



## African Development Fund Climate Action Window Call for Proposals: Mitigation Sub-Window Guidance Note to Applicants

---

### 1. Introduction

Nine out of ten of the world’s most vulnerable countries are in Africa (Climate Vulnerability Index 2022). Africa is not only the most climate-exposed region of the world, but also the least climate-resilient region, with the lowest climate readiness. Fragile and Transition states are among the most vulnerable and have the weakest adaptation capacities – climate vulnerabilities are additional to other sources of vulnerability that qualify them as “fragile” / “Transition states”. The widespread and accelerating effects of climate change are falling disproportionately on Africa’s poorest, particularly in low-income and fragile contexts. The impacts are most severe for those who are already vulnerable, including women, children, and the elderly.

The impact of climate change is further exacerbated in Africa due to the heavy reliance on natural resources and on subsistence rainfed agriculture for livelihoods by most of the population with low adaptive capacities. Climate change impacts men and women differently, largely due to their gender-differentiated relative powers, roles and responsibilities at the household, community, and societal levels.<sup>1</sup> Overall, women and girls experience greater risks, burdens and impacts of climate change, which further exacerbates pre-existing gender inequalities. Extreme weather events such as droughts and floods have a more significant impact on the poor and most vulnerable, especially women that comprise 70% of the world’s poor.

Climate-induced extreme weather events underscore the urgency of climate mitigation efforts. The goal of mitigation is to prevent the most severe consequences of climate change by limiting the global average temperature increase to well below 2°C above pre-industrial levels, ideally aiming for 1.5°C. Limiting warming reduces the severity of extreme weather events, sea level rise, and the cascading impacts upon those who are already the most vulnerable.

Recognizing that climate change poses the single greatest threat to development in Africa and affects Africa’s low-income countries disproportionately, a dedicated Climate Action Window (CAW), which has a strong focus on accelerating adaptation action reducing warming, was created during the Sixteenth Replenishment of the African Development Fund (ADF-16) for 37<sup>1</sup> least developed countries in Africa. Approximately, US\$ 429 million has been committed under the CAW and further resource mobilization from State and Non-State Actors will continue throughout the ADF-16 cycle where the total funding envelope is expected to grow.

**The CAW is structured around three sub-windows: adaptation, mitigation, and technical assistance (TA). The allocation of funding between these sub-windows is 75% for adaptation, 15% for mitigation, and 10% for TA.**

---

<sup>1</sup> Benin, Burkina Faso, Burundi, Central African Republic, Cameroon, Chad, Comoros, Cote d’Ivoire, Democratic Republic of Congo, Djibouti, Eritrea, Ethiopia, Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Liberia, Lesotho, Madagascar, Malawi, Mauritania, Mali, Mozambique, Niger, Rwanda, Sao Tome & Principe, Senegal, Sierra Leone, Somalia, South Sudan, Sudan, Tanzania, Togo, Uganda, Zambia, Zimbabwe



### **For more information**

Refer to the [Frequently Asked Questions \(FAQ\)](#), and for more information, contact the CAW Secretariat at [climateactionwindow@AFDB.ORG](mailto:climateactionwindow@AFDB.ORG) at least 2 weeks before the closing date of the call for proposals.

The Climate Action Window is designed to have three sub-windows to be rolled out in separate calls for proposals:

1. The Adaptation sub-window: resources channeled through the sub-window promote climate change adaptation and build resilience to climate change impacts, and strengthen the adaptive capacity of ecological, social, or economic systems or policy processes in response to climate change and related impacts.
2. The Mitigation sub-window: resources channeled through the sub-window will support projects that aim to reduce or avoid the emissions of greenhouse gases or enhance the sinks that accumulate and store them. The goal is to promote approaches that foster low GHG emissions growth pathways.
3. Technical assistance sub-window: resources channeled through this window will support ADF countries for strategic measures that enable climate resilient green growth efforts, prepare and strengthen Long-Term Strategies (LTSS), NDCs, National Adaptation Plans (NAPs), enhancing the bankability of Paris-aligned climate projects, Climate Diagnostics for Country Strategy Papers and provide project preparation grants, institutional capacity building. The process for selecting and prioritizing TA projects under the CAW can be found in Section 4 of the CAW Operational Guidelines.

The focus of this guidance note is on the **Mitigation Sub-Window**. See details below:

## **2. Mitigation Sub-Window**

**Projects eligible for financing through the CAW's Mitigation Sub-Window must be Paris-aligned. They should actively contribute to the goals of the Paris agreement on climate mitigation, adaptation, and climate resilience.**

Mitigation projects must reduce the flow of heat-trapping greenhouse gases into the atmosphere, either by reducing the sources of these gases (for example, the burning of fossil fuels for electricity, heat, or transport), abating emissions of non-CO<sub>2</sub> GHG especially methane, or enhancing the “sinks” that accumulate and store CO<sub>2</sub> (such as the oceans, forests, and soils). Project proposals should integrate gender and underserved communities in fragile conditions. CAW will prioritize highly transformative and impactful mitigation projects with up to 100% climate mitigation contents.

The CAW will not invest in projects which lock in dependence on fossil fuels but will prioritize the greening of brown assets and renewable energy, energy efficiency, and clean cooking solutions. Projects must reduce underlying causes of climate vulnerability at the systemic level and/or remove knowledge, capacity, technological, and other barriers to mitigation. Furthermore, mitigation should be the primary objective of the project.

Projects proposed should:

- i. **Show credible greenhouse gas reduction/avoidance/sequestration estimates:** Applicants must conduct GHG accounting on their projects and include annual and project life estimates of GHG emissions reduced, avoided or captured using a credible methodology or tool. The GHG accounting should include detailed descriptions, underlying assumptions, and reference sources. Please include supporting evidence for these claims in the annex to your Project Concept Note, citing all relevant sources.
- ii. **Be aligned with the goals of the Paris Agreement:** Project proposals submitted will be assessed for Paris alignment using the MDBs joint principles for assessing Paris alignment. Please refer to the principles here – [Climate Action: African Development Bank joins MDBs to publish Principles for Assessment of Paris Agreement Alignment | African Development Bank Group - Making a Difference \(afdb.org\)](#). Refer to the list of activities considered aligned and non-aligned here ([https://www.afdb.org/sites/default/files/documents/mdb-pa-universally-aligned-and-not-aligned\\_lists.pdf](https://www.afdb.org/sites/default/files/documents/mdb-pa-universally-aligned-and-not-aligned_lists.pdf)) and depending on the investment instrument choose the appropriate methodology applicable to your proposal.
- iii. **Be aligned with the MDB Common Principle on Tracking Mitigation Climate Finance:** All resources committed under the Mitigation sub-window of the CAW must be attributable as mitigation finance. This means that project proposals to the CAW must show how the resources from the CAW would qualify as 100% mitigation finance using the [Common Principles for Climate Change Mitigation Finance Tracking](#). The common principles present a list of eligible mitigation activities by sector and **recognize that a substantial contribution to climate change mitigation can involve the following three categories:**
  - Category 1.** Negative- or very-low-emission activities, which result in negative, zero or very low GHG emissions and are fully consistent with the long-term temperature goal of the Paris Agreement, e.g., carbon sequestration in land use or some forms of renewable energy.
  - Category 2.** Transitional activities, which are still part of GHG-emissive systems, but are important for and contribute to the transition towards a climate-neutral economy, e.g., energy efficiency improvement in manufacturing that directly or indirectly uses fossil fuels.
  - Category 3.** Enabling activities, which are instrumental in enabling other activities to make a substantial contribution to climate change mitigation, e.g., manufacture of very-low emission technologies.

Showing **climate change mitigation finance attribution** includes four steps:

Step 1: Identify sector of the proposed project or activities to be financed by CAW. Begin by pinpointing the specific sector your project or activities fall under, as recognized in Table 2 in the [Common Principles for Climate Change Mitigation Finance Tracking](#).

Step 2: Identify the eligible activity under the sector identified. Once the sector is established, proceed to identify the specific activities within that sector that qualify for CAW financing. These eligible activities are detailed in Table 2 of the [Common Principles for Climate Change Mitigation Finance Tracking](#).

Step 3: Consider the screening criteria and guidance for the eligible activity. For any selected activity, ensure it meets the necessary screening criteria and adheres to the guidance provided in Table 2 of the

## [Common Principles for Climate Change Mitigation Finance Tracking.](#)

Step 4: Identify the budget for eligible activities in the project. Lastly, establish a budget specifically for the eligible activities within your project. This step is crucial to demonstrate how the funds requested from CAW will be exclusively utilized for activities that qualify as mitigation finance, in line with the [Common Principles for Climate Change Mitigation Finance Tracking.](#)

- iv. **Be aligned with the policies, strategies and priorities of the Bank including the: [Ten Year Strategy \(2024-2033\)](#), that aims for inclusive growth and a transition to green growth and the [High 5s](#) (Which are priorities that *aim to light up and power Africa, feed Africa, industrialize Africa, integrate Africa, and improve the quality of life for the people of Africa*); [Climate Change & Green Growth Policy](#); [Country Strategy Papers \(CSPs\)](#); and Regional Integration Strategy Papers ([Eastern Africa](#), [West Africa](#), [North Africa](#), [Southern Africa](#) and [Central Africa](#)).**
- v. **Be aligned with eligible countries' national climate change frameworks:** Projects must be aligned to **Nationally Determined Contributions (NDCs), Long-Term Strategies (LTS), National Climate Change Policies, and Sector-specific strategies** or related climate change mitigation strategies.
- vi. **Contribute to the CAW Results Framework (Refer to Annex 2): The CAW Results Framework** supports the monitoring of the CAW's high-level outcome statements, with indicators to measure results and progress. Each individual operation within the CAW will have its own project results framework, from which progress can be aggregated against CAW targets.

