



ADAPTATION FUND

AFB/PPRC.19-20/3
29 November 2016

Adaptation Fund Board
Project and Programme Review Committee

**TECHNICAL ASSISTANCE GRANT PROPOSAL (ENVIRONMENTAL
AND SOCIAL POLICY AND GENDER POLICY) FOR INDIA**

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 the 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:

Approve 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)

4. At its twenty-seventh meeting, the Board decided to integrate the Readiness Programme into the Adaptation Fund (the Fund) work plan and budget and set aside funding for small grants as direct transfers from the resources of the Adaptation Fund Trust Fund. 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)

5. Following integration of the Readiness Programme into the Adaptation Fund work plan and budget by the Board, eligible national implementing entities (NIEs) submitted applications for technical assistance grants and South-South cooperation grants. Two types of technical assistance grants were available, a Technical Assistance Grant for the ESP and Gender Policy, and a Technical Assistance Grant for the Gender Policy. NIEs eligible to submit proposals for a Technical Assistance 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 Technical Assistance 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 existing environmental and social safeguards and existing rules of procedure with the Fund's gender policy.

6. The types of eligible support from Technical Assistance Grants for the ESP and Gender Policy included but were not limited to (i) Developing procedures/manuals/guidelines for screening projects for environmental and social risks, as well as gender related risks, undertaking environmental and social risk assessment, gender assessment, and formulating risk management plans that are gender responsive (ii) Developing policies/avenues for public disclosure and gender responsive consultation (iii) Developing transparent, accessible, fair and

effective mechanisms for receiving and handling complaints related to environmental and social harms, gender inequalities and other gender impacts caused by the implementation of adaptation projects/programmes, and (iv) Training of select entity staff to carry out the relevant tasks related to the implementation of the Fund's ESP and gender policy.

7. The types of eligible support from Technical Assistance Grants for the Gender Policy included but were not limited to (i) Updating existing procedures/manuals/guidelines with measures to avoid, minimize and/or mitigate adverse gender impacts, and determine the different needs, capabilities, roles and knowledge resources of women and men and to identify how changing gender dynamics might drive lasting change (ii) Developing policies/avenues for public disclosure and consultation that are gender responsive (iii) Developing transparent, accessible, fair and effective mechanisms for receiving and handling complaints related to environmental and social harms, gender inequalities and other gender impacts caused by the implementation of adaptation projects/programmes, and (iv) Training of select entity staff to carry out the relevant tasks related to the entity's institutional framework for gender mainstreaming.

8. At the twenty-eighth meeting of the Board, the Project and Programme Review Committee (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 become a standing rule to allow for continued review and approval of readiness grants 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)

9. 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 environmental and social policy (ESP) and gender policy. This may include developing or strengthening a particular function relevant to the environmental and social, and gender policies such as an integrated environmental and social management system that addresses gender issues, a risk management system that is gender responsive, or familiarization with the principles of the ESP and gender policy.

10. 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 US\$ 25,000 per NIE for grants for technical assistance to comply with both the ESP and gender policy as outlined in document AFB/B.27/7. For the current review period, eligible NIEs were those that had not previously received a readiness grant for technical assistance from the Fund and had submitted a satisfactory grant proposals that met all of the following criteria as at the time of the 19 - 20 intersessional review cycle:

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

11. Following a call for submission of applications undertaken intersessionally, the secretariat had received applications from NIEs for grants for technical assistance to comply with both the ESP and gender policy.

12. The present document introduces the revised application submitted by the National Bank for Agriculture and Rural Development of India (NABARD) for a Technical Assistance Grant for the ESP and Gender Policy. It includes a request for funding of US\$ 25,000 outlining the activities to be undertaken by a consulting firm to support the NIE to comply with the Fund's policies on environmental and social safeguards and gender safeguards. The secretariat had reviewed the initial application by NABARD and provided its comments to the applicant for further clarification. The applicant had submitted a revised version of the proposal, taking into account the secretariat's comments. The secretariat's initial review and the applicant's revised grant proposal are available in the following sections of this document.

