCom	Operation committee
ORBF	Procurement and Fiduciary Service department
ORVPO	Operations Regional Vice Presidency, African Development Bank
OSAN	Department of Agriculture and Agro-Industry, African Development Bank
OSVP	Sector Operations II Vice Presidency, African Development Bank
PCN	Project Concept Note
PCR	Project Completion Report
PMA	Program Management Agent
PPCR	Pilot Program on Climate Resilience
PRSP	Poverty Reduction Strategy Paper
REC	Regional Economic Communities
RBO	River Basin Organizations
UNECA	United Nations Economic Commission for Africa
UNEP	United Nations Environment Program
UNFCC	United Nations Framework Convention on Climate Change

## Preamble

The ClimDev-Africa Special Fund was established through an Instrument of the African Development Bank adopted by the Board of Directors to support activities of the ClimDev-Africa Programme, or Climate for Development in Africa. It is run through coordination between the Bank, the African Union Commission and the United Nations Economic Commission for Africa. The purpose of the Fund is to pool resources to finance climate-resilient development programs that mainstream climate change information at all levels in Africa.

The Operational Procedures provide details of the rules, regulations, principles and operations of the ClimDev-Africa Special Fund. Outlined in the procedures are:

- The background to the Fund, and the strategy for achieving the Goal and Programme Objectives of the Fund which underlies the rules and regulations within the Operations Manual;
- The management structure of the Fund, both at management level, at which the Fund is responsible to the ClimDev Africa Programme Steering Committee, and at operational level;
- Matters of eligibility and conditions for receiving support from the Fund;
- Type of activities that will be supported by the CDSF, project cycle activities, and operational procedures for processing and approving grants as well as implementation and monitoring;
- The procedures by which grants will be disbursed by the Bank;
- Financial management both at the Fund and project level; and
- Reporting at all levels and accountability arrangements.

The rules and policies, applicable to the operations of the Bank will generally be applicable to the operations of the CDSF, except as otherwise provided in these Operational Procedures. The rules, policy and procedural instruments that guide the governance, administration, and safeguarding of the Fund include, but are not limited to the following:

- Rules of Procedure for Procurement of Goods and Works;
- Rules of Procedure for the Use of Consultants;
- Bank Group Policy on Disclosure of Information;
- Independent Review Mechanism- Operating Rules and Procedures;
- AfDB Group's Policy on the Environment;
- The Involuntary Resettlement Policy;
- The Gender Policy;
- Community Participation Handbook;
- Whistle Blowing and Complaints Handling Policy; and
- Guidelines for Preventing and Combating Corruption and Fraud in Bank Group Operations

The CDSF will also generally adhere to international consensus to which the Bank has endorsed, in particular, "The Paris Declaration on Aid Effectiveness" (2005) and the Accra Third High Level Meeting on Aid Effectiveness (2008).

## **PART A: BACKGROUND AND OBJECTIVES**

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### **1. Introduction**

#### **1.1 Background**

- 1.1.1. The lack of appropriate climate information is a major obstacle to addressing the challenges of climate change in Africa, and has led to calls by African leaders and development partners to improve the provision and use of appropriate climate information to promote sustainable development planning in Africa.
- 1.1.2. The General Assembly of the United Nations, in its 2005 Progress Report on the Millennium Development Goals (MDGs), stressed the threat of climate change to the achievement of the MDGs and highlighted the importance of managing climate variability and change in a proactive way to facilitate the achievement of the MDGs.
- 1.1.3. The 2007 Human Development Report notes that information is critical in planning for adaptation to climate change. The lack of appropriate and reliable systematic climate-related information hampers efforts aimed at addressing the challenges of climate change in Africa.
- 1.1.4. The Climate for Development in Africa Programme (the “Programme” or “ClimDev-Africa”) is a joint initiative of the African Development Bank (“AfDB” or the “Bank”), the Commission of the African Union (“AUC”) and the United Nations Economic Commission for Africa (“UNECA”). The Program has been endorsed at regional meetings of African Heads of State and Government and by Africa’s Ministers of Finance, Planning, Economic Development, and the Environment to seek ways of overcoming the lack of necessary climate information, analysis and options required by policy and decision-makers at all levels.
- 1.1.5. The AfDB accepted the request from the AUC and UNECA to establish the ClimDev-Africa Special Fund (“CDSF” or the “Fund”) and to administer its resources for demand-led interventions. The Board of Directors of the Bank sought and received the approval of the Board of Governors for the establishment of the Fund. The ClimDev-Africa Special Fund was established by the Bank’s Board of Governors on 27th May 2010 pursuant to Resolution B/BG/2010/14. The Fund shall become effective when the equivalent of 20 million Units of Account have been pledged to the Fund.
- 1.1.6. The CDSF forms one of the three elements of ClimDev-Africa, the others being the African Climate Policy Center at UNECA, and the Climate Change and Desertification Control Unit at the AUC. All of the three elements received mandates from the highest level of African Policy makers, Heads of Government and Ministers of Finance, Planning and the Environment. Each has its own set of formal documents in addition to the ClimDev-Africa Framework Programme

Document (CFPD) which was developed by the ClimDev-Africa Secretariat to define the linkages between the three elements of the program.

1.1.7. The goal of the CDSF is to pool resources to contribute to sustainable development and, in particular, poverty reduction by preparing and implementing climate-resilient development programs that mainstream climate change information at all levels in Africa. The objective of the CDSF is to strengthen the institutional capacities of national and sub-regional bodies to formulate and implement effective climate-sensitive policies.

## **1.2 Purpose of the Operational Procedures**

1.2.1 The purpose of the Operational Procedures is to provide rules and procedures that will guide the operations of the Fund. The document provides comprehensive guidelines to facilitate CDSF project identification, preparation, appraisal, approval, implementation and monitoring and evaluation which are anchored on the underlying premise that the Bank is chosen to administer these resources on the basis of the integrity and quality of its review, approval and implementation processes.

## **1.3 Guiding Principles**

1.3.1 The Instrument provides that *“except as otherwise provided [in the Instrument], or in operational procedures adopted by the Bank for purposes of the CDSF, the Bank, in its administration of the CDSF, shall apply the same principles and criteria that are applicable to financing provided from its own ordinary resources, particularly those contained in Article 17 of the Agreement establishing the Bank.”*

1.3.2 Accordingly, the rules and policies applicable to the operations of the Bank will generally be applicable to the operations of the Fund, except as otherwise provided for in these Operational Procedures. These Bank rules and policies will guide the administration of the Fund Coordination Unit as well as the procedures and modalities by which projects will be processed and implemented. They include, but are not limited to the following:

- Rules and Procedures for Procurement of Goods and Works
- Rules and Procedures for the Use of Consultants
- Disbursement Handbook
- AfDB Group’s Policy on Disclosure of Information
- AfDB Group’s Policy on the Environment
- The Gender Policy
- Whistle Blowing and Complaints Handling Policy
- Guidelines for Preventing and Combating Corruption and Fraud in Bank Group Operations
- Independent Review Mechanism (“IRM”) - Operating Rules and Procedures

1.3.3 The CDSF will also generally adhere to international consensus to which the Bank has endorsed, in particular, "The Paris Declaration on Aid Effectiveness" (2005) and the Accra Third High Level Meeting on Aid Effectiveness (2008).

- 1.3.4 These Operational Procedures further take into consideration the Framework Document for the Establishment of the ClimDev-Africa Special Fund (ADB/BD/WP/2009/215) (the “Framework Document”), Section 5.2 of the Instrument that provides that the operational procedures should “*be designed to ensure a fast-track process for the review, approval and implementation of operations financed with the resources of the CDSF*”, and the experience and knowledge acquired by the Bank in administering similar funds.

#### **1.4 Structure of document**

- 1.4.1 The Document is divided into four main parts: Part A deals with the general characteristics of the Fund including the objectives and purpose of these Procedures. Part B deals with the structure, financial, administrative and fiduciary control systems for managing the Fund within the Bank. Part C deals with the types of activities that fall within the purview of the Fund, project cycle activities, and operational procedures for processing and approving grants under the Fund as well as implementation and monitoring. PART D deals with reporting and accountability arrangements.



## **PART B: STRUCTURE AND ADMINISTRATION OF THE FUND**

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### **2. Fund Structure**

#### **2.1 Governance Structure**

2.1.1. The governance structure of the Fund consists of a) the ClimDev–Africa Programme Steering Committee (CDSC) that reports to the Programme Executive Board which is constituted by the Chief Executives of the AfDB, AUC and UNECA; b) the AfDB Board of Directors, and its governance structure, and c) a CDSF Coordination Unit headed by a Coordinator. Overall decision-making with regard to CDSF operations will be carried out through two main organs: the Steering Committee and the AfDB Board of Directors. For purposes of Programme Coordination, the CDSF Coordination Unit will liaise with the ClimDev-Africa Secretariat. The CDSF governance structure is illustrated in Annex 1.

#### **2.2 The ClimDev Programme Steering Committee**

2.2.1. In accordance with the Instrument establishing the CDSF, a governing council will be responsible for determining the general policy direction of and exercising technical and financial oversight over the CDSF. The ClimDev Programme Steering Committee (hereinafter, the "Steering Committee") shall assume the role of the Governing Council for the CDSF. The Terms of Reference of the Steering Committee, which include its membership, responsibilities and Rules of Procedure, are provided in Annex 2.

#### **2.3 The AfDB Board of Directors**

2.3.1 Consistent with the Bank's fiduciary obligations as trustee of the Fund, the Board of Directors of the Bank is primarily responsible for the general operations of the Fund, in accordance with the Bank's rules, regulations and procedures. In this regard, the Board will serve as the decision-making organ for operational matters without limitation, including:

1. Approval of the annual work plan and budget of the Fund based on the policy direction provided by the CDSC;
2. Adoption of the Operational Procedures of the Fund, following endorsement by the CDSC;
3. Approval of financing and other assistance to be provided from the resources of the Fund;
4. Approval of the Annual Report of the Fund; and
5. Interpretation of the provisions of the CDSF Instrument, and together with the CDSC, agreeing to amendments or additions to the Instrument.

#### **2.4 CDSF Coordination Unit**

2.4.1 The CDSF Coordination Unit (hereinafter, the "Coordination Unit") will be established within AfDB's Department of Agriculture and Agro-Industry (OSAN)

under the supervision of its Director. The Coordination Unit will manage operations of the CDSF (including project processing, implementation monitoring and reporting). The Coordination Unit will also actively participate and support the efforts of the Climate Change and Desertification Unit (CCDU) of the AUC in resource mobilisation for the CDSF. The Coordination Unit will be managed by a Coordinator who will be assisted by professional and administrative staff.

2.4.2 The initial staffing requirements of the Coordination Unit are:

- 1 Coordinator
- 1 Climate Change specialist
- 1 Financial Management Expert
- 3 Operations officers (task managers) with relevant sector and project management experience
- 1 Operations assistant
- 2 Support staff

2.4.3 **The Coordinator:** The Bank, in consultation with the Steering Committee shall appoint a person to serve as Coordinator of the CDSF. The Coordinator will work under the strategic direction of the Steering Committee as regards the overall policy direction, objectives and programme priorities for the CDSF, and will liaise with the ClimDev Secretariat for coordination of the Programme. Administratively, and within the AfDB structure, the Coordinator will report to the Director of OSAN, (i) in respect of the administrative and programmatic operations of the CDSF in accordance with the Strategies, Work plans, Budgets, and Operational Procedures agreed by the Steering Committee, and (ii) for managing the use of resources in accordance with Bank rules and procedures.