## **3. Eligible Sectors**

**The Cfp on Mitigation Sub-Window is specifically seeking projects from these priority sectors:**

- **Agriculture, forestry, land use and fisheries:** Projects eligible for financing under the CAW mitigation sub-window include projects that mitigate methane and other greenhouse gas emissions from livestock, improve carbon sequestration through rangeland management, and promote forestry or agroforestry projects for carbon sequestration and sustainable land management. The Mitigation sub-window will also support projects that reduce CO<sub>2</sub>e intensity in fisheries or aquaculture through activities such as improved energy efficiency of fishing fleets and machinery in the fisheries or aquaculture value chain. Additionally, investment outcomes will include support to farmers, food producers, and agri-SMEs to access climate-smart agriculture technologies. These technologies include efficient irrigation systems and renewable energy solutions geared towards enhancing agricultural productivity and reducing greenhouse gas emissions. Furthermore, eligible projects will support reduction in energy consumption in operations, an increase in carbon stock in soil, or the avoidance of soil carbon loss through erosion control measures.
- **Water Access and Wastewater management:** Eligible projects include solid waste treatment, wastewater treatment, and water/wastewater reuse. This includes improvements in water supply systems through the deployment of low-energy consumption technologies or equipment, promotion of better auditing practices, or reduction of water losses. Additionally, the Mitigation sub-window will finance wastewater projects that reduce emissions through energy efficiency improvements or improved treatment targets. Projects promoting improved operation and maintenance to reduce water



losses, promote energy savings, or meet or exceed wastewater treatment targets will also be funded.

- Energy access and renewable energy:** The mitigation sub-window will finance projects enabling ADF countries to accelerate a just energy transition through sovereign and public-private partnerships, aiming to green the energy mix and increase access to clean, sustainable electricity. This includes grid expansion and decentralizes renewable energy access programs. Additionally, the CAW will support projects greening power infrastructure, delivering additional renewable energy generation capacity, and enhancing resilience and energy supply reliability. Projects involving green hydrogen and other new renewable energy technologies, as well as the production, transport, or storage of low-carbon hydrogen or low-carbon products, will be eligible. Adoption of energy-efficient appliances, such as clean cooking technologies, will also be funded, bringing substantial mitigation benefits and adaptation co-benefits. Other eligible mitigation projects involve utilizing waste gas as a feedstock or fuel to provide electricity, heat, mechanical energy, or cooling energy. This includes waste gas from sources such as landfill methane, abandoned mine methane, associated gas currently being flared or vented, and biogas from municipal sewage, wastewater, or agricultural activities.
- Transport and infrastructure:** Eligible projects will contribute to the development of climate resilient transport and urban infrastructure that is integrated and inclusive, is carbon neutral and supports better air-quality, while also enhancing regional trade, in line with the Integrate Africa High 5s. Investment outcomes will include urban mobility projects to be implemented and urban streets with Intelligent Traffic Management Systems (ITMS) and Non-Motorized Transport (NMT) facilities. Resilient transport infrastructure projects will leverage green climate funds in concessional and commercial co-financing, resulting in greening seaports, shipping, railways, intermodal logistics and urban public transport systems. Emphasis will also be placed on regional road networks including one stop border posts and auxiliary facilities. Other eligible projects include use of waste gas as transport fuel and construction of urban and rural public transport infrastructure.
- Green and sustainable finance:** Investment outcomes will include the development of country-led green bonds, climate funds, or sustainable investment funds to attract private sector climate co-finance for mitigation projects in ADF countries. Additionally, to catalyze support for integrated natural resource investment, the CAW will support governance and green financing interventions through rent repurposing, blue/green bonds, bio-credits, debt-for-nature swap, and resource-backed loan transactions in RMCs on a case-by-case basis. The Mitigation sub-window will also support interventions that use Article 6 of the Paris Agreement, which includes market and non-market mechanisms, to scale up access to climate finance for mitigation projects.

#### 4. Cross-Cutting Priority Areas

- Paris alignment:** Project investments must be both carbon neutral and climate resilient, and investments either invested via Paris aligned projects or into pipelines that are themselves carbon neutral and climate resilient. Investments here will include well-developed national LTS, NDCs, NAPs and/or Adaptations Communications that are also aligned with National Biodiversity Strategies and Action Plans, and these will be supported through the Technical Assistance sub-window.
- Gender, youth, and social inclusion:** The gender gap in access to productive resources shapes climate change impacts on men and women and how they can respond. Contributing to closing the





gender gap will be a key criterion in assessing the eligibility of projects to access CAW funding. Projects will align with the Bank’s Gender Strategy and Action Plan (2020 – 2025) and the Bank’s Jobs for Youth in Africa Strategy (2016-2025). Through the concept notes, project teams should address how the project will provide women and youth with enhanced and equal access to, inter alia: finance for climate-smart agricultural, digital, business and SME innovations; services to improve production and increase access to markets; climate and disaster risk finance and insurance; land rights; clean cooking and renewable energy technologies; water and sanitation systems; safe and inclusive transport systems; participation in the development of climate adaptation and mitigation strategies; and climate and weather forecasts and other forms of risk mitigation information. Gender-focused and youth-focused projects addressing climate change issues will also be considered.

- **Biodiversity and nature-based solutions:** The CAW will support projects that **address nature-based solutions** and aim to restore mangroves and wetlands, allow water to be stored and purified in a natural way (green infrastructures), aquaculture, forestry, and biodiversity conservation. The CAW will help to identify and deliver solutions to assist ADF countries to develop plans and projects for investments in nature-based solutions in key areas such as food and water security, restoration of degraded lands, sustainable forest management, flood and erosion control, blue economy, and coastal protection. This will be reflected in the ADF country and regional strategies and will be strengthened through the design of robust investments in Nature-based Solutions (NBS) in future ADF project pipelines.
- **Enhancing climate governance and green public finance:** CAW will finance projects that support activities aimed at strengthening governance systems for climate change. This includes: creating public policies and making decisions that directly relate to the international climate governance processes of the United Nations Framework Convention on Climate Change (UNFCCC); ensuring participation and engagement with Civil society around the Nationally Determined Contributions (NDCs); Ensuring appropriate framework laws, regulations or public policies on climate change are developed in line with the NDCs; Greening public financial management- promoting climate sensitive budgeting; monitoring and management of climate fiscal risks; promoting climate related revenue reforms i.e. carbon taxes- fuel taxes and green bonds; integrating climate into public investment management systems; strengthening accountability and transparency of climate spending.
- **Skills and Capacity Building:** CAW projects will support capacity building activities in the context of evolving climate challenges. Recognizing the imperative of transitioning to climate-smart technologies and practices across key sectors like energy, agriculture, and transport, the CAW is committed to supporting initiatives that bridge the current skills gap. By facilitating upskilling of the workforce, promoting innovation, and endorsing the adaptation of new technologies, the CAW seeks to elevate national systems, with a particular focus on higher education and research capabilities. This ensures not only a proactive response to climate disruptions but also a robust foundation for RMCs to integrate and capitalize on climate-resilient strategies. This could also include capacity strengthening on establishing Measurement, Reporting and Verification (MRV) systems for mitigation, greenhouse gas accounting among others.

## 5. Grant amount and funding envelope

For this mitigation call, the Climate Action Window will allocate approximately US\$64 million. The funding is in the form of grants. Funding requested for a single project or programme may range between



US\$3 million to US\$5 million. In exceptional cases and on recommendation by the Independent Evaluation Panel, funding may be granted above or below these limits.

### **Project Source**

CAW-funded projects are expected to originate from four potential sources. These sources include (i) projects from the ADF funded pipeline that seek additional financing and meet the CAW eligibility criteria; (ii) projects in the ADF pipeline that meet the CAW eligibility criteria; (iii) projects emanating from the national climate change framework documents of ADF countries, including NDCs, LTSs etc.; and CAW-aligned projects emanating from special initiatives at the Bank or its partners. CAW is open to various eligible entities, including governments, intergovernmental bodies, non-sovereign entities, and Bank departments.

## **6. Eligible Beneficiaries**

- (i) Governments and government entities of ADF countries (see below for a list of ADF countries)
- (ii) African Development Bank departments: Bank departments may submit proposals directly or may work with eligible external beneficiaries to support them in preparing high quality project concept notes.
- (iii) Regional or sub-regional intergovernmental bodies and other intergovernmental vehicles including climate centers, river basin organizations, economic communities.
- (iv) Non-sovereign entities (such as NGOs, Community Based Organizations and UN Agencies) that fulfil the eligibility criteria.

Proposals from consortia are allowed if all members of the consortium are eligible beneficiaries.

