



**ADAPTATION FUND**

AFB/PPRC.17-18/6  
11 January 2016

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Adaptation Fund Board  
Project and Programme Review Committee

## **TECHNICAL ASSISTANCE GRANT PROPOSAL FOR MICRONESIA**

## Background

1. At its twenty-second meeting, the Adaptation Fund Board secretariat (the secretariat) had prepared document AFB/B.22/6 which outlined the possible elements and options for a phased Programme to Support Readiness for Direct Access to Climate Finance for National and Regional Implementing Entities and presented a framework and budget for a first phase of the Programme. Following a discussion of the document, the Board decided to:

- (a) *Approve Phase I of the Readiness Programme as detailed in document AFB/B.22/6, on the basis that it would follow performance-based funding principles;*
- (b) *Take note of the options provided by the secretariat on a programme to support readiness for direct access to climate finance for national and regional implementing entities;*
- (c) *Request the secretariat to submit to the Board intersessionally between the twenty-second and twenty-third meetings, execution arrangements, criteria/eligibility criteria to allocate the funds to the accredited implementing entities for specific activities, as well as a timeline of activities, with a view to start implementing the programme before the twenty-third Board meeting; and*
- (d) *Approve an increase in the Administrative Budget of the Board, secretariat and trustee for FY2014 of US\$ 467,000 for the programme described in AFB/B.22/6, and authorize the trustee to transfer such amount to the secretariat and request the trustee to set aside the balance amount of US\$ 503,000 from the Adaptation Fund Trust Fund resources for subsequent commitment and transfer at the instruction of the Board.*

### **(Decision B.22/24)**

2. At the tenth session of the Conference of the Parties serving as meeting of the Parties to the Kyoto Protocol (CMP 10), the Parties recognized the Readiness Programme of the Adaptation Fund and decided to:

*Invite further support for the readiness programme of the Adaptation Fund Board for direct access to climate finance in accordance with decision 2/CMP.10, paragraph 5;*

### **Decision 1/CMP.10**

and also decided to:

*Request the Adaptation Fund Board to consider, under its readiness programme, the following options for enhancing the access modalities of the Adaptation Fund:*

- (a) *Targeted institutional strengthening strategies to assist developing countries, in particular the least developed countries, to accredit more national or regional implementing entities to the Adaptation Fund;*
- (b) *Ensuring that accredited national implementing entities have increased and facilitated access to the Adaptation Fund, including for small-sized projects and programmes;*

**Decision 2/CMP.10**

3. Upon completion of Phase I of the Readiness Programme, the secretariat had prepared document AFB/B.25/5 which outlined the progress made in Phase I and proposed Phase II of the Readiness Programme, taking into account the results from Phase I of the programme and integrating decision 2/CMP10. Following a discussion of the document, the Board decided to:

*Aprove Phase II of the Readiness Programme, as outlined in document AFB/B.25/5, with a total funding of US\$ 965,000, including funding of US\$ 565,000 to be transferred to the secretariat's budget and funding of US\$ 400,000 to be set aside for small grants to National Implementing Entities from resources of the Adaptation Fund trust fund.*

**(Decision B.25/27)**

3. Following the approval by Board of Phase II of the Readiness Programme, eligible national implementing entities (NIEs) submitted applications for Technical Assistance grants and South-South cooperation grants. The types of eligible support from Technical Assistance grants included but were not limited to (i) Developing procedures/manuals/guidelines for screening projects for environmental and social risks, undertaking project environmental and social risk assessment and for formulating risk management plans (ii) Developing policies/avenues for public disclosure and consultation (iii) Developing transparent and effective grievance handling mechanisms related to the Fund's Environmental and Social Policy, and (iv) Training of select entity staff to carry out the relevant tasks related to the implementation of the Fund's Environmental and Social Policy. To facilitate timely review of applications, the Board, at its twenty sixth meeting decided to:

*Request the secretariat to review intersessionally, between the 26th and 27th meetings of the Board, proposals submitted by National Implementing Entities for technical assistance grants and South-South cooperation grants under the Readiness Programme, and to submit the reviews to the PPRC for intersessional recommendation to the Board.*

**(Decision B. 26/28)**

4. It is expected that the Technical Assistance Grants will enable NIEs to source external expertise through short-term consultancies for more targeted technical assistance where such a need is identified to improve their capability to comply with the Fund's policy. This may include developing or strengthening a particular function relevant to the policy such as an environmental and social management system, a risk management system, or familiarization with the principles of the environmental and social policy.

