United Nations Development Programme
Project Document

Project title: **Adaptation Fund-UNDP Innovation Small Grant Aggregator Platform (ISGAP)**		
Country(ies): Global	**Implementing Partner (AF Executing Entity):** UNDP	**Execution Modality:** DIM
Contributing Strategic Plan Outcome and Outputs: Outcome 1 ADVANCE POVERTY ERADICATION IN ALL ITS FORMS AND DIMENSIONS Output 1.4.1 Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains Outcome 3 STRENGTHEN RESILIENCE TO SHOCKS AND CRISES Output 3.4.1 Innovative nature-based and gender-responsive solutions developed, financed and applied for sustainable recovery		
UNDP Social and Environmental Screening Category: Moderate	**UNDP Gender Marker: 2**	
Atlas Award ID: 00125744	**Atlas Project/Output ID:** 00120017	
UNDP-GEF PIMS ID number: 6266		
LPAC meeting date:		
Planned start date: November 2020	**Planned end date:** 31 December 2024	
Expected date of Mid-Term Review: *N/A*	**Expected date of Terminal evaluation:** December 2024	
Brief project description: The AF-UNDP Innovation Small Grant Aggregator Platform (ISGAP) aims to support the development, diffusion and evidence building of innovative adaptation practices, tools, and technologies in developing countries**.** ISGAP is designed to meet this objective through an effective and efficient backbone management architecture and network of global best practitioners to (i) competitively source and screen innovative adaptation project ideas; (ii) grant funding and administering to bring selected project ideas to fruition; (iii) provision of customized technical and business development capacity building, incubation, and acceleration support; and (iv) knowledge management and sharing and result-based monitoring and evaluation. Leveraging this infrastructure, ISGAP aims to achieve the project objective through the following complementary outcomes:		

1. Development of innovative adaptation practices, tools and technologies promoted and accelerated. Evidence of effective, efficient adaptation practices, products and technologies generated as a basis for implementing entities and other funds to enable scaling up.

2. Timely and efficient completion of business milestones demonstrated through additional investment and/or support capitalization for scaling

3. Lessons learned codified, documented, and disseminated leading to adoption or replication of project introduced innovations.

In parallel, AF is providing direct access to similar innovation small grants through National Implementing Entities (NIEs). Therefore, ISGAP's knowledge management and information sharing design will include joint activities and participation from NIEs that have received the Innovation Small Grants so as to ensure a degree of consistency and parity between NIE and non-NIE recipients of the small grants.

(1) FINANCING PLAN	
Adaptation Fund	**USD $4,608,295**
(1) **Total Budget administered by UNDP**	**USD $4,608,295**
(2) CONFIRMED CO-FINANCING	
(3) **Total confirmed co-financing**	**USD 0**
(4) **Grand-Total Project Financing (1)+(2)**	**USD $4,608,295**

AGREED BY UNDP:	
Signature:	**Date/Month/Year:**
Adriana Dinu _____ Adriana Dinu Deputy Assistant Administrator and Deputy Director Bureau for Policy and Programme Support United Nations Development Programme	2 Nov 2020

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List of acronyms and abbreviations:

AF	Adaptation Fund
FSH	UNDP SDG Finance Sector Hub
FSP	Full Sized Project
GEF	Global Environment Facility
GEFSEC	Global Environment Facility Secretariat
GRP	Global Resilience Partnership
ISGAP	Adaptation Fund-UNDP Innovation Small Grant Aggregator Platform
MSP	Medium Sized Project
NDC	National Determined Contribution
NIEs	National Implementing Entities
PIF	Project Identification Form
PIR	GEF Project Implementation Report
POPP	Programme and Operations Policies and Procedures
PPG	Project Preparation Grant
STAP	GEF Scientific Technical Advisory Panel
UNDP-GEF	UNDP Global Environmental Finance Unit
UNDP-SGP	UNDP GEF Small Grants Programme

I.   DEVELOPMENT CHALLENGE

The current global climate finance landscape focuses heavily on efforts to mitigate future temperature rise by removing greenhouse gas emissions. However, a lot less attention has been paid to risk reduction and adaptation. According to the Climate Policy Initiative, only $22 billion per year, goes to climate change adaptation comparing to the $436 billion per year for climate change mitigation. Noticing this trends, Green Climate Fund was established with a goal to deliver a 50:50 balance between mitigation and adaptation allocations in its portfolio, and ensure that at least 50% of adaptation funding goes to particularly vulnerable countries, including LDCs, SIDS and African States.

Adaptation is a much-complicated challenge as there is no single common unit of measure such as greenhouse gas emission. There is no "one size fits all" solution, which may, in part, explain why adaptation receives less attention and funding. This is especially true for investment in adaptation innovation. However, the very nature of the non-standard solution of adaptation is a massive opportunity. Entrepreneurship in all forms, whether it is non-profit, social, for profit and partnership is a great approach to find potential multi-functional solutions for adaptation challenges.

The scale of finance from the private sector in the SME market space is very limited, only MFIs, private equity and venture capital funds are activeactive in this landscape. In developing countries, this constraintconstraint is even more pronounced. Therefore, entrepreneurs in developing countries face expensive debt and equity cost and many entrepreneurs choose not to receive equity funding as they don't want to lose ownership of their company. Innovative non-profit organisations and social enterprises

suffer more due to their limited ability to take on equity or debt finance; further restricting their ability to grow and expand.

Women-owned businesses appear restricted in their growth paths. Women's entrepreneurship is largely skewed towards smaller firms. They make up nearly 32 to 39 percent of the very small segment of firms, 30 to 36 percent of small SMEs and 17 to 21 percent of medium-sized companies. Women entrepreneurs are also more likely than their male colleagues to be in the informal sector, running smaller firms mainly in service sectors and thus operating in lower value added sectors. In addition, they operate more home-based businesses than do men. Because financing is an important means by which to pursue growth opportunities, addressing women entrepreneurs' specific needs in accessing finance must be part of the development agenda. Across regions, women entrepreneurs have lower access to finance than do male entrepreneurs. This is particularly problematic for women entrepreneurs who want to grow their businesses. It is not only that surveys show women entrepreneurs to be less likely to have taken out a loan, but the terms of borrowing can also be less favorable for women. Many country studies show that women entrepreneurs are more likely to face higher interest rates, be required to collateralize a higher share of the loan, and have shorter-term loans[1].Access to finance for women is limited by nonfinancial barriers. Non-financial barriers can include conditions in the broader business environment that may differentially affect women's and men's businesses (e.g., the legal and regulatory environment or the quality of available infrastructure); personal characteristics of the entrepreneurs (e.g., differentials in education or management training); constraints within financial institutions (little familiarity with and cultural barriers preventing interest in female clients); and a financial infrastructure that limit incentives to reach out to more female clients (i.e., lack of credit bureaus or collateral registries). In addition, some non-financial constraints have a direct gender dimension. Particularly relevant for access to finance are the formal gaps in legal capacity and property rights. Based on constitutional and statutory provisions, women in many countries may be constrained to enter contracts in their own name, to control property within marriage, or to receive an equal share of assets on divorce or in inheritance. Women may also not have the same ability to get a national identity document (e.g., a passport, ID card), which is often a pre-condition for transactions such as opening a bank account.[2]

Climate change adaptation innovation has been identified as a new pathway to address climate change challenges by a few governments and vertical funds. Public funding or support, such as acceleration or incubation, is proven to be extremely crucial for incubating and accelerating innovation when entrepreneurs are still operating at pre-seed stage with limited (or no) revenue potential. Therefore, the objectives of this AF-UNDP Innovation Small Grant Aggregator Platform is to support the development, diffusion and evidence building of innovative adaptation practices, tools, and technologies in developing countries.

The Adaptation Fund Multiple Regional Programme proposal is addressing two of the main challenges facing climate change adaptation:
•   Limited innovative solutions to increase adaptive capacity of vulnerable communities. Article 10, paragraph 5 of the Paris Agreement emphasizes the critical role of innovation in addressing challenges presented by climate change as follows: "Accelerating, encouraging and enabling innovation is critical for an effective, long-term global response to climate change and promoting economic growth and sustainable development."

[1] The Profiting from Parity: Unlocking the Potential of Women's Businesses in Africa, World Bank, 2016.
[2] Strengthening access to finance for women-owned SMEs in developing countries, IFC. (2011, October).

• Lack of private sector participation/investment in adaptation. The 2019 Joint Report on Multilateral Development Banks' Climate Finance clearly shows that adaptation finance by private sector accounts for only 8.1% of the total adaptation finance comparing with 35.6% of mitigation finance by the private sector. Furthermore, the total adaptation finance accounts for only 18.9% of total climate finance from MDB and Co-finance sources.

The AF-UNDP ISGAP has strong alignment with Sustainable Development Goals (SDGs), Paris Agreement and National Determined Contribution (NDC), national and sub-national sustainable development strategies/plans and/or poverty reduction strategies, national communications, or national adaptation programs of action, or other relevant instruments will form part of the selection criteria. The proposal template will require project proponents to describe how their ideas are aligned with the global, national and sub-national sustainable development strategies/plans and/or other relevant instruments. For example, the proposal might describe that the innovative water saving technology designed particularly for women/girls in the agriculture sector is aligned with the National Adaptation Plan and NDC, which call for building resilience in the water resources sector. The proposal is also aligned with several SDGs such as SDG 2 Zero Hunger, SDG 5 Gender Equality, SDG 6 Clean Water and Sanitation, and SDG 13 Climate Action.

II. STRATEGY

Figure 1: Theory of Change
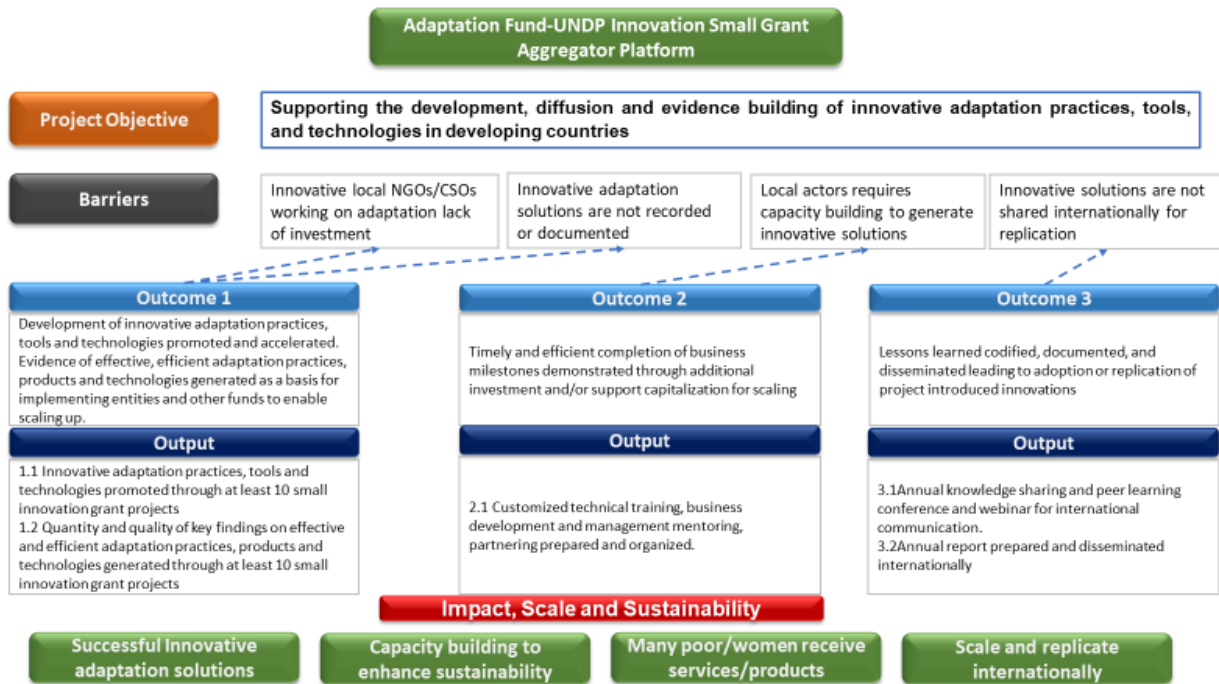
In order to achieve the objective of supporting the development, diffusion and evidence building of innovative adaptation practices, tools, and technologies, ISGAP will be established and managed by UNDP with four main functions: (1) Sourcing, screening, and selection; (2) Grant Administration and

Management; (3) Aggregated technical advisory and business development support; and (4) Knowledge coordination and result aggregation.

Figure 2: Major Functions of ISGAP
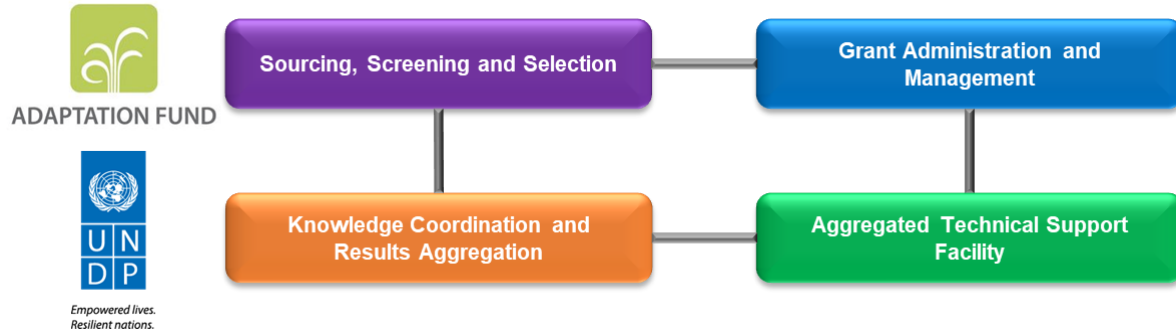
ISGAP programme is comprised of three technical components and one project management component:

1. Provision of Innovation Small Grants (USD 3,000,000) The small grant size will be grouped into two categories: (i) 10-15 micro grants to promote new/piloting innovative adaptation practices, business models and technologies ($60,000 for 2 years); 5-10 small grants to accelerate innovative adaptation practices, business models and technologies with scaling potential ($125,000 for 2 years). Grantees could receive another round of funding for the second cycle if they reached the milestones proposed for the first cycle (therefore, total $120,000 for micro grant and $250,000 for small grant for the four-year programme). Two global calls for proposal will be issued in 2020 and 2021. Each grantee will have up to 24 months to complete the project. Small grants proposals will be reviewed and screened according to the screening criteria that will comply with AF's Guidelines for MIE Aggregators.

2. Provision of Technical and Business Development Capacity Building, Incubation, and Acceleration Support (USD 927,600) ISGAP will leverage both in-house expertise as well as external expertise (on competitive basis) to efficiently deliver Technical and Business Development Capacity Building, Incubation, and Acceleration Support.

3. Knowledge Management and sharing and Result-Based Management (USD 542,445) ISGAP will coordinate with AF's direct access grantees to share knowledge and lessons learned to further enhance the effectiveness and sustainability of the programme.

4. Programme Execution and Management (USD 138,250) This will include grant administration and management as well as results aggregation and reporting.

With the four major components, ISGAP aims to foster and accelerate innovation from entrepreneurs and NGOs/CSOs to:

1. Development of innovative adaptation practices, tools and technologies promoted and accelerated. Evidence of effective, efficient adaptation practices, products and technologies generated as a basis for implementing entities and other funds to enable scaling up.

