



ADAPTATION FUND

AFB/PPRC.17-18/7
11 January 2016

Adaptation Fund Board
Project and Programme Review Committee

TECHNICAL ASSISTANCE GRANT PROPOSAL FOR SOUTH AFRICA

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 application submitted by the South African National Biodiversity Institute (SANBI, South Africa) 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 SANBI and provided its comments to the applicant for further clarification. The applicant had submitted additional information on the proposal, taking into account the secretariat's comments. The secretariat's initial review and the applicant's additional information to the 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: **South Africa**
 Requesting NIE: **South African National Biodiversity Institute (SANBI)**

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

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

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.
Is the timeframe of activity adequate?	2	1. Not adequate 2. Somewhat Adequate 3. Adequate	The timeframe seems adequate although it would be useful for SANBI to clarify whether the 2 week time period indicated includes both tool development and onsite training. If this is the case, then more time might be required for the onsite training to adequately cover the identified 3 training areas.
Are the proposed activities to support the NIE to implement the E&S policy of the AFB adequate?	3	1. Not adequate 2. Somewhat Adequate 3. Adequate	It would be useful to have summarized information of how the development of procedures for screening and procedures for environment and social risk assessment will be done (either just bullet points or a

			brief description of what will be involved). It would be useful for SANBI to give an indication of whether the support activities will be provided by an institution, consulting firm or individual consultant.
Based on the proposed activities, is the requested budget reasonable?	2	1. Not Reasonable 2. Reasonable	The requested budget is in line with the cap for TA grants available to applicants and is reasonable based on the scope of support activities indicated.

SECRETARIAT'S GENERAL COMMENT (4 December 2015)

- (i) Please provide a brief description of the sub activities that will be carried out to develop the tools (either bullet points or brief description of what will be involved e.g. desktop research, testing of the tool, meetings etc). Please also indicate whether the technical assistance is expected to be provided by an institution, consulting firm or individual consultant.

NIE RESPONSE TO THE SECRETARIAT (18 December 2015)

The requested support will assist the NIE in interpreting the 15 AF principles in a South African context. This will result in a set of clear questions and guidelines that will allow sub-Executing Entities, Executing Entities and the NIE to assess the level of project activity risks against the AF's Environmental and Social Policy. The questions will be captured in a "Risk Dashboard" accompanied by the guidelines. This tool will be applied to new projects applying for small grants from the Community Adaptation Small Grants Facility (SGF), and to all ongoing activities of the SGF and uMngeni Resilience Project on a quarterly basis.

The requested support will assist in developing procedures and steps to be taken when risks are identified using the Risk Dashboard. These procedures will include notification of SANBI's Expert Environmental & Social Risk Management Panel of the identified risks, and delineation of processes to support steps to be taken to mitigate the risks, and agreed processes through which the risk mitigation progress will be reported to the Panel and onwards to NIE Steering Committee. It should be noted that specific risk management procedures will not be developed through the requested support.

The anticipated sub-activities are described below:

- Briefing – meeting between the expert and the NIE to confirm requirements and timeline.

- Development and review of plan – expert to develop a plan for the development of the tools and the required training, NIE to review and sign off.
- Draft Risk Dashboard and procedures – expert to undertake desktop review of relevant material, including AF’s Environmental and Social Policy, the two South African AF projects, and relevant national and international risk management tools and dashboards. Expert to develop a draft Risk Dashboard and associated guidelines, and a draft of the set of procedures to be taken should risks be identified.
- NIE draft dashboard workshop – Draft Risk Dashboard, guidelines and procedures to be reviewed by NIE, and a workshop held with the expert to discuss comments.
- Finalise – expert to finalise the Risk Dashboard, guidelines and procedures.
- Training toolkit / materials – expert to develop a training toolkit and associated materials, tailored to each of the training sessions in Cape Town, Pietermaritzburg and Tzaneen. NIE to review and sign off on training toolkit and materials.
- Training – 3 training sessions on use of the Risk Dashboard, associated guidelines, and the set of relevant procedures in:
 - Cape Town (for the NIE, and Executing Entity and Namakwa District Facilitating Agency of the Small Grants Facility Project);
 - Pietermaritzburg (for the Executing Entity and sub-Executing Entities of the uMngeni Resilience Project); and
 - Tzaneen (for the Mopani District Facilitating Agency of the Small Grants Facility Project).
- Reflect on training – expert and NIE to reflect on training sessions and potential changes to material.
- Refine toolkit – expert to refine toolkit so that it can be used in future follow up sessions, as required.