**Eligible ADF countries:** Benin, Burkina Faso, Burundi, Cameroon, Central African Republic, Chad, Comoros, Democratic Republic of Congo, Djibouti, Eritrea, Ethiopia, Gambia, Ghana, Guinea, Guinea-Bissau, Ivory Coast, Kenya, Lesotho, Liberia, Madagascar, Malawi, Mali, Mauritania, Mozambique, Niger, Rwanda, São Tomé & Príncipe, Senegal, Sierra Leone, Somalia, South Sudan, Sudan, Tanzania, Togo, Uganda, Zambia, Zimbabwe.

## **7. Eligible Mitigation projects to be financed include:**

1. Standalone projects that are specifically aimed at reducing greenhouse gas emissions. They must be designed and implemented independently, focusing solely on climate change mitigation efforts.
2. Projects that are either ongoing or new, where financing from the CAW is dedicated solely to the mitigation aspects of the project.

## **8. Co-financing**

Co-financing is required as CAW resources aim to co-mobilize and channel additional climate finance to low-income ADF countries. It is important to note that co-financing refers specifically to funding received from sources outside the ADF. This co-financing must be designated for climate action within the project and attributable as climate change mitigation finance according to the [Common Principles for Climate Change Mitigation Finance Tracking](#). To ensure country ownership and prioritization, eligible countries and entities are strongly recommended to cover a portion of project costs attributed to them through counterpart funding, co-financing from development partners, and/or in-kind contributions. The cost-sharing arrangement (counterpart funding and co-financing or contributions in kind) is intended to reinforce ownership, share risks, and catalyze co-financing for scale, leading to higher impact, efficiency, and



effectiveness. The CAW will prioritize projects that leverage high co-financing ratios, ideally 1:3, notably by seeking to co-finance projects with other climate funds, bilateral, multilateral, and other sources with the aim to maximize climate benefits in ADF countries and increase their levels of access to climate finance. Decisions on counterpart funding will be made in line with the Policy on Expenditure Eligible for ADF Financing.

## 9. How to Apply

Eligible applicants should visit the Second Call for Proposals (CfP2) Mitigation Sub-window online application portal to sign up. The Call for proposals will be conducted solely on the online grant management website. Only concept notes submitted online will be considered.

The application process consists of **two** stages:

### **Stage 1 – Eligibility Questions:**

1. Create an account on the application site and choose your preferred language, either **English** or **French**.
2. Click on "apply" to start your application and enter the title of your project.
3. Complete and submit the eligibility questions (see full list of eligibility questions in Annex 1). You will receive an email notification regarding the eligibility status of your application. If your application is ineligible, it ends here. If eligible, you can proceed to Stage 2.

**Note:** It is advised to complete Stage 1 early and not delay until the deadline because completing Stage 1 of the application process does not mark the end of the process. Only after successfully completing the eligibility form would applicants then be able to download the concept note template from the portal. The second stage of the application process, which requires the development of a project concept note, requires even more time to complete. **If your application is eligible at the end of Stage 1, you will receive a notification to this effect via email. You will also receive a notification via email if your application is ineligible.**

### **Stage 2 – Submission of Concept Note:**

1. Log in to the application platform.
2. Download the Project Concept Note template from the application platform.
3. Fill out the Project Concept Note template (see copy in Annex 2) with your project details, using guidance from both this guidance note and the template itself.
4. Compile all pertinent supporting documents into a single file and attach it to the annex of your concept note.
5. Upload your completed Project Concept Note along with all relevant annexes as one file, then click "submit".

Ensure you submit your project concept note by the **deadline of 11:59 PM GMT on July 08, 2024**. **You can submit your application in either English or French.** All sections of the application (the eligibility questionnaire and the PCN) must be completed. **Incomplete Project Concept Notes submitted via the portal will not be considered.** Furthermore, **Project Concept Notes submitted via the CAW Secretariat email will not be considered.**



## 10. Estimated Timeline for the Cfp2 Mitigation Sub-window

Date	Action
27 May 2024	Launch Call for Project Concept Notes
08 July 2024	Deadline for Concept Notes submission
09 – 26 July 2024	Validation & Screening of Project Concept Notes by the Secretariat. Secretariat to Compile a list of Projects Concept Notes that pass the screening.
29 July – 26 August 2024	Evaluate and Score PCNs using the Adaptation Score Card
27 August – 30 August 2024	Develop list of selected and prioritized projects Review of prioritized projects by Donor Committee
16 September 2024	Notify successful applicants of the approval of their Projects Concept Notes
17 September 2024 (onwards)	Selected Applicants work with the respective Bank Department to develop the Project Appraisal Report for submission to the Bank's Board of Directors for review and approval

**Being shortlisted for funding based on your project concept note does not guarantee funding from the CAW. The concept note is not the final document used to appraise and approve the project. The final decision on funding is based on the Project Appraisal Report, which is prepared after shortlisting by the CAW and developed by the Bank's project Task Manager in accordance with the Bank's established procedures.**

## 11. List of Annexes

The annexes of the Guidance Note comprise essential documents to aid in the application process. These include:

1. The comprehensive list of eligibility questions for Stage 1.
2. The Project Concept Note (PCN) template, for submission during Stage 2.
3. Eligibility Screening Templates for Mitigation Projects
4. Evaluation criteria used to assess your project concept note.
5. The Climate Action Window (CAW) Results Measurement Framework, which outlines results your project should contribute to.

The annexes shared in this guidance note are to guide the preparation and submission of your application. You are **required** to answer the eligibility questions and submit your Project Concept Note online on the application portal before the deadline.



AFRICAN DEVELOPMENT BANK GROUP  
 GROUPE DE LA BANQUE AFRICAINE  
 DE DÉVELOPPEMENT

## Annex 1: Eligibility Questions (Stage 1)

S/N	Question	Options
1.1	Name of Lead institution (If it is an AfDB Department, state the name)	.....
1.2	What type of institution is the lead institution?	<input type="checkbox"/> Government Ministries, Department, Agencies, State Owned Enterprises <input type="checkbox"/> African Development Bank Departments <input type="checkbox"/> Non-Governmental Organizations <input type="checkbox"/> Community Based Organizations <input type="checkbox"/> United Nations Organization <input type="checkbox"/> Regional Economic Communities of Africa <input type="checkbox"/> Regional Climate Center <input type="checkbox"/> River Basin Organisation <input type="checkbox"/> Other (none of the above)
1.3	If you selected Non-Governmental Organization or Community Based Organization in the previous question, state whether your institution is legally registered?	<input type="checkbox"/> Yes. If yes, which country) ..... and provide Registration Number and Date of Registration  <input type="checkbox"/> No
1.4	Indicate type of partner institution If applying as a consortium	<input type="checkbox"/> Government Ministries, Department, Agencies, State Owned Enterprises <input type="checkbox"/> African Development Bank Departments <input type="checkbox"/> Non-Governmental Organizations <input type="checkbox"/> Community Based Organizations <input type="checkbox"/> United Nations Organization <input type="checkbox"/> Regional Economic Communities of Africa <input type="checkbox"/> Regional Climate Center <input type="checkbox"/> River Basin Organisation <input type="checkbox"/> Other (none of the above)
1.5	If you indicated that your any of your partners are Non-Governmental Organization or Community Based Organization in the previous question, state whether their institutions are legally registered?	<input type="checkbox"/> Yes. If yes, which country) ..... and provide Registration Number and Date of Registration  <input type="checkbox"/> No
1.6		<input type="checkbox"/> Yes. If Yes, select the eligible countries (drop down list)



AFRICAN DEVELOPMENT BANK GROUP  
 GROUPE DE LA BANQUE AFRICAINE  
 DE DÉVELOPPEMENT

S/N	Question	Options
	Is/are the project implementation country(ies) all African Development Fund countries?	<input type="checkbox"/> No  <input type="checkbox"/> Benin <input type="checkbox"/> Burkina Faso <input type="checkbox"/> Burundi <input type="checkbox"/> Cameroon <input type="checkbox"/> Central African Republic <input type="checkbox"/> Chad <input type="checkbox"/> Comoros <input type="checkbox"/> Cote d'Ivoire <input type="checkbox"/> Democratic Republic of Congo <input type="checkbox"/> Djibouti <input type="checkbox"/> Eritrea <input type="checkbox"/> Ethiopia <input type="checkbox"/> Gambia <input type="checkbox"/> Ghana <input type="checkbox"/> Guinea <input type="checkbox"/> Guinea-Bissau <input type="checkbox"/> Kenya <input type="checkbox"/> Liberia <input type="checkbox"/> Lesotho <input type="checkbox"/> Madagascar <input type="checkbox"/> Malawi <input type="checkbox"/> Mauritania <input type="checkbox"/> Mali <input type="checkbox"/> Mozambique <input type="checkbox"/> Niger <input type="checkbox"/> Rwanda <input type="checkbox"/> Sao Tome & Principe <input type="checkbox"/> Senegal <input type="checkbox"/> Sierra Leone <input type="checkbox"/> Somalia <input type="checkbox"/> South Sudan <input type="checkbox"/> Sudan <input type="checkbox"/> Tanzania <input type="checkbox"/> Togo <input type="checkbox"/> Uganda <input type="checkbox"/> Zambia <input type="checkbox"/> Zimbabwe <input type="checkbox"/> Other/Outside Africa
1.7	Have you identified a task manager/anchor department within the Bank to develop the Project Appraisal Report if your concept note is shortlisted?	<input type="checkbox"/> Yes <input type="checkbox"/> No  If Yes, attach the letter of intent
1.8	How did you identify this project?	<input type="checkbox"/> African Development Fund funded pipeline <input type="checkbox"/> African Development Fund un-funded pipeline <input type="checkbox"/> National climate change framework, including Nationally Determined Contributions, Long Term Strategies, national sectoral plans and strategies. <input type="checkbox"/> Other Bank and Partner Initiatives <input type="checkbox"/> Other Climate Change Projects/Programmes
2.1	Is the project's climate change mitigation activities consistent with the <a href="#">Common Principles for Climate Change Mitigation Finance Tracking</a> .	<input type="checkbox"/> Yes. If yes, list the eligible activity(ies) that are proposed in your project  (100 word limit)  <input type="checkbox"/> No
2.2	Is the project <a href="#">aligned with the goals of the Paris Climate Agreement</a> ?	<input type="checkbox"/> Yes. If yes, in what areas... (up to 100 word limit)  <input type="checkbox"/> No
2.3	Which of these focus areas is most applicable to the project (choose one)?	<input type="checkbox"/> Agriculture, forestry, land use and fisheries <input type="checkbox"/> Water supply and wastewater management



