



ADAPTATION FUND

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**GUIDANCE DOCUMENT FOR IMPLEMENTING ENTITIES
ON COMPLIANCE WITH THE ADAPTATION FUND
GENDER POLICY**

Guidance document for Implementing Entities on compliance with the Adaptation Fund Gender Policy

I. The Adaptation Fund Gender Policy

1. The Adaptation Fund (the Fund) finances concrete climate adaptation projects and programmes¹ that benefit vulnerable communities in developing countries that are Parties to the Kyoto Protocol. The Fund's principles-based Gender Policy (GP) and its accompanying Gender Action Plan (GAP),² approved in March 2016, aim at mainstreaming gender and ensuring that projects and programmes supported by the Fund provide women and men with an equal opportunity to build resilience, address their differentiated vulnerabilities and increase their capability to adapt to climate change impacts. The Fund and its implementing partners are committed to striving to uphold rights of both women and men as universal human rights and attain the goal of gender equality and the equal treatment of women and men, including through targeted efforts to ensure participation of both women and men and by addressing and mitigating against assessed potential project/programme risks for men and women in relation to concrete adaptation actions financed by the Fund.

2. As detailed in the GAP, Implementing Entities (IEs) contribute to the full implementation of the GP at the Fund level at two key stages: during the process of IE accreditation; and throughout the project/programme cycle, both at the IE and the Adaptation Fund Board (the Board) levels. At the time of project/programme proposal review, the IE through the accreditation process already needs to: 1) have demonstrated its capacity and commitment to comply with the GP; 2) have identified actions and procedures that ensure that projects/programmes are gender-responsive, including the management of potential risks to the promotion of gender equality and the empowerment of women; and 3) have a clear institutional plan or process in place for the timely implementation of these actions and procedures.

3. This document is **not intended to help IE candidates demonstrate compliance with the GP during the accreditation process** (for details see also Annex II of this document).³ It is instead intended to provide supplemental information and practical guidance to IEs, including through concrete examples, recommendations and suggestions, for achieving and assessing

¹A concrete adaptation project/programme is defined as a set of activities aimed at addressing the adverse impacts of and risks posed by climate change. The activities shall aim at producing visible and tangible results on the ground by reducing vulnerability and increasing the adaptive capacity of human and natural systems to respond to the impacts of climate change, including climate variability. An adaptation programme is a process, a plan, or an approach for addressing climate change impacts that is broader than the scope of an individual project. See *Operational Policies and Guidelines for Parties to Access Resources from the Adaptation Fund*, paras 10-11. Available at <https://www.adaptation-fund.org/wp-content/uploads/2016/04/OPG-amended-in-March-2016.pdf>.

²Available at https://www.adaptation-fund.org/wp-content/uploads/2016/04/OPG-ANNEX4_Gender-Policies-and-Action-Plan_approved-in-March-2016.pdf.

³Schedule 9 of the document *Guidance on Accreditation Standards* (replicated in Annex II to this document) details the elements and procedures for ensuring IE compliance with the gender mandate of the Fund during the accreditation process. Available at <https://www.adaptation-fund.org/wp-content/uploads/2016/10/Guidance-on-Accreditation-Standards.pdf>.

compliance with the GP to mainstream gender considerations throughout the Fund project and programme cycle. This forms the main focus of this document.

4. Section 2 discusses the relationship of the GP with respect to the operationalization of the Fund's Environmental and Social Policy (ESP) by the IEs. Section 3 details the various components and elements that IEs may apply in a fit-for-purpose approach to successfully consider and integrate gender equality considerations into the design, implementation and monitoring and evaluation of Fund adaptation projects and programmes.

II. Relationship of the Gender Policy with the Environmental and Social Policy (ESP)

5. Compliance with both the ESP and the GP is an overall requirement for project/programme proposals submitted for funding by the Fund.⁴ The Fund's GP states that "Fund projects and programmes without articulated gender considerations shall not receive Fund resources" (para. 22). The ESP and the GP are interrelated and mutually reinforcing. Requirements for compliance of projects or programmes with the GP should be seen as complementing and strengthening the overall approach for environmental and social risk management, which is detailed in the "Guidance document for Implementing Entities on compliance with the Adaptation Fund Environmental and Social Policy"⁵ as updated in June 2016 to reflect the adoption of the Fund's GP. It also details the process of IE self-screening and self-assessment of proposals' compliance with the ESP.

6. The guidance provided in this document should thus be considered by IEs in conjunction with the ESP guidance document. It details the elements of gender mainstreaming in the project and programme cycle that IEs should consider. These include expanding on integrating gender equality and women's empowerment considerations in project/programme planning and design through risk and impact analysis as well as mitigating and supporting such measures in implementation and measuring gender-specific results in performance and results monitoring and evaluation.

7. **Principle 5 - gender equality and women's empowerment**, is one of the 15 principles of the ESP such as: Principle 1 – compliance with law; Principle 4 – human rights; and Principle 6 – core labour rights, that **always apply to each project/programme under the Fund**, and for which risks need to be identified. As such, it is different from principles that may or may not be relevant to a particular project/programme (for example Principle 8 – involuntary resettlement; Principle 13 – public health; or Principle 14 – physical and cultural heritage).

8. The GP details that IEs will be required to undertake **an initial gender assessment** to select gender-responsive indicators and to design gender-responsive implementation and monitoring arrangements (para.12). Such an initial gender assessment will help identify project/programme-related risks to gender equality and women's empowerment, which is required

⁴ See Annex 5 to the Operational Policies and Guidelines (OPG), *Project Review Criteria and Project Proposal Template*, which was updated to reflect the GP. Available at <https://www.adaptation-fund.org/document/opg-annex-5/>.