5. All accredited NIEs are eligible to receive grants for technical assistance based on the relevance of the capacity and needs assessment as outlined in document AFB/B.23/5, including the funding cap of 20,000 USD per NIE. For the current review period, eligible NIEs were those that submitted a satisfactory request document that met all of the following criteria as at the time of the 17-18 intersessional review cycle:

- Have been accredited by the Board,
- Have submitted a request document to the secretariat within the given deadline and with a clear description of the areas of support needed and budget for the requested support.

6. Following a call for submission of applications undertaken intersessionally, the secretariat had received applications from NIEs for Technical Assistance Grants. A total of eight NIEs submitted request documents.

7. Of the eight NIEs that submitted request documents, only six were eligible, i.e. the *Centre de Suivi Ecologique* (CSE, Senegal), the South African National Biodiversity Institute (SANBI, South Africa), the Micronesia Conservation Trust (MCT, Micronesia), the *Fundecooperación para el Desarrollo Sostenible* (Costa Rica), the *Fundación Natura* (Panama) and the National Environment Fund (FNE, Benin).

8. The present document introduces the revised application submitted by the Micronesia Conservation Trust (MCT, Micronesia) for a Technical Assistance Grant. It includes a request for funding of US\$20,000 outlining the activities to be undertaken by the consultant to support the NIE to comply with the AF's environmental and social policy. The secretariat had reviewed the initial application by MCT and provided its comments to the applicant for further clarification. The applicant had re-submitted their proposal on 17 December 2015, taking into account the secretariat's comments. The secretariat's initial review and the applicant's revised application/request document are available in the next sections of this document.



## Screening of Application for a Technical Assistance Grant to support NIE Assessment and Management of Environmental and Social Risks within projects and programmes

Requesting Country: **Federated States of Micronesia**  
 Requesting NIE: **Micronesia Conservation Trust (MCT)**

Requested Financing from Adaptation Fund: **US\$ 20,000**

Reviewer and contact person: **Farayi Madziwa**  
 Co-reviewer(s): **Daouda Ndiaye**  
 NIE Contact Person: **William Kostka**

Screening Questions	Score (please select from dropdown menu)	Rating	Assessment
Has this application been endorsed by the Designated Authority of the country?	2	0. No 1. Partially 2. Yes	Endorsement letter has been signed by the DA. However, MCT should complete Section C of the application form.
Is the timeframe of activity adequate?	3	1. Not adequate 2. Somewhat Adequate 3. Adequate	The timeframe is adequate for the intended activities. However, it would be useful to indicate the expected duration (days or weeks) for each of the types of support activity.
Are the proposed activities to support the NIE to implement the E&S policy of the AFB adequate?	2	1. Not adequate 2. Somewhat Adequate 3. Adequate	It would be useful to briefly outline sub-activities that will be carried out for each requested activity (either just bullet points or a brief description of how it will be done).
Based on the proposed activities, is the requested budget reasonable?	1	1. Not Reasonable 2. Reasonable	There seems to be a missing page in the scanned file. The sub-budget in the scanned application received totals \$15,500 and the requested amount

			<p>for the total support requested in the same file is \$20,000.</p> <p>It would be useful to clarify who the travel costs and meeting logistics costs are for, i.e., for the consultant or the participants/staff to be trained?</p> <p>MCT should clarify whether the 3 page scanned document received by the secretariat is the full application or whether there are missing pages. It is advised that NCT re scan and re-send the full application with taking into consideration the feedback provided in this assessment.</p>
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#### **SECRETARIAT'S GENERAL COMMENT (4 December 2015)**

- (i) Please complete Section C of the application form.
- (ii) Please clarify if the 3 page document received is the full application or there are missing scanned pages. If there are missing scanned pages, please re-send application taking this assessment into consideration.