AFRICAN DEVELOPMENT BANK GROUP  
 GROUPE DE LA BANQUE AFRICAINE  
 DE DEVELOPPEMENT

S/N	Question	Options
		<input type="checkbox"/> Energy access and renewable energy <input type="checkbox"/> Transport and infrastructure <input type="checkbox"/> Green and sustainable finance <input type="checkbox"/> None of the above
2.4	What type of Mitigation project is it?	<input type="checkbox"/> Standalone project that is specifically aimed at reducing or creating a sink for greenhouse gas emissions. Projects must be designed and implemented independently, focusing solely on climate change mitigation efforts.  <input type="checkbox"/> Project is either ongoing or newly initiated, where financing from the CAW is dedicated solely to the mitigation aspects of the project.  <input type="checkbox"/> None of the above
2.5	Is gender integrated into climate action in this project?	<input type="checkbox"/> Yes. If yes, explain how... (provide one short sentence) (up to 50 words)  <input type="checkbox"/> No
2.6	Does the project address these cross-cutting issues? If so, briefly outline in one sentence.	<input type="checkbox"/> Paris alignment <input type="checkbox"/> Biodiversity and nature-based solutions <input type="checkbox"/> Gender, youth and social inclusion <input type="checkbox"/> Enhancing climate governance and green public finance <input type="checkbox"/> Skills and Capacity Building <input type="checkbox"/> None of the above
2.7	Does the project align with the <a href="#">African Development Bank's Ten-Year Strategy</a> ?	<input type="checkbox"/> Yes. If yes, in what areas... (provide one short sentence) (up to 50 words)  <input type="checkbox"/> No
2.8	Does the project align with the <a href="#">AfDB's High 5s (priority areas)</a> ?	<input type="checkbox"/> Yes. If yes, in what areas... (provide one short sentence) (up to 50 words)  <input type="checkbox"/> No



AFRICAN DEVELOPMENT BANK GROUP  
 GROUPE DE LA BANQUE AFRICAINE  
 DE DEVELOPPEMENT

S/N	Question	Options
2.9	Does the project align with the Bank's relevant <a href="#">Country Strategy Paper (CSP)</a> or Regional Integration Strategy Paper?	<input type="checkbox"/> Yes. If yes, in what areas... (provide one short sentence) (up to 50 words)  <input type="checkbox"/> No
2.10	Does the project align with the <a href="#">Bank's Gender Strategy</a> ?	<input type="checkbox"/> Yes. If yes, in what areas... (provide one short sentence) (up to 50 words)  <input type="checkbox"/> No
2.11	Do the project objectives align with the <a href="#">Bank's Climate Change and Green Growth Action Plan</a> ?	<input type="checkbox"/> Yes. If yes, in what areas... (provide one short sentence) (up to 50 words)  <input type="checkbox"/> No
2.12	Does the project have mitigation result indicators in its Results Framework that contribute to the mitigation result indicators in the CAW's result framework?	<input type="checkbox"/> Yes. If yes, list mitigation results indicators in the CAW results framework that your project contributes to... (provide one short sentence) (up to 50 words)  <input type="checkbox"/> No. If No, list other mitigation results indicators your project is contributing towards. (up to 50 words)  <input type="checkbox"/> The project has no specific mitigation results indicators.
2.13	Does the project align with National Climate Policies such as Nationally Determined Contributions, Long-term Strategies and/or national sector-specific strategies and plans?	<input type="checkbox"/> Yes. If yes, provide a brief response referencing the relevant document by section and or page number. (up to 50 words)  <input type="checkbox"/> No
2.14	Are the proposed climate change mitigation activities eligible under the Common Principles for Climate Change Mitigation Finance Tracking?	<input type="checkbox"/> Yes. If yes, outline them... (up to 100 words)  <input type="checkbox"/> No



AFRICAN DEVELOPMENT BANK GROUP  
 GROUPE DE LA BANQUE AFRICAINE  
 DE DEVELOPPEMENT

S/N	Question	Options
2.15-a	Is the project GHG emission avoidance/reduction/sequestered estimated?	<input type="checkbox"/> Yes. If yes, provide the estimate in TCO <sub>2</sub> e for the project life (number) <input type="checkbox"/> No
2.15-b	Has an appropriate methodology been cited and used to assess the Net GHG emissions of the project?	<input type="checkbox"/> Yes. If yes, state it <input type="checkbox"/> No
2.16-a	Have the baseline and project emission scenarios been clearly articulated, and have their respective and net emission estimates been generated?	<input type="checkbox"/> Yes. If yes, briefly summarize them... (up to 100 words) <input type="checkbox"/> No
2.16-b	Does the project involve Research & Development or digital solution or financial solution activities that have potential to transform carbon neutral initiatives in the country or region?	<input type="checkbox"/> Yes. If yes, explain (up to 100 words) <input type="checkbox"/> No
2.17	Does the project have clear budget lines that are linked to the climate change mitigation actions proposed in its list of activities?	<input type="checkbox"/> Yes. If yes, summarize budget (up to 100 words) <input type="checkbox"/> No
3.1	Can the resources being requested from the CAW be obtained from any other sources?	<input type="checkbox"/> Yes. <input type="checkbox"/> No If no, explain in one line.
4.1	Does the project have a letter of no objection from the relevant ministry of the host government(s)?	<input type="checkbox"/> Yes. If yes, attach letter <input type="checkbox"/> No
4.2	What is the overall project budget/amount? (Mention it in USD)	.....
4.3	What is the project amount requested from the Climate Action Window? (Mention it in USD)	.....
4.4	Does the project have co-financing or counterpart, parallel financing arrangements, which are attributable as climate finance, including from climate funds?	<input type="checkbox"/> Yes





AFRICAN DEVELOPMENT BANK GROUP  
GROUPE DE LA BANQUE AFRICAINE  
DE DEVELOPPEMENT

S/N	Question	Options
		<p>If yes, list the sources of financing by co-financier (e.g. government, counterpart/ parallel financing, climate finance) and the amounts in USD? (Up to 25 words)</p> <p>Attach the evidence of this cofinancing.</p> <p><input type="checkbox"/> No</p>

## Annex 2: CAW Project Concept Note Template (Stage 2)

Reference no: [SAP reference if available]  
Investment Sovereign Operations

Language: English  
Original: English

### AFRICAN DEVELOPMENT FUND



PROJECT CONCEPT NOTE  
[TITLE OF THE PROJECT]

[COUNTRY]

[OVERALL PROJECT AMOUNT INCLUDING REQUEST FROM CAW (IN USD)]

[TOTAL AMOUNT REQUESTED FROM CAW ALONE (IN USD)]

DATE: [MONTH-YYYY]

## A. User Guidelines

1. **The length of the main body of the PCN (from chapter 1 to 5) should not exceed 10-12 pages.** Indicative section lengths have been provided for each section. **If a concept note exceeds this limit, only the stipulated number of pages will be reviewed.**
2. Remove the page limits that are under brackets from the PCN section titles.
3. References and sources to all data/figures and information from other documents used in the concept note should be clearly provided in the footnotes.
4. The standardized formatting of the PCN should be aligned with Bank-wide rules on board documents in general and with these annotated formats specifically.
5. Delete this user guidelines page when submitting this concept note.