⁵ Available at https://www.adaptation-fund.org/wp-content/uploads/2016/07/ESP-Guidance_Revised-in-June-2016_Guidance-document-for-Implementing-Entities-on-compliance-with-the-Adaptation-Fund-Environmental-and-Social-Policy.pdf.

under the ESP. Compliance of project/programme proposals with the ESP and its gender equality and women's empowerment risk considerations is to be ensured through the IE's environmental and social management system (ESMS). It is therefore important that whenever necessary the ESMS is strengthened through the inclusion of relevant specialist gender expertise.

9. For example, gender expertise as an important area of technical expertise could be included in the terms of reference used to recruit project/programme personnel.⁶ Ideally, all project/programme personnel would also be familiar with gender concepts such as a gender mainstreaming approach and with respect to the sectors in which the adaptation intervention is taking place. Many sector-specific "gender checklists" for gender analysis and assessment already exist, including several prepared by implementing partners of the Fund.⁷

10. Sufficient gender capacity within the project/programme supervision function of the IE is crucial so that the IE can fulfill its oversight in working with executing entities (EEs) as implementing partners on the ground. The GAP details, as one of the responsibilities for the implementation of the Fund's GP, the ability of the IE to "provide technical support and capacity building on gender to executing entities and local communities and stakeholders as needed" (GAP, para. 7). The IE should consider designating a gender focal point among the project/programme personnel to facilitate communication and support. The EE project/programme team should aim toward gender balance to the extent possible to be able to not only better reach women and men in culturally appropriate ways, but also to change gender perceptions and gender discourse through setting a good practice example.

11. IEs can request readiness support from the Fund in the form of Technical Assistance Grants to further strengthen their own gender competencies and staff capacity, for example, for gender training for all relevant IE staff.

III. Guidance on Demonstrating Compliance with the Gender Policy in Adaptation Fund Projects and Programmes⁸

12. IEs as implementing partners of the Fund are asked under the Operational Policies and Guidelines (OPG)⁹ to screen for gender responsiveness at various stages of the project/programme design and preparation, appraisal and monitoring process. In addition, the GP highlights the particular importance of ensuring that throughout the Fund project/programme cycle

⁶ The United Nations Industrial Development Organization (UNIDO) in its 2014 "Guide on Gender Mainstreaming Energy and Climate Change Projects" for example provides sample terms of reference for gender experts for project design and project implementation respectively. Available at https://www.unido.org/fileadmin/user_media_upgrade/What_we_do/Topics/Women_and_Youth/Guide_on_Gender_Mainstreaming_ECC.pdf.

⁷ For example, the Asian Development Bank (ADB), a multilateral implementing entity (MIE) for the Fund, has developed sector-specific gender toolkits, including for agriculture, health, resettlement, or water supply and sanitation, available at <https://www.adb.org/themes/gender/checklists-toolkits>.

⁸ This section draws heavily on guidebooks and tool kits listed in the bibliography of this document, in particular on checklists included in the UNDP guidebook on gender, climate change and community-based adaptation as well as the UNODC guidance note for staff on gender mainstreaming.

⁹ Available at <https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/>.

stakeholders are meaningfully consulted in a gender equal way (para.13). This section of the guidance document elaborates relevant steps and considerations in greater detail.

a. *Determinants for gender-responsive stakeholder consultation*

13. The IE should consult with stakeholders throughout all stages of the project/programme cycle in a gender responsive and gender equal way. Such gender-informed participatory methods are necessary to tackle the key challenge of underrepresentation of **either women or men** in consultation throughout all stages of the project/program cycle. Facilitating and actively supporting the increased participation of women as important stakeholders guarantees the inclusion of their often overlooked needs, concerns and abilities in project/programme planning, implementation and monitoring and evaluation.

14. The following list details some concrete principles, suggestions and recommendations on how gender-responsive participation and consultation can be ensured:

- Consider consulting with male and female beneficiaries/stakeholders both separately and in mixed groups. In some cultures, men will not speak about certain issues in front of women and vice versa. When defining priorities or goals for the adaptation intervention, women in meetings or workshops including both women and men may defer to men. In women only groups, women might also have culturally appropriate suggestions on how to approach and win over men to prevent a backlash against women's increased involvement.
- The time and location of consultation meetings is crucial. Women and men might be only available at certain and differing times. The location for meetings should be easy to reach and comfortable for both men and women, some meeting locations might undermine women's participation because they may not be culturally appropriate or women may not be allowed to stay in a public place; transportation and childcare services might have to be provided for women, who are often less mobile, in order to attend meetings.
- Consider appropriate ways of communication. The communication form and media used for information sharing and outreach to both men and women should take into account that there are gender differences in access to information technology (availability and use of internet or mobile phones for example) and literacy. Non-written forms of communication might have to be used (radio, interviewers, picture-based leaflets) to reach the most vulnerable women.
- Consider setting minimum quota and progress targets for the participation of women and men in consultation meetings, workshops, or trainings.
- Consider appropriate meeting formats. In some cases, meetings, workshops or trainings might have to be conducted by female staff to increase women's level of comfort to actively participate.
- Make a targeted effort to include national women's machineries¹⁰ in consultation efforts such as specialist government ministries for women and youth and gender equality

¹⁰ National machineries for the advancement of women are defined by the United Nations as "a set of coordinated structures within and outside government, which aim to achieve equality in all spheres of life

agencies and not just the Designated Authority (DA). This includes also women's networks and gender and women's rights advocacy organizations from civil society or academia on the national and local level. Local women's cooperatives and many community-based organizations, which are often run by women and target services to women and their families, should also be included.

b. Initial Gender Assessment

15. **An initial gender assessment** is a tool for identifying the differences and providing empirical evidence in the form of qualitative and quantitative data for gender roles, activities, needs, and available opportunities and challenges or risks for men and women within a particular context or sector. It is required under the GP (para.12) as part of the project/programme proposal development to ensure the integration of gender-responsive implementation and monitoring arrangements, including gender-responsive indicators.