2.4.4 **The Staff of the CDSF:** In accordance with the provisions of the Instrument, activities of the Fund will be carried out by staff recruited specifically for the Fund. In addition, AfDB staff will be assigned to the Fund for a defined period when necessary, at the discretion of the Bank. The Bank will be guided in this regard by the needs of the Fund, both projected and actual. The staff assigned to the Fund by the Bank will function within the same framework applicable to Bank staff, including the grades. The Bank will extend to CDSF staff all the privileges provided to its own staff. The Delegation of Authority applicable in the Bank will also be applicable for the Fund. The human resource requirements of CDSF shall be met from the resources of the Fund. Recruitment of such staff will be carried out using the applicable Bank rules and procedures. They may be supplemented through technical assistance, secondments, short-term consultancies and short-term staff. The decision to use the resources of the Fund to recruit staff will be based on the cost of implementation of the approved operational programme.

## 2.5 The Commission of the African Union

2.5.1 The Climate Change and Desertification Unit (CCDU) of the AUC is responsible for providing political leadership for the ClimDev-Africa Programme, coordinating continental policy response and ensuring buy-in from African governments, as well as leading the resource mobilising efforts for the Program. Furthermore CCDU shall support the Coordination Unit in identifying, processing

and supervising projects in areas where they hold expertise and a comparative advantage.

## **2.6 The United Nations Economic Commission for Africa**

2.6.1 The Africa Climate Policy Centre (ACPC) of UNECA shall support the Coordination Unit in identifying, processing and supervising projects in areas where they hold expertise and a comparative advantage. Furthermore, as the ClimDev–Africa Secretariat, ACPC will liaise with the Coordination Unit on administrative matters including:

- coordination and consolidation of work plans, budgets, log-frames and reports;
- assisting resource mobilisation efforts and generating demand from potential recipients, drawn from its policy work and as part of the Programme’s communication and outreach activities, including the annual ClimDev-Africa Conference; and
- maintaining a list of experts who may be included in Technical Advisory Panels for ClimDev-Africa.

## **3. Administrative Arrangements**

### **3.1 Administration**

3.1.1 As trustee of the Fund, the AfDB will, pursuant to the Instrument, administer and manage the resources of the Fund using its organisation, services, facilities, officers, staff, and other experts and consultants in accordance with its rules, regulations, procedures and policy guidelines. The Coordinator of the CDSF will be responsible for conducting the operations of the ClimDev-Africa Special Fund in accordance with the provisions set out in the Instrument, the Framework Document, the directives of the Board and the President, and these Operations Procedures. However, the resources and accounts of the CDSF will be kept separate and apart from the ordinary resources of the Bank and all other assets and accounts administered by the Bank. The cost of administering the CDSF will be met from the contributions to the Fund. The Instrument establishing the CDSF shall be effective for a period of 12 years, which period may be extended or shortened in accordance with Section 6.7(a) of the Instrument.

3.1.2 Bank Group experts in all the Bank complexes (operations, finance, procurement, legal, and administration) will assist and facilitate the work of the CDSF, its Coordinator and staff to undertake their activities and provide them with appropriate support. The Bank staff will assist the Fund in the processing of legal and procurement issues considering the special circumstances of the Fund’s activities to be fast-tracked without compromising on quality and fiduciary requirements. The Fund will also make good use of field offices and will synergize with operations staff in countries where the Bank has on-going or planned activities in the climate change sector. The cost of missions undertaken by Bank staff for specific activities of the CDSF will be supported by the Fund within the agreed annual budget. Similarly, the direct expenses incurred by the Programme partners ACPC and CCDU in supporting CDSF project cycle activities such as appraisal and supervision missions, shall be borne by CDSF. In

case the volume of the work of the Fund increases significantly and impacts heavily on Bank staff, Management will make appropriate proposals to the Steering Committee and the Board of Directors.

- 3.1.3 To meet the costs and expenses of administering the CDSF, the Bank will charge an administrative fee in a minimum amount of five percent (5%) of the resources held by the Fund. The Bank will keep an account of the direct costs and indirect costs incurred in its administration of the Fund.

## **3.2 Budgeting**

- 3.2.1. **Budget Directives:** Annual budgeting for the Fund's operations is part of the planning and management of the Fund. A six-monthly budget analysis will be used as an expenditure control mechanism. The Fund will have a separate cost centre, managed by the Coordinator, who is responsible for the preparation of the annual budget of the Fund in accordance with the provisions of the Instrument.
- 3.2.2. **Budget Preparation process:** In consultation with the ClimDev-Africa Secretariat, the Coordinator of the Fund prepares an annual budget that includes planned project operations as well as an administrative budget that covers recurrent and capital expenses related to the management of the Fund, including staffing costs. In accordance with AfDB's budgeting cycle and directives on eligible items for inclusion in an administrative budget, the preparation of the budget will be guided by efficient and effective utilisation of human and material resource.
- 3.2.3. The budget proposals constitute a part of the annual work plan and shall be submitted to the Steering Committee for approval prior to its submission for approval by the AfDB's Board of Directors.
- 3.2.4. **Budget Management and Control:** The Coordinator of the Fund is responsible for managing the budget to ensure that it will cover the activities that have been programmed and that expenses remain within the provisions made. The budgetary control mechanism is integral to the internal control of the Bank, which is structured in such a way that expenses on a particular cost centre are approved and incurred only to the extent of the relevant budgetary appropriation.

## **3.3 Accounting and Financial Controls**

- 3.3.1 In accordance with the Bank's procedures and section 2.1 the Instrument, a separate account for the resources of the Fund will be maintained.
- 3.3.2 The Bank will present to the Steering Committee and the Board, an Annual Report on the activities of the CDSF in accordance with Section 2.7 of the Instrument. An annual audited financial statement shall be prepared and approved by the Board of Directors.
- 3.3.3 The financial statements and accounts of the CDSF shall be denominated in Euros.

## **PART C: OPERATIONS**

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### **4. Principal activities**

#### **4.1 Areas of intervention**

- 4.1.1. The Steering Committee will, in accordance with its mandate as defined in the Instrument, determine the strategic direction of the Fund. The CDSF has been established with the goal of contributing to sustainable development and poverty reduction by implementing climate-resilient development programs, in particular programs that generate and/or mainstream climate change information for development at all levels in Africa. It aims for local, national and sub-regional bodies to implement effective, climate sensitive policies and practices.
- 4.1.2. CDSF will be guided by the ClimDev-Africa Framework Programme Document and the Fund's impact will be assessed through the results of the interventions supported by CDSF in line with a Logical Framework for CDSF provided in the annual work plan. The Logical Framework will identify outcomes, outputs, associated indicators and milestones for the CDSF. The Logical Framework will be produced alongside the first annual plan, and the Steering Committee, in consultation with CDSF, shall annually review the areas of intervention and the Logical Framework and update as required.
- 4.1.3. The resources of the CSDF will be primarily devoted to supporting and financing activities under the following areas of intervention:
- i. Generation, wide dissemination and use of reliable and high quality climate information for development in Africa;
  - ii. Capacity enhancement of policy makers and policy support institutions through the generation of quality analysis and evidence on climate change and its implications for Africa, for use in development planning and actions; and
  - iii. Implementation of pilot adaptation practices that demonstrate the value of mainstreaming climate information in development planning and practices, for subsequent awareness raising and advocacy to inform decision-making.
- 4.1.4. Each of these areas of intervention covers a broad range of activities as described below.

#### **4.2 Generation, Wide Dissemination and Use of Reliable and High Quality Climate Information for development in Africa**

- 4.2.1. This component aims to ensure that reliable, useful and useable climate-related data are generated and made widely available to policy makers, policy support organizations and the population at large in the continent.
- 4.2.2. Indicative activities that could be funded under this component include:
- i. More effective data collection, communication and use of existing climate observation information and services;
  - ii. Upgrading of observation networks and infrastructure in order to enhance the provision of essential data for climate services;

- iii. Capacity building to collect and manage climate and hydrological data;
  - iv. Development of early warning systems and short term and seasonal forecasts, including integrating indigenous knowledge systems where relevant;
  - v. Development of long-term continental, sub-regional and further downscaled climate projections and scenarios in forms that can be used in development planning;
  - vi. Strengthening of North-South collaboration for exchange of climate change data; and
  - vii. Appropriate packaging and dissemination of climate information for all climate-sensitive sectors and users.
- 4.2.3. Efforts shall be made to support the provision of information that addresses the gendered dimensions of climate change.
- 4.2.4. The main beneficiaries of this area of intervention include but are not limited to African users of climate services at local, national and regional levels. Activities are likely to include work with, climate, weather and water organizations, universities, research institutions and other providers and user groups.

### **4.3 Capacity enhancement of policy makers and policy support institutions through the generation of quality analysis and evidence on climate change and its implications for Africa, for use in development planning and actions**

- 4.3.1. This area of intervention aims to ensure that climate change analysis and evidence is made available in a form that can be mainstreamed and used in development plans and actions on the continent.
- 4.3.2. Indicative activities that could be funded under this component include:
- i. Development of knowledge management systems for shared information, knowledge, experience and best practices;
  - ii. Identification and analyses of risks and potential impacts of climate change, and the climate vulnerability of African development and poverty reduction;
  - iii. Economic and cost-benefit assessments of policies and practices to build resilience and adaptation to climate;
  - iv. Development of decision-support tools for policy making to determine the most effective practices to build resilience and adapt in Africa;
  - v. Development and compilation of best practices to build resilience and adapt to climate change at regional, national and local levels; and
  - vi. Capacity building and knowledge support to policy makers and African negotiators.
- 4.3.3. The main beneficiaries of this component shall include, but not be limited to: African countries and their policy makers; policy support organizations such as, for example, the Regional Economic Communities (RECs) and River Basin Organizations (RBO); climate, weather and water organizations; universities; and research institutes. Other beneficiaries may include the Civil Society Organizations (CSOs), the Non-Governmental Organizations (NGOs), vulnerable communities and population groups.

#### **4.4 Implementation of pilot adaptation practices that demonstrate the value of mainstreaming climate information in development planning and practices, for subsequent awareness raising and advocacy to inform decision-making**

- 4.4.1. While coping with climate change is not new in many African communities, continued climate change, and the increased frequency and magnitude of extreme events could render current coping capacities and practices inadequate. Many countries and communities are increasingly requesting support to effectively design and implement projects and programs that will enable them adapt to both short-term climate variability and long-term climate change. This component will promote best practices that build resilience and help adaptation to climate change so as to provide lessons to African countries and communities.
- 4.4.2. Indicative activities that could be supported under this component include:
- i. Mainstreaming climate variability and change into sectoral planning and practice, e.g. water resources, agriculture, health, urbanisation and infrastructure;
  - ii. Increasing capacity for African countries to use appropriate Climate Risk Management and Adaptation (CRMA) to ensure that development projects at risk take account climate change;
  - iii. Implementing pilot practices that build climate resilience and climate change adaptation, e.g. in water resources, agriculture, health, urbanisation, infrastructure and at community level; and
  - iv. Training, outreach and awareness-raising to increase the use of climate resilient and adaptation best practice at various levels.