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### Request for assistance in complying with the Fund's Environmental and Social Policy

Submission Date:

Adaptation Fund Grant ID:

Country/ies: Federated States of Micronesia

Implementing Entity: Micronesia Conservation Trust (MCT)

#### A. Timeframe of Activity

Start date of activity	20 October 2015
Completion date of activity	20 January 2016

#### B. Type of support requested

Describe the activities to be undertaken to support the accreditation of NIE candidate(s) in the target country(ies)

Types of Support Activities	Support requested (please check the relevant case)	Type/name of provider of requested support <sup>1</sup>	Requested budget (USD)
<b>Development of procedures manual/guidelines for screening projects for environmental and social risks</b>	<p><i>Activity 1:</i> This will be the first activity undertaken and is of high importance for MCT as we are in the process of developing our first project for funding from the Adaptation Fund (AF).</p> <p>Under this activity a manual for project screening for environmental and social risks will be developed and integrated as part of its overall project appraisal process.</p> <p><b>Sub-activities:</b></p>	Individual consultant in collaboration with other individual consultants as needed (We will engage Dima Reda to manage the process for us and engage any additional expert as necessary)	<b>2100</b> Consultant Fees

<sup>1</sup> Specify if it is an institution, consulting firm or individual consultant. When possible, provide the name of the institution, firm or individual identified or selected.

	<p>First: develop screening checklist tool</p> <p>Second: develop guide for utilizing checklist</p> <p>Third: integrate into E&amp;S risk system</p> <p>Fourth: pilot with a project under development</p> <p><u>Deliverable:</u> Guideline developed for environmental and social risk screening integrated into MCT's project appraisal manual.</p>		
<p><b>Development of procedures manual/guidelines for undertaking project environmental and social risk assessment and for formulating risk management plans</b></p>	<p><i>Activity 2:</i> As part of the MCT accreditation process, we did a great deal of work strengthening our risk assessment procedures – the work under this activity will entail taking the current risk assessment workbook and incorporating appropriate environmental and social risk assessment measures. In parallel, a guidance document will be developed to allow MCT staff to systematically undertake the assessment and develop a risk management plan. This will also be integrated into MCT's revised M&amp;E guidelines and the risk management plans will be tied directly to the entire monitoring and evaluation process.</p> <p><u>Sub-activities:</u></p> <p>First: undertake gap analysis of current "GrantsTool" &amp; "Organizational Due Diligence" manual</p> <p>Second: based on gap analysis &amp; MCT project types develop E&amp;S risk assessment manual</p> <p>Second: integrate into MCT's existing "GrantsTool"</p> <p>Third: develop guidance for utilizing risk assessment</p> <p><u>Deliverables:</u> (i) Environmental and social risk assessment incorporated into "GrantsTool" and "Organizational</p>	<p>Individual consultant in collaboration with other individual consultants as necessary.</p>	<p><b>3500</b> Consultant Fees</p>