2. Timely and efficient completion of business milestones demonstrated through additional investment and/or support capitalization for scaling

3. Lessons learned codified, documented, and disseminated leading to adoption or replication of project introduced innovations.

Integrate climate change adaptation with business strategy

Addressing climate change induced risks
The proposal should be clearly linked to a sector identified at the national level (i.e. through NDCs, NAPA or National Communications) that is particularly vulnerable to climate change including variability and any emerging themes, identified by the government, e.g., urban adaptation, food security, nature-based solutions (ecosystems approaches, land-based issues), water resources management, disaster risk reduction.

Addressing the adaptive capacity or resilience of a community to climate change including vulnerable and marginalized peoples
ISGAP will support projects, that increase the adaptive capacity of a community and/or increase their resilience (including, for example, by increasing the resilience of the natural systems on which they depend) to climate change, including climate variability, as well as in the formation of resilient social networks. All proposed projects will be required to address gender and vulnerability aspects of the target beneficiaries such as how to enhance adaptive capacity of women and girls, indigenous peoples, youth, and peoples with disabilities who are particularly vulnerable to climate risks.

Assessment of community vulnerabilities
Proposed projects will be based on the application of the innovation assessment methodologies and will describe the characteristics of community vulnerability and options considered to accelerate tried-and-tested and innovative solutions to climate change risks.

Scale-up and replicate successful adaptation innovation results
With UNDP's global network and partners, successful adaptation innovation technologies, practices and business models from ISGAP will be scaled up or replicated through either public or private channels. Public channels include UNDP's adaptation projects supported by AF, GEF and GCF. Private channels include UNDP's partners network and potential private sector investors.

Finding innovative solutions for climate change adaptation

Different or Better solutions
The proposed idea must be an improvement over an existing solution or a new solution that is different from the existing adaptation solution. It must have an added value over and above what the target beneficiary is currently using/practicing to address the adaptation problem that they are facing. These innovative solutions could be not only new technologies and approaches, but also building on and/or reviving traditional knowledge of indigenous peoples and local communities. The proposal should also show potential for systemic and sustained improvement of such practices or approaches.

Delivers Value/Solves an Adaptation Problem

The proposed idea must address a specific and sizable adaptation problem that is incurring a cost (either in cash or in kind) to the target beneficiaries. For example, a revival of indigenous technology could be proposed to increase access to water during dry-spell resulting in reduction of multiple planting costs. It must deliver value and or impact that can be quantified. Although, it is not required that the target beneficiaries have to pay (in-kind or in-cash) for such solution, it is crucial that project proponent articulate how the project would be operationally sustainable.

Cross-scale policy and acceleration potential
It is critical that replication and scale up potential are embedded in a project design from the beginning to increase the likelihood of project replicability and scalability. Therefore, all proposed projects will identify and engage tested solutions for potential replication, up-scaling, or integrating of the innovations to be supported, and describe a process to support such processes (e.g. holding knowledge fairs to promote replication, engagement of social impact investors etc.).

Doable/Practical
The proposed idea may be a remarkable idea but if it is beyond the capability of current technologies and not on the cutting-edge of technology development path, it will be difficult and costly to develop the product and / or service and will be difficult to convince the target market that they need it. Most markets value proven technologies that provide potential solutions that are also testable. Capacity, commitment, and track record of the proposal developers are also crucial in determining whether the idea can be realized and further developed into a successful venture.

Embed gender and social considerations into business operation

ISGAP's screening criteria will address economic and financial viability criteria by describing value proposition and an economic / financial benefit and cost analysis to clearly and quantitatively (as much as possible) both direct and indirect costs and economic and financial, social and environmental benefits, with preference to work with the most vulnerable communities, and vulnerable groups within communities, including gender considerations. Additionally, the proposal will have to compare the benefit/cost of its innovation against the existing baseline and/or current practices to demonstrate its innovative aspects as well it cost effectiveness of the proposed innovation.

Potential environment and social impacts and their management will also be part of the screening criteria in alignment with Adaptation Fund and UNDP Environmental and Social Policy. The project proponent will provide brief environmental and social impact assessment and the corresponding management and monitoring and evaluation plan as required according to the AF and UNDP relevant policies.

The small grant proposal will integrate rigorous gender analysis to understand and meaningfully address the particular needs, priorities, structural and systemic barriers, status and roles of men and women. Proposals should detail how the project will advance gender equality and women's empowerment, and must adhere to UNDP and AF policies and requirements on gender. The proposal should to build resilience, address their differentiated vulnerabilities and increase their capability to adapt to climate change impacts. The proposal should illustrate how gender equality is embedded in the project design, consultation, implementation, monitoring, reporting, and evaluation. Existing gender inequalities should not be exacerbated by any activities or innovative solutions of the grantee.

Summary

ISGAP is designed to develop and diffuse of innovative adaptation practices, tools, and technologies that will result in improved climate resilient of the target beneficiaries over the baseline or business as usual scenario. The programme is aimed to provide 10-15 small grants to promote innovative adaptation practices, business models and technologies; 5-10 small to medium size grants to accelerate innovative adaptation practices, business models and technologies with scaling potential. Technical assistance from the network of UNDP and partners will be provided to grantees to enhance the results. ISGAP is also providing grantees a pathway to scale, either through public funding projects or through potential private funding channels brokered by UNDP and partners.

In coordination with UNEP and Utilizing existing networks, ISGAP also aims to share lessons learned and best practices through an open platform. Sharing best practices can help individuals/organisations in different regions of the world to better prioritize their options based on need and capacity. UNDP's vertical fund portfolio works directly with agricultural enterprises and farmer cooperatives, these businesses are perfect distribution channels for adaptation resources, since they aggregate hundreds or even thousands of farmers.

The results of the ISGAP will assist the landscape innovation for climate change adaptation with the focus on pre-seed non-profit organisations and social enterprises while sharing the experience and evidence of adaptation innovations with global communities.

III.   RESULTS AND PARTNERSHIPS

Expected Results*:*

In order to achieve the objective to support the development and diffusion of innovative adaptation practices, tools, and technologies, the project was designed with three outcomes, including:

1. Development of innovative adaptation practices, tools and technologies promoted and accelerated. Evidence of effective, efficient adaptation practices, products and technologies generated as a basis for implementing entities and other funds to enable scaling up.

2. Timely and efficient completion of business milestones demonstrated through additional investment and/or support capitalization for scaling

3. Lessons learned codified, documented, and disseminated leading to adoption or replication of project introduced innovations.

Under these Outcomes include the following outputs, activities and indicators to measure the results.

Outcome 1: Development of innovative adaptation practices, tools and technologies promoted and accelerated. Evidence of effective, efficient adaptation practices, products and technologies generated as a basis for implementing entities and other funds to enable scaling up.

Output 1.1: Innovative adaptation practices, tools and technologies promoted through at least 10 small innovation grant projects.

The global calls for proposal will be issued around middle of 2020. Each grantee will have up to 24-36 months to complete the project. In the first phase, UNDP and partners will utilize internal/external networks to raise the awareness of the fund to all potential applicants. Grant proposals will be reviewed and screened according to the screening criteria that will comply with adaptation innovation and social, gender criteria.

Below is a draft scorecard that could be used for grantee evaluation/selection:

Adaptation criteria:
- Addressing climate change induced risks for the (country or region)
- Alignment between climate change induced risks and business solution
- Addressing the adaptive capacity or resilience of a community to climate change
- Assessment of community vulnerabilities

Innovation criteria:
- Degree of innovation
- Potential Scale-up
- Whether replicate successful adaptation innovation result can be achieved
- Financial sustainability

ESG criteria:
- Whether innovations have gender mainstreaming
- Social inclusion score
- End-beneficiaries (end-user) vulnerability (degree of poverty)
- Safeguard risks

Climate health response:
- Special consideration is given if proposed solutions address climate related health response (resilience building to address both climate risks and health risks, such as COVID-19).

A detailed selection criteria will be applied to shortlisted grantee:

CC ADAPTATION	Y/N	Score (0 to 5)
Project objectives addressing Climate change induced risks?		
Strategies/Business solutions in alignment with the risks above?		
Project informed & addressing the adaptive capacity/ resilience of the community to Climate change? {based on bottom up approach/participatory/extent of impact/potential for scale up or replication}		
▪ How clearly had the project objective identified the most impacting climate change hazard, if it was comprehensive in addressing secondary climate health effects and taking all such effects into account [Generally a score of 3 has been where project addresses specific CC impact, and those with a comprehensive approach, scores given are 4 and 5] ▪ How comprehensive were the strategies/solutions in addressing the impacts, outcomes of the project to mitigate and develop needed resilience, short & long term for the community [where such solutions may address a specific hazard, and not consider related secondary impacts, a score of 3 is given. If it exhibits an approach such that it strengthens the overall adaptive response to the climate change impacts a score of 4 or 5 is given]		

- How strong, inclusive and sustainable was the community involvement right from project design to implementation, engagement with external agencies. The replication and scalability of such strategies/solutions [Where the community was involved right from the design stage and also most participatory, that included women, youth, marginalized groups a score of 4 to 5 score was given. If it was a representative kind, with village/committee heads alone, than a score of 3 was given. Their engagement with external agencies - includes government agencies, academic and other strategic partnerships also influenced this score. The potential scalability/replicability of such a strategy and how well it had empowered the GRANTEE also influenced this score]

INNOVATION	Y/N	Score (0 to 5)
Are the interventions/practices innovative as compared with existing practices/norms? If yes, rate the degree of innovation (as in imbibing modern day technologies and practices)		
Is the innovation taking into account indigenous/local practices and practical to implement?		
Would the proposed business model/practice or technology used, be financial sustainable?		
Would such innovation be easily replicable & scalable (area/region/country wise)		

- How innovative was the strategy or methods used in carrying out the interventions? In contrast to the current practice, were they progressive, and served the need [There are several adaptive techniques that have now been tested, proved and replicated for its positive outcomes. These have been given a score of 3 or 4. There are those that in using modern methods, technologies, show that they would be the ones way forward, and stand out as a unique demonstrable pilot. These have been given a score of 4 or 5]
- Were there indigenous practices, which were recognized, and taken into the solutions proposed? Were the solutions practical to implement from a user/beneficiary perspective? [In almost all projects screened, this aspect has not been highlighted. It has either been left unrated, or where an inference could be done, scored at 3]
- How replicable and scalable are these solutions, [All technology solutions, business models were rated for their ease of use, needed skill set for O&M and technology transfer capability]

Social and Environmental checks	Y/N	Score (0 to 5)
Is gender/youth mainstreaming a primary output of the project design?		
If gender or youth outcome is more of a secondary outcome of the project initiatives, is the impact quantifiable and shows potential to grow?		

Has the economic efficiency of the community improved from project? Rate extent		
Rate the environmental impact – immediate and long term.		
Rate the social impact on the communities addressed (reduced poverty, improved food security, improved lifestyles, improve employment)		
Does the project outcomes cause distress to the financial vulnerability of the community? If NO, assumed that economic safeguards are addressed.		
Does the project outcomes cause distress to the social vulnerability of the community – (in the context of minorities, indigenous people, women, youth)? If NO, assumed that social safeguards are addressed		
Does project outcomes cause distress with climate vulnerabilities – (displacements, more prone to CC impacts)		

- Was gender/youth mainstreaming one of the outputs for the project? [If gender mainstreaming was not indicated as a specific output, stated as No]
- If not, did the activities influence women/youth's participation, impact them to a quantifiable measure? [In those projects where quantifiable & qualitative inputs were available, this was evaluated based on the impacts stated. The quantifiable ones scored more than where it was qualitative assessment]
- Does such a strategy/solution translate to increased income generation? [The scores heavily depended on the increase in economic efficiency of the marketable item based on numbers given. Where numbers were not available, inferences were drawn through qualitative assessment]
- Has the 'before' and 'after' scenario changed positively, for the environment? Are they quantifiable? [The quantifiable inputs helped in scoring with scores of 4 or 5. But inferences were drawn from qualitative results to score a 3 or more]
- Are there social impacts that are identifiable, and specific? [Results that were explicitly stated and clearly identified specific social impacts were rated based on what extent was the impact. In some projects the impacts had to be inferred based on other project results]
- All safeguards in implementing the projects have been checked

Output 1.2: Quantity and quality of key findings on effective and efficient adaptation practices, products and technologies generated through at least 10 small innovation grant projects.

It is planned that a special incubation Framework will be conducted in this project. To effectively provide scale-up assistance to grantees with good potential, a Value Chain Driven Viability Analysis, and a climate risk and Scaling assessment will be conducted first. A workplan and an action plan will then be developed in close collaboration with the PMU. These overlap in timing. This four-step framework is used to analyse and develop the relevant prescription for any given initiative.

Value Chain Driven Viability Analysis
Running throughout the process, the Value Chain Driven Viability Analysis starts with a (i) Context and Problem Analysis where the goal is to ensure that the underlying problem (coast, biosphere, people, institutions, and their interaction) is at the centre of the problem definition, and that the context and

surrounding systems are taken into account. This is followed by a (ii) Solution Analysis where the goal is to ensure that the solution is clearly defined and viable, that it meets the criteria of being a financial and/or insurance solution, that the delivery mechanism is clear, and that the customer or beneficiary is at the centre of the solution without compromising the environment or other stakeholders. Some gaps are identified during this phase. The solution is also tested for Scalability, using a scorecard looking at Appropriateness for end user, Sustainability, and Scalability (economic), with a mark of Unsatisfactory, Marginally Satisfactory, Satisfactory and Very Satisfactory potentially awarded. The next step (iii) is to explore what a Perfect Delivery of this solution is and what needs to be in place for that to happen. Any final gaps that need to be addressed are defined and plans for how to address them are drafted. The final (iv) step is to set out the Action plan, with deliverables and milestones, for an as-near-as-possible perfect delivery.

All grant proposals are required to describe clear pathway on how the proposed projects will be technically, financially, and operationally sustainable as well as how they will contribute to climate adaptation. Evidence of project equity, existing funding, and forthcoming funding will be demonstrated by the project developers. Fund raising strategy and relevant partners should also be included. Project risk assessment and management as pertaining to the project's expected outcome and its sustainability will be part of the proposal and screening criteria. Exit strategy will be designed for each grantee and a portion of the technical assistance facility will be dedicated to ensuring the exit strategy of grantees are implemented.

Furthermore, it is envisioned to have two possible general exit strategies for different types of grantees: for promising businesses and social enterprises (not yet fully commercial), the program will try to match them with concessional or blended finance with various development partners. UNDP's portfolio of climate and environmental projects and future pipeline could provide a larger scaling ground for these organizations; linkage with government will also provide possible public funding to scale up. There is also a plan from UNDP to establish a blended facility with development partners to scale up the proven innovative technologies, practices and business models given multiple innovation related projects that are currently under design/implementation. While this program will not directly finance this facility, the successful grantees from this program will be part of the pipeline of the facility.

Toward the end of a grant implementation cycle (up to 24 months), a Project Pitching event will be organized by ISGAP aiming to provide scale up and replication opportunity to the grantees. Invitees include UNE and their grantees, grantees from direct access channels, venture capitalists, social impact investors, representatives from international financial institutions, global environment funds such as GEF and GCF, philanthropists, and private sector. One of the key success indicators of ISGAP is how much support the grantees receive from the Project Pitching event.

