



ADAPTATION FUND

AFB/PPRC.19-20/5
29 November 2016

Adaptation Fund Board
Project and Programme Review Committee

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

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 application submitted by the Desert Research Foundation of Namibia (DRFN) for a Technical Assistance Grant for the ESP and Gender Policy. It includes a request for funding of US\$ 20,000 outlining the activities to be undertaken by a non-profit consortium 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 DRFN and there had been no further comments for follow up to the submission. The secretariat's initial review and the applicant's 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: **Namibia**
 Requesting NIE: **Desert Research Foundation of Namibia (DRFN)**

Requested Financing from Adaptation Fund: **US\$ 20,000**
 NIE Contact Person: **Martin. B. Schneider**

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	1	A letter of endorsement by the DA is attached with the proposal.
Is the timeframe of activity adequate?	1. Not Adequate 2. Somewhat Adequate 3. Adequate	3	Considering the planned deliverables, the proposed timeframe of two months could potentially be too short but has been deemed adequate based on the activity breakdown in the planned scope of work.
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.
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 (26 October 2016)

The Desert Research Foundation of Namibia (DRFN) proposes to commission the services of a non-profit consortium 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 financed by the Adaptation Fund.

The secretariat has no follow up clarification requests (CRs) or corrective action requests (CARs) to the submission.



ADAPTATION FUND

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

Submission Date: 11th August 2016

Adaptation Fund Grant ID:

Country: Namibia

Implementing Entity: Desert Research Foundation of Namibia (DRFN)

A. Timeframe of Activity

Expected start date of activity	February 15, 2017
Completion date of activity	April 14, 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	Provider	Requested Budget (USD)
Development of procedures/manuals/guidelines for screening projects for environmental and social risks as well as gender-related risks	1) Research & develop preliminary requirements based on AF ESP&G principles and policies 2) Implement user-experience research methods (definition below) for gaining insights into NIE project experience & understanding of ESP&G principles and policies (virtual) 3) Prepare draft "Guidelines" document based on NIE staff insights & AF ESP&G principles 4) Review draft guidelines with NIE staff members to gain additional input & finalize 5) Provide guidance to NIE staff during implementation phase/workshop (see also #5)	International Arid Lands Consortium	1) 2 days @ \$500 2) 2 days @ \$500 3) 2 days @ \$500 4) 2 days @ \$500 5) 1 day @ \$500 = \$4,500

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	<ol style="list-style-type: none"> 1) Incorporate ESP&G risk assessment techniques and requirements into a draft procedures document drawing on tested project design methodologies 2) Implement user-experience research insights to ensure relevance of draft procedures to NIE projects and working environment (virtual) 3) Revise procedures document based on local context and finalize 4) Provide guidance to NIE staff during implementation phase/workshop (see also #5) 	International Arid Lands Consortium	<ol style="list-style-type: none"> 1) 3 days @ \$500 2) 2 days @ \$500 3) 2 days @ \$500 4) 1 day @ \$500 = \$4,000
Development of a policy/avenues for public disclosure and gender-responsive consultation	<ol style="list-style-type: none"> 1) Research legal and regulatory conditions related to gender responsiveness in local context & draft "avenues" annotated checklist 2) Implement user-experience research methods to evaluate draft "avenues" checklist to current NIE projects & practice (virtual) Revise and finalize draft checklist for 3) additional review by relevant officials, stakeholders & NIE staff 4) Provide guidance to NIE staff during implementation phase/workshop (see also #5) 	International Arid Lands Consortium	<ol style="list-style-type: none"> 1) 3 days @ \$500 2) 2 days @ \$500 3) 2 days @ \$500 4) 1 day @ \$500 = \$4,000
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	<ol style="list-style-type: none"> 1) Research & develop preliminary guidelines based on AF ESP&G principles and policies & conflict resolution best practices 2) Implement user-experience research methods to assess appropriateness of guidelines to Namibian cultural context & current NIE practice (virtual) 3) Revise and finalize guidelines 4) Provide guidance to NIE staff during implementation phase/workshop (see also #5) 	International Arid Lands Consortium	<ol style="list-style-type: none"> 1) 3 days @ \$500 2) 2 days @ \$500 3) 2 days @ \$500 4) 1 day @ \$500 = \$4,000
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	<ol style="list-style-type: none"> 1) Prepare training materials incorporating learnings and guides developed from #1-4 & incorporate user-experience research insights and human-centered design techniques (definition below) into training approach 2) Prepare competence-based assessment tool 3) Conduct penultimate training & assessment workshop (on-site) 	International Arid Lands Consortium	<ol style="list-style-type: none"> 1) 2 days @ \$500 2) 1 day @ \$500 3) 4 days @ \$500 = \$3,500 Total days = 40 @ \$500
Other type of support requested (please describe)			
Total Grant Requested (USD)			\$20,000