16. The information and data generated by the initial gender assessment are the basis for possible subsequent gender mainstreaming actions by the IE throughout the project/programme cycle. It informs the project/programme planning and design and helps identify the gender-responsive activities needed in the implementation stage, in budgeting and in monitoring and evaluation (for details, see sections below). The Adaptation Fund Board secretariat can provide Project Formulation Assistance grant support for this purpose for National Implementing Entities.¹¹

17. The initial gender analysis is necessary in order to establish a data baseline at the project/programme start against which implementation progress and results can be measured later. Such an assessment can be done and relevant data generated in different ways, as a desk study through literature reviews, via consultations (in the form of individual interviews, focus group discussions or workshops) or as a survey or research project. Analysis can also build on existing data,¹² such as national gender statistics or academic field research or participation assessments of prior or similar projects. Gathering and collecting data should be gender-responsive and reflect the realities of women and men by breaking down the data not only by sex (male/female), but ideally also by age and other diversity factors such as ethnic origin and in response to questions that consider existing gender concerns and differentials.

for both women and men" (United Nations, 1999). In most countries, one government ministry or agency is the central policy coordinating unit on gender equality.

¹¹ Adaptation Fund Gender Policy, para. 21.

¹² For example, both World Bank and UN provide gender statistics The World Bank's Genderstats Database of Gender Statistics is available at <http://datatopics.worldbank.org/gender/>. The United Nations Minimum Set of Gender Indicators are available at <https://genderstats.un.org/#/home>.

18. The gender assessment should elaborate the gender-specific cultural and legal context in which the project/programme will operate for example by drawing on key government legislation or documents (from national women's machinery) or reports from variety of sources (such as UN Women or CEDAW country reports, NGO/CSO shadow reports).

Box 1: Gathering and Collecting Gender-Disaggregated Data

The lack of disaggregated data is one of the major barriers to accurately assess how projects/programmes can address the differentiated climate impacts on both men and women.

While **sex-disaggregated data** focuses on breaking down data by sex for males or females only (for example how many men and women might live in the project area), **gender-disaggregated data** in addition to being broken down by sex is also produced by taking into consideration the different socio-economic realities that men and women face in addressing climate change. For gender-disaggregated data, this means looking at which type of data is collected and how data questions are formulated to consider existing gender concerns and differentials (for example how many men and women in the project area have independent income, are aware of climate change, are part of decision-making bodies in the communities served).

In addition, because the communities in which projects/programmes will be implemented are rarely homogeneous units, it might be important to break down the groups of men and women respectively by other social identities such as age or ethnic origin in order to monitor gender-responsive benefits. For example, in a water access or food security project, it might be useful to monitor whether girls, who often are kept out of school to help with such increased care challenges in the face of climate change impacts, are freed from the time-burden of food production or water carrying and can now attend school. Likewise, in a project that focuses on climate education for women, the information outreach approach to forest-dependent indigenous women might be very different from approaches to reach urban women. Data disaggregated only by sex would not capture this in the analysis.

In terms of how such data is collected, any methodology should include both women and men (see section on gender-responsive consultation) and might include focus groups divided by age or ethnicity in addition to division by gender. For example, when conducting participatory assessment with male and female stakeholders, in a mixed group in some cultures women might not speak out on certain issues in front of men or vice versa. Also the team sent to the field for collecting data should include women to ensure better access to female participants.

Source: <http://www.un.org/womenwatch/directory/docs/UNODC-GuidanceNote->

19. The initial gender assessment should focus on **the differentiated climate change impacts on men and women and their differentiated capabilities to adapt to these**. It should highlight for example how the livelihoods of both men and women may be affected differently by climate change due to culturally established roles such as the gendered division of labor (like caring for children or fetching water/fire wood) or the legal right to landownership or property. It should not only describe the situation and note how men and women are affected differently by climate change within a particular context or sector but analyse *why* these differences exist and persist and what would be needed to overcome them. Key dimensions that should be examined, which are applicable to all adaptation projects/programmes and all sectors, *inter alia*, are:

- **differentiated climate change impacts** on men and women and **differentiated capabilities** to address these. How do those impacts differ? What makes men or women more vulnerable to the effects of climate change? Why? How can these gender-specific vulnerabilities be reduced and men and women's capabilities to adapt increased?
- **access to resources** (referring not only to material resources such as property or finance but also time, knowledge and information). Who uses what resources? How? Where? Why?
- **the gendered division of labor** of paid and unpaid work as "men's work" and "women's work". Who does what? How? Where? When? Why?
- **the gender-based power structure** valuing the contributions and participation of men and women differently and often unequally with respect to decision-making and control. Who controls and decides what? Who is included in what? How? Where? When? Why?

20. The initial gender assessment should be undertaken by a gender expert or project/program manager (an IE staff member or external consultant) with specialist expertise in gender issues, who is knowledgeable about the national or local context and background of the planned adaptation action, and with access to sector-specific technical expertise, as well as the time and financial resources to collect and analyse data.

c. Project & program planning and design

21. If it was done effectively, the initial gender assessment, described above, should allow the IE to prepare and design a gender-responsive adaptation intervention by identifying key gender goals as well as specific entry points to integrate gender considerations into identified project goals, a set of planned activities and targeted beneficiary and participant groups and intervention outputs and desired mid-term to final outcomes.

Program goals/objectives and target groups

22. The IE should describe in the project/programme proposal how the project or programme contributes to improving gender equality, the empowerment of women and the project interventions' suitability to meet the adaptation needs of targeted women and men. In many cases, the IE might designate a specific gender goal: for example, empowering female farmers relying on rain-fed subsistence agriculture by providing targeted agricultural extension services to address their specific needs. In stating the objectives, the IE should outline the expected changes for men and women and refer to the target groups in terms of gender. For example, instead of presenting the objectives and desired outcomes in an adaptation intervention in a gender-neutral way by talking about promoting food security or sustainable fisheries more generally, the project/programme objectives could talk specifically about targeting increasing the food production capacity of poor female and male farmers or livelihood support for fisherwomen and fishermen with reference to their differentiated needs, concerns and abilities.