Outcome indicator:
Number of innovative adaptation practices, tools and technologies funded
Quantity and quality of key findings on effective, efficient adaptation practices, products and technologies generated

Outcome: 2. Timely and efficient completion of business milestones demonstrated through additional investment and/or support capitalization for scaling

Output 2.1: Customized technical training, business development and management mentoring, partnering prepared and organized.

Based on the Value Chain Driven Viability Analysis conducted for each grantee, technical and business development/acceleration support will be designed and planned according to the results of the rapid demand and capacity assessment carried out by PMU in close collaboration with each grantee and the Technical Panel. The PMU will also provide match making service to grantee from a UNDP vendor list to find the right local partner to assist the awardee' demand. This continuous process aims to improve the likelihood of success in translating proposed innovative idea into a workable prototype/model that can be further tested, refined, and ultimately commercially/widely rolled out. The grantees are encouraged to collaborate with relevant national institutions and private sector to further enhance their ideas. Investment brokering service will be facilitated by PMU once awardee demonstrated revenue potential to ensure the exit strategy is implemented with each awardee.

Existing UNDP networks (SGP and its capacity building initiatives, Youth Co:Lab, FSH) will provide their technical assistance support (in-kind support) to the grantees with their current capacity through their local network by involving grantees in relevant trainings, booth camps, consulting and mentorship sessions as periodically done by these structures. In certain cases, whenever organization specific engagements are required (diagnostics, narrow domain specific technical advisory, business management advisory, local market intelligence, impact management and measurement) the local level support will be factored and provided based at full the cost recovery mechanism within the limits pre-agreed with program PMU. Additional global technical assistance will be established by the PMU with two key components:

One centralized online portal with common business development/mentorship function that is opened to all grantees. This is designed to achieve cost efficient business development and innovation support that is commonly applied to all grantees.

A global expert network for specific innovation assistance. UNDP will work with global partners such as Global Resilience Partnership, Climate-KIC, Stockholm Climate Security Hub and Global South Partners to augment resources from the GEF and provide tailored assistance to grantees in required and/or common fields to fill the remaining demand. The global experts will be on standby to provide just-in-time mentoring and advice throughout the programme. The PMU (with the support from RTA and Advisory Committee) will also provide match making service to grantees to find the right global partner to assist the grantee' innovation. This continuous process aims to improve the likelihood of success in translating proposed innovative idea into a workable prototype/model that can be further tested, refined, and ultimately commercially/widely rolled out. The grantees are encouraged to collaborate with relevant national institutions and private sector to further enhance their ideas.

Outcome indicators:
Number of grantees that successfully complete innovation and business development milestones and grant disbursement according to agreed grantees' performance target
Number of grantees that receive additional support/funding to scale up and/or replication

Outcome 3: Lessons learned codified, documented, and disseminated leading to adoption or replication of project introduced innovations.

Output 3.1: Annual knowledge sharing and peer learning conference and webinar for international communication.

Output 3.2: Annual report prepared and disseminated internationally.

The learning and sharing mechanism proposed for ISGAP will encourage cross-fertilization, scaling up and replication, and problem solving which is in line with the following: AF MTS's Pillar on Knowledge and Sharing, or Strategic Focus 3 (SF3) Learning and Sharing about adaptation finance and action with the following expected results; ER1 Lessons Learned and Shared; and ER2 Knowledge and Guidance Developed.

Since learning and knowledge sharing is one of the critical factors that feed into innovation as well as replication and scaling up processes, ISGAP will allocate resources to facilitate learning and knowledge sharing. This will build on what existing lessons, knowledge, indigenous culture and wisdom and the rich diversity of experiences and lessons from on-going initiatives within UNDP. The Platform will rely on UNDP SGP's experience of a Global Citizens Knowledge Platform, UNDP's work on South-South Cooperation, Knowledge Fairs and other existing UNDP initiatives as an effective and efficient way to operationalize knowledge sharing and learning activities.

The main objective of a Knowledge Platform associated with the Aggregator Platform will be to support learning and sharing of adaptation finance and actions at national, regional and global levels, through AF small grants channelled via multilateral (UNDP and UNE) or direct access channels. Potential activities that could be supported include: knowledge identification, codification, capturing, validation, and packaging periodically to (a) support scaling up efforts; (b) build knowledge management capacity of grantees including youth and women group; and (c) outreach. These learning activities will be organized in coordination with UNEP and direct access grantees. This Knowledge Platform will utilize all available mediums and communication channels such as social media to encourage exchange of data, information, blog and working paper, ideas, lessons learned, open source code and applications, case studies, good practices, and etc.

To broaden the knowledge base, UNDP through relevant internal units such SGP, FSH, and Youth Co:Lab will facilitate a virtual linkage between the Knowledge Platform and network of leading incubators, accelerators, innovation labs, and climate change adaptation practitioners. To deepen knowledge creation and sharing, result driven knowledge sharing events (such as hackathon, innovation fair, product showcase), will be organized in coordination with UNE and direct access grantees as well as UNDP's public and private partners. Both Knowledge Platform and Knowledge Sharing Events will be open for both grantees awarded by the ISGAP, UNE, and grantees awarded by AF's direct access mechanism. A strategic communication and dissemination program will be developed and implemented in coordination with UNE to enhance the transparency and visibility of the AF-UNDP Partnership for Innovation Small Grant Program and UNE Program among development partners and other stakeholder.

Both communication materials and knowledge products will clearly highlight the contribution of the Adaptation Fund. In the most recent COP 25 UN climate conference in Madrid, this programme was launched; UNDP has produced communication specifically for this programme highlighting the importance of the Adaptation Fund (https://www.adaptation-undp.org/adaptation-fund-launches-new-grant-programme-foster-innovation-adaptation-practices-vulnerable). The visibility of the Adaptation Fund will be throughout the entire programme execution process. From the main ISGAP function: During (1) Sourcing, screening, and selection, the Adaptation Fund branding will be shown clearly on the funding application portal (web-based); from (2) Grant administration and Management aspect, grant agreement and annual grantee reporting template will clearly indicate the support from the Adaptation Fund; from component (3) Aggregated technical advisory and business development support, annual workshop with all grantees will certainly display the support from Adaptation Fund (potential inviting Adaptation Fund personnel to attend the annual event); and from component (4) Knowledge coordination and result

aggregation, UNDP will work with UNE to produce knowledge products that emphasize the support from Adaptation Fund, success stories will also be shared with Adaptation Fund for external communication purpose. It is also envisioned that ISGAP will recommend grant recipients to display the support from the Adaptation Fund and UNDP in their products, services and communication channels (non-legally binding , no co-branding, only indication of support).

Outcome indicator: Citation and/or adoption of shared lessons learned and codified knowledge

Partnerships:

UNDP has already started internal consultation with GEF Small Grant Programme, Youth Co:Lab, UNDP DRR team and various innovation financing initiatives to source potential candidates and discuss project sites. Initial outreach has been conducted to selected countries through UNDP Country Offices, informal consultation will be conducted with local NGOs/capital providers. Our core programme partners GRP and Climate-KIC is also outreaching to seek potential collaboration for this project.

Table 1: Stakeholders Consulted During the Project Identification Phase

Stakeholder Group	Description or Example	Indicative roles and responsibilities
UNDP GEF SGP Programme	Sourcing potential grantees	8-10 potential grantees identified that could receive scale up capital
UNDP Youth Co.Lab	Sourcing potential grantees	Total 1500 youth entrepreneurs, 5-8 identified that could receive scale up capital
Climate-KIC	Sourcing potential grantees TA support	Through their global ClimateLaunchpad programme, 10-20 finalist has been provided to us that may have strong potential. They also expressed their will to collaboration on the TA support to grantees
Global Resilience Partnership (GRP) hosted by the Stockholm Resilience Centre	TA support	GRP will provide TA assistance to the programme, leveraging their partnership and network
Climate Ready Programme	Sourcing potential grantees TA support	Climate ready programme is a USAID funded programme focus on supporting governments in Pacific Island Countries. They have expressed their will to collaborate with grantees in the Pacific Island Countries
Research institutions	Stockholm Climate Security Hub, Global South Partners	These institutions may be involved in research activities, providing technical assistance and knowledge management

Risks*:*

This is the first UNDP project that uses competitive low value grant to encourage locally led innovative adaptation solutions, there are many project risks. From the design perspective, ensuring project implementation is well integrated within UNDP policy and correctly follow the low value grant policy are two key issues. Given the competitive nature, whether the project can attract sufficient interests from capable NGOs/CSOs to apply is also a potential risk of the project. Even with a large number of grant applicants, whether we could find innovative, capable grantees is a secondary risk to the first one. Once grantees are selected, the potential risks are whether we could provide enough support to help them grow and scale and whether there are unforeseeable events (like Covid-19) that could severely impact grantees' operation. Although there are many project risks, since the grant amount is relatively small (maximum $250,000 for 4 years) and grantees are NGOs/CSOs, it is deemed that impact will be minimal.

All grant proposals will be screened and evaluated according to AF and UNDP environmental and social impacts and gender policies as well as additional risk factors listed below at the short list stage. Additional screening will be carried out prior to signing grant agreements with the selected grantees. During projects implementation, grantees are required to provide Quarterly Progress Briefs highlighting progress of their projects as well as status of compliance with AF and UNDP environment, social, and gender policy. PMU will carry out regular monitoring of the compliance with required environmental and social management plan and risk management plan. Findings will be documented in the annual evaluation report.

ISGAP grievance redress mechanism will be set up according to the AF Environment and Social Policy and UNDP Safeguard Policy. In case stakeholder concerns and complaints are detected during monitoring/inspection visits or otherwise communicated directly to the ISGAP or UNDP Country Offices, these concerns should be addressed properly in a writing form within to the grievance redress mechanism. After receiving of written concerns and complaints, UNDP will follow the procedures outlined in the UNDP Stakeholder Response Mechanism (SRM). The ISGAP grievance process will be communicated to all ISGAP grantees in writing as well as during the orientation workshop.

The ISGAP grievance mechanism will provides people affected by projects/programmes supported by the ISGAP and AF with an accessible, transparent, fair and effective process for receiving and addressing their complaints about environmental or social adverse impacts caused by any such project/programme.

The following table provides a summary of potential financial and programme risks and corresponding risk management strategy.

Table 2: Risk and management strategy

Potential Risk	Risk Level	Risk Management Strategy
Misappropriation of the grant funding	Low	Performance based disbursement will be used instead of providing the total grant amount at the grant signing stage. Grantees may be asked to get an agreement from ISGAP (with adviceadvice from UNDP country office) if procurement of goods/services exceeds a certain threshold. Financial audit is required as a part of the annual progress report.
Lack of participation at the global call for proposals	Low	During the global call for proposals, ISGAP will also actively source innovation ideas from the network of development partners who are working on innovation, incubation, and acceleration topics. With the extensive network of SGP, Accelerator Labs, Youth

Potential Risk	Risk Level	Risk Management Strategy
		CO:Lab, the risk of lacking participation is relatively low.
Lack of high-quality applicants	Low	During the global call for proposals, ISGAP will also actively source innovation ideas from the network of development partners who are working on innovation, incubation, and acceleration topics. With the extensive network of SGP, Accelerator Labs, Youth CO:Lab, the risk of lacking high-quality applicants is relatively low.
Project implementation delay	Medium	ISGAP, through the on demand and continual technical and business development/acceleration support, will (i) closely monitor the progress of each grantee and discover challenges and barriers that could prevent timely completion of the project and (ii) devise mitigation strategy to resolve the challenges.
Success is overstated in the progress report while failure is understated or unreported	Medium	It is crucial that both success and failure are documented and analysed by the grantees. It is a critical part of the knowledge sharing and lessons learned. In fact, one often learns from failure than success. This message will be communicated throughout the programme implementation cycle and regularly monitored.
Grantees fail in securing scale up and replication support and funding from other sources after the completion of the project	Medium/High	It is critical to note that the success rate of any start-up or innovation venture is quite low. With all the support provided by ISGAP and its partners, it is anticipated that the success would be in the range of 20%-30%.
Environmental, social and governance risk not managed, triggering risk events	Medium	Environmental, social and governance criteria will be established in every step of the ISGAP programme. UNDP Social and Environmental Safeguards Procedure (SESP) will be used to ensure the controls of this risk are in place. ESG management plan will be prepared before the programme implementation. Call of proposal will highlight potential ESG risk, selection template will contain ESG risk identification questions, ESG expert will be presented in the technical panel, M&E will also contain a ESG reporting section.
ISGAP does not attract sufficient support from private sector	Medium	Throughout the various project phases (launch, global call, evaluation, fund disbursement, showcasing etc.), emphasis will be given to engaging like minded private sector partners. Specific conversations related to unlocking private sector support to this agenda will be curated alongside the key project activities. Also engage local and global private sector partners in evaluation panels.

Financial Risk Management Potential financial risks include misappropriation of the grant funding which will be mitigated by performance-based disbursement and monitoring of procurement practices and financial transaction over a certain threshold.

<u>Stakeholder engagement and south-south cooperation</u>:

ISGAP has been designed with consultation with relevant UNDP internal teams and experts in various fields such as youth and gender, governance, innovation and impact investment, social development and several development partners and private sector including Global Resilience Partnership and Climate-KIC, most of whom have extensive experience working with vulnerable groups and demonstrated strong support of the ISGAP concept. Some partners have shown interest in both parallel financing as well as co-financing to further scale up and/or replicate of the selected grantees toward the end of the program.

ISGAP call for proposal will be globally assessable to all stakeholders. Potential applicants do not have any restriction on which MIE they should submit their small innovation grant applications to. ISGAP selection criteria and process will openly disclose at the global level as well as through UNDP country offices around the world and our development partners. Applications will be reviewed and screened based on their merits and how well they match with the section criteria without any prejudice by independent technical panel and global committee.

For the small grant project proposal, stakeholder consultation results will be part of the information included in the application form and screening criteria with specific reference to vulnerable groups and gender consideration. Stakeholder meeting summary and response matrix to stakeholder comments and suggestions are required and will be appended to the application forms

Existing Government Focal Points from vertical funds (AF, GEF, GCF, etc) would be contacted to advise on the launching of ISGAP global call for proposals. Current existing partners that are working with GEF and GCF projects will also be contacted and encouraged to apply for the global call for proposals. The PMU will also coordinate with SGP NSC on the launch and outreach activities at the national level.

<u>Gender equality and Women's Empowerment</u>:

Just as climate change will affect regions very differently, it is also clear that climate change will affect men and women differently, depending on their roles and responsibilities in the household and community. In many communities, climate change will have a disproportionately greater effect on women, since women are often poorer and less educated than men and often excluded from political and household decision-making processes that affect their lives. Additionally, women usually have fewer assets and depend more on natural resources for their livelihoods. These and other factors indicate that women will be more vulnerable than men to the effects of climate change. The inclusion of women in climate change adaptation innovation is essential not only because women are especially vulnerable, but also because they can be valuable contributors to adaptation work. Women can be community leaders and are often natural resource managers who can help develop strategies to cope with climate-related risks. The value of women led NGOs/CSOs and women focused community group that contribute to climate change adaptation innovation is value highly in this programme.

