



ADAPTATION FUND

AFB/PPRC.19-20/1
29 November 2016

Adaptation Fund Board
Project and Programme Review Committee

**REPORT OF THE SECRETARIAT ON INITIAL SCREENING/TECHNICAL REVIEW OF
GRANT PROPOSALS UNDER THE READINESS PROGRAMME**

Background

1. This document presents to the Project and Programme Review Committee (PPRC) of the Adaptation Fund Board (the Board) an overview of the grant proposals/request documents submitted by National Implementing Entities (NIE) under the Readiness Programme for intersessional approval, and the process of screening and technical review undertaken by the secretariat.

2. The analysis of the request documents mentioned above is contained in a separate addendum to this document.

3. At its twenty-second meeting the Board had set aside funding from the Adaptation Fund Trust Fund resources for subsequent commitment and transfer at the instruction of the Board¹ to enhance capacities for accreditation through South-South cooperation, i.e. accredited NIEs supporting countries to identify potential NIEs and submit accreditation applications, and accredited NIEs' capacities to comply with the Adaptation Fund (the Fund) environmental and social policy (ESP) through technical assistance grants. The Board had approved this funding through small grants under the Readiness Programme.

4. At the twenty-sixth meeting of the Board, the Adaptation Fund Board secretariat (the secretariat) had requested to the Board to consider whether the rules in the intersessional project review cycle that had been passed through decision B.23/15 and decision B.25/2, could be applied to grant proposals received under the Readiness Programme and allow the secretariat to review and submit proposals by NIEs for technical assistance and South-South cooperation intersessionally, with a view to speeding up the grant approval process. To facilitate timely review of the grant proposals, the Board 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)

5. At its twenty-seventh meeting, the Board had decided to integrate the Readiness Programme into the Fund's work plan and budget, in a more permanent manner. The Board had also set aside funding for small grants as direct transfers from the resources of the Adaptation Fund Trust Fund, for the fiscal year 2017. At this meeting, the Board decided to:

- a) *Take note of the progress report for phase II of the Readiness Programme;*
- b) *Integrate the Readiness Programme into the Adaptation Fund work plan and budget; and*
- c) *Approve the proposal for the Readiness Programme for the fiscal year 2017 (FY17), comprising its work programme for FY17 with the funding of US\$ 616,500 to be transferred to the secretariat budget and US\$ 590,000 for direct transfers from the resources of the Adaptation Fund Trust Fund for allocation as small grants.*

(Decision B.27/38)

¹ Decision B.22/24

6. At the twenty-eighth meeting of the Board, the PPRC had recommended to the Board to establish a standing rule following on decision B.26/28 on the intersessional project review cycle for grants under the Readiness Programme to allow for continued review and approval of readiness grant proposals intersessionally each year. Having considered the comments and recommendation of the Project and Programme Review Committee, the Board decided to:

- a) *Request the secretariat to continue to review readiness grant proposals annually, during an intersessional period of less than 24 weeks between two consecutive Board meetings;*
- b) *Notwithstanding the request in paragraph (a) above, recognize that any readiness grant proposal can be submitted to regular meetings of the Board;*
- c) *Request the PPRC to consider intersessionally the technical review of such readiness grant proposals as prepared by the secretariat and to make intersessional recommendations to the Board;*
- d) *Consider such intersessionally reviewed proposals for intersessional approval in accordance with the Rules of Procedure; and*
- e) *Request the secretariat to present, in the twentieth meeting of the PPRC, and annually following each intersessional review cycle, an analysis of the intersessional review cycle.*

(Decision B.28/30)

Technical Assistance Grant Proposals Submitted by NIEs

7. The secretariat had sent out a call for proposals to all accredited NIEs to submit proposal documents for a technical assistance (TA) grant to help them comply with the Fund's ESP and gender policy. NIEs could submit a proposal for one of two types of TA grants available, that is, a TA Grant for the ESP and Gender Policy or a TA Grant for the Gender Policy. NIEs eligible to submit proposals for a TA Grant for the ESP and Gender Policy would be those that had not previously received a grant for technical assistance and would be expected to build capacity on environmental and social safeguards and gender safeguards simultaneously. NIEs eligible to submit proposals for a TA Grant for the Gender Policy would be those that had previously received a technical assistance grant before the gender policy had been approved and would be expected to align their existing environmental and social safeguards and existing rules of procedure with the Fund's gender policy.