	Due Diligence" manual; (ii) Guidance document on assessing environment and social risk; and (iii) Manual for formulating risk management plans and monitoring the risks through MCT's existing M&E system		
<b>Development of a policy/avenues for public disclosure and consultation</b>	<p><i>Activity 3:</i> MCT will build on its work for the accreditation process to develop avenues for public disclosure and consultation. This will be integrated into MCT's website and operational policies.</p> <p><b>Sub-activities:</b>  First: research other organizations policies and websites  Second: provide language for operational manual and website  Third: update website with new language</p> <p><b>Deliverable:</b> Updated operations policy integrating avenues for public disclosure and consultation.</p>	Individual consultant in collaboration with other individual consultants as necessary.	<b>500</b> Consultant Fees: 175 IT needs: 325
<b>Development of transparent and effective mechanisms for receiving and resolving complaints about environmental and social harms caused projects/programs during the course of implementation of AF supported projects/programs</b>	<p><i>Activity 4:</i> The current Whistleblower process will be updated to include procedures for issuing environmental and social complaints</p> <p><b>Sub-activities:</b>  First: research other organizations policies and websites  Second: provide language for operational manual and website  Third: update website to allow for new procedures</p> <p><b>Deliverable:</b> Procedure on transparent and effective mechanism for receiving and resolving complaints related to E&amp;S harms caused by MCT projects developed and avenue will be easily accessible via MCT website.</p>	Individual consultant will assist to codify procedure.	<b>500</b> Consultant Fees: 175 IT needs: 325
<b>Training of select entity</b>	<i>Activity 5:</i> Once the E&S screening procedures along with the manual for	Individual consultant in collaboration with other	<b>13,400</b> Travel

staff to carry out the relevant tasks related to the implementation of the E&S Policy	undertaking project environmental and social risk assessment and for formulating risk management plans is complete – MCT staff will need training as well as select representatives from government entities and executing partners on Pohnpei.	individual consultants as needed.	Costs: 4000 Consultant Fees: 5950 Meeting Logistics: 3450
	<b>Sub-activities:</b> <u>First: Complete activities 1-5 above and associated sub-activities.</u> <u>Second: Develop training materials in accessible modules for MCT staff to be able to train partners in FSM ("train the trainers")</u>  <b>Deliverables:</b> (i) Development of training materials (ii) Delivery of training courses to MCT staff		
Other type of support requested (please describe)			
<b>Total Grant Requested (USD)</b>			20,000

**C. Implementing Entity**

This request has been prepared in accordance with the Adaptation Fund Board's procedures

Implementing Entity Coordinator, IE Name	Signature	Date (Month, day, year)	Implementing Entity Contact Person	Telephone	Email Address
MCT		12/18/2015	William Kostka	611 320 5670	director@armicarsia.org

**D. Record of endorsement on behalf of the government**

Provide the name and position of the government official, Designated Authority of the Adaptation Fund, and indicate date of endorsement. The endorsement letter should be attached as an annex to the request.

(Enter Name, Position, Ministry) <b>Lorin S Robert</b> Secretary, Dept 7 Foreign Affairs	Date: (Month, day, year) <b>12/18/2015</b>
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## ANNEXES

ANNEX 1



DEPARTMENT OF FOREIGN AFFAIRS  
*of the*

FEDERATED STATES OF MICRONESIA

P.O. Box P.S. 123

Palikir, Pohnpei FM 96941

Telephone: (691) 320-2641/2613 Fax: (691) 320-2933

September 17, 2015

Marcia Levaggi  
Manager, Adaptation Fund Secretariat  
Adaptation Fund Board  
1818 H Street, NW  
MSN G6-602  
Washington, DC 20433  
United States of America  
Email: [afbsec@adaptation-fund.org](mailto:afbsec@adaptation-fund.org)

**RE: Technical Assistance Grant for the Micronesia Conservation Trust (MCT) to Build Capacity to Mitigation Environment and Social Risks**

Dear Ms. Levaggi,

On behalf of the government of the Federated States of Micronesia (FSM), I am pleased to endorse Micronesia Conservation Trust's (MCT) application for a technical assistance grant totaling USD 20,000.00.

As the National Implementing Entity (NIE) of FSM, such a grant to increase MCT's capacity to mitigation environmental and social risks will be valuable and will help to strengthen organization.

Sincerely,

A handwritten signature in black ink, appearing to read "Carlson D. Apis".

Carlson D. Apis  
Acting Secretary of Foreign Affairs