This program's screening criteria will address economic and financial viability criteria by describing value proposition and an economic / financial benefit and cost analysis to clearly and quantitatively (as much as possible) both direct and indirect costs and economic and financial, social and environmental benefits, with specific reference to the most vulnerable communities, and vulnerable groups within communities, including a specific focus on gender considerations given the criticality of gender to peace and stability as noted above

The grant proposal will describe how the project would adhere to the UNDP's Gender policy including gender mainstreaming and women's empowerment. The proposal should ensure that women and men are provided with an equal opportunity to build resilience, address their differentiated vulnerabilities and increase their capacity to adapt to climate change impacts. The proposal should illustrate how gender equality is embedded in the project design, consultation, implementation, monitoring, reporting, and evaluation.

From a result perspective, Grantees are required to prepare Quarterly Performance Briefs on the progress of their projects including status of their compliance with GEF and UNDP environment, social, and gender policy, in addition, any measures are undertaken or impact created that addressing gender equality

Innovativeness, Sustainability and Potential for Scaling Up:

This has been discussed in detail in above sections given the main global of this project is to support the development and diffusion of innovative adaptation practices, tools, and technologies. Comparing to traditional AF/GEF projects, this program is using a challenge fund model with a network of partners with experience in this space. In addition, the focus of climate change adaptation innovation is a new practice. Currently, in our knowledge, there are very limited targeted investment/challenge funds/projects focus in this thematic focus. This program will be an innovative approach to find potential solutions for climate change adaptation in developing countries.

In addition to the above-mentioned support for grantee to scale up. All small grant proposals are required to describe a clear pathway on how the proposed projects will be technically, financially, and operationally sustainable. Evidence of project equity, existing funding, and forthcoming funding will be demonstrated by the project developers. Fund raising strategy and relevant partners should also be included. Project risk assessment and management as pertaining to the project's expected outcome and its sustainability will be part of the proposal and screening criteria. Exit strategy will be designed for each grantee and a portion of the technical assistance facility will be dedicated to ensuring the exit strategy of grantees are implemented.

IV.   PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s): SDG 1, SDG 2, SDG 8, SDG 13

This project will contribute to the following SP Outcomes and Outputs: Outcomes 1,3: Outputs 1.4.1, 3.4.1

Objective: to support the development and diffusion of innovative adaptation practices, tools, and technologies.

Project title and Atlas Project Number:

Item	Indicator	Baseline	Target at Project Completion	Mean of Verification	Risk and Assumption
Output 1.1: Innovative adaptation practices, tools and technologies promoted through at least 10 small innovation grant projects	Number of innovative adaptation practices, tools and technologies funded	0	Minimum of 5 out of 10 funded projects with innovative adaptation practices, tools and technologies (at least 50% with women led organisations or organisations largely benefit women customers)	Quarterly Performance Briefs; Annual Monitoring Reports including feedback from mentors/TA providers, and field visit/web cast/video submission - PMU produce data based on programme IT platform	Sufficient pool of applicants with innovative ideas after the global call for proposals with proactive sourcing from development partners with particular emphasis on LDCs/SIDs, women and other vulnerable groups
Output 1.2: Quantity and quality of key findings on effective and efficient adaptation practices, products and technologies generated through at least 10 small innovation grant projects	Quantity and quality of key findings on effective, efficient adaptation practices, products and technologies generated Number of adaptation practices proven to be successful (through monitoring visits) Number of women-led CSOs that develop replication projects	0	Minimum of 5 out of 10 funded projects that demonstrate findings and evidences of effective and efficient adaptation practices, products, and technologies (at least 50% with women led organisations or organisations largely benefit women customers)	Quarterly Performance Briefs; Annual Monitoring Reports including feedback from mentors/TA providers as well as assessment from users of adaptation practices, products, and technologies; and field visit/web cast/video submission - grantee self-report data on programme IT platform	Successful generation of findings and evidences of effective and efficient adaptation practices, products and technologies from the funded projects
Output 2.1: Customized technical training, business development and management	Number of grantees that successfully complete innovation and business development	Grantees with limited technical, innovation, and business development capacity	All grantees complete grant disbursement against performance target within 24 months after grant agreement signed	Quarterly Performance Briefs; Annual Monitoring Reports including feedback from mentors/TA providers	With technical and business development/acceleration support, all grantees can achieve their performance and disbursement target within 24

mentoring, partnering prepared and organized.	milestones and grant disbursement according to agreed grantees' performance target Number of grantees that receive additional support/funding to scale up and/or replication (% of which is led by women) Number of grantees that receive additional support/funding to scale up and/or replication	0	At least half of the grantees received additional support/funding to scale up and/or replication	Summary report of the final pitching events and investors/funders feedback - Survey to grantees for feedback and rating of services	months provided there are no force majeure events There are sufficient pool of investors and funders as well as proven innovative projects funded by ISGAP
Output 3.1: Annual knowledge sharing and peer learning conference and webinar for international communication.	Annual training events	0	Four annual web-based publication/blog and lessons learned, and at least four technical brief/blog on specific topics (with one lessons learned brief on innovative ways of address gender inequality in adaptation to climate change)	Annual Monitoring Reports, web posting of lessons learned and occasional technical briefs/blog and annual traffic count of the web pages - Programme IT platform under Publication and Impact Stories	Lessons learned and codified knowledge are widely shared with potential users
Output 3.2: Annual report prepared and disseminated internationally.	Citation and/or adoption of shared lessons learned and codified knowledge	0	One annual impact/knowledge publication	Posting of publications - Programme IT platform under Publication and Impact Stories	Lessons learned and codified knowledge are widely shared with potential users

V.   MONITORING AND EVALUATION (M&E) PLAN

The project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored annually and evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. The Monitoring Plan included in Annex details the roles, responsibilities, and frequency of monitoring project results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. UNDP is responsible for ensuring full compliance with all UNDP project monitoring, quality assurance, risk management, and evaluation requirements.

The project management unit will be responsible for the preparation and submission of the monitoring reports and updates, part of M&E process. Other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report.

Inception Workshop and Report: A project inception workshop will be held within 60 days of Project Document signature, with the aim to:
   a. Familiarize key stakeholders (Project grantees, UNEP, CTCN, donor, Youth Co:Lab, SGP) with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
   b. Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
   c. Review the results framework and monitoring plan.
   d. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the AF Focal Points and other stakeholders in project-level M&E.
   e. Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
   f. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
   g. Plan and schedule Project Board meetings and finalize the first-year annual work plan.
   h. Formally launch the Project.

AF Project Performance Report (PPR):
The annual AF PPR will be completed for each year of project implementation. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PPR. The PPR submitted to the AF will be shared with the Project Board.

Terminal Evaluation (TE):

An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance available on the UNDP Evaluation Resource Center.

The evaluation will be 'independent, impartial and rigorous'. The evaluators that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project being evaluated.

The AF Focal Points and other stakeholders will be actively involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the BPPS/GEF Directorate.

The final TE report and TE TOR will be publicly available in English and posted on the UNDP ERC by April 2024. A management response to the TE recommendations will be posted to the ERC within six weeks of the TE report's completion.

Final Report:
The project's terminal AF PPR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: To accord proper acknowledgement to the AF for providing grant funding, the AF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the AF will also accord proper acknowledgement to the AF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy[3] and the AF policy on Open Information[4].

Budgeted Monitoring and Evaluation Plan

Type of M&E activity	Responsible Parties	Indicative costs (USD)	Timeframe
Building web-based monitoring and evaluation interface with data query and reporting capability	PMU	40,000	Within 9 months after the project start
Project Inception Workshop (Project Launch Workshop) and Report	PMU in coordination with partners UNDP	10,000	Within 3 months after the project start

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[3] See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/
[4] See https://www.adaptation-fund.org/wp-content/uploads/2015/01/AFB.EFC_.12.5.Rev_.1%20Open%20Information%20Policy.pdf

Quarterly Performance Briefs	PMU in coordination with partners	None	Quarterly
Project Performance Report (PPR)	PMU in coordination with partners UNDP	None	Annually
Annual Showcasing Events	PMU in coordination with partners	40,000 (10,000 per year)	Annually
Web-based publication/blog of lessons learned	PMU	12,000 (3,000 per year)	Annually
Technical briefs/blogs and reports	PMU and external consultants	None	To be determined by PMU
Oversight missions	UNDP	None	Troubleshooting as needed
Final external evaluation	PMU and external consultants	25,000	End of project implementation
Final report	PMU and external consultants	None	At least one month before end of project
Project board meetings and report	PMU in coordination with partners	6,000 (1,500 per year)	Annually
Audit	PMU, UNDP-GEF	10,000 (2,500 per year)	Annually
Total Indicative Cost		**USD 143,000**	

VI.   GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Roles and responsibilities of the project's governance mechanism:

Implementing Partner: The Implementing Partner for this project is *UNDP*

The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

The Implementing Partner is responsible for executing this project. Specific tasks include:
- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems.
- Risk management as outlined in this Project Document;

- Procurement of goods and services, including human resources;
- Financial management and reporting, including overseeing financial expenditures against project budgets;
- Approving and signing the multiyear workplan;
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

Project stakeholders and target groups: *Consultation with grantees will occur on an annual basis in the annual project workshop.*

UNDP: UNDP is accountable to AF for the implementation of this project. This includes oversight of project execution to ensure that the project is being carried out in accordance with agreed standards and provisions. UNDP is responsible for delivering AF project cycle management services comprising project approval and start-up, project supervision and oversight, and project completion and evaluation. UNDP is also responsible for the Project Assurance role of the Project Board/Steering Committee. UNDP is the implementing partner for this project; a strict firewall will be maintained between the delivery of project oversight and execution. The Nature, Climate and Energy Team (NCE) of BPPS will provide oversight services: at the global level, PTA of Climate Change Adaptation will be providing project oversight. RTA of Climate Change Adaptation located in Bangkok will provide day to day oversight to the PMU located at Bangkok. PMU established in Bangkok, Bangkok Regional Hub (BRH), and Country Offices (COs) will provide execution services. The project oversight function performed by PTA and RTA is cleared separated with the project execution function performed by PMU, BRH and COs.

Figure 3: Project organisation structure
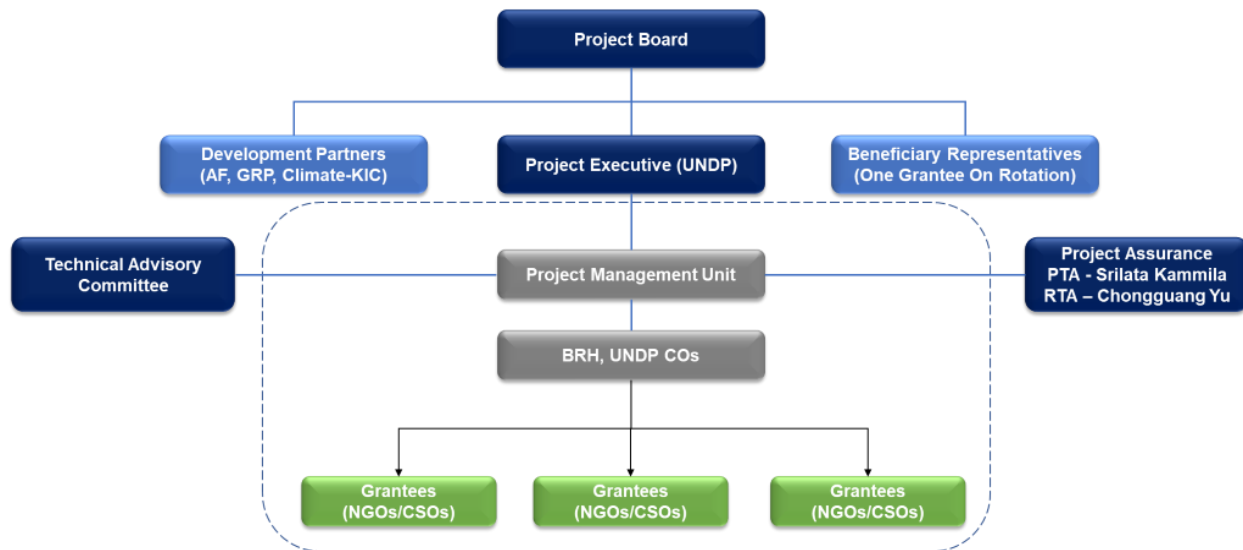
The Project Board is responsible for taking corrective action as needed to ensure the project achieves the desired results. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.

In case consensus cannot be reached within the Steeting Committee, UNDP senior management of the Environmental Finance (or their designated) will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.

Specific responsibilities of the Project Steeting Committee include:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the project manager;
- Agree on project manager's tolerances as required, within the parameters set by UNDP-GEF, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded;
- Advise on major and minor amendments to the project within the parameters set by UNDP-GEF;
- Ensure coordination between various donor and government-funded projects and programmes;
- Ensure coordination with various government agencies and their participation in project activities;
- Review the project progress, assess performance, and appraise the Annual Work Plan for the following year;
- Appraise the annual project implementation report, including the quality assessment rating report;
- Ensure commitment of human resources to support project implementation, arbitrating any issues within the project;
- Address project-level grievances;
- Approve the project Inception Report, Terminal Evaluation reports and corresponding management responses;
- Review the final project report package during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

The composition of the Project Board must include the following roles:

a. Project Executive: Is an individual who represents ownership of the project and chairs the Project Board. The Executive is normally the national counterpart for nationally implemented projects. The Project Executive is: *Principle Technical Advisor, UNDP-GEF*

b. Beneficiary Representative(s): Individuals or groups representing the interests of those who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. Often civil society representative(s) can fulfil this role. The Beneficiary representative (s) is/are: *From year 2 of the project once the project select and disburse grants to the first cohort of entrepreneurs, we will request one of the grantees to become a beneficiary representative.*

c. Development Partner(s): Individuals or groups representing the interests of the parties concerned that provide funding and/or technical expertise to the project. The Development Partner(s) is/are: *Global Resilience Partnership (GRP); Climate-KIC; and UNDP BRH*

d. Project Assurance/oversight: UNDP performs the oversight/quality assurance role and supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The Project Board cannot delegate any of its quality assurance

responsibilities to the Project Manager. Project oversight/assurance is totally independent of the Project Management function. This is a global project, oversight services will be provided mainly by the Environmental Finance Team/NCE/BPPS at regional and headquarters levels.

Technical Advoisry Committee: UNDP will invite 5-7 globally experts in relevant fields to be part of the Committee to provide technical advoisry to the project. In summary, the Advoisry Committee will provide technical advice on project workplan and feedback on project performance; provide technical advice on project risks and controls; screening and review shortlist to recommend final grantees; provide technical advice on grantees' accerleration workplan, operation and identify improvement opportunities.

Project extensions: The UNDP-GEF Executive Coordinator must approve all project extension requests. Note that all extensions incur costs and the AF project budget cannot be increased. A single extension may be granted on an exceptional basis and only if the following conditions are met: one extension only for a project for a maximum of six months; the project management costs during the extension period must remain within the originally approved amount, and any increase in PMC costs will be covered by non-AF resources; the UNDP oversight costs during the extension period must be covered by non-AF resoruces.