## **5. Project financing and cost sharing**

### **5.1 Financing**

- 5.1.1. In line with the Framework Document, for the establishment of the CDSF, a floor of €250,000 and a ceiling of €10 million can be applied for financing from the CDSF. However, subject to availability of funds, and based on the strategic direction provided by the Steering Committee, the Fund may occasionally submit for approval to the Board of Directors, requests for financing for amounts outside of this window.
- 5.1.2. Financing out of the resources of the CDSF shall be denominated and disbursed in Euro. Any reimbursements or related charges, where applicable, shall be made in the currency of disbursement.

### **5.2 Cost Sharing**

- 5.2.1. In considering applications for financing from the resources of the CDSF, the Bank shall give due regard to the relevant self-help measures being taken by the recipient and, where the recipient is not a member country of the Bank, by both the recipient and the member country or countries intended to benefit from the proposed financing.
- 5.2.2. To enhance ownership, beneficiary governments, communities, and/or other beneficiary entities will be invited to share project implementation costs in an amount of up to five percent (5%) of the project costs. The nature and timing of the

beneficiary contribution may vary and depend on the specific circumstances. It could be provided in cash or in kind such as through human resources or materials or both. The nature of beneficiary contribution shall be negotiated during project appraisal and shall be specified in the financing agreement. In financing its operational activities, the CDSF will only support activities for which the ownership by the beneficiaries and their participation can be clearly demonstrated and established. The Fund will base its decisions on the need for harmonization and alignment with established practice in the country. Therefore, cost-sharing arrangements shall be in accordance with the practice agreed upon between the country and the stakeholders and partners.

### **5.3 Financing Instruments and Terms**

- 5.3.1. Financing from CDSF resources will be provided to eligible recipients for eligible projects, in accordance with Section 6 below, in the form of non-reimbursable grants.

### **5.4 Expanding and Leveraging the Resources of the CDSF**

- 5.4.1. The currently pledged resources are insufficient to implement the full objectives of the CDSF, so it is important to continually seek support from RMCs and the international community to replenish the CDSF. The Coordination Unit will take the lead, working with the AUC, UNECA and relevant Bank units, in organizing pledging meetings to replenish the CDSF as necessary.
- 5.4.2. The CDSF will also catalyse the use of other resources made available by the international donor community to address the challenges of climate change in Africa, including funds identified under the United Nations Framework Convention on Climate Change (UNFCCC).

## **6. Eligibility**

### **6.1 Recipient Eligibility**

- 6.1.1. African Countries or any dedicated organizations, institutions, agencies and other undertakings in the territory of these countries shall be eligible to receive financing or other assistance from the resources of the CDSF.
- 6.1.2. **NGO, CSO and CBO Eligibility:** To be eligible, these organizations should meet each of the following criteria demonstrating their credibility and track record in the CDSF areas of intervention, either in the country or in the sub-region.
- i. Be a non-governmental organization committed to the continent's or national development priorities;
  - ii. Be Africa-based or provide evidence of partnership with African institutions, and show that the proposed activities will be implemented in Africa;
  - iii. Provide evidence of currently valid legal registration under the laws of the African country in which it is operating, as well as evidence of a certificate to carry out business in the country in which it intends to carry out the relevant activity, if different from the place of legal registration;



- iv. Have appropriate organizational and management capacity, including a governing board;
- v. Show the existence of a sound financial system- including clear accounting and budgeting standards, financial statements, a transparent budgeting process, audited accounts and other indicators that confirm their capacity to assume fiduciary responsibility for CDSF;
- vi. Provide evidence of competence, based on past performance, to carry out proposed activities; and
- vii. Demonstrate credibility, knowledge of local values, networks and structures required to carry out the indicated activities.

## **6.2 Project Eligibility**

6.2.1. To be eligible for financing under the CDSF, proposed activities and projects must fall into one or more of the areas of intervention specified in sections 4.2, 4.3, and 4.4 of these operational procedures, and any other steering documents approved by the Steering Committee.

6.2.2. A project must meet the following criteria in order to be eligible for CDSF financing or assistance:

- i. Consistency with the objectives of the CDSF and ClimDev-Africa, with priority given to regional projects (that benefit more than one country) to encourage data-collection and analysis, capacity building, co-operation, and coherence at the regional level;
- ii. Demonstrate that it supports and does not duplicate other activities already underway through other vehicles;
- iii. Demonstrate positive impact (direct or indirect) on the livelihood of stakeholders (particularly, the poor, women and vulnerable communities and population groups) and on the environment;
- iv. Demonstrate how lesson-learning and knowledge on climate change will be shared between organizations and states, and reach end users;
- v. Specify data and information generated by the project will be publicly available;
- vi. Demonstrate how the project contributes to Africa's climate change and development needs, and is consistent with regional and national priorities, such as priorities set out in country development plans and programmes;
- vii. Alternative development interventions or approaches being considered; and
- viii. Have clear expected outcomes and targets measured by tangible performance indicators.

6.2.3. Additionally, in assessing a request for financing, due consideration will be given to the following:

- i) Political commitment of the country or region with respect to appropriate prioritization of climate change within the PRSP or other Development Programme of the country;
- ii) Relevant self-help measures being taken by the recipient, such as ownership and commitment through active participation in the activities proposed for funding;

- iii) The extent to which effectiveness and sustainability of the proposed project activities has been demonstrated, such as adequate operations and maintenance of investments and continued budgetary support for functions or activities that will extend beyond the duration of the project;
- iv) Environmental and social impact assessment to ensure sustainability; and
- v) The extent of beneficiary contribution, weighted by their resources/capacity.

6.2.4. The weighting of these criteria and how they apply to the various beneficiary groups is described in the Proposal Score Sheet provided in Annex 4.

## **7. Programming and Operations Process**

### **7.1 General Principles**

- 7.1.1. As an implementation arrangement that ensures clear accountability and operational efficiency, the Coordination Unit will lead all project cycle activities, supported by the ACPC and the CCDU in the areas where they have comparative advantage such as public policy analyses and advocacy respectively.
- 7.1.2. The Bank's practices and guidelines on programming and operations would, in principle, be applied to the CDSF. Nevertheless, these shall take into consideration the demand-driven nature of the Fund and be simplified where possible to allow for rapid implementation of the activities financed by the Fund.
- 7.1.3. The operational programming shall be done as part of the annual work plan on the basis of projects included in the pipeline. As the CDSF is a demand-driven instrument, plans for new projects that will be selected and approved during a certain year will be indicative.
- 7.1.4. The operations of the Fund will be undertaken in accordance with Results-Based Management (RBM), where expected results form the basis for project/programme identification, appraisal and reporting. This approach will focus the activities financed by the Fund on results, and allow appropriate feedback to improve performance by comparing and analyzing actual results against planned results through regular monitoring and evaluation, reporting and making the necessary adjustments to programmes.
- 7.1.5. CDSF-funded activities shall complement, but not duplicate, activities funded by other programmes and initiatives as well as activities undertaken by the Clim-Dev Programme components ACPC and CCDU. CDSF project funding will be guided by results emerging from these Programme components, and in turn, results of CDSF projects are expected to inform the ACPC and CCDU work programmes.

### **7.2 Project Identification**

- 7.2.1. **Sources of Projects:** CDSF is a demand driven instrument and its pipeline of projects may be built in a number of ways. Initially, two methods will be applied:

- (i) Eligible responses to regular competitive call for proposals; and
  - (ii) Proposals submitted directly by eligible recipients that address gaps and needs as identified by the Coordination Unit and the results of the ACPC and CCDU work programmes. Such proposals might emerge from dialogue with the stakeholders of the Fund. The proposals shall be submitted by eligible recipients using the same formats as for the competitive calls, and be assessed in line with the selection and approval process described in these procedures. The proposals may either be included and assessed with the nearest batch of projects emanating from a call for proposals, or if a directly submitted proposal enters out of synch with the call for proposals timeframes, the proposal may be assessed separately.
- 7.2.2. **Call for Proposals cycle:** At regular intervals and based on the availability of resources, the CDSF will issue competitive calls for proposals in accordance with the strategic direction provided by the Steering Committee.
- 7.2.3. Proposals submitted shall be the responsibility of the applicant and shall be in accordance with the format and guidance notes issued by the CDSF (see Annex 3). Proposal templates may be revised by the CDSF in consultation with the ClimDev Secretariat.
- 7.2.4. Project proposals will be received by the CDSF. Under the guidance of the Coordinator, a joint initial review team consisting of the Coordination Unit, ACPC and CCDU will carry out an initial screening of the submissions to assess completeness of the submission and eligibility of the recipient. Non-compliant proposals are returned to proponents with comments and could be resubmitted at subsequent calls if relevant amendments or completions are made.
- 7.2.5. Review and subsequent shortlisting of the remaining proposals will be carried out under the guidance of the Coordinator by an expanded joint review team, including representatives of the Coordination Unit, ACPC and CCDU. They may be assisted by members of the Technical Assistance Panel if additional external expertise is required.
- 7.2.6. The joint team will review each proposal for compliance with the eligibility criteria defined in Section 6.2 of these Operational Procedures. The proposals shall be further assessed in accordance with the scoring guide (see Annex 4). In preparing the shortlist, consideration should be taken to promote a balanced use of resources between countries and regions. Issues of concern arising from the review should be noted and submitted along with the short list.
- 7.2.7. The Coordination Unit shall submit the tentative prioritised shortlisted proposals for endorsement by the ClimDev Joint Secretariat Working Group (JSWG).
- 7.2.8. Proposals that are endorsed and cleared by the JSWG will be sent to CDSF for due diligence, appraisal and approval in accordance with Bank policy and procedures. Unsuccessful proposals are returned to proponents for further refinement and could be resubmitted at subsequent calls.
- 7.2.9. The Coordination Unit shall provide the short list of endorsed proposals to the next available meeting of the ClimDev Steering Committee for its strategic review. This

includes how the proposal and project portfolio as a whole contributes towards progress in achieving CDSF outputs and associated indicators. The Steering Committee may advise on future changes in the balance and type of projects.

### 7.3 Project Preparation

- 7.3.1 Following shortlisting, the Coordination Unit will assess the completeness, quality and complexity of each proposal. The Coordinator will determine whether the appraisal of the proposed project may commence. Should additional information or clarification be needed before the formal appraisal may begin, CDSF will take appropriate measures to prepare the proposal for appraisal, and appraisal will be conducted only when all the relevant information has been provided and presented in a satisfactory manner.