Technical Assistance Grants for the ESP and Gender Policy

8. Accredited NIEs submitted six proposals to the secretariat for TA Grants for the ESP and Gender Policy totaling US\$ 145,000. The proposals were submitted by the Department of Environment of Antigua and Barbuda (DoE), the Desert Research Foundation of Namibia (DRFN), the Ministry of Natural Resources of Rwanda (MINIRENA), the National Bank for Agriculture and Rural Development of India (NABARD), the National Environment Management Authority of Kenya (NEMA), and the Peruvian Trust Fund for National Parks and Protected Areas (PROFONANPE).

9. Following the receipt of such proposals, the secretariat shared the initial technical review findings with all NIE applicants and solicited their responses to specific items requiring clarification.

Responses were requested by e-mail, and the time allowed for the NIE to respond was one week. In some cases, however, the process took longer.

10. The six proposals were all eligible to be considered and details of these proposals are contained in the following PPRC working documents as follows:

AFB/PPRC.19-20/1/Add.1 *Report of the secretariat on initial review of grant proposals under the Readiness Programme*

AFB/PPRC.19-20/2 *TA Grant Proposal for the ESP and Gender Policy for Antigua and Barbuda (DoE)*

AFB/PPRC.19-20/3 *TA Grant Proposal for the ESP and Gender Policy for India (NABARD)*

AFB/PPRC.19-20/4 *TA Grant Proposal for the ESP and Gender Policy for Kenya (NEMA)*

AFB/PPRC.19-20/5 *TA Grant Proposal for the ESP and Gender Policy for Namibia (DRFN)*

AFB/PPRC.19-20/6 *TA Grant Proposal for the ESP and Gender Policy for Peru (PROFONANPE)*

AFB/PPRC.19-20/7 *TA Grant Proposal for the ESP and Gender Policy for Rwanda (MINIRENA)*

11. The submitted technical assistance grant proposals provide an explanation and a basic breakdown of the costs associated with accredited NIEs building their capacity to comply with both the Fund's environmental and social policy and gender policy.

Table 1: Technical Assistance grant proposals for ESP and Gender submitted to the intersessional review cycle between the twenty-eighth and twenty-ninth Adaptation Fund Board meetings

Country	IE	Financing Requested (USD)
Antigua and Barbuda	DoE	25,000
India	NABARD	25,000
Kenya	NEMA	25,000
Namibia	DRFN	20,000
Peru	PROFONANPE	25,000
Rwanda	MINIRENA	25,000
Total		145,000

12. The secretariat subsequently reviewed the NIEs' responses to the clarification requests, and compiled comments and recommendations that are presented in the addendum to this document (AFB/PPRC.19-20/1/Add.1).

Technical Assistance Grants for the Gender Policy

13. Accredited NIEs submitted four proposals to the secretariat for TA Grants for the Gender Policy totaling US\$ 40,000.

14. Following the receipt of such proposals, the secretariat shared the initial technical review findings with all NIE applicants and solicited their responses to specific items requiring clarification. Responses were requested by e-mail, and the time allowed for the NIE to respond was one week. In some cases, however, the process took longer. Following the secretariat's initial technical review, one application was withdrawn by the applicant. The remaining three proposals were submitted by the *Centre de Suivi Ecologique* of Senegal (CSE), *Fundecooperación para el Desarrollo Sostenible* of Costa Rica (*Fundecooperación*), and the Micronesia Conservation Trust of the Federated States of Micronesia (MCT). The final total requested funding for TA grant proposals for entities to comply with the Fund's gender policy for the current period amounted to US\$ 30,000.