Detailed Implementation Arrangement

The project will be executed by UNDP under the UNDP Direct Implementation Modality (DIM) in line with UNDP's Programme and Operations Policies and Procedures and Bangkok Regional Hub Standard Operating Procedures. UNDP PMU will be responsible for day-to-day operations, overall management, ensuring project coherence, the preparation and implementation of work plans and annual audit plans; preparation and operation of budgets and budget revisions; disbursement and administration of funds; recruitment of national and international consultants and personnel; financial and progress reporting; and monitoring and evaluation. There will be various UNDP country offices providing support services in grant activities and relevant operations and financial transactions. As UNDP PMU is based in Bangkok, to ensure efficeincy, the majority of operations/support services will be executed by UNDP BRH based on staff time spent on delivery of services or other agreed cost recovery method. The services also include signing the grant agreements with grantees.

As the 'Implementing Partner, under the DIM modality, UNDP is directly responsible for the execution of the project. UNDP BRH will be providing execution services in close collaboration with Project Management Unit. Thereby, the Project Management Costs include costs incurred by UNDP directly in the provision of services related to operational and administrative support activities carried out. This entails cost of staff time to provide services such as: i) Payments, disbursements and other financial transactions; ii) Recruitment of staff, project personnel, and consultants; iii) Procurement of services and equipment, including disposal; iv) Organization of training activities, conferences, and workshops, including fellowships; v) Travel authorization, visa requests, ticketing, and travel arrangements; vi) Shipment, custom clearance, vehicle registration, and accreditation.

Globally Competitive and Transparent Innovation Sourcing and Screening Process
Once the ISGAP is operationalized, operational procedure and supporting document will be prepared, finalized, and publicly made available through ISGAP web site and other social media channels. These documents include Small Grant Application form (electronic as well as paper based), screening criteria, draft grant agreement, procurement and financial management guideline, grant monitoring report template, and Terms of References for the Technical Panel and Global Committee. UNDP in consultation

with network of part will set up the Technical Panel and Global Committee and by the middle of 2020, the first global call for proposal will be prepared and issued through UNDP's country offices and network of development partners.

Global Environment Facility (GEF) Small Grant Programme (SGP), UNDP

SGP will have two sourcing mechanics. One: select existing portfolio projects that both fit the criteria of ISGAP and scale up potential to enter the global call of proposal. Two: Sourcing new grantees using theme ISGAP's global call of proposal with the criteria of ISGAP. SGP channels will be working in coordination with the SGP National Steering Committee network with great domestic reach and assistance with pre-screening.

UNDP Youth Co:Lab

Youth Co:Lab will select their successful entrepreneurs that are ready to scale-up to apply for the ISGAP's global call of proposal. New entrepreneurs from the Youth Co:Lab network that meet the criteria of ISGAP will also be encouraged to apply from the global call of proposal. Youth Co:Lab will perform pre-screening before submitting proposals.

UNDP Finance Sector Hub

UNDP Finance Sector Hub includes UNSIF team and International Center for Private Sector In Development and their venture acceleration service and network. The ISGAP global call of proposal will be distributed through these internal partners to reach the ecosystem of impact oriented start-up, growth stage ventures for greater outreach and pre-screening.

More specifically sourcing and solicitation for proposals and application this will be channelled through the following:

1) Network of operational and ecosystem integrated venture accelerators in Armenia, Serbia, Indonesia, Philippines, Turkey, Denmark, which by end of 2019 will be expanded to include India, Thailand and Singapore.
2) Accelrate2030, UNDP's joint initiative with ImpactHub which, since 2016 has been sourcing, selecting and accelerating SDG targeting impact ventures from 16 countries (Nigeria, South Africa, Zimbabwe, Cambodia, Indonesia, Malaysia, Philippines, Brazil, Colombia, Costa Rica, El Salvador, Mexico, Venezuela, Armenia, Serbia, Turkey).
3) UNDP's SDG Finance Geneva Summit (SGS Geneva) that brings together high-level decision makers and investors with 20 developing country entrepreneurs, early stage and advanced growth stage – sourced through global accelerators, impact funds, family offices, and venture philanthropists to pitch products and services that advance the implementation of the SDGs.
4) Business Call to Action (BctA), IICPSD's initiative which provides guidance on inclusive business models and impact measurement and management advisory have already reached over 200 companies, ranging from multinationals to social enterprises working in 70 countries committed to impact activities targeting lives and livelihoods of millions and environmental sustainability in developing countries.
5) Network of dedicated focal points in Cos specialised in engagements with private sector, social entrepreneurship and impact investment that are guided through advisory support of UNSIF, IICPSD and regional private sector engagement teams under FSH.
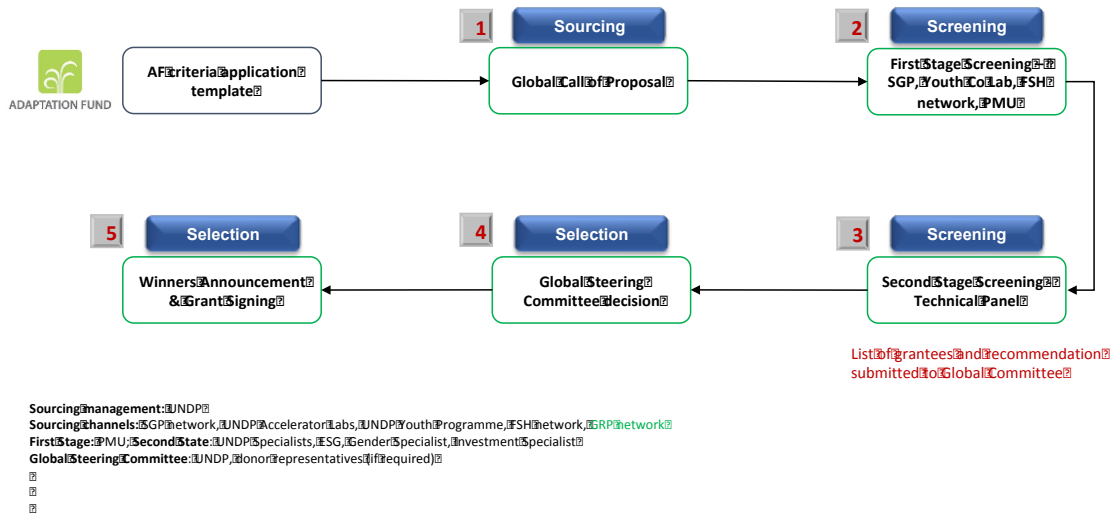
ISGAP PMU Outreach

Existing Government Focal Points from vertical funds (AF, GEF, GCF, etc) would be contacted to advise on the launching of ISGAP global call of proposal. Current existing partners that are working with GEF and GCF projects will also be contacted and encouraged to apply for the global call of proposal. The PMU will also coordinate with SGP NSC on the launch and outreach activities at the national level.

The ISGAP will review proposals submitted from all the UNDP networks and prepare review summary and recommendation for further consideration by the Technical Panel. The Technical Panel will be virtually convened by ISGAP to make final decision on the semi-finalists according to the screening criteria and the available funding in the first tranche. The semi-finalists will be notified and invited to participate in capacity development webinar to refine and enhance the quality of the proposals. Through UNDP partnership network, ISGAP will provide virtual one-on-one mentoring from global experts in the specific fields to further strengthen and finalize the proposals.

ISGAP structural diagram with Sourcing, Screening, and Selection process is illustrated in Figure 4.

Figure 4: ISGAP Structure with Sourcing, Screening, and Selection Process

Sourcing management: UNDP
Sourcing channels: SGP network, UNDP Accelerator Labs, UNDP Youth Programme, FSH network, GRP network
First Stage: PMU; **Second State**: UNDP Specialists, ESG, Gender Specialist, Investment Specialist
**Global Steering Committee**: UNDP, donor representatives (if required)

The semi-finalists will be invited to submit the final proposal to the ISGAP, who will prepare a review summary and recommendation for the consideration of the Global Committee. ISGAP will organize a virtual meeting of the Global Committee to select the finalists, which will be web cast via UNDP country offices and Internet where the semi-finalists along with national partners and government representatives are invited to participate. After the finalists are announced, ISGAP in coordination with UNDP country offices will work with the finalists to request Endorsement Letter or No Objection Letter[5] from their Adaptation Fund's Designated Authorities prior to the signing of the Grant Agreement. Corresponding country process of requesting the Endorsement Letter will be followed. After the Endorsement Letter or No Objection Letter is issued, ISGAP will transmit them to AF. The semi-finalists who are not selected in the final round will be advised to refine their ideas/products/services according to the comments from the Global Committee/Technical Panel and seek further support from the network of development partners including national government agencies.

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[5] Letter of Endorsement is required in a case that a grantee is a public entity while No Objection Letter is required in a case that a grantee is a non-public entity.

Results Oriented Grant Implementation Process

ISGAP structure with grant implementation, learning, and monitoring and evaluation process is depicted in Figure 5. The grant implementation process starts with grantees' orientation, which will be arranged in coordination with development partners via webinar through country offices and SGP country teams. Direct Access grantees (NIEs) will also invited to join the orientation webinar. Web link will also be shared with UNE. Grantees will be provided with required information to efficiently and transparently manage the grants, according to AF and UNDP's fiduciary requirements (governance, procurement and financial management, environmental and social policy, and gender) as well as results-based monitoring and evaluation procedure. Cloud based collaboration platform will be created, which is accessible (with different level of accessibility) by all grantees, ISGAP Operations Team, development partners, mentors/experts.

Figure 5: ISGAP Structure with Implementation, Learning, and Monitoring and Evaluation Process
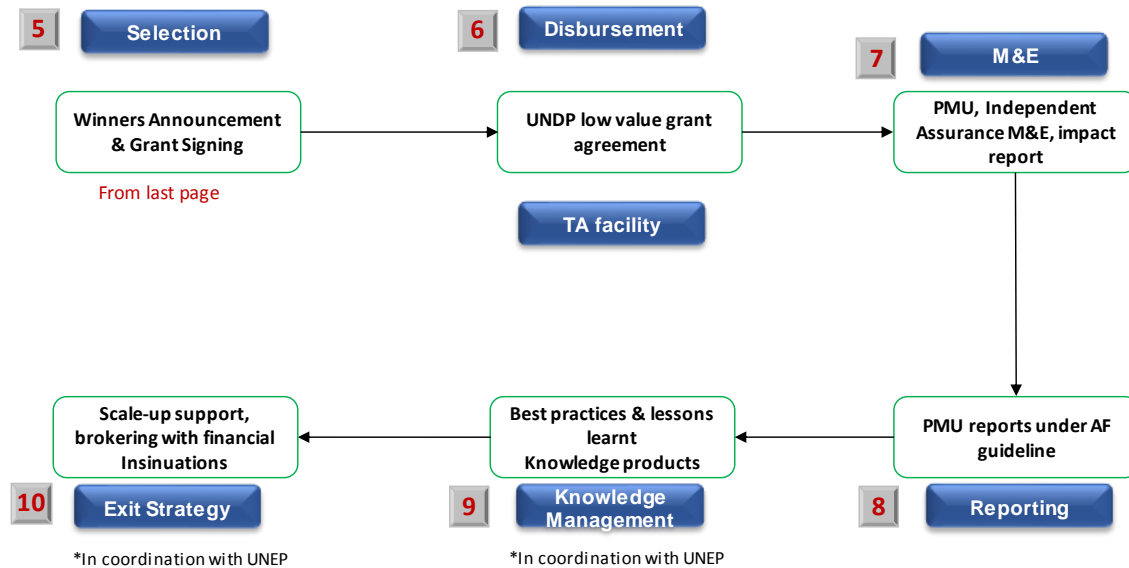
Grantee selection & TA oversight

GEF Small Grant Programme (SGP), UNDP

The implementation and oversight function of the ISGAP grants will also be performed by the NSC. SGP will also provide their current TA support functions to the ISGAP grantees.

UNDP Youth Co:Lab

Youth Co:Lab currently provide support to a network of over 500 social entrepreneurs across the Asia-Pacific region and expect to engage more youth led SDG solutions in near future. Based on the key requirements, Youth Co:Lab will select their successful entrepreneurs that are ready to scale-up to apply for the ISGAP's global call of proposal. The implementation and oversight function of the ISGAP grants in respect to youth led solutions in Asia-Pacific will also be performed by the Youth Co:Lab country teams. In addition, Youth Co:Lab will also provide their current TA support functions to the ISGAP grantees.

UNDP Finance Sector Hub

The standard oversight measures (methods, instructions, controls etc.) of the program will be focused on the core aspect of the functional stages. At the sourcing stage the focus of the focal points will be made on managing proper outreach to potential participants in terms of effectiveness of the channels, clarity of

commutations on the requirements, follow-up before and after proposal submitting. At the screening stage focus will be made on following range of specified exclusion criteria. At screening and selection assurance of impartial review (excluding conflict of interests and biased judgements) is necessary, at the same time strategic "pig picture" program priorities should be followed. Effectiveness and relevance would be the major aspects of the TA stage and could be controlled through curriculum management, intelligent selection of consultants and mentors, as well as periodic surveys of the participants.

ISGAP PMU

For grantees coming from the global call of proposal and not from any of the existing internal network, ISGAP PMU will support grant implementation by assisting

in monitoring project budgets and expenditures, recruiting and contracting project personnel and consultant services, subcontracting and procuring equipment. At a global level, PMU in coordination with country office focal points will also monitor the result and achievement of the grantees and ensure the efficient use of donor funds through an assigned the Project Manager.

Technical Assistance Ecosystem

Technical and business development/acceleration support will be designed and planned according to the results of the rapid demand[6] and capacity assessment carried out by ISGAP in close collaboration with each grantee and the Technical Panel.

Figure 6 ISGAP Technical Assistance Ecosystem
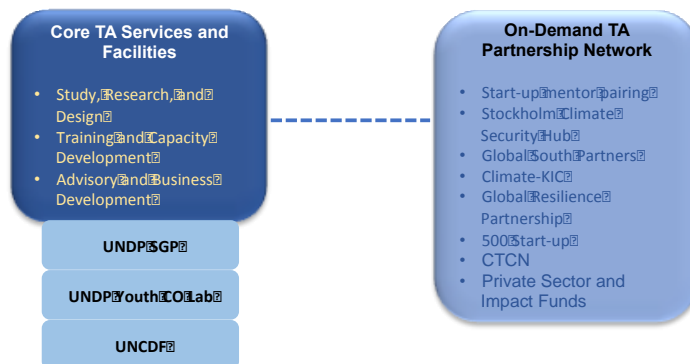
Existing UNDP networks (SGP and its capacity building initiatives, Youth Co:Lab, FSH) will provide their technical assistance support (in-kind support) to the grantees with their current capacity through their local network by involving grantees in relevant trainings, boot camps, consulting and mentorship sessions as periodically done by these structures. In certain cases, whenever organisation specific engagements are required (diagnostics, narrow domain specific technical advisory, business management advisory, local market intelligence, impact management and measurement) the local level support will be factored and provided based at full the cost recovery mechanism within the limits pre-agreed with ISGAP PMU. Additional global technical assistance will be established by the ISGAP PMU with two key components:

One centralised online portal with common business development/mentorship function that is opened to all grantees. This is designed to achieve cost efficient business development and innovation support that is commonly applied to all grantees.

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[6] Technical and business development/acceleration capacity development request is included in the application form.

A global expert network for specific innovation assistance. UNDP will work with global partners such as Global Resilience Partnership, Climate-KIC, Stockholm Climate Security Hub, 500 Start-ups and Global South Partners to augment resources from the AF and provide tailored assistance to grantees in required and/or common fields to fill the remaining demand. The global experts will be on standby to provide just-in-time mentoring and advice throughout the programme. The PMU will also provide match making service to grantees to find the right global partner to assist the grantee' innovation. This continuous process aims to improve the likelihood of success in translating proposed innovative idea into a workable prototype/model that can be further tested, refined, and ultimately commercially/widely rolled out. The grantees are encouraged to collaborate with relevant national institutions and private sector to further enhance their ideas.