### 7.4 Project Appraisal and Review

- 7.4.1 Project appraisal is essential to ensuring quality-at-entry and ensuring the quality of the framework for project implementation and results monitoring. Appraisal is defined as the critical assessment of the relevance, feasibility and potential effectiveness of a project before decision is made by the designated approval authority. The level of detail required will be appropriate to the scale and complexity of the proposal.
- 7.4.2 **Appraisal method:** Proposals shall be appraised by the Coordination Unit, in collaboration with, and drawing on the expertise available within the Programme (ACPC, CCDU, Bank staff and consultants) as appropriate to ensure a comprehensive assessment. Projects will require field or desk appraisal depending on each project's level of complexity, as well as the quality and comprehensive nature of the proposal. More specifically, projects may require full field appraisal if: i) the proposal is the Bank's first working relationship with the country, prospective recipient or sponsor in the climate change sector; ii) implementation would involve a multi-stakeholder process; iii) information provided for the appraisal reports after requests to the recipient requires further investigation or confirmation; iv) procurement and disbursement arrangements require more clarification; or v) the requested funding is more than € 5 million. Projects, which do not fall into the above category, would generally be desk-appraised, unless there are other unforeseen circumstances, which would necessitate field appraisal.
- 7.4.3 **Desk Appraisal:** All project proposals will first require desk appraisal against the CDSF areas of intervention, criteria for funding and the specific project objectives. This will be partly guided by the comments emanating from the shortlisting. Project proposals whose desk appraisal identifies areas or issues that need further investigation or confirmation with applicants and CDSF stakeholders may be subjected to a country-based appraisal.
- 7.4.4 **Field Appraisal:** For those project proposals where desk appraisal identifies areas or issues that need further investigation on the ground, the Coordination Unit will organise country appraisal missions. The objective of the field appraisal missions is to seek additional information from applicants in order to complete the project appraisal. Field appraisals will also put emphasis on project contribution to

regional, national and local strategies and development plans (e.g. NAPAs), partnerships between institutions, as well as issues arising from the desk appraisal.

**7.4.5 Appraisal Reports:** Appraisals will be documented in accordance with the AfDB formats (see Annex 5) and the reports shall inform decision making by the approving authority. Appraisal reports will include but not be limited to the following:

- i) Objectives and anticipated results and impact, including indicators and benchmarks to assess impacts. This includes the extent that the proposed project would contribute towards the outputs and associated indicators of the CDSF;
- ii) Description of the project's components;
- iii) The cost of the project's components;
- iv) Economic and financial feasibility (where relevant);
- v) Implementation schedule of the project and its individual components;
- vi) The procurement modes and the schedule of procurement actions;
- vii) Schedule of disbursement actions, including source of funds additional to the grant;
- viii) Assessment of fiduciary control environment and funds flow arrangements;
- ix) Provision for accounting for project finances, including reporting and auditing;
- x) Contributions of the recipient, beneficiaries and other potential co-financiers;
- xi) Environmental and Social Impact;
- xii) Gender Sensitivity;
- xiii) Risk management;
- xiv) Reference/performance of the implementation agencies.

**7.4.6 Internal Working Group Review:** The Project Appraisal Report (PAR) will be subjected to an internal review by the staff of the Coordination Unit and the Agriculture and Agro-Industry Department (OSAN) that will allow the Coordinator to validate the PAR before submitting it for review outside the Coordination Unit.

**7.4.7 Extended Review:** The Project Appraisal Report will be subjected to an enhanced peer review by Bank experts with relevant skills mix to ensure the quality and accuracy of the technical content of the report. Reviewers will include experts from Quality control (ORQR), Procurement and Fiduciary Services (ORPF), Financial Control (FFCO), Legal (GECL), Partnership (ORRU), and the relevant Sector and Regional Departments. The review also extends outside the Bank to include ACPC and CCDU, and when deemed necessary members of the Technical Advisory Panel.

**7.4.8** The Coordinator will maintain a list of all projects submitted to the Fund for consideration (pipeline of projects) indicating the status of each. This should include: i) date of submission; ii) name of the applicant; iii) country; iv) title of the proposal; v) amount of requested grant; vi) planned dates of completion of project concept, appraisal, approval; and, vii) expected outputs upon project completion.

## **7.5 Approval**

**7.5.1** CDSF is designed to be a demand-driven, quick access, and quick disbursing

Fund, taking into account however the size and complexity of proposals. The approval of projects should be expeditious and client responsive. In the interest of ensuring a fast track process for the review, approval and implementation of operations financed with the resources of the CDSF, the Board of Directors will delegate to Management the authority to approve grants up to a specified amount. Management will regularly report to the Board, approvals that have been made through this delegation. All the approvals will be subject to reporting and accountability as outlined in “Part D” of the present document.

**7.5.2 Approval Responsibility:** Project grants shall be approved in accordance with the levels set out in the table below. The Board of Directors may request that any proposal be submitted for its consideration.

<b>Grant amount</b>	<b>Approving authority</b>
£€ 250, 000 < € 500, 000	OSAN Director
€ 500, 001 < €1, 000, 000	Vice president (OSVP)
€1, 000, 001 < €2, 000, 000	President
€2, 000, 001 < €10, 000, 000	Board of Directors on Lapse-of-time basis
>€10, 000, 001	Board of Directors Meeting

**7.5.3 Non-Approval of projects:** Should a project not pass the appraisal or approval stages, because (i) the project appraisal concluded that the project may not be funded due to specific issues including the relevance, feasibility or potential effectiveness of the project, or (ii) the AfDB approval authority is unable to approve the project on specific grounds, CDSF shall communicate the reason for such a conclusion to the Joint Secretariat Working Group, to allow for appropriate consideration and action.

## **7.6 Processing time frames summary**

**7.6.1** The estimated time for the proposal review and approval process is up to 35 weeks (see tables below and Annex 6). This is based on a call for proposal modality, and assumes that proposals received are complete and do not require preparation before appraisal may begin. The timeframes involved depend on the size and complexity of the project, as this determines appraisal method and approval threshold.

<b>After Receipt of proposals:</b>	<b>Weeks</b>
Screening	3
Shortlisting	3
Endorsement of shortlist by JSWG	2
Project appraisal	4-16
Internal Working Group Review	2
Extended Review	2

Approval by relevant authority	2-7
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## 7.7 Grant Agreement, Effectiveness and First Disbursement

- 7.7.1 **Grant Agreement:** The AfDB legal department (GECL) will prepare the standard Bank Grant Agreement document to be signed by the relevant authority designated by the Bank’s Management and the Recipient. The Grant Agreement will state the purpose of the CDSF grant, the total funds committed to the Recipient, the agreed Procurement and Disbursement arrangements, and the terms and conditions governing the grant to be adhered to by the CDSF and the Recipient.
- 7.7.2 The deadline for signing the Agreement shall be 90 days from the date of approval, failing which the grant may be cancelled. The CDSF staff will assist successful proponents with the preparation process for grant signature.
- 7.7.3 **Grant Effectiveness:** The financing agreement must be declared effective before CDSF may make any disbursement of funds to the recipient. The Bank may declare the agreement effective immediately upon its signature. If there are “conditions precedent to effectiveness”, compliance shall be monitored by the Coordinator and effectiveness declared only when these conditions have been satisfied.
- 7.7.4 **The first disbursement** for the approved grant shall be made within 90 days from the date the Agreement was declared effective failing which the grant may be cancelled.

## 7.8 Monitoring and Evaluation and Supervision of Project Implementation

- 7.8.1 An important activity of the management and staff of the CDSF and the Bank is the administration, monitoring and supervision of the implementation of activities financed with the resources of the Fund. In this regard, there will be a monitoring and evaluation system in all activities to collect relevant information during project execution. The monitoring and evaluation system will be designed to facilitate access to information about the results and progress of activities as well as an evaluation of the procurement process in terms of achieving intended economy and efficiency. Project monitoring and evaluation will essentially assess the achievement of anticipated results, which will feed into the results-based management reporting and feedback process.
- 7.8.2 The Coordination Unit will supervise the activities financed by the Fund, drawing on the expertise available within the Programme to ensure a relevant skills mix. Desk-based supervision will be complemented by supervision missions to the Recipient’s country and project country or countries. Desk-based supervision, mainly carried out at the Bank headquarters, shall include the monitoring of the fulfilment of the relevant terms and conditions by the Recipient, the review of the Project Reports prepared by the Recipient, Procurement and Disbursement Supervision, implementation of measures taken to solve the project’s difficulties

and follow up files.

- 7.8.3 Supervision missions in the field, aimed to solve specific implementation problems and to get information directly on project site, shall be undertaken when deemed necessary and upon approval by the CDSF Coordinator. The Recipient is required to report regularly on the physical and financial status of implementation of the activities financed under the CDSF. The Task Managers for the various projects managed by the CDSF will provide the status of implementation of all active projects for inclusion in the Fund's regular reporting. The reports must give a description of each activity and results attained in terms of meeting implementation schedules, status of execution of contracts, physical outputs and attainment of objectives.
- 7.8.4 A number of appropriate indicators, including indicators for project execution, will be considered in assessing progress achieved by projects towards the CDSF goals and objectives, as stated in the CDSF Logical Framework Matrix included in the annual work plan.
- 7.8.5 As deemed appropriate, CDSF may outsource some aspects of project processing or portfolio supervision and monitoring to a Project Management Agent under a service contract.

## **7.9 Project Completion Report and Closure**

- 7.9.1 **Project Completion Report:** The objective of the completion report is to examine the project's performance and achievements in view of the implementation plans and primary objectives, outcomes and outputs set during the appraisal. Lessons distilled from these reports will inform and guide future operations of the CDSF. Within two (2) months of completion of a project, the Recipient will submit a project completion report ("PCR"), using the AfDB format (see Annex 8) and covering the implementation of all project activities. The report must clearly state the outcomes and outputs in relation to the objectives and performance indicators. The Coordination Unit will be responsible for reviews, and where necessary, to supplement PCRs drawing from monitoring missions, mid-term reviews and final project evaluations. The process will be supported by ACPC and CCDU to ensure lessons learned cover not only the Fund but may also be applied to the broader ClimDev-Africa Programme. PCRs will be shared with the ClimDev Steering Committee for information. Consolidated information and analysis on lessons learned from projects and the project portfolio as a whole will be reported to the Steering Committee for its consideration as part of the Fund's regular reporting.
- 7.9.2 **Project closure** shall be pursued by the Coordination Unit, supported by the relevant Bank departments based on the PCR and the ex-post audits and verification of fiduciary compliance. The step-wise project closure activities shall be carried out using the Bank's checklist.

## **7.10 Procurement**

- 7.10.1 Procurement of goods, works and services using the resources of the CDSF shall



be carried out in accordance with the Rules of the Bank as specified in the rules and procedures on procurement. Procurement of goods and services under the Fund should use modalities that fast track the procurement process by recipients, while satisfying the fiduciary requirements of the Recipients, the Fund and the Bank.

**7.10.2 Principles:** The modes of procurement of goods and services under the Fund shall essentially be governed by:

- the Rules of Procurement of the AfDB applicable to procurement for projects financed by CDSF, as defined in the Bank's "Rules and Procedures for Procurement of Goods and Works" and "Rules and Procedures for the Use of Consultants." Where they exist, national and international organisation procurement procedures may be used when they respond to international standards and are found consistent with the underlying principles of the Bank's procurement policies. The procedures proposed shall be outlined in the Appraisal Report and the Grant Agreement; and
- the rules and procedures applicable to procurements managed by the Fund itself as defined in the Bank's procedures for procurement funded by the Bank's administrative and capital budgets.