23. Some key questions to consider when mainstreaming gender in the formulation of project/programme goals and objectives and considerations of target groups may include:

- Do the project objectives refer explicitly to men and women?
- Does a specific objective and intended outcome address the needs and concerns of both women and men?
- Will the goal or objective bring about specified and where needed differentiated improvements for women as well as men?
- Does it influence the relations between men and women, including with a broader commitment to changing institutions, attitudes or other factors that impede gender equality as a desired outcome?
- Have the project beneficiaries (male and female) been identified? Is there gender balance within the target beneficiary group(s)? Or is there a clear deliberate intention to specifically target men or women in order to enhance gender equality?
- Have targets been set for including gender aspects in the knowledge management activities of the project?

Design of intervention activities

24. Once the target gender groups of the adaptation measure as well as consideration of barriers that might inhibit either men or women from adapting to climate change, including through accessing the services and benefits of the project/programme, are identified, intervention activities can be designed to meet the differentiated specific needs of men and women respectively. In particular, such interventions should allow women to participate as sufficiently visible actors and decision-makers, for example in cases where an initial assessment has highlighted the underrepresentation of women as a potential risk to the successful implementation of project/programme activities.

25. To give some examples, these could be awareness-raising and outreach activities to promote the participation of women in disaster risk prevention measures, such as information sharing through early warning systems; capacity-building through training workshops and tools developed, including by focusing on women as “trainer-of-trainers”, to address differing or missing technical skill levels of women and men with respect to technology interventions, such as the installation or maintenance of water pumps; or a focus on empowering women to take leadership positions within communities such as in local water management associations or food production cooperatives.

26. Some key questions to consider when mainstreaming gender in the design of intervention activities may include:

- Do the planned activities support the feasible, efficient and sustainable adaptation to climate change of the community as a whole, through addressing the different roles, needs, capabilities and opportunities of women and men?
- Do the planned activities involve both men and women?
- Are there additional activities needed to ensure that a gender perspective is made explicit (for example gender training or additional research)?

- Who gains or loses what through this specific activity? For example, will there be a likely impact of activities on the workloads of men or women? Might remedial measures be necessary?

Mapping potential implementation partners such as executing entities (EEs) and stakeholders

27. An important part of project/programme design is to map potential partners and stakeholders that are affected by or could facilitate the implementation of the project/programme under planning, including in particular possible executing entities (EEs), who would take on various parts of project/programme implementation on the ground. Relevant stakeholders should include government gender experts or focal points from ministries other than the DA, as well as women's group, associations and networks, and gender rights advocacy organizations. Of special importance are local or community groups or institutions, which can have an understanding of how women might be prevented from assessing or benefiting from activities and outputs of the planned adaptation measure. The IE might give special consideration to whether local groups or community-based organizations, including women's groups or associations, have the ability to act as EEs for certain activities or components of the project/programme, as this could lead to the direct capacity building and empowerment of local women.

28. The IE should assess whether any possible EE has the capacity to carry-out gender-responsive activities. Identifying implementation partners with a commitment to gender equality and helping to build their gender capacity can be crucial elements for the success of gender-responsive project/programme implementation.

29. Some key questions to consider when mapping potential implementation partners and stakeholders might include:

- Do key stakeholders include individuals or groups with a gender perspective (such as ministries of women and/or social affairs or national gender equality agencies or commissions, or women's civil society groups or gender rights advocacy organizations and networks)?
- Who will execute the planned project/programme? Among potential partners, do some have the necessary skills and expertise to provide gender mainstreaming inputs?
- Do they need to receive gender mainstreaming training as part of the project/programme execution?
- Are potential partners committed to gender equality and willing to ensure that both men and women participate equally in the execution?

Determining and tracking project/programme outputs

30. The outputs of the adaptation project or programme, in other words the specific products, services, policies or agreements resulting from the project/programme, provide another entry point for integrating gender considerations to ensure that expected outputs respond to the

differentiated needs, concerns and capabilities of men and women. In some cases, it might be useful to specify separate outputs for men and women, such as resource manual just for women subsistence farmers in a specific region. For example, if an anticipated output is the establishment of a number of community-led seed banks to increase food security in a region, possible gender components to be considered include the ability of local women to access the seed banks, to determine what seeds should be stored and to take a leadership role in the management of the seed banks, including by assessing and controlling the finances necessary for their set-up and maintenance.

31. Some key questions to consider when mainstreaming gender in the formulation of project outputs may include:

- How will the policy measures, products or services generated as output of the adaptation project/programme respond to women's and men's concerns and needs?
- Is it necessary to specify outputs separately for men and women?

32. A core component of tracking the gender results and impacts of intended project/programme outputs is the **formulation of gender-responsive project/programme indicators**. These should be "SMART" (an approach that details that indicators need to be specific, measurable, accurate, relevant and time-bound).¹³ Indicators should examine how gender differences with respect to participation, decision-making, or access to resources are mitigated or addressed. They should for example measure improvements in providing men and women with equal access to opportunities and services and in ensuring that activities and outputs benefit both men and women.

33. All indicators should be disaggregated by sex (as well as age, class or ethnic origin to identify sub-groups of men and women) wherever possible. For example, rather than targeting just women, an indicator could look specifically at improvements for the situation of indigenous women, who face very different adaptation challenges not only from indigenous men (owing to the gendered division of labor in indigenous cultures) but also from other women such as female farm workers. Indicators should set targets towards a goal of equal participation and representation of women and men (with for example, in case of a low baseline progressively increasing targets for the project throughout the implementation time-frame), especially in decision-making processes and bodies under the project/programme.

34. However, a focus on equal participation and representation (a one-to-one balance or benefit), while important, might not be sufficient. Measuring equal opportunities and access for men and women is often more qualitative in nature and focused at the outcomes of policies, processes and interventions. Thus, the IE should consider **using qualitative gender-responsive indicators in addition to quantitative ones**.