Grant disbursement will be made to grantees accounts according to the agreed performance milestones such as Proof of Concept, Prototyping, Customer/Client Analysis, and Pilot/Demonstration. Procurement of goods and services by the grantees will comply with AF and UNDP procurement guidelines. A summary of financial transaction will be included as a part of periodic progress report. Audit and spot checks will be conducted following UNDP Financial Regulations and Rules including Audit policies and procedures.

Knowledge Management
During the Programme implementation, ISGAP will coordinate with UNE (another MIE aggregator), NIEs, and network of development partners will periodically organize Peer learning and knowledge sharing events such as hackathon, boot camp, an business pitching workshop, to foster collaboration, Knowledge fairs and networking of all grantees funded by AF's innovation small grant programs to learn from one another as well as from global experts and guest speakers in specific fields suggested by the grantees themselves. More detail of the Knowledge Sharing and Learning strategy is provided under section II.H above.

Exiting Strategy
Toward the end of a grant implementation cycle (up to 24 months), a Project Pitching event will be organized by ISGAP aiming to provide scale up and replication opportunity to the grantees. Invitees include UNE and their grantees, grantees from direct access channels, venture capitalists, social impact investors, representatives from international financial institutions, global environment funds such as GEF and GCF, philanthropists, and private sector. One of the key success indicators of ISGAP is how much support the grantees receive from the Project Pitching event.

VII.   FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is USD $4,608,295. This is financed through a AF grant of USD $4,608,295, to be administered by UNDP, the Implementing Entity which is responsible for the oversight of the AF resources.

Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board.

Should the following deviations occur, the Project Manager/CTA will seek the approval of the BPPS/GEF team to ensure accurate reporting to the AF:

a) Budget re-allocations among components in the project budget with amounts involving 10% of the total project grant or more;

b) Introduction of new budget items that exceed 5% of original AF allocation.

Any over expenditure incurred beyond the available AF grant amount will be absorbed by non-AF resources (e.g. UNDP TRAC or cash co-financing).

Audit: The project will be subject to audit as per UNDP Financial Regulations and Rules and applicable audit policies. Audit cycle and process must be discussed during the Inception workshop.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. All costs incurred to close the project must be included in the project closure budget and reported as final project commitments presented to the Project Board during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. **Operational closure must happen within 3 months of posting the TE report to the UNDP ERC**. The Implementing Partner through a Project Board decision will notify UNDP when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

Transfer or disposal of assets: In consultation with other parties of the project, UNDP is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file[7]. The transfer should be done before Project Management Unit complete their assignments.

Financial completion (closure): The project will be financially closed when the following conditions have been met: a) the project is operationally completed or has been cancelled; b) the Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP has certified a final Combined Delivery Report (which serves as final budget revision).

The project will be financially completed **within 6 months of operational closure or after the date of cancellation**. Between operational and financial closure, UNDP will identify and settle all financial obligations and prepare a final expenditure report and will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the BPPS/GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP.

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7 See
https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

<u>Refund to AF:</u> Should a refund of unspent funds to the AF be necessary, this will be managed directly by the BPPS/GEF Directorate in New York. No action is required by the UNDP Country Office on the actual refund from UNDP project to the AF Trustee.

VIII. TOTAL BUDGET AND WORK PLAN

Award ID:	00125744		Project ID:	00120017
Award Title:	Adaptation Fund-UNDP Innovation Small Grant Aggregator Platform (ISGAP)			
Business Unit:	UNDP1			
Project Title:	Adaptation Fund-UNDP Innovation Small Grant Aggregator Platform (ISGAP)			
PIMS no.	6266			
Implementing Partner (Executing Agency)	United Nations Development Programme (UNDP)			

Outcome/Atlas Activity	Atlas IA	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount USD 2020	Amount USD 2021	Amount USD 2022	Amount USD 2023	Total Amount US$	Budget note
Component 1: Provision of Innovation Small Grants	UNDP	62040	AF	72600	Grants	500,000	1,300,000	700,000	500,000	3,000,000	1
Total Component 1						**500,000**	**1,300,000**	**700,000**	**500,000**	**3,000,000**	
Component 2: Provision of Technical and Business Development Capacity Building, Incubation, and Acceleration Support	UNDP	62040	AF	61300	Salary & Post Adj Cst-IP Staff	122,500	122,500	122,500	122,500	490,000	2
				71200	International Consultants	12,000	12,000	12,000	12,000	48,000	3
				72100	Contractual Services-Companies	20,000	20,000	20,000	20,000	80,000	4
				71600	Travel	11,500	11,500	11,500	11,500	46,000	5
				75700	Training, Workshops and Conferences	15,000	18,000	18,000	35,000	86,000	6
				74200	Audio Visual&Print Prod Costs	2,000	2,000	2,000	2,000	8,000	7
				61200	Salaries Costs-GS Staff	4,900	4,900	4,900	4,900	19,600	8
				71400	Contractual Services-Indiv	35,000	35,000	35,000	35,000	140,000	9
				74500	Miscellaneous	2,500	2,500	2,500	2,500	10,000	10

Total Component 2						**225,400**	**228,400**	**228,400**	**245,400**	**927,600**	
Component 3: Knowledge Management and sharing and Result-Based Monitoring and Evaluation	UNDP	62040	AF	61300	Salary & Post Adj Cst-IP Staff	47,500	47,500	47,500	47,500	190,000	11
				71400	Contractual Services-Indiv	15,000	15,000	15,000	15,000	60,000	12
				75700	Training, Workshops and Conferences	20,000	20,000	20,000	29,135	89,135	13
				74200	Audio Visual&Print Prod Costs	2,000	2,000	2,000	2,910	8,910	14
				61200	Salaries Costs-GS Staff	2,100	2,100	2,100	2,100	8,400	15
				71200	International Consultants	44,000	44,000	44,000	44,000	176,000	16
				74500	Miscellaneous	2,500	2,500	2,500	2,500	10,000	17
Total Component 3						**133,100**	**133,100**	**133,100**	**143,145**	**542,445**	
Project Management	UNDP	62040	AF	61300	Salary & Post Adj Cst-IP Staff	15,000	15,000	15,000	15,000	60,000	18
				74100	Professional Services	2,500	2,500	2,500	2,500	10,000	19
				71600	Travel	2,000	2,000	2,000	3,250	9,250	20
				71200	International Consultant				25,000	25,000	21
				61200	Salaries Costs-GS Staff	6,000	6,000	6,000	6,000	24,000	22
				73100	Rental & Maintenance-Premises	2,500	2,500	2,500	2,500	10,000	23
Total Project management						**28,000**	**28,000**	**28,000**	**54,250**	**138,250**	
TOTAL PROJECT COSTS						**886,500**	**1,689,500**	**1,089,500**	**942,795**	**4,608,295**	

Summary of Fund:

Source of Fund	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Total
AF	**886,500**	**1,689,500**	**1,089,500**	**942,795**	**4,608,295**
TOTAL	**886,500**	**1,689,500**	**1,089,500**	**942,795**	**4,608,295**

Budget Note No.	Clarification of the budget items
1	Provision of small innovation grants of up to USD 250,000 per grants following two global calls for proposal in year 1 and year 2. The grant disbursement is based on the grantees' performance and agreed milestone.
2	ISGAP Project Manager. Post estimated at USD 150,000 per year for 4 years. 70% is budgeted in Component 2; 20% in Component 3; and 10% in PMC. UNDP technical support provided to grantees (including business development, business advisory, financial brokering, linkage with global innovation programmes) at an estimated cost of 35,000/year (17,500/year budgeted in Component 2 and 3 each)
3	Technical Coordinator. The consultant(s) will provide technical support on common technical assistance needs requested by grantees at USD 400 per day for 30 days in a year for four years
4	Company providing TA & business development support
5	Travels by international and regional experts/mentors estimated for 3 persons average total $11,500 a year
6	Consultation, hackathon, training workshop/webinar. Expected one workshop per year, to be attended by grantees from all regions. For the last year, there will also be a pitching event with investors
7	Audio equipment rental and printing cost for the workshop estimated at USD 2,000 per year for four year
8	Grant administration support from existing admin UNDP staff time (estimated at $7,000/year; 70% budgeted in Component 2 and 30% in Component 3)
9	Grant administration support (Finance) - 70% budgeted in Component 2 and 30% in Component 3; Technical Associate - 70% budgeted in Component 2 and 30% in Component 3
10	Miscellaneous expenses
11	ISGAP Project Manager. Post estimated at USD 150,000 per year for 4 years. 70% is budgeted in Component 2; 20% in Component 3; and 10% in PMC. UNDP technical support provided to grantees (including business development, business advisory, financial brokering, linkage with global innovation programmes) at an estimated cost of 35,000/year (17,500/year budgeted in Component 2 and 3 each)
12	Grant administration support (Finance) - 70% budgeted in Component 2 and 30% in Component 3; Technical Associate - 70% budgeted in Component 2 and 30% in Component 3
13	Knowledge sharing workshop/webinar/podcast/blog post, annual idea showcasing, and monitoring conferences. Cost estimation is based on expected participants/grantees from all regions.

14	Audio equipment and printing cost for the workshop and annual report estimated at USD 2,000 per year for the first three years. $2,910 for year 4
15	Grant administration support from existing admin UNDP staff time (estimated at $7,000/year; 70% budgeted in Component 2 and 30% in Component 3)
16	Knowledge Management Consultant ($300x40 days/ year for 4 years); M&E Consultant ($400x80 days/year for 4 years)
17	Miscellaneous expenses
18	ISGAP Project Manager. Post estimated at USD 150,000 per year for 4 years. 70% is budgeted in Component 2; 20% in Component 3; and 10% in PMC.
19	Annual consolidated financial audits at USD 2,500 per year
20	PMU office travels during project implementation
21	Terminal Evaluation ($25,000)
22	Support provided by the existing UNDP staff - from HR (selection and recruitment, medical clearance, contract issuance, benefits administration and contract management) @USD 2,285 per year x 4 years = USD9,140 Support from procurement (procurement of goods and services/procurement committee review and consultant recruitment) @USD 575 per year x 4 years = USD2,300 Support from finance (vendor profile setup and payment processes) @USD 2,334 per year x 4 years = USD9,336 Support from IT and admin (IT support and visa/ticket issuance) @USD 806 per year x 4 years = USD3,224
23	Office space rental for PMU unit

IX. LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAAs for the specific countries; or (ii) in the Supplemental Provisions to the Project Document attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by UNDP ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply**.**

The designations employed and the presentation of material on this map do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations or UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

X. RISK MANAGEMENT

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)

2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the project funds are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

5.   In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies and procedures.

6.   All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

7.   UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:

   a.   Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
      i.   put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
      ii.   assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.

   b.   UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.

   c.   In the performance of the activities under this Project, UNDP as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or address SEA and SH.

   d.   Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

   e.   The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-

recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

f. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.

g. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

h. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

i. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process

or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.

j. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

k. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

XI.   MANDATORY ANNEXES

ANNEX 1. MULTIYEAR WORKPLAN

Expected Outputs and Result Indicators	Planned activities	Planned Budget						
		Y1	Y2	Y3	Y4	Funding source	Budget Description	Amount
Outcome 1 *Result Indicator:* Number of innovative adaptation practices, tools and technologies funded *Result Indicator:* Quantity and quality of key findings on effective, efficient adaptation practices, products and technologies generated	1.1 Low value grants to NGOs/CSOs	X		X		AF	Low value grants to NGOs/CSOs with $125,000 per grant (or $60,000 for small grant); in year 1 & 3. Some payments will only be made after milestone achieved (therefore disbursement could happen in year 2&4)	2,200,000
Outcome 2 *Result Indicator:* Number of grantees that successfully complete innovation and business development milestones and grant disbursement according to agreed grantees' performance target *Result Indicator:* Number of grantees that receive additional support/funding to scale up and/or replication	2 Provision of Technical and Business Development Capacity Building, Incubation, and Acceleration Support to grantees	X	X	X	X	AF	Contractual services, international and local consultants, trainings, workshops, ICT costs, professional services, transport, travel	927,600
Outcome 3 *Result Indicator:* Citation and/or adoption of shared lessons learned and codified knowledge	3 Knowledge Management and sharing and Result-Based Monitoring and Evaluation (With UNEP)	X	X	X	X	AF	Trainings, workshops, meetings, exposure visits, international and local consultants transport, travel, contractual services individual, miscellaneous	542,445
	Total Outcome 1-3							4,470,045
	Project Management Costs							138,250
	Grand Total							4,608,295

ANNEX 2. GENDER ACTION PLAN

The following Gender Action Plan (GAP) constitutes an identification of actions, indicators and targets associated with each of the outcomes of the Project, to strengthen opportunities or gender mainstreaming and greater gender responsiveness of activities.

Component/Outcomes Outputs	Actions	Indicator and Targets
Objective: The AF-UNDP Innovation Small Grant Aggregator Platform (ISGAP) aims to support the development and diffusion of innovative adaptation practices, tools, and technologies in developing countries.		
	1- Ensure new innovations promote and accelerate gender equality and women's empowerment 2- Ensure evidence base generated is segregated by gender.	1- Target: #/% of new innovations promoted and accelerated that accounts for the structural barriers and needs of women 2- #/% of adaptation innovation evidence generated with insights on women
Component 1: Provision of Innovation Small Grants Outcome: Development of innovative adaptation practices, tools and technologies promoted and accelerated. Evidence of effective, efficient adaptation practices, products and technologies generated as a basis for implementing entities and other funds to enable scaling up.		
Output 1.1. Innovative adaptation practices, tools and technologies promoted through at least 10 small innovation grant projects Output 1.2. Quantity and quality of key findings on effective and efficient adaptation practices, products and technologies generated through at least 10 small innovation grant projects	3- Develop methods, tools and guidelines with weighting to screening grantees based on gender and social inclusion scores. 4- Mainstream gender and social inclusion (GSI) into investment/grantee selection process and governance.	3- Gender & social inclusion weighting is designed in screening process for both long listing and shorting listing grantees. 4- Develop guidelines to integrate adaptation innovation screening with gender & social inclusion screening 5- 3- A member in the investment committee with a focus and expertise in gender and social inclusion 6- "#/% of new innovations promoted that result in an increase in women's welfare level

Component/Outcomes Outputs	Actions	Indicator and Targets
Component 2: Provision of Technical and Business Development Capacity Building, Incubation, and Acceleration Support Outcome 2: Timely and efficient completion of business milestones demonstrated through additional investment and/or support capitalization for scaling		
Output 2.1: Customized technical training, business development and management mentoring, partnering prepared and organized.	5- Develop TOR and/or guidelines to address GSI dimensions as integral parts of the review and development grantees' individual acceleration plan. 6- Ensure grantees adhere to the AF's Gender policy including gender mainstreaming and women's empowerment and with the UN's System Wide Action Plan (UN-SWAP). Provide technical assistance to improve gender and social inclusion for grantees.	7- Each grantee has a set target on GSI metrics, a plan of technical assistance is designed as part of their individual acceleration plan. 8- GSI is reported as part of grantee' half yearly report. 9- Specific technical assistance is provided at demand for grantees that are working closely with GSI issues. 10- # of local communities that are trained on GSI issues.
Component 3: Knowledge Management and sharing and Result-Based Monitoring and Evaluation Outcome 3: Lessons learned codified, documented, and disseminated leading to adoption or replication of project introduced innovations		
Output 3.1. Annual knowledge sharing and peer learning conference and webinar for international communication. Output 3.2. Annual report prepared and disseminated.	7- Sharing GSI learnings in the annual conference 8- GSI metrics are integrated into the annual report	11- Annual conference with a set discussion on GSI learnings 12- GSI metrics are reported half yearly be grantees and consolidated yearly by project team.