**7.10.3 Procurement Modes and Review Modalities:** The procurement mode should be transparent, and allow adequate competition between contractors, suppliers or consultants and facilitate Recipient control in their selection, as well as in the use of funds. Procurement modes shall be determined considering the Fund's objective to provide flexible and rapid response to clients, as well as economy, efficiency and recipient capacity to manage the procurement process. These considerations will also apply in determining appropriate ex-ante and post procurement review mechanisms.

**7.10.4 Procurement Plan:** As part of the preparation of the project, and before negotiating the Grant Agreement, the applicant shall prepare and furnish to the CDSF for its approval a Procurement Plan setting forth: (a) the particular contracts for goods, works and/or services required to carry out the project, (b) the proposed methods for procurement of such contracts that are permitted under the Grant Agreement, and (c) the related CDSF review procedures. The Recipient shall update the Procurement Plan in line with its regular project reporting, or as needed, throughout the duration of the project. The Recipient shall implement the Procurement Plan in accordance with the Bank's grant approval. The Procurement Plan format is provided in Annex 7.

## **7.11 Disbursement Arrangements**

**7.11.1** Disbursements to projects funded by the CDSF shall be carried out in accordance with the Disbursement rules of the Bank as described in the Disbursement Handbook which currently provides for the following methods:

- i. Reimbursement to Recipients for eligible expenses already incurred and paid for by the Recipient from its own resources;
- ii. Reimbursement Guarantee where the Bank provides an irrevocable undertaking to reimburse a commercial bank for payments made or to be made to a supplier against a letter of credit;

- iii. Revolving Fund or Special Account where the Bank makes an advance disbursement from the grant account to a special account to be used exclusively for the Bank's share of eligible expenses; and
  - iv. Direct payment where the Bank, at the recipient's request, pays a designated supplier directly.
- 7.11.2 Disbursement arrangements will be tailored for each project funded under the Fund to fast track receipt of funds by recipients, while satisfying the fiduciary requirements of the Fund. The methods selected will depend on project characteristics, the categories of expenditures to be financed, and the capacity of the Recipient to manage project resources.
- 7.11.3 The disbursement arrangements will be included in the financing agreement between the Fund and the Recipient.
- 7.11.4 Disbursements will be suspended if the Recipient is in contravention of the terms and conditions of the financing agreement.

## **8. Financial Management Arrangements**

### **8.1 Ex-Ante Evaluation of the Control Environment**

- 8.1.1. The onus of ensuring that funds have been utilized in accordance with the financing agreement is partly transferred to the Recipient of the grant funds. As a result, all activities, projects and programmes financed under the CDSF will undergo a thorough financial management assessment to ensure that Recipients have adequate capacity to manage grant funds.

### **8.2 Ex-Post Evaluation of Supporting Documents**

- 8.2.1. The CDSF will require that expenditure and supporting documents' review be performed and certified annually by an external independent and qualified auditor to ensure that funds have been utilized in line with the grant agreement. The audits shall be carried out in accordance with international standards issued by the International Organisation of Supreme Audit Institutions (INTOSAI) or International Federation of Accountants (IFAC).

### **8.3 Recruitment of Auditors**

- 8.3.1. In each country or group of countries, the CDSF will recruit and retain an auditor for a term of one year renewable for not more than three years. The auditor will perform ex-post evaluation or a review of supporting documents and audit of all projects in a country or group of countries that have benefited from the Fund. Recruitment of auditors will be carried out in consultation with the Recipient and according to the Bank's rules.

## Part D: REPORTING AND ACCOUNTABILITY

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### 9. Reports

#### 9.1 General Principles

9.1.1. In general, the CDSF reports will be prepared in accordance with its Results-Based Management (RBM) reporting requirement. The reports will generally provide a brief overview of the results achieved in comparison to expected results, and explain any deviations from plans, and make inferences on the coherence of the activities with the overall strategic directions and anticipated results as outlined for the activity.

#### 9.2 Annual Work Plan

9.1.2. The Annual Work Plan provides the operational program for the Fund for each year, as well as the associated fund management and support activities, and shall include operational and administrative budgets. The Work Plan shall be prepared in consultation with the ClimDev-Africa Secretariat and shall be submitted to the Steering Committee for approval. Comments will be incorporated in a revised version that will subsequently be submitted for approval by the AfDB Board of Directors.

#### 9.3 Semi-annual and Annual Progress and Financial Reports

9.2.1. **Project Reporting:** All project Recipients will submit semi-annual and annual progress reports as per formats contained in Annex 7. Progress reports shall be submitted within (30) days of the final day of the reporting period.

9.2.2. **Fund Reporting:** The CDSF Coordinator shall prepare progress report on a regular basis on all the operations financed from resources of the Fund and the status of preparatory activities. The reports will include a brief description of the activities of the CDSF during the preceding period, and the progress towards the outcomes and associated indicators. It will also describe lessons learned from both successes and challenges encountered, based on a review of the objectives, and will specifically report on the results of projects in comparison with the outcomes, indicators and benchmarks set out in the Logical Framework.

9.2.3. The Fund report shall be based on individual project reports submitted by Recipients and shall include the following:

1. Description of each activity approved since the last progress report and the objectives;
2. Brief description of progress of ongoing activities, including the financial status;
3. Progress towards the CDSF outcomes and associated indicators;
4. Status of project audits;

5. Brief description of proposed activities still under consideration;
6. An executive summary, including progress against expected results, that can be used to increase external awareness of the Fund, its activities and achievements.

9.2.4. The Fund report shall also include a statement of assets and liabilities of the Fund, a statement of cumulative receipts and expenditures, and a statement of the use of resources of the Fund, with such explanatory notes as may be pertinent.

9.2.5. The Coordination Unit shall submit the Fund reports for endorsement and approval as follows:

- **Semi-annual** reports shall be submitted for Steering Committee endorsement within sixty (60) days of the final day of the reporting period, and comments shall be presented by the CDSC as soon as possible and within fifteen (15) days following the receipt of the report.
- **Annual** reports shall be submitted for ClimDev Steering Committee approval within sixty (60) days of the end of the year. Comments by the CDSC shall be presented within fifteen (15) days following the receipt of the reports. After comments have been incorporated as appropriate, the report shall be presented to the AfDB Board of Directors for its approval.

## **10. Accountability**

### **10.1 Audit of the Fund's Accounts and Documents**

10.1.1 In accordance with Section 2.8 of the Instrument, the Fund shall be subject to the internal and external audit procedures of the Bank, including an annual audits conducted by the external auditors of the Bank. Upon the written request of the Steering Committee, the Bank shall cause the accounts and the records of any specific activity financed with the resources of the Fund be audited by external auditors. The costs of such special audit shall be charged to the Fund.

### **10.2 Operations Effectiveness Assessment**

10.2.1 At the end of eighteen (18) months from the actual start of the CDSF's activities, an effectiveness assessment of the Fund will be conducted by an independent evaluation specialist recruited by the Bank. The targeted objective is to assess the actual progress of the Fund and the effectiveness of operations financed. The effectiveness assessment would draw lessons and provide guidance for the future operations.

### **10.3 Disclosure**

10.3.1 The operations of the Fund would be subject to the Bank's Disclosure of Information Policy. The Policy is intended to promote proper accountability for the resources entrusted to the Bank to manage. This would be done through the disclosure and dissemination of relevant documents to the general public, including governments, civil society organizations and the private sector, unless

there is a compelling reason not to do so. This approach would enhance transparency and accountability and promote public support and active participation, thereby strengthening development effectiveness. The main outlets for disseminating these documents to the public would include the Public Information Centre at the Bank, the Bank's field offices, its website and the website of the CDSF. The Fund website will be linked to that of the ClimDev-Africa Programme and those of key stakeholders.

#### **10.4 Changes to the Operational Procedures**

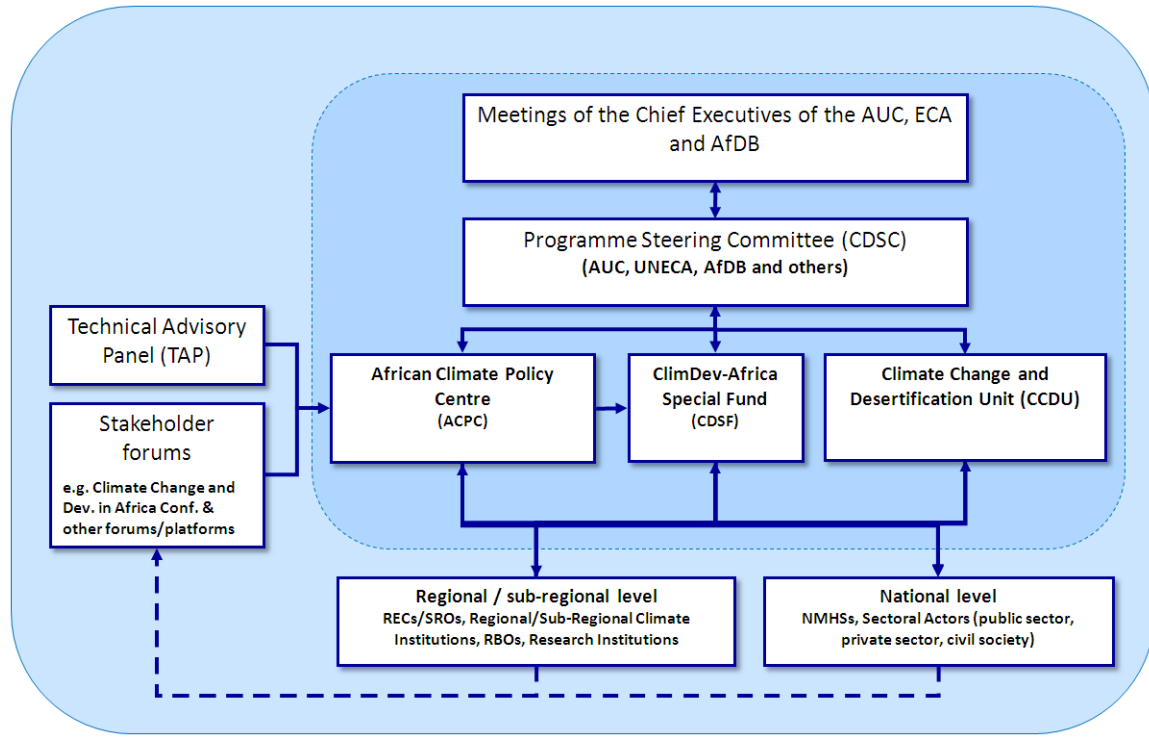
- 10.4.1 The Operational Procedures described herein may be updated or revised as and when deemed necessary and agreed by the ClimDev Programme Steering Committee and the AfDB Board of Directors. It is expected that the Procedures will be adjusted after the Operational Effectiveness Assessment described in Section 10.2 has been carried out.