¹³ See for example the following checklist at http://www.thehealthcompass.org/sites/default/files/strengthening_tools/IndicatorsSMARTcheck.pdf.

Box 2: Quantitative and Qualitative Gender-Responsive Indicators

Quantitative methods of data collection produce quantifiable results, so they focus on issues which can be counted. A **quantitative gender-responsive indicator** might look at the respective number or percentages of women and men among the project/programme beneficiaries; male and female rates for participation or enrolment in outreach programs (ideally also divided by age – boys and girls and women and men – and/or other social identities (rural or urban, indigenous or non-indigenous, upper caste or lower caste etc.) Quantitative indicators can show changes in gender-responsiveness over time, for example an increase in the number of rural women with access to agricultural extension services at the end of the project vs. the baseline at project inception, or increase of women in management or decision-making positions within the communities.

Qualitative methodologies capture people's experiences, opinions, attitudes and feelings. A **qualitative gender-responsive indicator** might focus on women's experiences of the constraints in accessing agricultural extension services or their views on the best way to address those barriers and if they have been applied in a given project. Often participatory methodologies such as focus group discussions and social mapping tools are used to collect data for qualitative indicators. Qualitative data can also be collected through surveys measuring perceptions and opinions. Results of qualitative gender-responsive indicators are usually reported as narrative assessment, rather than by a simple number, percentage or ratio.

Source: <https://www.oecd.org/dac/gender-development/44952761.pdf>.

35. For example, while a project/programme indicator could measure the number of women and men farmers who received training on sustainable agroforestry food production methods, this alone might not be sufficient to determine whether the training itself responded to the differentiated needs of women and men farmers. The IE could consider including another indicator that qualitatively assesses whether training materials have sufficiently integrated a gender perspective and if the capacity of female and male trainers to provide a gender-informed training on agroforestry food production methods has increased.

36. Some key questions to consider when mainstreaming gender in the formulation of project/programme indicators may include:

- Have indicators been developed to measure progress toward the fulfillment of each of the objectives? Do they measure, where relevant, the gender aspects of each objective?
- Are indicators to the extent possible gender-disaggregated (meaning broken down by sex, but also to reflect sub-groups of men and women according to age or ethnic origin)?
- Are targets set to guarantee a sufficient level of and progression toward gender equality, quantitatively and qualitatively, in activities (for example progressive quotas for male and female participation)?

- Have indicators been designed in a way that enables gender-sensitive monitoring and collection of accurate data in a culturally appropriate way (see also Box 1)?

Gender-responsive project/programme budgets

37. When developing a Fund-supported adaptation project/programme, IEs should keep in mind that any resources to be allocated for a Fund activity to address concrete adaptation challenges in vulnerable communities should have benefits for both men and women. In addition, gender mainstreaming within the project/programme cycle will have implications for the project/programme budget, for example to finance identified special gender activities such as targeted awareness raising campaigns for local women using non-textual communication forms distinct from and in addition to more traditional text- or internet-based communication methods. It is not sufficient to identify targeted activities and interventions that respond to the need of men and women. Gender commitments in the project/programme design should be translated by the IE into budgetary commitments in the form of adequate budget allocations.

38. A gender-responsive budgeting approach¹⁴ gives a concrete dimension to the gender implications of any Fund project/programme. It is not about whether an equal amount is spent on women and men, but whether project/programme measures and activities are adequately funded to address men's and women's differentiated adaptation needs. A gender-responsive budget can improve effectiveness and efficiency of the project/programme expenditure. It also creates more transparency and accountability and is a tool for effective policy implementation by allowing for checks on whether the allocations are in line with project/programme goals and objectives and the IE's commitments under the GP and are having the desired impact.

39. For example, when allocating funds for project/programme staff, the staff costs could include a funding allocation for a key individual to coordinate and have oversight responsibilities for the gender mainstreaming effort, including for the hiring of gender experts/consultants as needed. The project/programme budget might also include sufficient resources for any planned gender activity such as the training of project staff or gender training for executing entities or local communities and stakeholders.

40. Some key questions to consider when mainstreaming gender considerations in the development of the project/programme budget may include:

- Have financial inputs been assessed to ensure that both men and women will benefit from the planned project/programme?
- Does the budget allocate resources for gender mainstreaming activities or gender expert assistance, if appropriate?

¹⁴ Gender responsive budgeting is a means to determine the impact of an organization's revenue and expenditure policies on women and men. Gender responsive budgets are meant to be a practical application of gender mainstreaming efforts because measures designed to contribute to gender equality need to be supported by the necessary allocation of resources. Gender-responsive budgets serve as an accountability and transparency tool as they objectively show the real value of resources targeted to men and women respectively. For more information, see UN Women's training manual on gender-responsive budgeting, available at <http://www.unwomen.org/en/digital-library/publications/2010/1/gender-responsive-budgeting-in-practice-a-training-manual>.

- Do some activities require additional resources to ensure gender-responsive implementation? Have you budgeted for them?

d. Implementation

41. In the implementation stage, the IE should focus on ensuring that the gender-mainstreamed project/programme planning and design become effective and that it is implemented with a view to ensuring the longevity and sustainability of gender responsiveness following the completion of the project. Thus, the gender competencies of the project/programme implementation team become crucial. They should have been assessed (and gaps in knowledge addressed through preparatory workshops/training sessions) in project/programme planning. The IE project/programme implementation team should include adequate gender expertise, and gender competency should be a criterion in the selection of team members. The IE should also encourage each of its executing partners to designate its own organizational gender focal point in order to facilitate the exchange with partners on any gender-specific issue that might come up. Ideally, IE staff should be fully aware of all the gender mainstreaming considerations within the adaptation project/programme and be prepared and able to act as a technical backstopping in support of gender-responsive implementation by the EEs as needed. Implementation, even with comprehensive planning and design, still requires monitoring, including identifying challenges, barriers and constraints to gender-responsive implementation or gaps/flaws in the design process and address and mitigate them during implementation.