15. Details of these proposals are contained in the following PPRC working documents as follows:

AFB/PPRC.19-20/1/Add.1 *Report of the secretariat on initial review of grant proposals under the Readiness Programme*

AFB/PPRC.19-20/8 *TA Grant Proposal for the Gender Policy for Costa Rica (Fundecooperación)*

AFB/PPRC.19-20/9 *TA Grant Proposal for the Gender Policy for the Federated States of Micronesia (MCT)*

AFB/PPRC.19-20/10 *TA Grant Proposal for the Gender Policy for Senegal (CSE)*

16. The submitted technical assistance grant proposals provide an explanation and a basic breakdown of the costs associated with accredited NIEs building their capacity to comply with the Fund's gender policy.

Table 2: Technical Assistance grant proposals for Gender submitted to the intersessional review cycle between the twenty-eighth and twenty-ninth Adaptation Fund Board meetings

Country	IE	Financing Requested (USD)
Costa Rica	<i>Fundecooperación</i>	10,000
Federated States of Micronesia	MCT	10,000
Senegal	CSE	10,000
Total		30,000

17. The secretariat subsequently reviewed the NIEs' responses to the clarification requests, and compiled comments and recommendations that are presented in the addendum to this document (AFB/PPRC.19-20/1/Add.1).

South-South Cooperation Grant Proposals Submitted by Implementing Entities

18. Under the AF's Readiness Programme, eligible² NIEs wishing to support other countries that are seeking accreditation with the AF Board can apply for South-South (S-S) cooperation grants to enable them to provide such support. The secretariat received S-S cooperation grant proposals

² Eligible NIEs are those that have tangible achievements with the Fund and those that meet the eligibility criteria outlined in document AFB/B.23/5, including the entity's experience in project preparation and implementation, and in supporting other countries at different stages of their application processes.

for two countries from a single NIE, with the total requested funding for these grants for the current period amounting to US\$ 100,000.

19. The grant proposals were submitted by the *Centre de Suivi Ecologique* of Senegal (CSE), and the details of these proposals are contained in the PPRC working documents as follows:

AFB/PPRC.19-20/1/Add.1 *Report of the secretariat on initial review of grant proposals under the Readiness Programme*

AFB/PPRC.19-20/11 *S-S Cooperation Grant Proposal for Burundi (CSE)*

AFB/PPRC.19-20/12 *S-S Cooperation Grant Proposal for Togo (CSE)*

20. The submitted S-S cooperation grant proposals provide an explanation and a basic breakdown of the costs associated with CSE providing support to help those applying for accreditation as an NIE prepare and submit their application.

21. In line with the decision B.27/38 by the Board at its twenty-seventh meeting, the secretariat sent out a call for proposals to all accredited NIEs to submit request documents/applications for a grant to enhance South-South cooperation and help those countries applying for accreditation as an NIE to prepare and submit their applications. Following the receipt of such grant proposals, the secretariat shared the initial technical review findings with the NIE applicant and solicited their responses to specific items requiring clarification. Responses were requested by e-mail, and the time allowed for the NIE to respond was one week. A summary of the applicants is provided in Table 2 below.

Table 2: South-South cooperation grant proposals submitted to the intersessional review cycle between the twenty-eighth and twenty-ninth Adaptation Fund Board meetings

Country	IE providing support	Initial Financing Requested (USD), (current period)	Final Financing Requested ³ (USD), (current period)
Burundi ⁴	CSE	50,000	50,000
Togo	CSE	50,000	50,000
Total		100,000	100,000

22. The secretariat subsequently reviewed the implementing entity's responses to the clarification requests, and compiled comments and recommendations that are presented in the addendum to this document (AFB/PPRC.17-18/1/Add.1).

Issues Identified During the Review Process

23. There were no particular issues identified during this review process.

³ Final S-S cooperation grant financing requested after the secretariat's initial technical review and request for further clarification to the applicant.

⁴ The Board, through decision B.24-25/7 had previously approved a S-S cooperation grant to MINIRENA on behalf of the government of Burundi. However, the grant had later been cancelled through Board decision B.28/31.