## **ANNEXES**

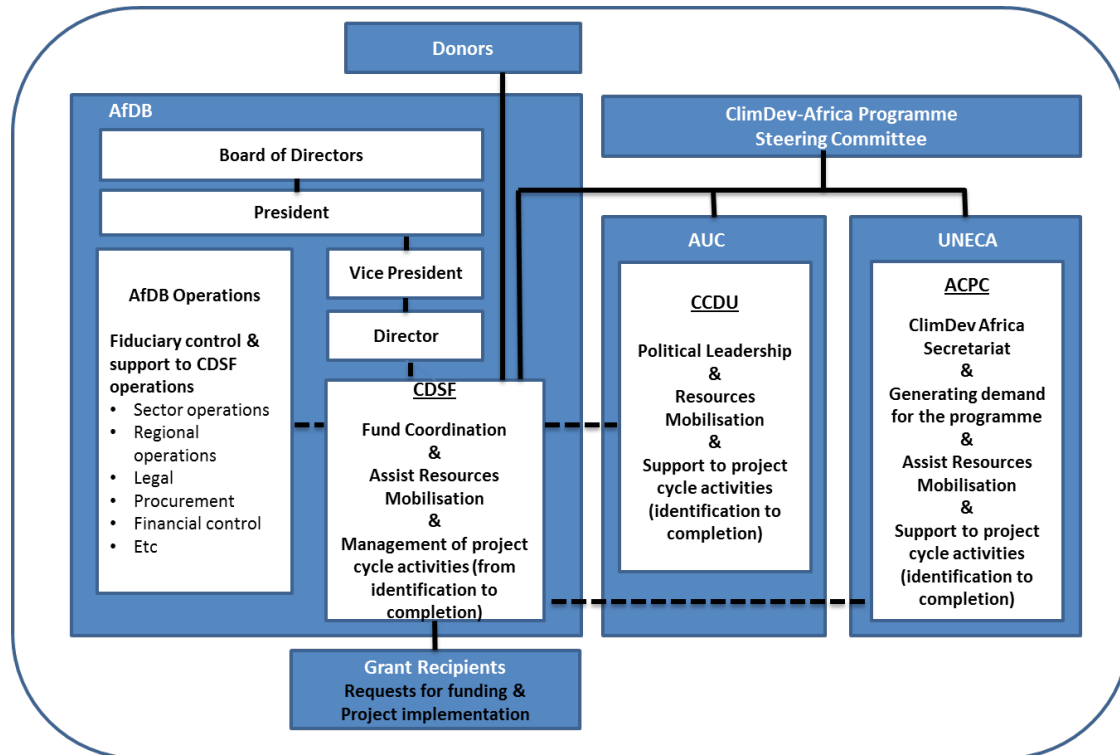
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# ANNEX 1: ClimDev-Africa Governance and Support Structure

## 1A: ClimDev-Africa Programme Structure



## 1B: ClimDev Special Fund Structure



## **ANNEX 2: ClimDev-Africa Program Steering Committee (CDSC) Terms of Reference**

*[November 2011. May be amended and updated as needed by the CDSC]*

1. As specified in the ClimDev-Africa Programme Framework Document (November 2008) the Climate for Development in African (ClimDev-Africa) Programme shall have a Programme Steering Committee (CDSC) that provides principal oversight of the ClimDev-Africa Programme.
2. The CDSC reports to the twice yearly meeting of the Chief Executives of the African Union Commission (AUC), United Nations Economic Commission for Africa (UNECA), and African Development Bank (AfDB).

### **Membership**

3. Membership of the CDSC consists of:
  - a. The ClimDev-Africa Programme Joint Secretariat Working Group (JSWG) members:
    - i. AUC (Chair)
    - ii. UNECA
    - iii. AfDB
  - b. 1 representative from the AMCEN bureau;
  - c. United Nations Environment Programme (UNEP);
  - d. United Nations Development Programme (UNDP);
  - e. Global Climate Observing System Secretariat (GCOS);
  - f. World Meteorological Organisation (WMO);
  - g. 1 Regional Economic Community (REC);
  - h. 2 ClimDev-Africa donors; and,
  - i. 2 stakeholder representatives.
4. The Coordinator of the African Climate Policy Centre (ACPC) attends CDSC meetings and acts as its Secretary (see the section on the Secretariat below).
5. The AMCEN bureau is represented by a member of the bureau as selected by the bureau.
6. RECs are represented by a single REC of their own choosing, with membership rotated each year.
7. Donors are represented by two representatives of their own choosing.



8. Two stakeholder representatives are appointed annually by the JSWG placing priority, but not exclusively, on CSO or NGO bodies that represent wider networks of CSOs and NGOs.
9. Special invitations may be made by the Chair of the CDSC inviting other organizations or individuals to attend CDSC meetings.
10. The Joint Secretariat Support Office (JSSO) attends CDSC meetings as observers.

### **Responsibilities**

11. The CDSC is responsible for oversight of the ClimDev-Africa programme, and:
  - a. sets the strategic vision and direction of the ClimDev-Africa programme;
  - b. sets priorities, objectives and milestones for the ClimDev-Africa programme;
  - c. approves:
    - i. annual work plans; and
    - ii. the ClimDev-Africa Annual Report.
  - d. provides advices and make recommendations to the ACPC, CDSF Coordination Unit and CCDU budgets to the different organs of the three institutions
  - e. contributes to advocacy and fundraising for ClimDev-Africa's programmatic activities.
12. The CDSC acts as the Governing Council to the ClimDev Special Fund (CDSF), and:
  - a. decides on relevant policies and project approval procedures for the CDSF;
  - b. contributes to advocacy and fundraising for the CDSF.

### **Meetings**

13. The CDSC meets twice a year. CDSC meetings may be held back to back with other events so long as such arrangements do not create distractions and allow the CDSC to focus on ClimDev-Africa Programme issues.
14. Prior to each CDSC meeting, the Secretariat, with input from the Chair, shall prepare and circulate an agenda and background documents at least two weeks prior to each meeting.
15. If the CDSC can not come to decision on a meeting agenda item through consensus, then the CDSC will defer decisions to the JSWG.
16. The JSWG can meet between CDSC meetings to make decisions necessary for the timely functioning of the ClimDev-Africa Programme. All such meetings and decisions are recorded and reported at the following CDSC meeting. JSWG meetings may be held in the form extraordinary meetings, piggy back meetings to other events, by video conference, telephone conference, or by email as appropriate.

17. The CDSC submits the annual ClimDev-Africa Report to the Chief Executives of the AUC, AfDB and UNECA (see the Annex for the governance structure of ClimDev-Africa).
18. The CDSC submits the annual report to stakeholders at the annual Climate Change and Development in Africa (CCDA) conference.
19. The CDSC may delegate selected issues and decisions to the Secretariat as it sees fit.

### **Secretariat**

20. The ACPC, in its role as the ClimDev-Africa Secretariat, serves as the Secretariat to the CDSC and JSWG, and as such:
  - a. coordinates the collection of work plans, budgets and log-frames from the AUC and AfDB;
  - b. collects reports on the CDSF from the AfDB;
  - c. consolidates ClimDev-Africa Programme Work Plans;
  - d. prepares, with input from the Chair, agendas and invitations for CDSC and JSWG meetings;
  - e. provides background documentation for meetings at least two weeks in advance of CDSC or JSWG meetings;
  - f. prepares and circulates the minutes of JSWG and CDSC meetings no later than two weeks after holding such meetings;
  - g. prepares and circulates draft concept notes for the annual Climate Change and Development in Africa (CCDA) Conference;
  - h. keeps a list of experts, along with their areas of expertise, who may be included in Technical Advisory Panels (TAPs) for ClimDev-Africa;
21. The Secretariat consolidates the ClimDev-Africa Work Plan, budget and accompanying log frame each year for approval by the CDSC.
22. The ACPC also has significant substantive and programmatic functions outside of serving as the Secretariat for ClimDev-Africa.

## **ANNEX 3: ClimDev-Africa Special Fund Proposal Template**

*[To be amended as needed to cater for specificities of different calls for proposals]*

### **CLIMATE FOR DEVELOPMENT IN AFRICA CLIMDEV SPECIAL FUND (CDSF)**

#### **Application for Funding Format**

#### **Introduction**

The present format serves to ensure that adequate information is available for CDSF to screen and appraise the proposed project and to present it for funding approval, and to ensure that the applicant has made adequate provisions for implementation in terms of allocation of responsibilities for proposed activities to competent entities/persons.

Part I requires information on applicants – other than central government agencies of regional member countries. It will be used to assess the eligibility of the applicant as well as provide additional details for subsequent use if the project is selected. Applicants should be familiar with the eligibility requirements contained in the Operational Procedures Manual published on the ClimDev website. Requirements for NGOs and CBOs are included as an annex to this note.

Part II requires information necessary to appraise the project, for the purpose of determining its eligibility, its priority and readiness for funding. Proposals for funding of studies and technical assistance support should be accompanied by the relevant Terms of Reference.

The Application should be balanced in content and the main text should not exceed 15 pages i.e. excluding leading pages and Annexes. It should be forwarded in electronic form to the CDSF e-mail address as indicated on the website or sent by courier, either hard copy or saved on CD.

Additional information on the Fund may be obtained from the CDSF Operational Procedures Manual available on the CDSF website.

## APPLICATION FOR CDSF FUNDING

### PART I – Applicant information and Basic data

<b>1. Project Title</b>	<i>State the title or name of the project</i>	
<b>2. Name and Address of Applicant's organization</b>	<i>State the name postal address, telephone, fax and e-mail of the Applicant organisation</i>	
<b>3. Institutional and Legal Status of the Applicant</b>	<i>Provide information on the Legal status of the Applicant (Proof of Legal Establishment/Registration, Main Function and activities, etc... The legal instrument (or other authorisations) granting the applicant the authority to mobilize and manage resources for the project should be mentioned.</i>	
<b>4. Names and Addresses of Co-financiers and Partners</b>	<i>State names and postal addresses of the Co-financiers and Partners</i>	
<b>5. Executing Agency (If different from Applicant)</b>	<i>If the recipient is different from the executing agency, the relationship between the two should be clearly shown and the capacities to undertake the respective responsibilities should be demonstrated</i>	
<b>6. Project funding</b>	Total Project amount (Euro)	
	Project funding requested from CDSF (Euro)	
<b>7. Project duration</b>	<i>Indicate project duration in months: minimum 12 months, maximum 5 years</i>	
<b>8. CDSF Areas of Intervention</b>	<i>Indicate % of project addressing the CDSF areas of interventions</i>	
	Generation, wide dissemination and use of reliable and high quality climate information	
	Capacity enhancement of policy makers and policy support institutions through the generation of quality analysis and evidence on climate change	
	Implementation of pilot adaptation practices that demonstrate the value of mainstreaming climate information in development planning	
<b>9. Geographic Scope</b>	<i>List region or countries in which the project will be implemented</i>	

## **PART II – Project Description**

### **0. Executive Summary**

#### **1. BACKGROUND AND RATIONALE (max 3 pages)**

##### **1.1. Origin and context of the Project**

Give a historical background of the project, its origin and relation to previous similar projects (if any).