ANNEX 3. UNDP SOCIAL AND ENVIRONMENTAL SCREENING PROCEDURE

Project Information

Project Information	
1. Project Title	Adaptation Fund-UNDP Innovation Small Grant Aggregator Platform (ISGAP)
2. Project Number	*PIMS 6266*
3. Location (Global/Region/Country)	Global

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the Project mainstreams the human-rights based approach
The project ensures the mainstreaming of a human-rights based approach and the Sustainable Development Goal (SDGs) commitment to "leave no one behind". By working with supporting NGOs/CSOs at local level on building resilience and finding innovative solutions for climate change adaptation; the project aim to increase the overall resilience and social and economic status for the communities and frequently excluded population groups. Small grants will be provided to NGOs/CSOs and community-based organizations involved with local environmental protection and poverty eradication activities; and/or climate change adaptation challenges that still require some level of experimentation to identify possible solutions. This project is new way to develop climate change resilience at local level. The expected overarching development outcome is innovation for effective, long-term adaptation to climate change accelerated promoted and enabled with particular emphasis on supporting vulnerable groups and gender equality.
Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment
Similarly, the project will work with grantees to integrate rigorous gender analysis to understand and meaningfully address the particular needs, priorities, structural and systemic barriers, status and roles of men and women in their business. The grantee will work with the project team to develop business plan to advance gender equality and women's empowerment. All grantees must adhere to UNDP and AF policies and requirements on gender. Gender equality is imbedded in the project design, consultation, implementation, monitoring, reporting, and evaluation. The Grant committee will also ensure existing gender inequalities not be exacerbated by any activities or innovative solutions of grantee. Overall, the project will provide technical assistance to potential grantees to expand their innovative solutions that could advance social and economic status for women; either from the business perspective of from their customers' perspective.
Briefly describe in the space below how the Project mainstreams environmental sustainability
As a climate change and local led adaptation project, the project holds environmental sustainability as one of the core principles guiding the project. All grantee will be screened and evaluated according to UNDP environmental and social impacts and gender policies as well as additional risk factors (social and safeguard risks). Additional screening on environmental sustainability will be carried out prior to signing grant agreements with the selected grantees. During project implementation, grantees are required to provide bi-

annually Progress Briefs highlighting progress of their projects as well as status of compliance with UNDP environment, social, and gender policy. Project management unit would carry out regular monitoring of the compliance with required environmental and social management plan and risk management plan. Findings will be documented in the annual evaluation report.

Part B. Identifying and Managing Social and Environmental <u>Risks</u>

QUESTION 2: What are the Potential Social and Environmental Risks? Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.			QUESTION 3: What is the level of significance of the potential social and environmental risks? Note: Respond to Questions 4 and 5 below before proceeding to Question 6		QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments		Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Human Rights There is a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them. NGOs/CSOs that received grant from UNDP also involve in adverse impact from employment. In addition, although the project aims to find climate change adaptation solutions that improve resilience, it is still likely that when handle incorrectly, the grant recipient businesses or social enterprises could exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals by business expansion.	I = 2 P =5	**Moderate**	It is likely that the project will work with marginalized groups. Whether grant funding to businesses supporting on one of marginalized group while not others. In addition, it is also possible to provide grants to for-profit businesses that has negative impact on the revenue of social enterprises (vice versa). Employment raised from the grant recipient businesses or social enterprise could have adverse human rights practice. It is expected that all these risks have high probability but low impact given the grant amount ($150,000 for NGOs/CSOS; $40,000 for private sector).		*Overall, the project will manage SES-related risks by setting up controls at every stage of the project processes.* *For this and all other SES-related risks. Risk to be further assessed after grantee selection and management measures defined at that stage with each grantee.* *For this and all other SES-related risks. Investment committee of the project will establish screening criteria for grantees that need to incorporate social and environmental risks measurement. During the selection process and M&E process, a Safeguard expert will be hired to review the grant applicants and ensure that appropriate management measures are in place.*

				For this and all other SES-related risks. SES-risks will also be a discussion topic on the annual workshop for all grantees. It is envisioned to have a web seminar as soon as grantees are selected to provide the basic education on SES risks.
Gender Equality and Women's Empowerment The grant recipient NGOs/CSOs could limit women's ability to use, develop and protect natural resources, taking into account different roles and positions given the employment choice and local culture. Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits through grant selection.	I = 2 P =3	**Moderate**	It is likely the grant recipient businesses or social enterprise could have employment preference that might limit women's ability to take part of the w ork. It is expected this risk has moderate probability but low impact given the grant amount ($150,000 for NGOs/CSOS; $40,000 for private sector).	**This program's screening criteria will include gender considerations. The grant proposal will describe how the project would adhere to the UNDP's Gender policy including gender mainstreaming and women's empowerment. The proposal will ensure that women and men are provided with an equal opportunity to build resilience, address their differentiated vulnerabilities and increase their capability to adapt to climate change impacts. The proposal will illustrate how gender equality is imbedded in the project design, consultation, implementation, monitoring, reporting, and evaluation.** **Investment committee (gender balanced) will include a safeguard and gender expertise to enable grant approval and selection. *Grantee would need to address relevant SES-risks raised by the investment committee in their workplan.*** **From a result perspective, Grantees are required to prepare bi-annually Performance Briefs on the progress of their projects including status of their compliance with UNDP environment, social, and gender policy, in addition, any measures undertaken or impact created that addressing gender equality.** **A Gender action plan is designed in the project reviewed by internal gender expert.**
Biodiversity Conservation and Sustainable Natural Resource Management	I = 2 P =3	**Moderate**	It is possible some of the grant recipient businesses and social enterprises have	*Overall, the project will manage SES-related risks by setting up controls at every stage of the*

Grants to NGOs/CSOs that their business model could cause adverse impacts to habitats, e.g. associated with harvesting of natural forests or harvesting of fish populations or other aquatic species. Grantee might have business activities within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities. Grantee might have business activities result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area.			business models that cause adverse natural resource or habitats impact.	*project processes. See Human right section for the detail.*
Climate Change Mitigation and Adaptation The project aims to provide grants to local NGOs/CSOs in developing countries, it is no doubt that potential outcomes of the Project will be sensitive or vulnerable to potential impacts of climate change.	I = 2 P =5	**Moderate**	The objective of the project is to find and scale potential solutions of climate change adaptation in fragile states; if climate change impact hits before the solution is scalable, it is likely that the grant recipient businesses or social enterprises will fail. However, given the project is operating in high risks environment, the project has a high risk tolerance therefore low impact.	*Overall, the project will manage SES-related risks by setting up controls at every stage of the project processes. See Human right section for the detail.*
Community Health, Safety and Working Conditions The grant recipient NGOs/CSOs might fail to comply with national and international labor standards. Employment with the NGOs/CSOs could pose a potential risk to health and safety of individuals depends on the business activities (eg. Use of new	I = 3 P =3	**Moderate**	Given the project will work with many local NGOs/CSOs, it is likely that the grant recipient businesses or NGOs/CSOs fail to comply with national and international labor standards.	*Overall, the project will manage SES-related risks by setting up controls at every stage of the project processes. See Human right section for the detail.*

pesticide, or new fertilizer, using of unfamiliar equipment).				
Cultural Heritage The grant recipient NGOs/CSOs or UNDP could lead to commercialize traditional knowledge. As NGOs/CSOs grantees will share their lessons learnt in their innovative approach to climate change adaptation, other actors could use the knowledge product of UNDP to commercialize these traditional knowledge. As part of the project, UNDP is expected to act as an investment broker to find commercial investors to invest commercially in scalable grantees.	I = 2 P =5	**Moderate**	The objective of the project is to find and scale potential solutions of climate change adaptation in developing countries on local level, the solutions could raise from traditional knowledge; but given we are providing grant to existing NGOs/CSOs, generally it means the knowledge is already embedded in their business model. Given grantees have the right to accept or reject investment, high probability low impact.	*Overall, the project will manage SES-related risks by setting up controls at every stage of the project processes. See Human right section for the detail.* *UNDP will conduct due diligence on the private sector with aim to invest in project grantees.*
Displacement and Resettlement Communities in the project area (including ethnic minorities) could face economic displacement, changes to land rights and/or restricted access to resources because of the grant recipient businesses and social enterprises expansion.	I=4 P=1	**Moderate**	Local resources/land could be purchased through the expansion of grant supported businesses and social enterprises (although low impact due to limited size of the grants). This could potential causes economic displacement, restricted access to resources.	*Overall, the project will manage SES-related risks by setting up controls at every stage of the project processes. See Human right section for the detail.* *Grantees would need to clear ensure no economic displacement and no resettlement in their workplan.*
Indigenous Peoples The project aims to provide grants to local NGOs/CSOs in developing countries. It is highly likely that the project will be working with indigenous peoples, either as grantees, customers of grantees or suppliers of grantees.	I=3 P=5	**Moderate**	The objective of the project is to find and scale potential solutions of climate change adaptation in by providing grant to existing NGOs/CSOs. As the project does not create new or change of current local engagement method with indigenous people, the impact is quite low. However, since the project regions have not defined, place impact rating on 3 (impacts of low magnitude) until further assessment is done.	*Grantee would need to clear to notice project team around indigenous people in their employee or customers. This risk need to be addressed in their workplan if they do employ/service/compete with indigenous peoples.*
	QUESTION 4: What is the overall Project risk categorization?			
	Select one (see SESP for guidance)			**Comments**
	Low Risk		☐	

	Moderate Risk	*X*	The overall risk categorization is moderate. The means of mitigating risks have been identified and have been integrated into overall project design and grantee workplan.
	High Risk	☐	
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
	Check all that apply		**Comments**
	Principle 1: Human Rights	*X*	
	Principle 2: Gender Equality and Women's Empowerment	*X*	
	1. Biodiversity Conservation and Natural Resource Management	*X*	
	2. Climate Change Mitigation and Adaptation	*X*	
	3. Community Health, Safety and Working Conditions	*X*	
	4. Cultural Heritage	*X*	
	5. Displacement and Resettlement	*X*	
	6. Indigenous Peoples	*X*	
	7. Pollution Prevention and Resource Efficiency	*X*	

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental <u>Risks</u>	
Principles 1: Human Rights	**Answer (Yes/No)**
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	Yes

2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [8]	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	Yes
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	Yes
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	Yes
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	Yes
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	Yes
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods?	No

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[8] Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	Yes
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	Yes
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	Yes
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water?	Yes
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?	Yes
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant[9] greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No

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[9] In regards to CO_2, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources).

3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	Yes
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	Yes
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	Yes
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)?	Yes
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	Yes
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	Yes
5.3	Is there a risk that the Project would lead to forced evictions?[10]	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Yes
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?	Yes
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	Yes

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[10] Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	Yes
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	YEs
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	Yes
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Yes
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

ANNEX 4. STAKEHOLDER ENGAGEMENT PLAN

Public engagement undertaken during project development & implementation

The project will be executed by the UNDP Project Management Unit (PMU) based in Bangkok under the UNDP Direct Implementation Modality (DIM). During the project development, various stakeholders have been consulted, these include: UNDP GEF Small Grant Programme, UNDP SDG Finance Hub, UNDP Youth CO:Lab Programme, UNDP DRR team and UNCDF. Various external partnerships were also explored. The project team had online discussion with UNEP around collaboration on sharing lessons learnt and knowledge management. Two core project partners, GRP and Climate-KIC are constantly involved with the project design. It is expected that many grantees would come from these external partners. A few Country Offices with on-going innovation/acceleration programmes have been contacted to see how to best integrate with the their existing programmes.

It is planned that before the call of proposal, the project team will reach out to existing Government Focal Points from vertical funds (AF, GEF, GCF, etc). Current existing partners that are working with GEF and GCF projects will also be contacted and encouraged to apply for the global call of proposal. The PMU will also coordinate with SGP NSC, GRP, Climate-KIC on the launch and outreach activities at the national level.

A Project Launch Workshop within three months of project start with the full PMU team, relevant partners and stakeholder. The Launch Workshop is crucial to building ownership for the project results and planning the first-year annual work plan. A fundamental objective of the Launch Workshop will be to present the modalities of project implementation and execution, document mutual agreement for the proposed executive arrangements amongst stakeholders and assist the PMU to understand and take ownership of the project's goals and objectives. Another key objective of the Launch Workshop is to introduce the project team, which will support the project during its implementation. A Launch Summary will be prepared and shared with participants to formalize various agreements decided during the meeting. It is also possible to engage external partners (UNE, GRP, Climate-KIC) to participate in the workshop.

Toward the end of a grant implementation cycle (up to 24 months), a Project Pitching event will be organized by ISGAP aiming to provide scale up and replication opportunity to the grantees. Invitees include UNE and their grantees, grantees from direct access channels, venture capitalists, social impact investors, representatives from international financial institutions, global environment funds such as GEF and GCF, philanthropists, and private sector. One of the key success indicators of ISGAP is how much support the grantees receive from the Project Pitching event.

The stakeholders, their relevant interests, and implementation arrangement

UNEP

UNEP was another Multilateral Implementing Entity selected by AF to manage the innovation grant programme. The collaboration between UNEP and UNDP will be mostly focusing on knowledge sharing and advocacy. To deepen knowledge creation and sharing, result driven knowledge sharing events (such as hackathon, innovation fair, product showcase), will be organized in coordination with UNEP and direct access grantees as well as UNDP's public and private partners. Both Knowledge Platform and Knowledge Sharing Events will be open for both grantees awarded by the ISGAP, UNE, and grantees awarded by AF's

direct access mechanism. A strategic communication and dissemination program will be developed and implemented in coordination with UNEP to enhance the transparency and visibility of the AF-UNDP Partnership for Innovation Small Grant Program and UNEP Program among development partners and other stakeholders.

GRP

The Global Resilience Partnership (GRP) has reached out to UNDP to explore potential synergy in pursuing a Medium Size Project (up to US$ 2 million) with funding from the Global Environment Facility (GEF), focusing on building resilience for peace and stability in vulnerable and fragile regions. This project is current in the PIF stage. GRP will be also a partner for this project mostly around sourcing grantees, develop on common technical assistance facility and knowledge sharing.

Climate-KIC

Climate-KIC, one of the main project partners, have already provided UNDP the finalist of their climate acceleration programme - Climatelaunchpad. 16 Finalists (out of 1600 start-ups worldwide) with an adaptation focus were identified as potential grantees for the ISGAP project. A formal MoU between UNDP BRH and Climate-KIC is under development to ensure ISGAP can have access to Climatelaunchpad Programme's annual finalist and sharing innovator mentorship and central innovation training resources.