42. The targeted inclusion of women in all decision-making processes and capacity-building activities (for example through progressive quotas aiming for gender-balance) may face real-time challenges. For example, due to conflict or an increase in crime in the project/programme area the ability of women to travel to meetings or workshops might be severely and lastingly constrained. Thus, it is important for the IE to conduct regular project/programme review meetings with the EEs and stakeholders to see if the designed activities in support of gender equality and women's empowerment might need adjustment or if some components might have to be added or strengthened.

43. Likewise, planned activities might have to be adjusted on the basis of what has been learned through earlier interventions and decisions or through community reactions. Such adaptive management might be necessary to ensure the sustainability of gender-responsive activities after the project/programme has been implemented. For example, a selected technology or approach might be too hard for women to fit into their daily life and require too much of their time. In addition, women might be trained to use some technological equipment, but not how to maintain or adjust it to their changing needs. An example would be a food security adaptation project: despite introduction of drip irrigation for use by poor female subsistence farmers, women might not be taught to install, operate or maintain the irrigation system nor have access to or control over the necessary financial resources to ensure the longevity of the irrigation system's benefit to them.

44. Some key questions to consider when assessing the integration of gender considerations in project/programme implementation may include:

- Are the presumptions and information regarding the characteristics, needs and interests of men and women, which informed the initial project/programme design, still valid?
- Are adequate provisions in place for adaptive management and project/programme implementation adjustments based on learning from earlier decisions and interventions and received feedback?
- Have any challenges, barriers or restrictions arisen during project/programme implementation hindered the equal participation of men and women in activities, decision-making processes and the distribution of resources and benefits?
- Are there for example unintended consequences of backlash against women's involvement such as gender-based violence that need mitigation?
- Does the implementation team have gender expertise and a gender focal point?
- Are partner organizations aware of and trained to address gender inequalities among beneficiaries?
- Does the project/programme implementation contribute to the sustainability of gender responsiveness and the long-term goal of promoting gender equality, such as the continued integration of gender perspectives within the sector/local context after the intervention ends?

e. *Performance Monitoring and Evaluation*

45. Monitoring is the ongoing progress control over the course of the life cycle of the intervention while evaluation is an in-depth quality assessment, usually at the end of the project/programme cycle, of outcomes and whether goals and objectives of the adaptation measure were achieved. For both monitoring and evaluation, gender-responsive targets and indicators that are also qualitative and quantitative are important. Such indicators, which at a minimum should be disaggregated by sex (but also according to ethnic group, age or income where possible) should be developed at an early stage of gender mainstreaming efforts for a specific adaptation project/programme. They are assessed against baseline data established early in the process (see also Boxes 1 and 2).

46. While monitoring is done by the IE regularly throughout project/programme implementation, for a final evaluation of the adaptation measure an independent (third party) evaluator is usually selected by the IE. Additionally, the Board reserves the right to carry out independent evaluations or reviews of Fund projects and programmes, including of their gender outcomes (GAP, para. 23).

Monitoring

47. Monitoring the impact of project/programme activities on both targeted men and women is important for gender mainstreaming because it allows for the possible adaption and course correction of activities during implementation to ensure that the overall gender-responsive objectives can be achieved. While monitoring under the ESP will focus on monitoring gender risks, to comply with the GP the IE needs to monitor in addition whether specific gender targets

or gender-responsive outcomes are on course to be achieved. For example, if the gender-disaggregated data collected during the monitoring reveals that the participation of women in specific activities is lower than anticipated, dedicated outreach efforts or a different set of activities might be needed. Monitoring also serves as a re-assurance that the impact of the project/programme is effectively contributing to gender equality and not establishing new constraints or barriers for either men or women.

48. As part of their obligation toward the Fund, IEs are monitoring the implementation of project/programme on a regular basis and report on their findings to the AFB Secretariat via their annual **Project Performance Report (PPR)** with the **Project Performance Report (PPR) Results Tracker** by using gender-disaggregated data. The GAP mandates also an update to the **PPR Template**¹⁵ that would, for example, introduce a default reporting requirement on actions targeting gender equality and women's empowerment in the template's spreadsheets on risk assessment on project/programme indicators, on lessons learned (through qualitative assessment questions on gender) and on results tracked (GAP, para.20).

49. A focus on qualitative assessment of gender lessons learned is also particularly important for the mid-term and completion report of projects/programmes. Such qualitative assessments should focus on highlighting the role of women as key actors with experiences and knowledge crucial to the successful implementation of the adaptation project/programme (GAP, para.21).

50. As part of gender-responsive monitoring efforts, the IE should consider including **participatory monitoring**¹⁶ approaches. They are relevant for both quantitative but also qualitative assessments and should include project/programme partners as well as men and women of the beneficiary groups in the gender review of the project/programme implementation progress and success. Ideally, through participatory monitoring approaches, women from stakeholder groups have an opportunity to contribute to the formulation of gender-responsive project/programme indicators as well as aid in data collection efforts in a culturally suitable manner. Such gender impact focused participatory monitoring will build not only the ownership of partners and beneficiaries for the intervention and their gender capacity, it also may strengthen the sustainability of the Fund adaptation measure.

51. Some key questions to consider when assessing the integration of gender considerations in project/programme monitoring may include:

- Is a gender-responsive monitoring mechanism for the project/programme in place and assigned to staff members and including gender experts?
- Does the project/programme require all data to be gender-disaggregated and to use both quantitative and qualitative indicators and assessments?
- Which methods, tools and budget resources are needed to collect gender-responsive, disaggregated data in a culturally suitable manner? Is consideration given to

¹⁵ The PPR template and the PPR results tracker guidance document can be found at <https://www.adaptation-fund.org/projects-programmes/project-performance/>.

¹⁶ See for example for the application of participatory monitoring for community-based adaptation efforts the training manual by Care International, available at: http://www.careclimatechange.org/files/2014_PMERL.pdf.