## PROJECT INFORMATION SHEET

### CLIENT INFORMATION

<b>Project Name</b>	[Project Name]
<b>Sector</b>	[Sector (s) of Intervention]
<b>Grant Recipient</b>	[Regional Member Country Name]
<b>Grant Team Lead</b>	[Name of person leading the prospective grantee's grant application]
<b>Project Instrument</b>	Grant
<b>Executing Agency and Partners</b>	[Executing Agency]

CAW Sector(s)	
<input type="checkbox"/> Mitigation	<input type="checkbox"/> Agriculture, forestry, land use and fisheries <input type="checkbox"/> Water access and wastewater management <input type="checkbox"/> Energy access and renewable energy <input type="checkbox"/> Transport and infrastructure <input type="checkbox"/> Green and sustainable finance
<input type="checkbox"/> Adaptation co-benefits	<input type="checkbox"/> Agriculture, food, and nutrition security <input type="checkbox"/> Building water security and sanitation <input type="checkbox"/> Climate information and early warning systems <input type="checkbox"/> Building resilient and green infrastructure

### COUNTRY AND STRATEGIC CONTEXT

<b>Country Strategy Paper Period:</b>	[Start Year – End Year]
<b>Country Strategy Paper Priorities supported by Project:</b>	[Priority 1, 2, etc]
<b>Government Program Alignment (National Development Plan, Sectoral Plans or strategies or equivalent):</b>	[Program/Policy Name], [Year]
<b>Alignment with Nationally Determined Contributions and the Bank's Climate Change and Green Growth Strategy</b>	
<b>Alignment with other Bank strategies (Gender and Ten Year Strategy)</b>	
<b>Project classification:</b>	[Relevant High 5 Priority Area(s) and sub-theme(s)]
	[Sustainable Development Goal Name(s)]

## ADF/ADB KEY FINANCING INFORMATION

<b>Total Project Amount (in USD)</b>	[Amount]		
<b>Amount Requested from Climate Action Window (in USD)</b>	[Amount]		
<b>Amount of Bank Group Financing excluding CAW and Bank Trust Funds (in USD)</b>	[Amount] [Loan/Grant]		
<b>Co-financiers and / or Bank Trust Fund Financing:</b>	<b>Co-Financier Name</b>	<b>Total Co-finance (USD)</b>	<b>Climate Co-finance (USD)</b>
	[Name Co-financier 1]	[Amount]	[Amount]
	[Name Co-financier 2]	[Amount]	[Amount]
	[Name Co-financier 3]	[Amount]	[Amount]
	[Name Co-financier 4]	[Amount]	[Amount]
	<b>Total (USD)</b>	[Amount]	[Amount]
<b>Government Counterpart Funding Contribution (in USD)</b>	[Amount]		
<b>Leverage Factor</b> (this refers to the ratio of CAW funding to additional <u>climate finance</u> from non-ADF sources. For example, if a project requests USD 1 million from the CAW and secures an additional USD 3 million in climate finance from non-ADF sources, the Leverage Factor is 1:3, indicating USD 3 for every CAW dollar.	[e.g., 1:3]		
<b>CAW TA grant requirement:</b> (Not applicable at this stage)	Not applicable at this stage		

## PROJECT PROCESSING SCHEDULE TO BOARD APPROVAL

Fill this table only if this concept note is coming from a team within the African Development Bank Group or you are an external applicant, and your project has already been assigned a Task Manager from the Bank	
<b>Identification</b>	[Date format: DD-MM- YYYY]
<b>Preparation mission</b>	[Start Date - End Date]
<b>Appraisal Mission</b>	[Start Date- End Date]
<b>Planned Board Presentation</b>	[DD – DD-MM- YYYY]
<b>Project Implementation period</b>	[Start Date- End Date]

## STRATEGIC CONTEXT

### A. Country Context, Strategy and Objectives (approx. ½ page)

1. [Explain the development and climate priorities of the country and state the key pillars of the national development strategy/plan and/or NDC and climate strategy (please indicate strategy validity dates). Present how the project is linked and aligned with the development and climate priorities of the country, SDGs and the AU Agenda 2063].
2. [State the key pillars of the current Bank Country Strategy Paper (CSP) (please indicate CSP validity dates). Describe the alignment of the operation with the CSP pillars and other key Bank Strategies (e.g. climate change and green growth policy, strategy and action plan, Ten-year strategy, High 5s, gender strategy, and strategy for addressing fragility and building resilience etc).
3. [Confirm that the operation is aligned with the Bank’s selectivity framework/current strategic priorities].

### B. Sector and Institutional Context (approx. ½ page)

4. [Describe the sector and institutional context of the project as related to sector climate change impact and key action priorities. Explain the main challenges being encountered in the sector].
5. [What sector policy or governance reforms have been requested by the development community to advance climate action in the country? What policy reforms are needed to facilitate project implementation? Are these reforms already established? If so, what is the progress made in their implementation?].
6. [Will the project benefit from synergies/coherence with other projects planned or implemented in the same area or of the same targeted beneficiaries?].

### C. Rationale for Bank’s and CAW’s Involvement (approx. ¼ page)

7. [Explain the rationale for the Bank’s intervention, based on the country and sector issues defined above. In particular, reasons given should justify why the proposed project is needed, and why it is needed now. In the context of climate vulnerability, and country commitment in Paris agreement and if a fragile situation, briefly discuss what are the potential impacts on mitigating risks and building resilience.]
8. [Explain what the Bank’s comparative advantage for this intervention is. In particular, what is, if any, the value addition or unique contribution made by the Bank, which could not be accomplished by other means or other sources of funding.]

### D. Development Partners Coordination (approx. ¼ page)

9. [Explain how the actions of other development partners fit into the project or the strategy in which the project fits. Indicate if the project was presented to development partners to create effective coordination and mobilization of additional resources in co-financing otherwise describe how the project will leverage development partner resources]

## 2 PROJECT DESCRIPTION

### A. Project Development Objective (approx.1 paragraph)

10. [Explain the project development and climate objectives, other specific project objectives and how it affects end-beneficiaries and stakeholders.]

*\*Note: In the context of conflict-affected and fragile situations, briefly articulate how the proposed development objective would contribute to building resilience—either at community, sub-national, national or regional level. In line with the “Do No Harm” principle, careful attention should be given to ensure that the project outcomes will not have a side negative (economic, social, and/or environmental) effect on targeted (or non-targeted) populations.*



## **B. Theory of Change (approx. ½ page)**

11. [Briefly outline the specific problem, such as the commitments to climate mitigation and vulnerability under the Paris Agreement, or the country's low carbon transition agendas, including aspects of just transition, as well as challenges and opportunities. Describe the intervention's scope, magnitude, and climate mitigation opportunities. Clearly articulate the intervention logic, expected outcomes, and pathways of change, addressing critical underlying assumptions. Include a theory of change diagram in Annex 1.]

## **C. Project Type (approx. 1 paragraph)**

12. [Explain the type of project e.g., standalone operation, part of a program, follow-up project etc and why this modality was chosen]

## **D. Project Components (approx. 1 page)**

13. [Name and describe each project component and sub-component of the project (include as many paragraphs as required without exceeding the stated section page limit)]

- ***Component 1: Name, (Amount/Cost)***

14. [Description of component goal, activities, target beneficiaries etc]

- *Sub-component 1.1: Name*

[Description of subcomponent goal, activities, target beneficiaries etc]

- *Sub-component 1.2: Name*

[Description of subcomponent goal, activities, target beneficiaries etc]

- ***Component 2: Name, Amount/Cost***

15. [Description of component goal, activities, target beneficiaries etc]

- *Sub-component 2.1: Name*

[Description of subcomponent goal, activities, target beneficiaries etc]

- *Sub-component 2.2: Name*

[Description of subcomponent goal, activities, target beneficiaries etc]

- ***Component X: Name, Amount/Cost***

16. [Description of component goal, activities, target beneficiaries etc]

- *Sub-component X.1: Name*

[Description of subcomponent goal, activities, target beneficiaries etc]

- *Sub-component X.2: Name*

[Description of subcomponent goal, activities, target beneficiaries etc]

## **E. Technical Solution Retained and other Alternatives explored (approx. ¼ page)**

17. [Explain the rationale for the selected technical design or approach. Explain the alternative project scenario for a mitigation activity, transformational and paradigm shift role of the selected options. Explain its conformity with international standards (if any) & explain how it's appropriate to the country's needs]. [Explain any innovative features in this project, compared to Bank's usual practices and / or compared to best practices in the development arena (if any)].

• **Table 1: Technical Alternatives Considered and Reasons for Rejection**

Alternative	Description	Reasons for Rejection
Alternative 1		
Alternative 2		
Alternative 3		

*\*Note: To be completed, except the project's specifics justify the absence of any alternative. In that case, instead of the table, the author will briefly explain why no alternative could be explored*

## F. Project Cost and Financing Arrangements (approx.1 page)

18. [Explain what the overall cost of the project is, what proportion is financed by AfDB, the CAW, AFDB Trust Funds and other sources, who the lead financial partner is, also whether it is a joint or parallel financing and what will be the country's counterpart funding contribution (indicate whether cash or in kind).]

19. [Explain what the financing terms and conditions proposed by AfDB are (e.g., loan or grant, interest rate, maturity period, etc.), why this choice has been made]

20. [Discuss the reliability of investment cost estimates, the realism of engineering or other data used to estimate inputs and outputs, and the adequacy of allowances for physical contingencies and price increases during implementation.]