Global Environment Facility (GEF) Small Grant Programme (SGP), UNDP

SGP will have two sourcing mechanics to support this project. One: select existing portfolio projects that both fit the criteria of ISGAP and scale up potential to enter the global call of proposal. Two: Sourcing new grantees using theme ISGAP's global call of proposal with the criteria of ISGAP. SGP channels will be working in coordination with the SGP National Steering Committee network with great domestic reach and assistance with pre-screening. The implementation and oversight function of the ISGAP grants will also be performed by the NSC. SGP will also provide their current TA support functions to the ISGAP grantees.

UNDP Youth Co:Lab

Youth Co:Lab currently provide support to a network of over 500 social entrepreneurs across the Asia-Pacific region and expect to engage more youth led SDG solutions in near future. Based on the key requirements, Youth Co:Lab will select their successful entrepreneurs that are ready to scale-up to apply for the ISGAP's global call of proposal. The implementation and oversight function of the ISGAP grants in respect to youth led solutions in Asia-Pacific will also be performed by the Youth Co:Lab country teams. In addition, Youth Co:Lab will also provide their current TA support functions to the ISGAP grantees.

UNDP Finance Sector Hub

UNDP Finance Sector Hub includes UNSIF team and International Center for Private Sector In Development and their venture acceleration service and network. The ISGAP global call of proposal will be distributed through these internal partners to reach the ecosystem of impact-oriented start-up, growth stage ventures for greater outreach and pre-screening.

ANNEX 5. TERM OF REFERENCE

Project Board	Tasks, Inputs and Outputs
AF-UNDP Innovation Small Grant Global Project Board *Rate: pro-bono*	*The AF-UNDP Innovation Small Grant Global Committee member will be responsible for the approve and select recommended grantees from the PMU, provide guidance and suggestion to grant selection criteria designed from the PMU. Based on member's expertise, provide high-level strategy and guidance to grantees' acceleration plan.* *Duties and Responsibilities* • *Establish vision, mission and values for the programme;* • Provide overall guidance and direction to the project, ensuring it remains within any specified constraints; • Address project issues as raised by the project manager; • Agree on project manager's tolerances as required, within the parameters set by UNDP-GEF, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded; • Advise on major and minor amendments to the project within the parameters set by UNDP-GEF; • Ensure coordination between various donor and government-funded projects and programmes; • Review the project progress, assess performance, and appraise the Annual Work Plan for the following year; • Appraise the annual project implementation report, including the quality assessment rating report; • Address project-level grievances; • Approve the project Inception Report, Terminal Evaluation reports and corresponding management responses; • Review the final project report package during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up. • *Provide guidance and advise on member's area of expertise;* • *Working with the project team and following instructions from the project board, design grant selection criteria;* • *Approve and select shortlisted grantees; provide recommendation the board on the selected grantees;* • *Provide high-level strategy and guidance to grantees' acceleration plan;* • *Assess grantees performance based on annual reports, provide recommendation on remediation plan for underperformance grantees.*

Staff	Tasks, Inputs and Outputs
Project Manager *Rate: Post estimated at USD 150,000 per year for 4 years*	*The Project Manager (PM), will be responsible for the overall management of the project, including the mobilization of all project inputs, supervision over project staff, consultants and sub-contractors.* *Duties and Responsibilities* • *Manage the overall conduct of the project.* • *Plan the activities of the project and monitor progress against the approved workplan.* • *Execute activities by managing personnel, goods and services, training and low-value grants, including drafting terms of reference and work specifications, and overseeing all contractors' work.* • *Monitor events as determined in the project monitoring plan, and update the plan as required.* • *Provide support for completion of assessments required by UNDP, spot checks and audits.* • *Manage requests for the provision of UNDP financial resources through funding advances, direct payments or reimbursement using the FACE form.* • *Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports.* • *Monitor progress, watch for plan deviations and make course corrections when needed within project board-agreed tolerances to achieve results.* • *Ensure that changes are controlled and problems addressed.* • *Perform regular progress reporting to the project board as agreed with the board, including measures to address challenges and opportunities.* • *Prepare and submit financial reports to UNDP on a quarterly basis.* • *Manage and monitor the project risks – including social and environmental risks - initially identified and submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;* • *Capture lessons learned during project implementation.* • *Prepare revisions to the multi-year workplan, as needed, as well as annual and quarterly plans if required.* • *Prepare the inception report no later than one month after the inception workshop.* • *Assess major and minor amendments to the project within the parameters set by UNDP & AF* • *Monitor implementation plans including the gender action plan, stakeholder engagement plan, and any environmental and social management plans;* • *Monitor and track progress against the AF Core indicators.* • *Support the Terminal Evaluation process.*

Staff	Tasks, Inputs and Outputs
Technical Coordinator (IC) *Rate: USD 400 per day for 30 days in a year for four years*	*The Technical Coordinator (TC), will provide technical advice and associated policy advice to the programme and its activities. S/he will provide guidance and advice to the Project Manager on identifying the best methods to ensure that the project achieves maximum impact, delivering innovative adaptation practices, technologies and business models.* *Duties and Responsibilities* • *Provide guidance and advice to the Project Manager on innovation, adaptation practices, technologies and business models;* • *Coordinate and source technical support on common technical assistance needs requested by grantees;* • *Draft terms of reference and review proposed technical assistance strategies from vendors, and review vendors work with grantees;* • *Review and provide guidance on individual accelerating plan from each grantee;* • *Provide technical and strategic technical assistance for project activities, including onsite planning, monitoring and operations, and for quality control of response;* • *Provide programme and policy advice in the area of expertise (climate change adaptation, innovation).*
Project Assistant *Rate: $22,000 per year*	*Duties and Responsibilities* *Under the guidance and supervision of the Project Manager, the Project Assistant will carry out the following tasks:* • *Assist the Project Manager in day-to-day management and oversight of project activities;* • *Assist the M&E officer in matters related to M&E and knowledge resources management;* • *Assist in the preparation of progress reports;* • *Ensure all project documentation (progress reports, consulting and other technical reports, minutes of meetings, etc.) are properly maintained in hard and electronic copies in an efficient and readily accessible filing system, for when required by PB, TAC, UNDP, project consultants and other PMU staff;* • *Provide PMU-related administrative and logistical assistance.*
Finance Assistant *Rate: $28,000 per year*	*Duties and Responsibilities* • *Keep records of project funds and expenditures, and ensure all project-related financial documentation are well maintained and readily available when required by the Project Manager;* • *Review project expenditures and ensure that project funds are used in compliance with the Project Document and GoI financial rules and procedures;* • *Validate and certify FACE forms before submission to UNDP;* • *Provide necessary financial information as and when required for project management decisions;*

Staff	Tasks, Inputs and Outputs
	• *Provide necessary financial information during project audit(s);* • *Review annual budgets and project expenditure reports, and notify the Project Manager if there are any discrepancies or issues;* • *Consolidate financial progress reports submitted by the responsible parties for implementation of project activities;* • *Liaise and follow up with the responsible parties for implementation of project activities in matters related to project funds and financial progress reports.*
Project Monitoring and Evaluation consultant	*Duties and Responsibilities* • *Monitor project progress and participate in the production of progress reports ensuring that they meet the necessary reporting requirements and standards;* • *Ensure project's M&E meets the requirements of the Government, the UNDP Country Office, and UNDP-GEF; develop project-specific M&E tools as necessary;* • *Oversee and ensure the implementation of the project's M&E plan, including periodic appraisal of the Project's Theory of Change and Results Framework with reference to actual and potential project progress and results;* • Monitor progress in implementation of the project Gender Action Plan ensuring that targets are fully met and the reporting requirements are fulfilled; • *Oversee/develop/coordinate the implementation of the stakeholder engagement plan;* • *Oversee and guide the design of surveys/ assessments commissioned for monitoring and evaluating project results;* • *Facilitate mid-term and terminal evaluations of the project; including management responses;* • *Facilitate annual reviews of the project and produce analytical reports from these annual reviews, including learning and other knowledge management products;* • *Support project site M&E and learning missions;* • *Visit project sites as and when required to appraise project progress on the ground and validate written progress reports.*
Project Safeguards consultant	*Duties and Responsibilities* • *Monitor progress in development/implementation of the project ESMP/ESMF ensuring that UNDPs SES policy is fully met and the reporting requirements are fulfilled;* • *Oversee/develop/coordinate implementation of all safeguard related plans;* • *Ensure social and environmental grievances are managed effectively and transparently;* • *Review the SESP annually, and update and revise corresponding risk log; mitigation/management plans as necessary;* • *Ensure full disclosure with concerned stakeholders;* • *Ensure environmental and social risks are identified, avoided, mitigated and managed throughout project implementation;*

Staff	Tasks, Inputs and Outputs
	• *Work with the M&E officer to ensure reporting, monitoring and evaluation fully address the safeguard issues of the project;* • *Oversee/develop/coordinate implementation of all gender-related work;* • *Review the Gender Action Plan annually, and update and revise corresponding management plans as necessary;*

ANNEX 6. UNDP RISK LOG

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mgmt response	Owner	Submitted, updated by	Last Update	Status
1	Misappropriation of the grant funding	Project Development Phase	Operational	P = 2 I = 2	Performance based disbursement will be used instead of providing the total grant amount at the grant signing stage. Grantees may be asked to get an agreement from ISGAP (with advise from UNDP country office) if procurement of goods/services exceeds a certain threshold. Financial audit maybe required as a part of the annual progress report.	Project manager	RTA	Project Submission	No Change
2	Lack of participation at the global call for proposals	Project Development Phase	Operational	P = 2 I = 2	During the global call for proposals, ISGAP will also actively source innovation ideas from the network of development partners who are working on innovation, incubation, and acceleration topics. With the extensive network of SGP, Accelerator Labs, Youth CO:Lab, the risk of lacking participation is relatively low.	Project manager	RTA	Project Submission	No Change
3	Project implementation delay	Project Development Phase	Operational / Institutional	P = 3 I = 2	ISGAP, through the on demand and continual technical and business development/acceleration support, will (i) closely monitor the progress of each grantee and discover challenges and barriers that could prevent timely completion of the project and (ii) devise mitigation strategy to resolve the challenges.	Project manager	RTA	Project Submission	No Change
4	Success is overstated in the progress report while failure is understated or unreported	Project Development Phase	Operational	P = 4 I = 1	It is crucial that both success and failure are documented and analysed by the grantees. It is a critical part of the knowledge sharing and lessons learned. In fact, one often learns from failure than success. This message will be	Project manager, project grantees	RTA	Project Submission	No Change

					communicated throughout the programme implementation cycle and regularly monitored.				
5	Grantees fail in securing scale up and replication support and funding from other sources after the completion of the project	Project Development Phase	Operational	P = 4 I = 1	It is critical to note that the success rate of any start-up or innovation venture is quite low. With all the support provided by ISGAP and its partners, it is anticipated that the success would be in the range of 20%-30%.	Project manager, project grantees	RTA	Project Submission	No Change
6	Environmental, social and governance risk not managed, triggering risk events	Project Development Phase	Operational	P = 2 I = 3	Environmental, social and governance criteria will be established in every step of the ISGAP programme. UNDP Social and Environmental Safeguards Procedure (SESP) will be used to ensure the controls of this risk are in place. ESG management plan will be prepared before the programme implementation. Call of proposal will highlight potential ESG risk, selection template will contain ESG risk identification questions, ESG expert will be presented in the technical panel, M&E will also contain a ESG reporting section.	Project manager	RTA	Project Submission	No Change
7	ISGAP does not attract sufficient support from private sector	Project Development Phase	Operational	P = 5 I = 1	Throughout the various project phases (launch, global call, evaluation, fund disbursement, showcasing etc.), emphasis will be given to engaging like minded private sector partners. Specific conversations related to unlocking private sector support to this agenda will be curated alongside the key project activities. Also engage local and global private sector partners in evaluation panels.	Project manager, project grantees	RTA	Project Submission	No Change

ANNEX 7. MONITORING PLAN

Monitoring	Indicators	Targets	Description of indicators and targets	Data source /Collection Methods[1]	Freque ncy	Responsible for data collection	Means of verification	Risks/Assumptions
Output 1.1: Innovative adaptation practices, tools and technologies promoted through at least 10 small innovation grant projects	Number of innovative adaptation practices, tools and technologies funded	*Minimum of 5 out of 10 funded projects with innovative adaptation practices, tools and technologies*	*Based on funded grantees*	Grantee reporting, PMU validation	annual	Grantee & PMU	Consultant summary report	Sufficient pool of applicants with innovative ideas after the global call for proposals with proactive sourcing from development partners with particular emphasis on LDCs/SIDs, women and other vulnerable groups
	Number of new innovations promoted that result in an increase in women's welfare level	At least 50% with women led organisations or organisations largely benefit women customers	*Based on funded grantees*	Grantee reporting, PMU validation	annual	Grantee & PMU	Consultant summary report	
Output 1.2: Quantity and quality of key findings on effective and efficient adaptation practices, products and technologies generated through at least 10 small innovation grant projects	Quantity and quality of key findings on effective, efficient adaptation practices, products and technologies generated	*Minimum of 5 out of 10 funded projects that demonstrate findings and evidences of effective and efficient adaptation practices, products, and technologies*	*Based on papers and briefings*	PMU reporting	annual	PMU	Consultant summary report	Successful generation of findings and evidences of effective and efficient adaptation practices, products and technologies from the funded projects
	Number of adaptation innovation evidence generated with insights on women	At least 30% evidence with a gender focus	*Based on gender focused papers and briefings*	PMU reporting	annual	PMU	Consultant summary report	

[1] Data collection methods should outline specific tools used to collect data and additional information as necessary to support monitoring. The PIR cannot be used as a source of verification.

Monitoring	Indicators	Targets	Description of indicators and targets	Data source /Collection Methods[1]	Freque ncy	Responsible for data collection	Means of verification	Risks/Assumptions
Output 2: Customized technical training, business development and management mentoring, partnering prepared and organized.	Number of grantees that successfully complete innovation and business development milestones and grant disbursement according to agreed grantees' performance target	*All grantees complete grant disbursement against performance target within 24 months after grant agreement signed*	*Based on completion rate*	Grantee reporting, PMU validation	annual	Grantee & PMU	Consultant summary report	With technical and business development/acceleration support, all grantees can achieve their performance and disbursement target within 24 months provided there are no force majeure events There are sufficient pool of investors and funders as well as proven innovative projects funded by ISGAP
	Number of grantees that receive additional support/funding to scale up and/or replication	*At least half of the grantees received additional support/funding to scale up and/or replication*	*Based on co-finance or additional finance to grantees*	Grantee reporting, PMU validation	annual	Grantee & PMU	Consultant summary report	
Output 3.1: Annual knowledge sharing and peer learning conference and webinar for international communication **Output 3.2:** Annual report prepared and disseminated internationally.	*Citation and/or adoption of shared lessons learned and codified knowledge*	*Four annual web-based publication/blog and lessons learned, and at least four technical brief/blog on specific topics*	Based on paper citations	PMU reporting	annual	PMU	Consultant summary report	Lessons learned and codified knowledge are widely shared with potential users

ANNEX 8. PROCUREMENT PLAN

This procurement plan for first year of implementation is provided separately and can be accessed via this link.

ANNEX 9. REGIONAL PROJECT PROPOSAL AS APPROVED BY THE ADAPTATION FUND (SEPARATE FILE)

This is provided separately and can be accessed via this [link](#).