On reflection, it is anticipated that the above activities will take approximately 4 weeks of effort to complete. This time will be spread over a 6-8 week period, depending on availability of the expert and the scheduling of the training sessions. The anticipated start date for the work is now Q2 2016, subject to procurement processes that will apply.

It is likely that an individual will be procured to provide the required support described above. This selection will be subject to SANBI’s competitive procurement processes.



ADAPTATION FUND

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

Submission Date: 28 September 2015

Adaptation Fund Grant ID:
 Country/ies: South Africa
 Implementing Entity: South African National Biodiversity Institute (SANBI)

A. Timeframe of Activity

Start date of activity	First quarter 2016
Completion date of activity	First quarter 2016

Note: The procurement of an institution/ consulting firm/ individual to provide the requested support will need to take place through SANBI's procurement processes. As a result, it is not possible at this stage to specify the start and completion date, nor the type of support that will be provided. It is, however, anticipated that this support period will be in the first quarter of 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).

It is requested that support be provided to assist in developing tools to facilitate effective implementation of the AF's Environmental and Social Policy through the two approved AF projects in South Africa. This tool development, including the development of 'risk dashboards' and guidelines for acting on identified risks, will build on the high-level Environmental and Social Risk Management Plans presented in the two approved proposals.

It is further requested that the NIE, Executing Entities, sub-Executing Entities (of the uMngeni Resilience Project) and Facilitating Agencies (of the Small Grants Facility Project) receive training on the AF's Environmental and Social Policy and the application of the tools. This training will include interpretation of the 15 Principles and their likely applicability to the two projects, as well as on monitoring, reporting and evaluation against the Policy.

It is anticipated the support will be concluded in two weeks. This will include on-site training at the project sites. Training will be undertaken in:

- Cape Town (for the NIE, and Executing Entity and Namakwa District Facilitating Agency of the Small Grants Facility Project);
- Pietermaritzburg (for the Executing Entity and sub-Executing Entities of the uMngeni Resilience Project); and
- Tzaneen (for the Mopani District Facilitating Agency of the Small Grants Facility Project).


The requested amount includes travel and subsistence costs for the provider(s) of the support (a more detailed budget and timeline can be provided on request). This travel and subsistence cost is included in the budget for the training component in the table below.

Types of Support Activities	Support requested (please check the relevant case)	Type/name of provider of requested support ¹	Requested budget (USD)
Development of procedures manual/guidelines for screening projects for environmental and social risks	✓	Subject to SANBI's procurement process	3,500
Development of procedures manual/guidelines for undertaking project environmental and social risk assessment and for formulating risk management plans	✓	Subject to SANBI's procurement process	3,500
Development of a policy/avenues for public disclosure and consultation			
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			
Training of select entity staff to carry out the relevant tasks related to the implementation of the E&S Policy	✓	Subject to SANBI's procurement process	13,000
Other type of support requested (please describe)			
Total Grant Requested (USD)			20,000

¹ 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.

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
Dr. Mandy Barnett, South African National Biodiversity Institute		September 28 2015	Dr. Mandy Barnett	+27 21 799 8875	m.barnett@sanbi.org.za

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.

See endorsement letter from the Department of Environmental Affairs (Designated Authority of the Adaptation Fund in South Africa) attached as Annex 1.

<i>Ms Nosipho Ngcaba, Director General, Department of Environmental Affairs</i>	<i>Date: September 21 2015</i>
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ANNEXES

ANNEX 1



environmental affairs

Department:
Environmental Affairs
REPUBLIC OF SOUTH AFRICA

Private Bag X 447· PRETORIA · 0001· Environment House, 473 Steve Biko Street, ARCADIA Ext 6 PRETORIA
Tel (+ 27 12) 399 9000

Reference: AF
Enquiries: Z Fakir
Tel: 012 399 9235

Ms Marcia Levaggi
Manager
Adaptation Fund Board
c/o Adaptation Fund Board Secretariat

Email: afsec@adaptation-fund.org
Fax: 202 522 3204/5

Dear Ms Levaggi

ENDORSEMENT OF NIE APPLICATION FOR A TECHNICAL ASSISTANCE GRANT

In my capacity as Designated Authority for the Adaptation Fund in South Africa, I am pleased to endorse the South African National Biodiversity Institute's application to the Adaptation Fund for a small Technical Assistance grant to build their capacity in environmental and social risk management, in accordance with the Environmental and Social Policy of the Adaptation Fund.

Yours sincerely

DIRECTOR GENERAL
DEPARTMENT OF ENVIRONMENTAL AFFAIRS
NATIONAL DESIGNATED AUTHORITY
DATE: 21/05/2015