21. [Emphasize what leveraging and co-financing opportunities are used to enhance the development impact of the project. Indicate if the co-financing has been secured/confirmed and if so what are their processing time frame especially approval process. In case co-financing is not secured/confirmed, indicate the status and the time frame is the project likely to get confirmation]

• **Table 2: Estimated Cost of the Project by Component and Source in USD million**

Project Activities /Components	Cost	Funding Sources					
		African Development Fund (ADF)	African Development Bank (ADB)	Climate Action Window	Host Government	Co-financier	Co-financier
<b>Component 1- Component name</b>							
Sub-component/activity name							
Sub-component/activity name							
Sub-component/activity name							
<b>Component 2- Component name</b>							
Sub-component/activity name							
Sub-component/activity name							
Sub-component/activity name							
<b>Component 3- Component name</b>							
Sub-component/activity name							
Sub-							

component/activity name							
Sub-component/activity name							
<b>Component 4- Component name</b>							
Sub-component/activity name							
Sub-component/activity name							
Sub-component/activity name							
<b>Component 5- Component name</b>							
Sub-component/activity name							
Sub-component/activity name							
Sub-component/activity name							
<b>Total</b>							

## **G. Project’s Target Area and Population Beneficiaries and other Stakeholders (approx. ¼ page)**

22. [Describe the project area/location including geographic characteristics ; state the total number of beneficiaries of the project including who the direct and indirect project beneficiaries (disaggregated by sex and category e.g. farmers, youth, students etc where applicable) are; what the main project-related outcomes for each target group are, the problems faced by end-beneficiaries and other stakeholders that will be addressed by the project].
23. [Describe the main participatory processes undertaken during project identification, preparation, and implementation to ensure the active participation of the beneficiaries, private sector, and civil society etc. in the project. Explain what analysis and consultation is outstanding and to be completed during appraisal].

## **H. Environmental and Social Safeguards (approx. ½ page)**

- ***Environmental***

24. [Outline the environmental and social implications of the operation? What are the major adverse impacts of the project? What are the mitigation measures and their cost? Are the costs for E&S mitigation mobilized and available? What are the positive impacts, and the cost of enhancing these environmental benefits?]

- ***Involuntary Resettlement***

25. [What is the number of people (women and men) affected or displaced by the project? What are the assets, social infrastructure and livelihood affected or displaced by the project? What is the Resettlement Action Plan (RAP) cost? Resources for RAP implementation available as part of [select one of the following options: (i) part of the loan; (ii) co-financing from another donor; (iii) counterpart funding;(i.e. availability of funds is demonstrated and their availability in a dedicated project account included as condition for effectiveness or first disbursement in the financing agreement) and included as part of the overall project cost. Who will implement the RAP?]

## **I. Climate Change and Green Growth Rationale (1 Page)**

26. [Clearly describe how the project contributes to climate change mitigation, describing the baseline, project, and net emissions. Provide an estimate of the project's GHG reduction/ avoidance/or sequestration using methods compliant with the International Financial Institution's Harmonized Standards for GHG accounting. Include GHG Accounting Report in Annex 6. Additionally, describe the transformation and paradigm shift contribution of the project to climate change mitigation. Please refer to the guidance note on how to ensure that the climate change mitigation activities proposed in this project attributable as mitigation finance activities and are aligned with the [Common Principles for Climate Change Mitigation Finance Tracking](#)
27. [Describe the climate physical risk exposure to the project, and the adaptation and resilience measures considered.]
28. [Describe any adaptation co-benefits from the project?]
29. [Provide description of Paris Alignment of the project.]

## **J. Other Cross-cutting Priorities (approx.3/4 page)**

- ***Poverty reduction, Inclusiveness and Job Creation***

30. [What is the expected impact on poverty, vis-à-vis employment / the job market, and wealth distribution? What are the expected positive and negative social impacts of the project, during its implementation phase and after? (For instance, impact on safety, HIV/AIDS, malaria, communicable diseases and other pandemics, etc.)]

- ***Opportunities for Building Resilience***

31. [If applicable, based on the draft fragility assessment note, explicitly contextualize drivers of fragility underpinning the project sector/area/location under the political, security, social, economic, regional, and/or environmental dimensions. The proposed analysis should be aligned with the latest quantitative and qualitative findings of the Country Resilience and Fragility Assessment (CRFA). Identify entry points for building resilience and articulate how the identified drivers of conflict and/or fragility will be tackled through the expected outputs and outcomes of the project. Demonstrate how the project would contribute to building peace and/or resilience without worsening the situation. Is further analysis planned during appraisal phase?]

- ***Gender Equality and Women's Empowerment Promotion***

32. [What is the gender category of the project? How will the project contribute to reducing gender gaps, and/or empowering women and girls during implementation and after (e.g., changes in gender roles, responsibilities and relations, constraints linked to gender-based discrimination, time saved in unpaid care and domestic work, participation in and benefit from project activities by women and men) is further analysis planned during appraisal phase?].

## **3 IMPLEMENTATION**

### **A. Institutional and implementation Arrangements (approx. ¼ page)**

33. [Which institutions/national entities will be responsible for implementing the project? Are they existing Project Implementation Units? Do they have experience in implementation of Bank financed projects? What are the coordinating arrangements? For multinational projects, indicate specific information on the coordination that will be established both at national and regional level. Identify any capacity/staffing constraints, and how they will be addressed? Indicate any further analysis required during appraisal to ensure implementation readiness.]

### **B. Monitoring and Evaluation (approx. ¼ page)**

34. [Explain the institutional arrangements for project monitoring, M&E capacity assessments, type of M&E system to be used, including initial ideas of Measurement, Reporting and Verification (MRV) of mitigation benefit of the project.]
35. [Indicate any issues relating to results measurement not yet addressed, such as missing baseline data, identified shortcomings in executing agency M&E capacity or ministry/statistical office's data and how they will be addressed during appraisal. Indicate how the stakeholders will participate in monitoring and evaluation.]

### **C. Governance (approx. ¼ page)**

36. [What are the issues or risks linked to governance, if any? What regulatory or policy issues seem to limit the potential benefits expected from the project? What are the mitigation measures? In particular, what explicit safeguards has the project built to offset possibilities of fraud and corruption during implementation?]

### **D. Sustainability (approx. ¼ page)**

37. [What is the evidence that the country is committed to the project and will own it after the Bank exits? Are there relevant policies to support this intervention? Demonstrate how ownership of the project by stakeholders will be assured. Outline country financing or in-kind contribution.].

38. [Are there other factors that are critical to the sustainability of the project's benefits e.g. technical, financial, environmental and social safeguards etc? How has the design of the project attempted to address the critical factors? If there are recurrent costs, indicate how they will be financed].

### **E. Risk Management (approx. ¼ page)**

39. [What are the major risks during the life of the project? Potential risk factors could include political and governance, macroeconomic, sector strategies and policies, technical design of operation, fiduciary, and value for money, environmental and social, capacity of implementing entity etc? What are the proposed mitigation measures?]

## **4 ANNEXES**

**Annex I:** Theory of Change

**Annex II:** Project Results Framework

**Annex III:** Work plan (Schedule of Activities)

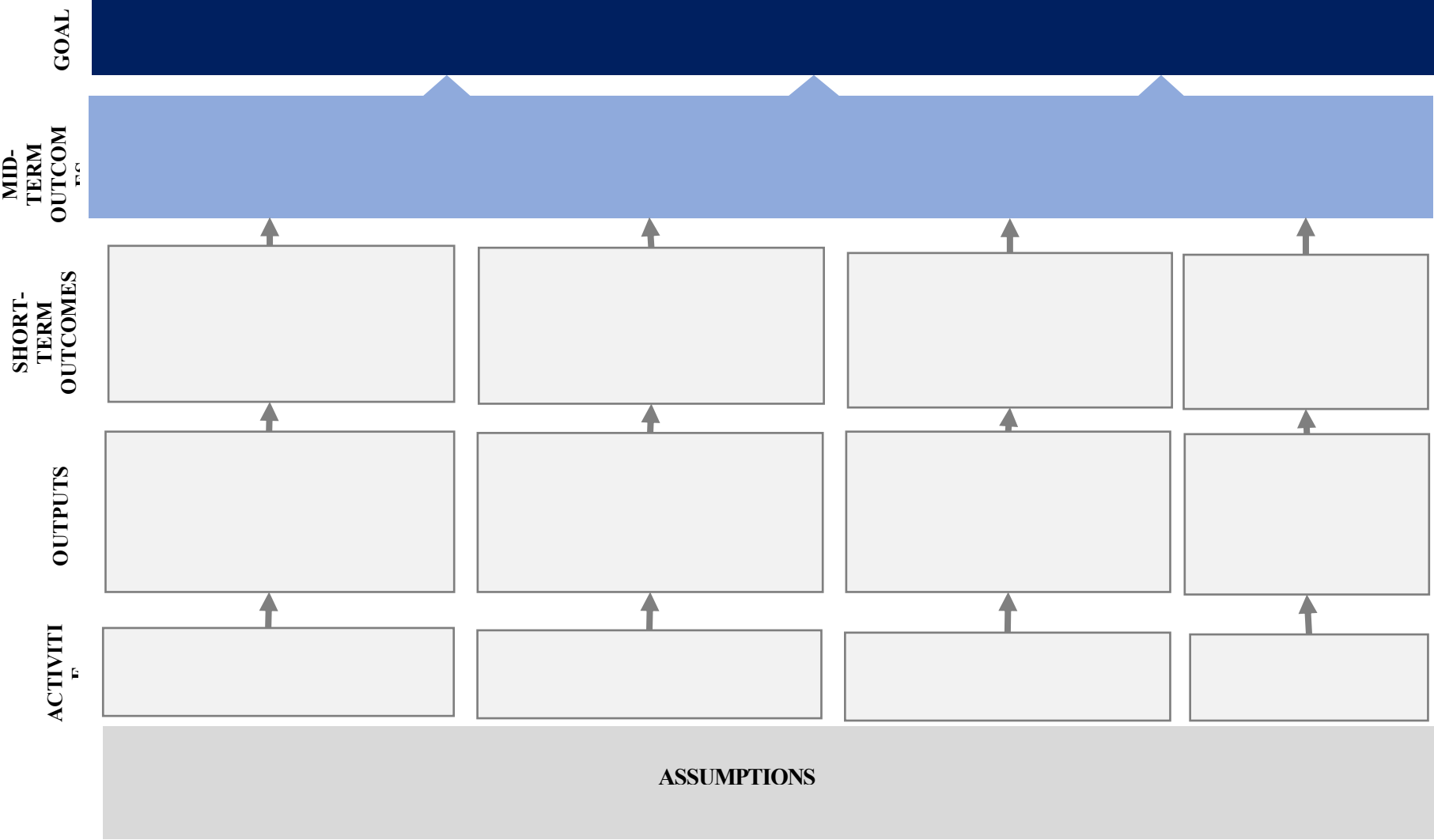
**Annex IV:** Letter of No-Objection from the Relevant Government Ministry (for all applicants except cases where a government ministry is submitting the concept note)