Definitions:

1. *User-experience research methods* will be used to conduct semi-structured virtual interviews with NIE staff to learn with them how to best build on capacity that already exists while providing the most useful product for their needs and to meet AF requirements. (See <http://uxdesign.com/ux-defined>)
2. *Human-centered design techniques* will be used during implementation at the training (see [IDEO Human-Centered Design Kit](#))


C. Implementing Entity

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

Head of Implementing Entity	Signature	Date (Month, day, year)	Implementing Entity Contact Person	Telephone	Email Address
Dr. Martin B Schneider		15 th August 2016	Dr MB Schneider	+264-81-2460379	Martin.schneider@drfn.org.na

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. Teofilus Nghitila Environmental Commissioner, Ministry of Environment and Tourism, Namibia	Date: August 11, 2016  Office of the Environmental Commissioner
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ANNEX I: LETTER OF ENDORSEMENT



ADAPTATION FUND

Letter of Endorsement by Government



Ministry of Environment and Tourism

11 August 2016

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

Dear Sir/Madam

SUBJECT: ENDORSEMENT OF THE REQUEST FOR ASSISTANCE IN COMPLYING WITH THE ADAPTATIONS FUNDS'S ENVIRONMENTAL AND SOCIAL POLICY AND GENDER POLICY

In my capacity as Designated Authority for the Adaptation Fund in Namibia, I am pleased to endorse the request for a Technical Assistance Grant for the Desert Research Foundation of Namibia (DRFN) as the accredited NIE for Namibia to Build Capacity to Mitigate Environmental, Social and Gender related Risks.

Accordingly, I am pleased to endorse the above application for a Technical Assistance (TA) grant to build DRFN's capacity in environmental and social risk as well as gender-related risk management with support from the Adaptation Fund.

Sincerely Yours,


Mr. Teofilus Nghitila
Minister of the
Environmental Commission



ANNEX II: CONSULTANT COVER LETTER

INTERNATIONAL ARID LANDS CONSORTIUM

Member Institutions

The University of Arizona
Desert Research Institute – Nevada
Higher Council for Science & Technology – Jordan
The University of Illinois
Jewish National Fund
New Mexico State University
Robert B. Daugherty Water for Food Global Institute at the University of Nebraska
South Dakota State University
Texas A&M University-Kingsville



August 10, 2016

Dr. Martin Schneider, Executive Director
DRFN – Desert Research Foundation of Namibia
PO Box 20232, Windhoek, Namibia
Email: martin.schneider@drfn.org.na

Dear Dr. Schneider:

In support of and in accordance with the 2013 Memorandum of Agreement between the Desert Research Foundation of Namibia and The International Arid Lands Consortium, we are pleased to submit a quote to provide assistance under the Adaptation Fund's "Call for Technical Assistance Grants for NIEs to Build Capacity to Mitigate Environmental, Social and Gender-related Risks." Specifically, the technical assistance outlined herein builds on our organization's mutually stated interest in growing capacity that will enhance skills development.

Based on the information you provided in your email of 25 July, 2016, we have completed the application table covering the five areas of support requested. In terms of a timeframe for the fulfillment of these activities, we have budgeted for a 40 day consultancy, but we expect those days will extend over at least a two month period. Should it be funded, we have some flexibility in scheduling this consultancy to accommodate the needs of the DRFN staff, who we expect to be integrally involved in the entire process. The travel support required for the final on-site training sessions is included in the daily rate, as are the costs for publication materials and printing.

As you will see in the proposed activities, while our focus is on Adaptation Fund directives to understand and attend to managing environmental, social, and gender-related risks in project design, development, implementation, evaluation, and conflict resolution; we are particularly attentive to the inclusion of DRFN staff throughout the process. To this end, we bring to this consultancy the 20-year experience of the IALC in natural resources management and assessment in a social context. In addition, we provide expertise in human-centered and user experience design techniques.

IALC consultants, including Ms. Kristen Wisneski-Blum and myself, will provide the services and conduct the proposed activities in coordination with DRFN staff. As a Coordinator and later Managing Director of the IALC for many years, and as a current Board member, I have been involved in a variety of projects from the beginning design phase to reaching a successful conclusion. These projects were funded by USAID, NSF, and USDA and provided opportunities for considerable international experience. Ms. Wisneski, has extensive experience in managing NGOs and in community engagement projects, and including facilitating workshops in Jordan for the IALC.

Please feel free to contact us if you require further information. We look forward to being of service.

Sincerely,

Barbara Hutchinson, PhD

Coordinator and Board Member, International Arid Lands Consortium; University of Arizona

Email: bhutchin@email.arizona.edu; Phone: (520) 326-5501

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