Provide the wider context of the problem addressed:

- Regional priorities, including priorities in PRSPs of countries included, upon which the operation has been conceived;
- Project linkage to regional priorities, action plans and programme;
- Key development issue(s) that the project is aiming to address;
- Alternative development interventions or approaches being considered; and
- Rationale for the favoured approach

##### **1.2. Problem Definition**

Define the problem which the project seeks to solve, including the evidence of the need the project will address, with references. State alternative options and courses of action that were considered and how the present option was selected.

##### **1.3. Beneficiaries and Stakeholders**

Clearly identify the beneficiaries of the project and the relationship with the prospective Recipient of the Grant. Identify key stakeholders other than direct beneficiaries. Show how their interests and concerns will be met by the project. Show if there are possible areas of conflict and how they will be addressed. Give a gender disaggregated picture of access to project benefits and show measures to ensure gender equality.

#### **2. THE PROJECT (max 4 pages)**

##### **2.1 Project Goal and Objectives**

State the medium to long term change expected to come about as a result of this project and other projects in the impact area. Typical development changes include improved livelihoods, reduced risk of floods and droughts, etc.

##### **2.2 Outputs**

State the direct result of completing the project and the implementation of the activities of the project. This generally represents changed behaviour of persons or objects facilitated by the project; improved performance of institutions and of infrastructure.

### **2.3 Activities**

List the activities required to achieve the project outputs. These may include baseline studies, training, design, procurement, construction and installation, creation of institutional structures etc.

Some activities will be directed at **mitigation** of risks, negative social and environmental impacts, as well as **monitoring** and evaluation including baseline studies and **project management as well as** arrangements for verification and annual audits. These activities should be clearly identified and their links to the higher objectives recognized.

### **2.4 Risks**

Define the main risks associated with the project, considering each project output, and where possible show how these risks have been mitigated in project design.

### **2.5 Cost and Financing plan**

Present the cost of the activities in the currency chosen by the applicant. The currency used by the CDSF is the Euro. State the proposed financing requirement from the CDSF, state the contribution of the Applicant, the Beneficiaries and other co-financiers when relevant. Provide a project budget in an annex, differentiating between CDSF costs and costs financed by co-financiers.

## **3. IMPLEMENTATION (max 3 pages)**

### **3.1 Recipient**

Identify the Recipient and demonstrate capacity to implement the project in terms of human, material and financial resources. For non-state actors confirm the eligibility in terms of legal status. State the Recipient's experience in the implementation of similar projects.

### **3.2 Implementation Arrangement and Capacity**

Show the proposed organizational structure for implementation as well as arrangements for dealing with external agencies. Confirm resources and logistics in place for execution of the project.

### **3.3 Performance Plan and monitoring**

For each result (outcomes and outputs) described in chapter 2, provide a set of critical measurable indicators, with a time phased targets.

Present the arrangements for data collection and processing to control the indicators in the Performance and Implementation Plans.

### **3.4 Implementation Schedule**

For each output give a schedule for attainment of activity indicators, if necessary broken down into tasks.

### **3.5 Accounting Arrangements**

State arrangements for the financial management of the project. Provide sufficient information to permit CDSF to assess the fiduciary control environment.

## **4. PROJECT BENEFITS (max 2 pages)**

### **4.1 Effectiveness and Efficiency**

Show how proposed activities and implementation arrangements are necessary and sufficient for attainment of results. Demonstrate that the project provides value for money. Where relevant, provide an economic and financial analysis of the project (for Capital Investment Projects in excess of €2million). Relate the project objectives to the focus areas of the Fund.

### **4.2 Sustainability**

Show arrangements for financing operation and maintenance of the project facilities beyond the grant funding. Demonstrate that reliable institutional arrangements will be in place to ensure continuity of the results.

State results of any Social and Environmental Assessments, Management and Mitigation and Monitoring Plans.

## **ANNEXES**

- i. Project Logical Framework**
  - ii. Maps: Country/Location and Project Area**
  - iii. Terms of Reference (in case of Project preparation projects/studies)**
  - iv. Details of project costs**
-

## ANNEX 4: Proposal Score Sheet

*[To be amended as needed to cater for specificities of different calls for proposals]*

To be eligible for financing under CDSF, proposed activities and projects must fall into one or more of the areas of intervention. All the projects financed by the Fund should have clear performance indicators with good expected outcomes and clear targets. In considering a request for financing, due consideration is given to the following criteria:

- Political commitment of the country as demonstrated by a clear indication of the importance accorded to climate change
- Consistency with national priorities and regional consensus.
- Credibility, ownership, and commitment of the beneficiary.
- Value for money and economic viability
- Effectiveness and sustainability of the institutions and investments.
- Opportunity for effective implementation.
- Good expected outputs with clear indicators and well defined targets.

### B: Score Sheet Assessment

#### *Eligibility for Utilising the ClimDev Special Fund*

Criteria	Score*	List Main Strengths	List Main Weakness	Issues for further clarification
Alignment with CDSF areas of intervention				
- Generation and Dissemination of Information	H/M/L			
- Quality Analysis for Decision Support	H/M/L			
- Informed Decision-making	H/M/L			

*\* High/Medium/Low. If the proposal does not demonstrate “high” alignment with at least one of the areas then the project is not eligible for any funding from the ClimDev Special Fund.*

#### *Section 1: Development Impact (15 points)*

Criteria	Score	List Main Strengths	List Main Weakness	Issues for further clarification
Demonstrate alignment with country and sector strategies and plans	(5)			
Demonstrate positive impacts on the livelihoods of stakeholders	(5)			
Demonstrate the potential to contribute to climate-	(5)			



compatible development (link to NAPAs, NAMAs) and how the project meets a need				
Total	15			

**Section 2: The Project (40 points)**

Criteria	Score	List Main Strengths	List Main Weakness	Issues for further clarification
Indicate of how generated data and information be shared	(10)			
Project Innovation	(5)			
Demonstrate knowledge and lesson learned on climate change	(5)			
M&E Plan that monitors and measures results with indicators and targets	(5)			
Potential to scale up climate-resilient and low-carbon technologies	(15)			
Total	40			

**Section 3: Cost Reasonableness and Effectiveness (15 point)**

Criteria	Score	List Main Strengths	List Main Weakness	Issues for further clarification
Benefits in terms of adaptation or mitigation	(5)			
Coordination with initiatives in the country or in the region and efforts to secure other funding	(5)			
Value for money and economically attractive	(5)			
Total	15			

**Section 4: Implementation (15 points)**

Criteria	Score	List Main Strengths	List Main Weakness	Issues for further clarification
Experience and past performance	(5)			
Resource to manage the project including staff skill relevant to propose activity	(5)			
Implementation schedule	(5)			
Total	15			

**Section 5: Sustainability and replicability (15 points)**

Criteria	Score	List Main Strengths	List Main Weakness	Issues for further clarification

Sustainable without further input from the CDSF	(5)			
Demonstrate viable exit strategy	(5)			
Articulate how the capacities developed, if any, will contribute to the sustainability of program	(5)			
Total	15			

**GRAND TOTAL**

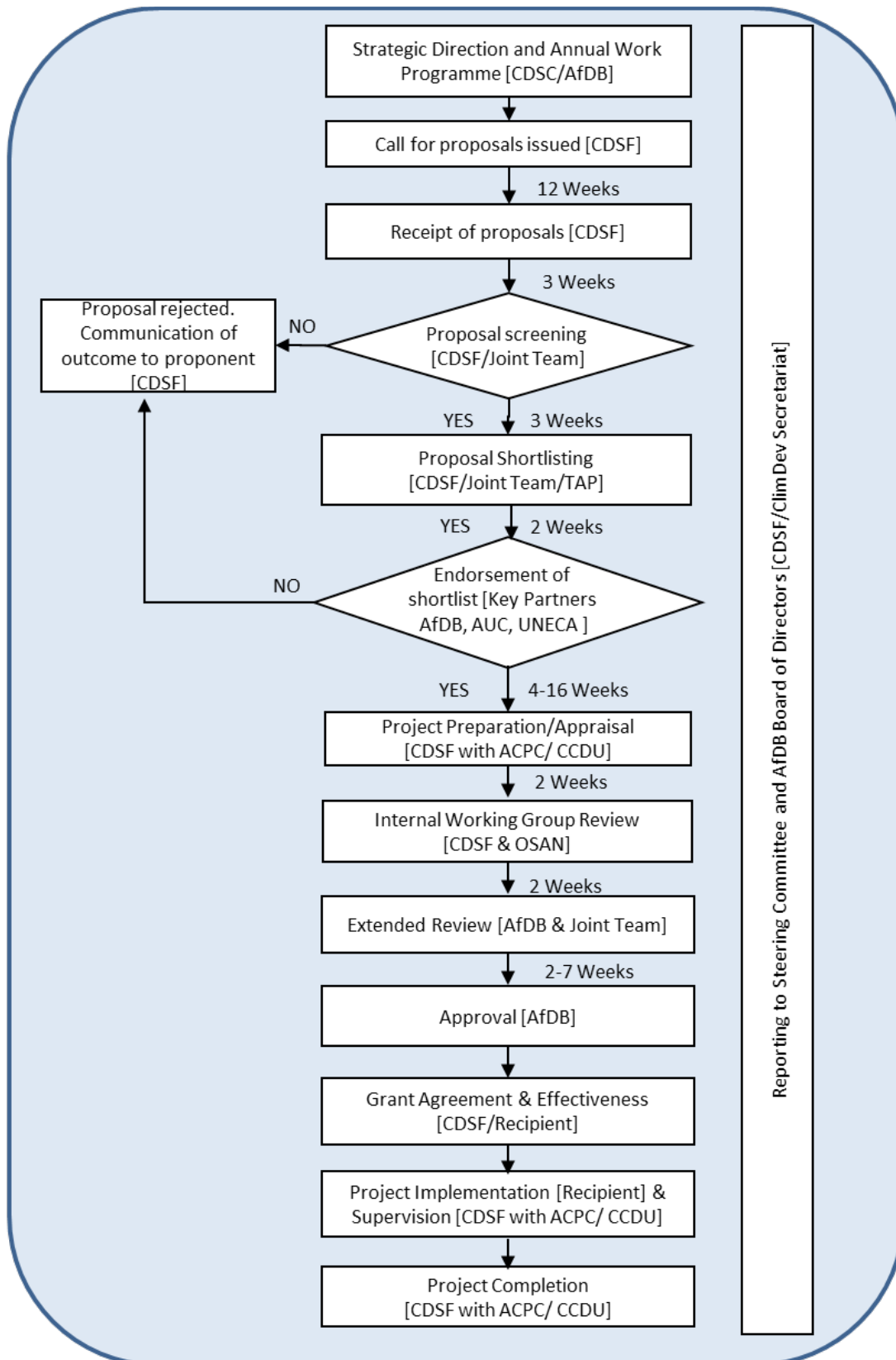
**100**

## ANNEX 5: Project Appraisal Report Outline

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## ANNEX 6: Project Processing and Implementation Summary