**Annex V:** Memorandum of Understanding Showing Evidence of Project Implementation Partnership (for applicants with one or more implementation partners)

**Annex VI:** Greenhouse Gas (GHG) Accounting Report Showing Estimates of GHG Emissions Reduction/Avoided/Sequestered: Greenhouse Gas Emissions Accounting Report: Applicants must conduct GHG accounting on their projects and include annual and project life estimates of GHG emissions reduced, avoided or captured using a credible methodology or tool. The GHG accounting should include detailed descriptions, underlying assumptions, and reference sources. Please include supporting evidence for these claims in the annex to your Project Concept Note, citing all relevant sources.



**Annex I: Theory of Change Schematic**



## Annex II – Results Framework

RESULTS FRAMEWORK					
A PROJECT INFORMATION					
PROJECT NAME AND SAP CODE:			COUNTRY/REGION:		
PROJECT DEVELOPMENT OBJECTIVE:					
ALIGNMENT INDICATOR (S):					
B RESULTS MATRIX					
RESULTS CHAIN AND INDICATOR DESCRIPTION	CAW INDICATOR	UNIT OF MEASUREMENT	BASELINE (date)	TARGET AT COMPLETION (date)	MEANS OF VERIFICATION
<b>OUTCOME STATEMENT 1:</b>					
OUTCOME INDICATOR 1.1:	<input checked="" type="checkbox"/>				
(OPTIONAL) COMPONENT A:					
<b>OUTPUT STATEMENT A.1:</b>					
OUTPUT INDICATOR A.1.1:	<input type="checkbox"/>				
<b>OUTPUT STATEMENT A.2:</b>					
OUTPUT INDICATOR A.1.2:	<input type="checkbox"/>				
(OPTIONAL) COMPONENT B:					
<b>OUTPUT STATEMENT B.1:</b>					
OUTPUT INDICATOR B.1.1:	<input type="checkbox"/>				
OUTPUT INDICATOR B.1.2:	<input type="checkbox"/>				

### User notes

1. The CAW Results Framework supports the monitoring of the CAW's high-level outcome statements (on Annex 5 of the Guidance note), with indicators to measure results and progress. Each individual operation within the CAW will have its own project results framework, from which progress can be aggregated against CAW targets. Horizontal outcome and output lines include outcome/output statements, these are achieved states. SMART indicators are required to measure achievement next to the output/outcome statement.
2. Performance indicators should be identified for every result at each results level included in the results framework. There may be more than one indicator per outcome/output statement. A general rule of thumb is to select no more than three performance indicators per result statement. Indicators should be sex-disaggregated where possible.
3. If the indicator selected is classified as part of the CAW RMF, the box "RMF indicator" should be ticked.-
4. Without exception, all output and outcome indicators require a baseline and a target. For each baseline and target data, an indication of the date, aligned with project timeline, should be specified. For unit of measurement, it is recommended to use numbers (as opposed to percentages) where possible.
5. The effectiveness of operations is assessed against output and outcome indicators; they should be identified, and targets set accordingly. Intermediate outcomes are useful where they allow results to be established within the timeframe of project completion reporting. Longer-term outcomes are also important but may not be verifiable at the time of completion

reporting. Teams should identify an appropriate combination.

6. Where possible, it is recommended to include the budget allocation for monitoring under the project budget.

7. Risks are not included here but should be discussed in a dedicated section in the PCN and PAR.

8. Activities and inputs are not discussed in the results framework as they are not “results”. They should be discussed in the project workplan and the budget sections of the PCN and PAR.

9. Means of verification documents the source of data such as reports or databases where the specific information will be found.

---

**Annex III: Work Plan (Schedule of Activities)**

S/N	Activity	Description	Start Date	End date	Duration	Activity(ies) Precedent	Resource Requirement	Responsible
1	<b>Component 1 –</b>							
2	<b>Component 2 –</b>							
3	<b>Component 3 –</b>							

**Annex IV: Letter of No-Objection from the Relevant Government Ministry (for all applicants except cases where a government ministry is submitting the concept note)**

**Annex V: Memorandum of Understanding Showing Evidence of Project Implementation Partnership  
(for applicants with one or more implementation partners)**



**Annex VI: Greenhouse Gas (GHG) Accounting Report Showing Estimates of GHG Emissions Reduction/Avoided/Sequestered**

## Annex 3: Eligibility Screening Templates: Mitigation Projects

S/N	Question	Score
<b>Alignment</b>	Does the project align with the <a href="#">African Development Bank's Ten-Year Strategy</a> ?	1%
	Does the project align with the <a href="#">AfDB's High 5s (priority areas)</a> ?	1%
	Does the project align with the Bank's relevant <a href="#">Country Strategy Paper (CSP)</a> or <a href="#">Regional Integration Strategy Paper</a> ?	1%
	Does the project align with the <a href="#">Bank's Gender Strategy</a> ?	2%
	Do the project objectives align with the <a href="#">Bank's Climate Change and Green Growth Action Plan</a> ?	5%
	Does the project have mitigation result indicators in its Results Framework that contribute to the mitigation result indicators in the CAW's result framework?	10%
	Does the project align with National Climate Policies such as Nationally Determined Contributions, Long-term Strategies and/or national sector-specific strategies and plans?	15%
	Are the proposed climate change mitigation activities eligible under the <a href="#">Common Principles for Climate Change Mitigation Finance Tracking</a> ?	10%
	Is the project GHG emission avoidance/reduction/sequestered estimated?	5%
	Has an appropriate methodology been cited and used to assess the Net GHG emissions of the project?	5%
	Have the baseline and project emission scenarios been clearly articulated, and have their respective and net emission estimates been generated?	10%
	Does the project involve Research & Development or digital solution or financial solution activities that have potential to transform carbon neutral initiatives in the country or region?	5%
	Does the project have clear budget lines that are linked to the climate change mitigation actions proposed in its list of activities?	10%
<b>Additionality</b>	Can the resources being requested from the CAW be obtained from any other sources?	5%
<b>Ownership</b>	Does the project have a letter of no objection from the relevant ministry of the host government(s)?	5%
<b>Commitment</b>	Does the project have co-financing or counterpart, parallel financing arrangements, which are attributable as climate finance, including from climate funds?	10%

**Note:** to be considered eligible, projects must meet two criteria: they must score a minimum of 70% and have eligible ownership.

## Annex 4: Evaluation Criteria for Project Concept Notes

S/N	EVALUATION CRITERIA	WEIGHT
1	<b>Climate Vulnerability</b>	10%
	<ul style="list-style-type: none"> <li>Exposure to physical/ transition/residual risks/ identified;</li> <li>Level of Vulnerability of direct beneficiaries.</li> <li>Are climate risks sufficiently managed?</li> <li>Status of carbon emissions</li> </ul>	
2	<b>Country Resilience and Fragility Assessment (CRFA) (based on AfDB assessment and rating)</b>	5%
	<ul style="list-style-type: none"> <li>Access to public services.</li> <li>Organisation of Civil Society Organizations.</li> <li>Ease of population movement.</li> <li>Resilience to economic shocks.</li> <li>Regional integration.</li> <li>Policies fostering protection of natural resources and environmental sustainability.</li> <li>Prevention and response to natural disasters and humanitarian emergencies</li> <li>Natural disaster hazards and fatalities</li> <li>Water scarcity</li> <li>Malnutrition and undernourishment</li> <li>Food price volatility</li> </ul>	
3	<b>Paradigm Shift potential</b>	5%
	<ul style="list-style-type: none"> <li>Innovative solutions to support low-emission development within country of regional context.</li> <li>Potential for learning and knowledge and technology transfer.</li> <li>Potential for market development or creation.</li> <li>Potential for scalability and replication.</li> <li>Potential for strengthened legal, policy and regulatory frameworks.</li> </ul>	
4	<b>Mitigation Impact Potential</b>	20%
	<ul style="list-style-type: none"> <li>Level of Contribution to the CAW results (outcome and impact)</li> <li>Baseline emission activities clearly identified and corresponding emissions assessed using appropriate GHG accounting methodology.</li> <li>Project mitigation activities clearly identified and mapped against MDB joint methodology.</li> <li>Potential to include a comprehensive Results Framework that outlines outcome, and output indicators.</li> </ul>	
5	<b>Country's Ownership and Commitment to Climate Issues</b>	10%
	<ul style="list-style-type: none"> <li>Project alignment with country's national climate strategies</li> <li>Project is design in line with country policies.</li> <li>Experience and track record of the implementing entity</li> <li>Adequate stakeholder consultation</li> <li>No-objection letter or equivalent from government</li> </ul>	

