



**ADAPTATION FUND**

AFB/PPRC.19-20/8  
29 November 2016

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Adaptation Fund Board  
Project and Programme Review Committee

**TECHNICAL ASSISTANCE GRANT PROPOSAL (GENDER POLICY)  
FOR COSTA RICA**

## 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 gender policy. This may include developing, updating or strengthening a particular function relevant to the gender policy such as an integrated environmental and social management system that addresses and is responsive to gender issues, a risk management system that is gender responsive, or familiarization with the principles of the 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\$ 10,000 per NIE for grants for technical assistance to develop and/or align the entity's procedures/manuals/guidelines to comply with the Fund's gender policy as outlined in document AFB/B.27/7. For the current review period, eligible NIEs were those that had previously received a grant to comply with the fund's ESP before approval of the gender policy 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 the Fund's gender policy.

12. The present document introduces the revised application submitted by *Fundecooperación para el Desarrollo Sostenible* of Costa Rica (*Fundecooperación*) for a Technical Assistance Grant for the Gender Policy. It includes a request for funding of US\$ 10,000 outlining the activities to be undertaken by a consulting firm to support the NIE to comply with the Fund's gender policy. The secretariat had reviewed the initial application by *Fundecooperación* 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 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 Gender Risks within projects and programmes

Requesting Country: **Costa Rica**

**US\$ 10,000**

Requesting NIE: ***Fundecooperacion Para el Desarrollo Sostenible (Fundecooperacion)***

Requested Financing from Adaptation Fund:

NIE Contact Person: **Marianella Feoli**

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<br>1. Yes                                              | 0     | <b>CR1:</b> The endorsement letter attached is signed by a different signatory to the DA the secretariat has on file.                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Is the timeframe of activity adequate?                                                             | 1. Not Adequate<br>2. Somewhat Adequate<br>3. Adequate       | 2     | The stipulated timeframe of one year seems to be too long to implement the required scope of activities.<br><b>CR2:</b> Whilst four activities are planned, it is generally expected that implementation of the grant will be a quick and easy process. Please clarify why the activities are envisaged to take a year to complete.                                                                                                                                                                                                         |
| Are the proposed activities to support the NIE to implement the Gender Policy of the AFB adequate? | 1. Not Adequate<br>2. Somewhat Adequate<br>3. Adequate       | 3     | The proposed activities are adequate.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| Based on the proposed activities, is the requested budget reasonable?                              | 1. Not Reasonable<br>2. Somewhat Reasonable<br>3. Reasonable | 3     | The budget falls within the cap of US\$ 10,000 available for technical assistance grants for gender.<br><b>CR3:</b> However, please clarify whether the audit/administrative cost will be categorized as an implementing entity management fee or as an execution cost. Please note that in the case of implementing entity management fees, they should not exceed 8.5% of the total grant amount and in the case of execution costs, they should not exceed 9.5% of the total grant amount requested, before the implementing entity fee. |

**SECRETARIAT'S GENERAL COMMENT (27 October 2016)**

*Fundecooperacion Para el Desarrollo Sostenible (Fundecooperacion)* of Costa Rica proposes to commission the services of a local consulting firm to build institutional capacity to identify and manage gender risks in line with the Adaptation Fund's gender policy. *Fundecooperacion* proposes to complete this activity in one year.

However, the following clarification requests (CR) to the submission are made:

**CR1:** The DA for Costa Rica that the secretariat has on file is Sr. William Alpizar. If this has changed, please send formal notification to that effect to [shansmoevi@adaptation-fund.org](mailto:shansmoevi@adaptation-fund.org), and informing the secretariat of the new DA. This notification should be a signed letter by the Minister, or by an authority at cabinet level, or by the Ambassador of Costa Rica. You can find more information on the process of nomination for a Designated Authority for the Adaptation Fund in paragraphs 20-22 of the Fund's Operational Policies and Guidelines available at: <https://www.adaptation-fund.org/wp-content/uploads/2016/04/OPG-amended-in-March-2016.pdf>.