## ANNEX 7: CDSF Project Progress Report Template

**CLIMDEV-AFRICA SPECIAL FUND  
PROJECT PROGRESS REPORT:**

*(Indicate Reporting Period here, e.g. January 2012 to December 2012)*

*The information derived from these reports represents the principal methods by which the CDSF is able to monitor progress amongst the projects for which they are responsible, provide input where needed, and to draw upon as they develop reports to the Bank and the Governing Council.*

### 1. PROJECT PROFILE

<b>Project Title:</b>	
<b>Grant Number #:</b>	
<b>Recipient:</b>	
<b>Managing Unit/ Executing Agency:</b>	
<b>Date of Grant Effectiveness:</b>	
<b>Expected Closing date:</b>	

### 2. SUMMARY OF ACHIEVEMENTS DURING THE REPORTING PERIOD

*Summarize project achievements in less than 400 words (bullets)*

### 3. FULFILMENT OF CONDITIONS OF GRANT AGREEMENT

Condition	Current status of accomplishment
<i>List the conditions for grant effectiveness or first disbursement as provided in the project document</i>	

### 4. PROJECT IMPLEMENTATION PROGRESS

#### 4.1 Output and Activity progress

Output / Activity <i>As listed in the project document</i>	Status: <i>Complete, On-going, Not started</i>	Work undertaken during the reporting period	Issues that need to be addressed: Decisions/actions to be taken


**4.2 Project Performance Measurement**

<b>Project Indicators</b> <i>As listed in the project document</i>	<b>Target set and timeframe</b>	<b>Actual Results and time frame</b>	<b>Explanation and corrective measures</b>

**5. STATUS OF EXPENDITURES AND RECEIPTS (See Annex for details)**

**5.1 Summary of CDSF expenditure and receipts**

<b>FINANCIAL OVERVIEW</b>	<b>Project Grant Budget</b>	<b>Expenditure/ Receipt during reporting period</b>	<b>Cumulative Spending/ Receipt</b>	<b>% Spent/ Received</b>
<b>INCOME SOURCES</b>				
CDSF Grant				
Interest Earned				
<b>TOTAL INCOME</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>EXPENDITURE</b>				
Goods				
Works				
Services				
Personnel				
Operating Cost				
Miscellaneous				
<b>TOTAL EXPENDITURE</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>SURPLUS/(DEFICIT)</b>	<b>0</b>	<b>0</b>	<b>0</b>	

**5.1 Co-financing**

Source/Institution	Type of support	Co-funding provided as agreed?	Risk to project in case of deviations

## 6. COMMENTS

Comment on project financials	
Comments on procurement plan (see Annex)	
Comment on overall project implementation progress	

## ANNEXES

- Project Financial Report
- Procurement Plan updated as at the end of the reporting period

## 7. CDSF COMMENTS (To be completed by the CDSF Task Manager)

*Acknowledgement and comments by the Task Manager having reviewed and discussed the progress with the Recipient: It is important that feedback is provided to the grant recipient and the project leader on any actions suggested to resolve any inadequate assessments as well as observations and comments regarding progress to date and any technical, management or dissemination issues that you would like to provide. These should be provided to the project leader by the CDSF.*

Name:

Date:



# Project Financial Report Format

PROJECT FINANCIAL REPORT (in Euros)

<b>Project Name:</b>	<b>Prepared by:</b>
<b>Grant Number:</b>	<b>Approved by:</b>
<b>Grant Start/End Date: June 01, 2011/February 28, 2014</b>	<b>Report for Period:</b>

## 1. CDSF FUNDING

1A: OVERVIEW	Description	Project Grant Budget	Expenditure/ Receipt during reporting period	Cumulative spending/ Receipt	% Spent/ Received	Balance Remaining
<b>INCOME SOURCES</b>						
CDSF Grant						0
Disbursement 1						0
Disbursement 2						0
etc.						0
Direct payment 1						0
Direct payment 2						0
etc.						0
Interest Earned						0
<b>TOTAL INCOME</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>EXPENDITURE SUMMARY</b>						
Goods						0
Works						0
Services						0
Personnel						0
Operating Cost						0
Miscellaneous						0
<b>TOTAL EXPENDITURES</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>SURPLUS/(DEFICIT)</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

## 1B: EXPENDITURE

<b>Output 1</b>						<b>0</b>
Activity 1: XXX						0
Goods						0
Works						0
Services						0
Miscellaneous						0
Activity 2: XXX						0
Goods						0
Works						0
Services						0
Miscellaneous						0
Etc.						0
<b>Output 2</b>						<b>0</b>
Activity 1: XXX						0
Goods						0
Works						0
Services						0
Miscellaneous						0
Activity 2: XXX						0
Goods						0
Works						0
Services						0
Miscellaneous						0
Etc.						0
<b>Project Management &amp; Coordination</b>						<b>0</b>
Goods						0
Works						0
Services						0
Operating Cost						0
Personnel						0
Miscellaneous						0
<b>TOTAL CDSF EXPENDITURE</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

## 2. COUNTERPART FUNDING

Source	Type/Nature of funding	Budget Amount	Spending during reporting period	Cumulative spending	% Spent	Balance
					#DIV/0!	-
					#DIV/0!	-

The information reported on this form is accurate financial information based on documentation on file per the grant agreement (attach accounting system print out)

## Project Procurement Plan

PROCUREMENT PLAN																																					
<b>General</b>																		<i>Fill gray cells only!</i>																			
Country/Organization:																																					
Project/Programme:																																					
Loan/Grant No.:																																					
Implementing Agency, Address:																																					
Bank's Approval Date of Procurement Plan:																																					
Date of General Procurement Notice:																																					
Period Covered by these Proc. Plans:																																					
<b>CONSULTANTS</b>																																					
<b>Prior Review Threshold:</b>																		Procurement decisions subject to Prior Review by the Bank as stated in the Appraisal Report																			
<b>Consultants (see Note 3)</b>																																					
Procurement Method	Prior review Threshold (UA/equiv.)	Comments																																			
1. QCBS (Firms)																																					
2. Single Source/Firm/Individual																																					
3. Individual Consultants																																					
4. Consultant Qualification																																					
5. Training																																					
6.																																					
<b>Procurement Packages with Methods and Time Schedule</b>																																					
Description of Assignment	BASIC DATA						Request for Expression of Interest				Request for Proposal & Short List		Bid Proposals		Bid Evaluation Technical (T) & Financial (F)						Contract Award			Contract Implementation													
	Estimated Amount in UA (000)	Selection Method	Prior/Post Review	Lumpsum or Time-Based	Expected EOJ Date	Expected Proposals closing Date	Plan vs. Actual	Submission Date	No-objection Date	Date Published	Submission Date	Plan vs. Actual	Submission Date	No-objection Date	Invitation Date	Submission/Opening Date	Submission Evaluation Report (T)	No-objection Evaluation Report (T)	Opening Financial Proposals	Submission Eval Report (T) & (F)	Submission Negotiation Report	No-objection Award & Negotiation	Plan vs. Actual	Contract Amount in UA (000)	Contract Award Date	Contract Signature Date	Start Date	End Date									
						Plan Actual					Plan Actual											Plan Actual															
						Plan Actual					Plan Actual											Plan Actual															
						Plan Actual					Plan Actual											Plan Actual															
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						Plan Actual					Plan Actual											Plan Actual															
						Plan Actual					Plan Actual											Plan Actual															
						Plan Actual					Plan Actual											Plan Actual															
<b>Total Cost Consultants</b>	0.00					Plan Actual					Plan Actual											Plan Actual	0.00														
	0.00					Plan Actual					Plan Actual											Plan Actual	0.00														

## **ANNEX 8: CDSF Project Completion Report: Outline of Excel Template**

### **A. PROJECT DATA AND KEY DATES**

#### **I. BASIC INFORMATION**

Project Number	Project Name	Country (ies)	
ID Number of all Lending Instrument(s)		Department	Environmental Classification
Original Commitment Amount	Amount Cancelled	Amount Disbursed	Percent Disbursed
Borrower			
Executing Agency(ies)			
Co-financers and other External			

#### **II. KEY DATES**

Appraisal Report Cleared

Board Approval

EFFECTIVENESS

MID-TERM REVIEW

CLOSING

### **B. PROJECT CONTEXT**

Summarize the rationale for Bank assistance.

### **C. PROJECT OBJECTIVES AND LOGICAL FRAMEWORK**

1. State the Project Development Objective(s) as set out in the appraisal report  
Describe the major project components and indicate how each will contribute to achieving the Project Development Objective(s).

2. Provide a brief assessment of the project objectives along the following 3 dimensions: RELEVANT, ACHIEVABLE, CONSISTENT.
3. Summarise the log frame.
4. For each dimension of the log frame, provide a brief assessment of the extent to which the log. frame achieved the following:  
LOGICAL, MEASURABLE, THOROUGH

#### **D. OUTPUTS AND OUTCOMES**

##### **ACHIEVEMENT OF OUTPUTS:**

Assess the achievement of actual vs. expected outputs for each major activity.

##### **ACHIEVEMENT OF OUTCOMES**

1. Using available monitoring data, assess the achievement of expected outcomes.
2. Additional outcomes. Comment on the project's additional outcomes not captured in the log. frame, including cross-cutting issues.
3. Risks to sustained achievement of outcomes. State the factors that affect, or could affect, the long-run or sustained achievement of project outcomes.

#### **E. PROJECT DESIGN AND READINESS FOR IMPLEMENTATION**

1. State the extent to which the Bank and the Borrower ensured the project was commensurate with the Borrower's capacity to implement by designing the project appropriately and by putting in place the necessary implementation arrangements. Consider all major design aspects, such as extent to which project design took into account lessons learned from previous PCRs in the sector or the country (please cite key PCRs); whether the project was informed by robust analytical work (please cite key documents); how well Bank and Borrower assessed the capacity of the implementing agencies and/or Project Implementation Unit; scope of consultations and partnerships; economic rationale of project; and provisions made for technical assistance.
2. For each dimension of project design and readiness for implementation, provide a brief assessment:

REALISM, RISK ASSESSMENT, USE OF COUNTRY SYSTEMS

3. For the following dimensions, provide separate working scores for Bank performance and Borrower performance:  
CLARITY, PROCUREMENT READINESS, MONITORING READINESS, BASELINE DATA

**F. IMPLEMENTATION**

1. State the major characteristics of project implementation with reference to: adherence to schedules, quality of construction or other work, performance of consultants, effectiveness of Bank supervision, and effectiveness of Borrower oversight. Assess how well the Bank and the Borrower ensured compliance with safeguards.
2. Comment on the role of other partners (e.g. donors, NGOs, contractors, etc.). Assess the effectiveness of co-financing arrangements and of donor coordination, if applicable.
3. Harmonization. State whether the Bank made explicit efforts to harmonize instruments, systems and/or approaches with other partners.
4. For each dimension of project implementation, assess the extent to which the project achieved the following:  
TIMELINESS, BANK PERFORMANCE, BORROWER PERFORMANCE

**G. COMPLETION**

1. Is the PCR process delivered on a timely basis in compliance with Bank Policy?
2. Briefly describe the PCR Process

**H. LESSONS LEARNED**