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

Requesting Country: **India**

Requested Financing from Adaptation Fund: **US\$ 25,000**

Requesting NIE: **National Bank for Agriculture and Rural Development (NABARD)**

NIE Contact Person: **Mr. Kuldeep Singh**

Reviewer and contact person: **Farayi Madziwa**

Screening Questions	Rating	Score	Assessment
Has this application been endorsed by the Designated Authority of the country?	0. No 1. Yes	0	The DA letter of endorsement is not attached. CAR1: Please submit a letter of endorsement by the DA.
Is the timeframe of activity adequate?	1. Not Adequate 2. Somewhat Adequate 3. Adequate	3	The proposed timeframe of seven months is adequate. However the following clarification is requested: CR1: It would be useful to provide more information on the expected duration (in days, weeks or months) for each "Types of Support Activities".
Are the proposed activities to support the NIE to implement the E&S Policy and the Gender Policy of the AFB adequate?	1. Not Adequate 2. Somewhat Adequate 3. Adequate	3	The proposed activities are adequate. However the following clarification is requested: CR2: It is understood that the provider of the requested scope of work will be secured in line with NABARD's procurement processes. However, please specify whether the provider will be an institution, consulting firm or individual consultant.
Based on the proposed activities, is the requested budget reasonable?	1. Not Reasonable 2. Somewhat Reasonable 3. Reasonable	3	The requested total budget falls within the cap for TA grants for ESP and Gender available to applicants and is reasonable based on the planned scope of work.

SECRETARIAT'S GENERAL COMMENT (27 October 2016)

The National Bank for Agriculture and Rural Development (NABARD) of India proposes to build its institutional capacity to identify and manage environmental, social as well as gender risks posed by the implementation of its adaptation projects and programmes funded by the Adaptation Fund.

However, the following corrective action requests (CARs) and clarification requests (CRs) to the submission are made.

CAR1: Please submit a DA endorsement letter and complete Section D of the application form.

CR1: Please provide timeframes for each “Types of Support Activities”

CR2: Please clarify whether it is anticipated that the provider of the requested scope of work will be an institution, consulting firm or individual consultant.

NIE RESPONSE TO INITIAL REVIEW AND COMMENTS BY THE SECRETARIAT (25 November 2016)

Comment	Issue	Response by NIE
(i)	Please submit a DA endorsement letter and complete Section D of the application form.	We are following up with the NDA for early endorsement of the proposal.
(ii)	Please provide timeframes for each “Types of Support Activities”.	Details on expected duration for each “type of activities” is provided in the revised proposal and the same is enclosed. Additional time is also required on and above these timelines is mainly for procurement of services and contracting.
(iii)	Please clarify whether it is anticipated that the provider of the requested scope of work will be an institution, consulting firm or individual consultant.	The service providers would be selected based on the eligibility criteria, suitability and procurement policy. The same in most of the cases is expected through consulting firm and institutions.



ADAPTATION FUND

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

Submission Date: 02 Sept. 2016

Adaptation Fund Grant ID:

Country: India

Implementing Entity: National Bank for Agriculture & Rural Development (NABARD)

A. Timeframe of Activity

Expected start date of activity	01 December 2016
Completion date of activity	31 June 2017

B. Type of support requested

Describe the activities to be undertaken to support the compliance of the NIE with the Fund's Environmental and Social policy and Gender policy

Types of Support Activities	Support requested (please provide short description)	Type/name of provider for the requested support ¹	Requested budget (USD)
Development of procedures/manuals/guidelines for screening projects for environmental and social risks as well as gender-related risks (60 days)	<ul style="list-style-type: none"> - Review of relevant national procedures - Development of screening tools for Environment and Social risks for climate change projects - Review of the E&S and Gender risks associated with AF projects under implementation (or in pipeline) and suggest the course correction, if any, in line with AF policies and procedures. 	Subject to NABARD's procurement process	5000


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.