S/N	EVALUATION CRITERIA	WEIGHT
6	<b>Climate Finance Additionality</b> <ul style="list-style-type: none"> <li>• Alternative financing limited for the proposed mitigation project.</li> <li>• CAW resource potential to leverage other resources on the project.</li> <li>• Financial adequacy and appropriateness of concessionality</li> <li>• Country gets relatively limited access to finance and has high level debt burden.</li> <li>• Cost-effectiveness of mitigation action (in USD per ton of CO<sub>2</sub>e reduced/avoided/sequestered)</li> </ul>	<b>10%</b>
7	<b>Expected Climate and Development Co-Benefits</b> <ul style="list-style-type: none"> <li>• Adaptation co-benefits</li> <li>• Household benefits</li> <li>• Governments</li> <li>• Infrastructure</li> <li>• Macroeconomic resilience</li> <li>• Private sector development and demonstration effect</li> </ul>	<b>10%</b>
8	<b>Quality and Readiness of the Project</b> <ul style="list-style-type: none"> <li>• Design rationale (ToC, feasibility studies etc. completed)</li> <li>• Co-financing and partnership commitment from partners including international climate funds and/or Government, etc.</li> <li>• Expected economic and financial return on the projects.</li> <li>• Project long term sustainability ensured.</li> </ul>	<b>10%</b>
9	<b>Gender Equality and Youth Empowerment</b> <ul style="list-style-type: none"> <li>• Gender analysis conducted.</li> <li>• Gender mainstreaming in project design (activities, outputs and outcomes)</li> <li>• Promotion of women and youth participation and empowerment</li> <li>• Gender and youth sensitive indicators within the M&amp;E context</li> <li>• Gender and youth-related activities budgeted in the project proposal.</li> </ul>	<b>10%</b>
10	<b>Contribution to Biodiversity and Ecosystem Protection and Restoration</b> <ul style="list-style-type: none"> <li>• Adoption of nature-based solutions (ecosystem-based adaptation, eco-disaster risk reduction, green-blue infrastructure, etc.)</li> <li>• Contribution to protection and restoration of biodiversity and ecosystems</li> <li>• Project's alignment with national biodiversity strategies</li> <li>• Contribution to land degradation neutrality</li> <li>• Provision of additional ecosystem services</li> </ul>	<b>10%</b>

## Annex 5: Climate Action Window Results Framework

INDICATIVE RESULTS FRAMEWORK				
A PROGRAMME INFORMATION				
NAME: ADF Climate Action Window		COUNTRY/REGION: Multinational (37 ADF Countries)		
PROGRAMME DEVELOPMENT OBJECTIVE Build the resilience of the economies and citizens of ADF countries to the impacts of climate change by financing green investments through adaptation and mitigation programs.				
B PROGRAMME RESULTS MATRIX				
RESULTS CHAIN AND INDICATOR DESCRIPTION	UNIT	BASELINE <sup>[1]</sup> (date)	TARGET (2030) <sup>[2]</sup>	MEANS OF VERIFICATION
<b>OUTCOME STATEMENT 1: Climate adaptation and resilience in ADF countries is enhanced</b>				
OUTCOME INDICATOR 1.1: People benefitting from climate change adaptation and resilience investments (of which number of women reached)	Number	Bank's ADF country IOP	TBC	Project appraisal reports, Project completion reports, implementation progress reports,
OUTCOME INDICATOR 1.2: People with new or improved access to water and sanitation (of which number of women reached)	Number, millions	4.4 (2021)	36.2	Project completion reports, implementation progress reports
OUTCOME INDICATOR 1.3: Farmers practicing climate-smart agriculture (of which number of women reached)	Number, millions	TBC	20	Project completion reports, implementation progress reports
OUTCOME INDICATOR 1.4: Farmers access information for food security early warning (of which number of women reached)	(Number, millions)	8	20 (10)	Project completion reports, implementation progress reports
OUTCOME INDICATOR 1.5: Degraded land rehabilitated and forests managed sustainably using Climate Smart Agriculture	Ha (millions)	TBC	1.0	Project completion reports, implementation progress reports
<b>OUTCOME STATEMENT 2: GHG emissions from ADF countries are reduced in line with the country NDC targets</b>				
OUTCOME INDICATOR 2.1: National GHG emissions reduction	Thousands of tonnes	TBC (NDC BAU scenarios)	TBC (NDC Targets)	Project appraisal reports, and implementation progress reports, GHG accounting and reporting tool Revised NDC submissions
OUTCOME INDICATORS 2.2 Additional people with new electricity connections through mini-grid and off grid systems powered by renewable energy (of which women)	Millions	TBC	3.5	Project completion reports, implementation progress reports
<b>OUTCOME STATEMENT 3: Country capacity for climate resilient development enhanced</b>				
OUTCOME INDICATOR 3.1: Enhanced NDCs, LTSs, NAPs and other Paris Alignment policies and	Number	0	13	Project completion reports, implementation

action plans implemented				<i>progress reports</i>
<b>■ OUTCOME STATEMENT 4: The operational and organisational effectiveness of the CAW is high</b>				
OUTCOME Indicator 4.1: CAW Disbursement Rate	<i>Percentage</i>	<i>N/A</i>	<i>100</i>	<i>CAW Annual Report</i>
OUTCOME Indicator 4.2: Operations independently rated as satisfactory and above at completion	<i>Percentage</i>	<i>N/A</i>	<i>100</i>	<i>CAW Annual Report</i>
OUTCOME Indicator 4.3: Resources allocated to adaptation action	<i>Percentage</i>	<i>N/A</i>	<i>75</i>	<i>CAW Annual Report</i>
OUTCOME Indicator 4.4: Resources allocated to mitigation action	<i>Percentage</i>	<i>N/A</i>	<i>15</i>	<i>CAW Annual Report</i>
OUTCOME Indicator 4.5: Resources allocated to technical assistance	<i>Percentage</i>	<i>N/A</i>	<i>10</i>	<i>CAW Annual Report</i>
OUTCOME Indicator 4.5: Cost effectiveness of mitigation action	<i>US \$ /kTCO2e</i>	<i>Sectoral Benchmarks</i>	<i>Surpass Sectorial Benchmarks</i>	<i>CAW Annual Report</i>
OUTCOME Indicator 4.6: CAW Commitment Rate	<i>Percentage</i>	<i>N/A</i>	<i>100%</i>	<i>CAW Annual Report</i>
OUTCOME Indicator 4.7: CAW Project Cancellation Rate	<i>Percentage</i>	<i>N/A</i>	<i>0%</i>	<i>CAW Annual Report</i>
OUTCOME Indicator 4.8: Resource Mobilised	<i>US \$ million</i>	<i>429</i>	<i>3 billion</i>	<i>CAW Annual Report</i>
OUTCOME Indicator 4.9: Paris Alignment	<i>Percentage</i>	<i>N/A</i>	<i>100%</i>	<i>CAW Annual Report</i>
<b>■ OUTPUT STATEMENT 1: Scaled up climate finance mobilized for Africa, with a strong focus on adaptation and resilience.</b>				
OUTPUT INDICATOR 1.1: Climate Change finance mobilized from dedicated climate funds and other external sources	<i>\$</i>	<i>429 million</i>	<i>14 Billion</i>	<i>Project completion reports, implementation progress reports</i>
<b>■ OUTPUT STATEMENT 2: Investments in carbon neutral technologies reduce or avoid carbon emissions</b>				
OUTPUT INDICATOR 2.1: New renewable power capacity installed,	<i>GWh</i>	<i>56 MW (2021)</i>	<i>1040 GW</i>	<i>Project completion reports, implementation progress reports</i>
OUTPUT INDICATOR 2.2 New carbon neutral infrastructure and transportation systems are developed	<i>KMs</i>	<i>Obtain from PIVP/RMF</i>	<i>1000KMs</i>	<i>Project completion reports, implementation progress reports</i>
<b>■ OUTPUT STATEMENT 3: Relevant and timely Technical Assistance to ADF Countries</b>				
OUTPUT INDICATOR 3.1: Countries benefiting from CAW TA	<i>Number</i>	<i>0</i>	<i>37</i>	<i>Project appraisal reports</i>

■ OUTPUT STATEMENT 4: Data on CAW Activities and results are centrally collected				
OUTPUT INDUCATOR 4.1: CAW Portfolio Tracker	<i>Number</i>	<i>N/A</i>	<i>1</i>	<i>CAW Annual Report</i>

<sup>[1]</sup> Some targets are not yet set and will be added as official data becomes available.

<sup>[2]</sup> The Bank's project approval and results measurement timeframes will not be closed at the end of ADF-16 / 2025. A longer timeframe will be required for completion of results measurement, which will be done on an ongoing basis. Progress and early results will be reported in 2023 and 2024.