- participatory monitoring processes which involve women and men of the beneficiary groups as well as implementation partners?
- Are adequate provisions in place for adaptive management and project/programme implementation adjustments based on the monitoring outcome?

Evaluation

52. Evaluations are instruments for learning and accountability. As an important part of the gender mainstreaming process of a Fund adaptation intervention, the evaluation should review whether gender concerns have been integrated into every stage of the project/programme cycle; it determines strengths and weaknesses of the actual implementation and can recommend lessons learned for the future. Having a gender-responsive evaluation system is as important as having a gendered project/programme design.

53. In line with the Fund evaluation framework, IEs are required to commission an independent evaluator selected by the IE to conduct terminal evaluations of regular completed projects and programmes that include an assessment of the project/programme's contribution to gender equality and women's empowerment (GAP, para. 22). To that purpose, the IE should select an independent evaluator with adequate gender knowledge. Thus, the IE needs to ensure that gender considerations are sufficiently integrated in setting the terms of reference (ToRs) for the evaluator and the evaluation process. For example, the IE should specify in the ToRs for the evaluators that gender expertise is required and that the evaluation team should be gender-diverse with a demonstrated commitment to gender equality and women's empowerment. The ToR for the evaluation process could also stipulate the involvement of men and women from diverse stakeholder groups (for example both implementing partners and beneficiaries), for example through interviews or focus groups, as well as detailed and specific evaluation questions addressing gender concerns. Particularly for marginalized stakeholders, the literacy level, language skills and time and logistical constraints to participation in the evaluation need to be kept in mind. Part of the evaluation question catalogue should be the elaboration of recommendations on how to strengthen the participation of women or bring about a more gender-equitable distribution of benefits in the specific sector of the adaptation intervention.

54. Some key questions to consider when assessing the integration of gender considerations in the evaluation process may include:

- Does the evaluation strategy include a gender perspective? Will it examine both substantive (content and goal-oriented) and administrative (process) aspects of the project/programme?
- Do the terms of reference for evaluators specify the need for gender expertise? Is the evaluation team ethnically responsible and gender-diverse with a commitment to gender equality and women's empowerment?
- Will diverse groups of stakeholders, including men and women beneficiaries, be included in the evaluation?
- Does the evaluation of the efficiency and effectiveness of the project take into considerations the different roles and contributions of men and women?

55. Some of the questions the evaluation should attempt to answer in order to assess the success or failure of integrating gender considerations into the project/programme may include:

- Did the project/programme bring about adaptation and reduced vulnerability for both women and men?
- To what extent was the project/programme aligned with the specific adaptation needs and priorities of both women and men?
- Has the project/programme led to more equal opportunities for men and women or did women suffer any detriment as a result of the intervention (with respect to division of labor and care-burden, time poverty or access and control of resources)?
- Have men's and women's perceptions (norms, stereotypes, values) been altered during the course of the project/programme implementation
- Were benefits and results distributed equally between men and women and equitably between targeted stakeholder groups?
- Was a gender-responsive results framework incorporated into the project design setting gender-disaggregated targets and using gender-disaggregated indicators?
- Was gender mainstreaming expertise an explicit requirement in all job descriptions, job responsibilities and terms of reference for the project/programme implementation, studies, consulting work, capacity building and training exercises?
- Were gender-related resources (capacities, personnel, budget) suitable and sufficient for gender mainstreaming the project/programme?
- Have the selected executing entities demonstrated sufficient capacities or even strengthened their capacities to carry out gender-responsive activities?
- Which of the lessons learned and good practices related to mainstreaming gender in this sector/region can be scaled up or replicated and should be documented and reported?

f. *Knowledge Management, Information Sharing and Reporting*

56. In addition to IE reporting as part of their monitoring obligations to the AF Secretariat, IEs are also encouraged to actively report on the project/programme's commitment to gender equality and women's empowerment in all of their outreach, communication and information sharing efforts on the project/programme to all Fund partners as well as the larger public, for example in public events, conferences or in climate-related expert groups. This is part of their contribution as Fund partners to joint learning and knowledge management on gender issues by showcasing their gender mainstreaming experiences in project/programme implementation and sharing them broadly.

57. In publications and reporting or presenting on Fund-supported adaptation interventions, especially when aimed at an external audience, the IE should be mindful of reflecting awareness of gender issues by including gender-disaggregated data and by avoiding the use of collective terms such as farmers, workers, society or families and instead use disaggregated terms. In

reporting, the IE should also avoid describing and portraying women only as vulnerable or victims, but instead also highlight women's role as key actors in addressing vulnerabilities and in concrete adaptation measures

58. Some key questions reflecting gender-responsiveness to consider as part of knowledge building and information sharing and reporting efforts may include:

- Does the publication, presentation or reporting pay attention to gender inequalities and differences throughout a report or publication and avoid only dedicating a small section (a box) to gender issues?
- Does the publication, presentation or reporting recognize differing priorities or needs for men and women? Does reporting discuss how women and men are differently affected by the adaptation challenge being addressed?
- Are women's organizations, gender equality advocates and experts included as sources of information in publications, presentations or when reporting?
- Does any publication, presentation or other form of reporting contain gender insensitive language or perpetuate gender stereotypes? Do photos portray both men and women as actors in various capacities and with various capabilities?

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Annex I: Definitions of Relevant Gender Concepts¹⁷

Gender: refers to the social attributes and opportunities associated with being male and female and the relationships between women and men and girls and boys, as well as the relations between women and those between men. These attributes, opportunities and relationships are socially constructed and are learned through socialization processes. They are context/ time-specific and changeable. Gender is part of the broader socio-cultural context and intersects with other important criteria for socio-cultural analysis including class, race, poverty level, ethnic group and age.

Gender Balance: refers to the goal of having the same number of women and men in decision-making bodies and among staff in the different levels of organizational structures.