**CR2:** Please provide clarification on why the implementation of the planned activities would take as long as a year to complete.

**CR3:** Please clarify whether the audit/administrative cost will be categorized as an implementing entity management fee or as an execution cost and adjust as necessary to keep within the cap approved by the Board through decision B.11/16 for an implementing entity management fee and decision B.13/17 for execution costs.

**NIE RESPONSE TO INITIAL REVIEW AND COMMENTS BY THE SECRETARIAT (4 November 2016)**

| Comment | Issue                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Response by NIE                                                                                                                                                                                                                                                |
|---------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| (i)     | The DA for Costa Rica that the secretariat has on file is Sr. William Alpizar. If this has changed, please send formal notification to that effect to <a href="mailto:shansmoevi@adaptation-fund.org">shansmoevi@adaptation-fund.org</a> , and informing the secretariat of the new DA. This notification should be a signed letter by the Minister, or by an authority at cabinet level, or by the Ambassador of Costa Rica. You can find more information on the process of nomination for a Designated Authority for the Adaptation Fund in paragraphs 20-22 of the Fund's Operational Policies and Guidelines available at: <a href="https://www.adaptation-fund.org/wp-content/uploads/2016/04/OPG-amended-in-March-2016.pdf">https://www.adaptation-fund.org/wp-content/uploads/2016/04/OPG-amended-in-March-2016.pdf</a> . | Please find attached a copy of the letter from our Minister regarding the Costa Rican Designated Authority.                                                                                                                                                    |
| (ii)    | Please provide clarification on why the implementation of the planned activities would take as long as a year to complete.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | That period of time is set because it includes the formalization process and disbursement of the grant, but is expected to be implemented in 6 months. That amount of time is in coordination with the completion of Grant of social and environmental policy. |

| <b>Comment</b> | <b>Issue</b>                                                                                                                                                                                                                                                                                                                | <b>Response by NIE</b>                                                                                                                                                                                                                                                                       |
|----------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| (iii)          | Please clarify whether the audit/administrative cost will be categorized as an implementing entity management fee or as an execution cost and adjust as necessary to keep within the cap approved by the Board through decision B.11/16 for an implementing entity management fee and decision B.13/17 for execution costs. | It was considered that part of the \$1,000 belonged to execution cost and the rest to the IE management fee. Specifically, the audit cost (considered a monitoring and evaluation action) is a total of \$ 400. The rest of the amount requested is a total of \$ 600 for IE Management fee. |

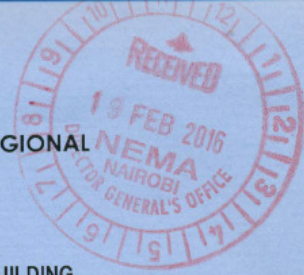




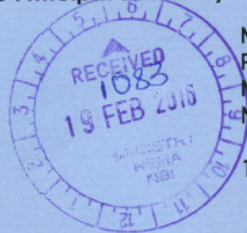
**MINISTRY OF ENVIRONMENT, NATURAL RESOURCES & REGIONAL DEVELOPMENT AUTHORITIES**

**Office of the Principal Secretary**

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Ref. No DENR/EMC/1/1

10<sup>th</sup> February, 2016

**To: The Adaptation Fund Board**  
C/o Adaptation Fund Board Secretariat  
Email: [Secretariat@Adaptation-Fund.org](mailto:Secretariat@Adaptation-Fund.org)  
Fax: 202 522 3240/5

**ENDORSEMENT FOR TECHNICAL SUPPORT FOR NATIONAL ENVIRONMENT MANAGEMENT AUTHORITY (NEMA)**

In my capacity as the Designated Authority for the Adaptation Fund in Kenya, I am pleased to endorse the grant proposal submitted by NEMA for funding from the Adaptation Fund.

NEMA has applied for this grant for technical assistance to build capacity to mitigate environmental and social risks during the implementation of the Adaptation Fund programme in Kenya.

Charles T. Sunkuli  
**PRINCIPAL SECRETARY**