	<ul style="list-style-type: none"> - Suggest best practices based on the NABARD institutional context and national policies and procedures for future projects. 		
Development of procedures manual/guidelines for undertaking project environmental and social risk assessment, gender assessment, and for formulating risk management plans that are gender responsive (30 days)	<ul style="list-style-type: none"> - Suggest best practices based on the NABARD institutional context and national policies and procedures for future projects. - Review of ESMP and Gender aspect under Existing AF supported projects (or in pipeline) and suggest the ESMP and Gender Management Plans in line with AF policies and procedures. 	Subject to NABARD's procurement process	5000
Development of a policy/avenues for public disclosure and gender-responsive consultation (15 days)	<ul style="list-style-type: none"> - Suggest best practices based on the NABARD institutional context and national policies and procedures for future projects. - Review and Suggest Disclose strategy for the projects under implementation (or in pipeline) by AF support with regard to ESS and Gender aspects in line with AF policies and procedures. - Publication on the website 	Subject to NABARD's procurement process	2000
Development of transparent, accessible, fair and effective mechanisms for receiving and addressing complaints about environmental or social harms and complaints related to gender inequalities and other adverse gender impacts caused by projects/programmes during implementation (15 days)	<ul style="list-style-type: none"> - Development of grievance mechanism considering AF policies and procedures and NABARD institutional context and national policies and procedures. - Review of the existing grievance mechanism under AF supported projects (or in pipeline) and suggest the mechanism to be followed for (course correction), if any to be followed - Publication on the website 	Subject to NABARD's procurement process	2000
Training of select entity staff to carry out the relevant tasks related to the implementation of the Fund's Environmental and Social Policy and the Gender Policy (30 days)	<ul style="list-style-type: none"> - Workshop on validation of E&S and Gender Screening Tools, Management Plans, disclosure policy and grievance mechanism 	Subject to NABARD's procurement process	9000

	<ul style="list-style-type: none"> - Development of training manual on ESS and Gender aspects - Trainings of the EE entities and important stakeholders under AF supported projects (and pipelines projects) on ESS and Gender aspects. 		
Other type of support requested (please describe)	Printing of material, Development of info graphics	Subject to NABARD's procurement process	2000
Total Grant Requested (USD)			25000

C. Implementing Entity

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

Implementing Entity Coordinator	Signature	Date (Month, day, year)	Implementing Entity Contact Person	Telephone	Email Address
Dr. B. G. Mukhopadhyay, Chief General Manager, NABARD, Head Office, Mumbai		02 Sept. 16	Mr. Kuldeep Singh, Dy. General Manager, NABARD, Head Office, Mumbai	+91 22 2653 9632, +91 8305699060	fsdd@nabard.org , climate.change@nabard.org , bg.mukhopadhyay@nabard.org

D. Record of endorsement on behalf of the government

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

Mr. Ravi S. Prasad, I.A.S Joint Secretary, Ministry of Environment, Forests & Climate Change	Date: 24 th November 2016
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रवि एस. प्रसाद
आई.ए.एस.
संयुक्त सचिव
Ravi S. Prasad
I.A.S.
Joint Secretary



भारत सरकार
पर्यावरण, वन एवं जलवायु परिवर्तन मंत्रालय
Government of India
Ministry of Environment, Forest & Climate Change

D.O. No: 14/40/2013-CC

Dated: 24th November 2016

Subject: Endorsement of the NIE proposal for "Technical Assistance Grant for Compliance with Adaptation Fund's Environment and Social Policy and Gender Policy"

In my capacity as designated authority for the Adaptation Fund in India, I am pleased to endorse the proposal from National Bank for Agriculture and Rural Development (NABARD) to the Adaptation Fund for "Technical Assistance Grant for Compliance with Adaptation Fund's Environment and Social Policy and Gender Policy".

Yours Sincerely


(Ravi S. Prasad)

To:
The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation-Fund.org
Fax: 202 522 3240/5