Gender Equality: refers to the equal rights, responsibilities and opportunities and access of women and men and boys and girls and the equal consideration of their respective interests, needs and priorities. Gender equality is not a women's issue but should concern and fully engage men as well as women. Equality between women and men is a human rights issue as well as a precondition for, and indicator of, sustainable, people-centered development.

Gender Equity: refers to the process of being fair to men and women, boys and girls. It recognizes the need for potential differential treatment that is fair and positively addresses a bias or historical or social disadvantage that is due to gender roles or norms. The process of gender equity leads to gender equality as a legal right and obligation.

Gender Mainstreaming: refers to a globally accepted strategy for promoting gender equality. Mainstreaming involves the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in any area and at all levels. It is a strategy for making the experiences and concerns of women as well as men an integral part of the design, implementation, monitoring and evaluation of policies and programmes, so that women and men benefit equally and inequality is not perpetuated, if necessary through targeted actions to ensure that women's voices as important actors are heard.

Gender responsive: refers to the consideration of gender norms, roles and relations and to addressing inequality generated by unequal norms, roles and relations through changes within a given social setting through remedial action.

Gender responsive budgeting: refers to the process of conceiving, planning, approving, executing, monitoring, analyzing and auditing budgets in a gender-responsive way. It involves analysis of actual expenditure and revenue (of governments, organizations) on women and girls as compared to expenditures on men and boys. It is a tool for effective policy implementation to check if the allocations are in line with policy commitments and are having the desired impact.¹⁸

¹⁷ If not otherwise indicated, relevant definitions are replicated from the AF Gender Policy available at https://www.adaptation-fund.org/wp-content/uploads/2016/04/OPG-ANNEX4_Gender-Policies-and-Action-Plan_approved-in-March-2016.pdf.

¹⁸ International Organization on Migration (IOM). Available at: https://www.iom.int/jahia/webdav/shared/shared/mainsite/published_docs/periodicals_and_newsletters/gsb_final_%20booklet.pdf.

Gender sensitive: refers to the consideration of gender norms, roles and relations but does not necessarily address inequality generated by unequal norms, roles or relations through remedial action beyond creating gender awareness.

Women's empowerment: can be best understood as an expansion of agency throughout women's lives, especially via participation and decision-making. It generally refers to differential or pro-active support to increase:

- (i) women's sense of self-worth;
- (ii) women's right to have and determine choices;
- (iii) women's right to have access to opportunities and resources;
- (iv) women's right to have power to control own lives both within and outside the home;
and
- (v) women's ability to influence the direction of social change to create a more just social and economic order, nationally and internationally.

Annex II: Guidance on Accreditation Standards

Schedule 9: Elements of Compliance with the AF Gender Policy¹⁹

The following checklist relating to the Adaptation Fund's Gender Policy and a complaints mechanism provides an explanation of what the Accreditation Panel requires when it reviews an application of an organization that applies to become accredited or maintain accreditation as an Implementing Entity (IE).

The Gender Policy of the Adaptation Fund approved in March 2016 indicates that: "*The Fund and its implementing partners shall strive to uphold women's rights as universal human rights and to attain the goal of gender equality and the equal treatment of women and men, including the equal opportunities for access to Fund resources and services, in all Fund operations through a gender mainstreaming approach*".

"*Potential implementing entities (NIEs, RIEs, or MIEs) will submit their application applications to the secretariat together with the required supporting documentation to verify how they meet the fiduciary standards and their commitment and ability to comply with the environmental and social policy and the Gender policy*". (Para 36 (b), OPG). The assessment criteria are based on confirming the IE's capacity, commitment and complaint mechanisms (3Cs) to adhere to the AF Gender policy. The applicant will provide supporting documents to demonstrate the following:

Commitment

Evidence (on the IE's website) of a public statement that comes from IE's top management emphasizing gender mainstreaming for all programmes and projects financed by the Entity including a grievance mechanism.

Capacity

IEs shall provide documentary evidence of its institutional capacity to apply the Fund's Gender Policy and ability to implement it. An IE may demonstrate this capacity by providing evidence of its:

- i. Institutional framework for gender mainstreaming, including appointment of a designated expert staff member; a written commitment from top management to gender equality, etc.;
- ii. Relevant policies, strategies or action plans that address gender equality and gender-responsive activities, or track-records that demonstrate effective implementation;
- iii. Ability to undertake socioeconomic and gender assessments, or similar methods to assess the potential roles, benefits, impacts and risk for marginalized groups (women, men and children);
- iv. Ability to identify measures to avoid, minimize and/or mitigate adverse gender mainstreaming impacts (ensure these are considered/ reflected in project appraisal and completion reports); and/or
- v. Monitoring and evaluation process that reflects its gender mainstreaming efforts, including the use of gender-disaggregated indicators, and can provide social and gender expertise during project implementation. (Gender mainstreaming to be included as a consideration at project appraisal, completion and independent

¹⁹ Available at <https://www.adaptation-fund.org/wp-content/uploads/2016/10/Guidance-on-Accreditation-Standards.pdf>, pp.12-13.

evaluation, and reflected in these reports where necessary).

Complaints handling and oversight reporting:

i. Process:

A demonstration of the effectiveness, fairness, and transparency of the structure, process, procedures as well as the technical and resource capacity to receive, investigate and deal with the complaints related to gender inequality.

- If the grievance mechanism resides outside of the IE, then the Accreditation Panel will review the effectiveness of the external mechanism including the applicable arrangements made for the services with the applicant and the applicants monitoring thereof.
- If the grievance mechanism is IE project-specific, the Accreditation Panel will review a similar arrangement for a previous or ongoing project to verify the effectiveness of a project-specific mechanism.

ii. Oversight:

There should be evidence of periodic oversight reporting of activities related to gender inequality complaints to the IE's Board of Directors or Governing Body. The reporting should include data on investigated cases in terms of number of cases, types of allegations and summary of the status and actions taken.