



ADAPTATION FUND

AFB/PPRC.25-26/3  
21 October 2019

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Adaptation Fund Board  
Project and Programme Review Committee

**TECHNICAL ASSISTANCE GRANT FOR THE  
ENVIRONMENTAL AND SOCIAL POLICY AND GENDER  
POLICY (TA-ESGP) – MINISTRY OF WATER AND  
ENVIRONMENT (MoWE) UGANDA**

## 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 its twenty-third meeting, the Board had decided through decision B.23/26 to approve “the execution arrangements, criteria/eligibility criteria to allocate the funds to the accredited implementing entities for specific activities”, contained in document AFB/B.23/5, which included grants for technical assistance and South-South Cooperation (SSC).

3. Based on the Board Decision B.23/26, the first call for readiness project proposals was issued in May 2014 and eligible countries were given the opportunity to submit applications for a readiness grant.

4. At the tenth session of the Conference of the Parties serving as 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**

5. 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:

*Aprove 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)**

6. 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 to be directly transferred 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)**

7. It is worth noting that at its twenty-seventh meeting, the Board also approved the Gender Policy (GP) of the Fund and consequently, the application template for technical assistance grants was revised to align with requirements of both the Fund's Environmental and Social Policy (ESP) and the GP.

8. According to the Board Decision B.28/30, a readiness project proposal can be submitted for consideration by the Project and Programme Review Committee (PPRC) and decision by the Board at the regular meetings of the Board and can also be submitted for review during an intersessional period of less than 24 weeks between two consecutive Board meetings.

9. Following Decision B.33/49 by the Board to approve the secretariat work schedule and work plan for fiscal year 2020 as contained in document AFB/EFC.24/7, the secretariat launched a call for project proposals intersessionally between the thirty-third and thirty-fourth meetings of the Board and eligible entities were given the opportunity to submit applications for a Technical Assistance Grant for the Environmental and Social Policy and Gender Policy (TA-ESGP).

10. All accredited NIEs that had not previously received a technical assistance grant were eligible to receive a TA-ESGP based on the relevance of the capacity and needs assessment as outlined in document AFB/B.23/5, and up to a maximum of US\$ 25,000 per NIE as outlined in document AFB/B.27/7. The NIEs would be expected to build capacity on environmental and social safeguards and gender related issues simultaneously and had to submit grant proposals that met all the following criteria as at the time of the 33-34 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. 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 capacity for assessment and management of environmental, social and gender related issues and subsequent compliance with the Fund's ESP and GP. 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 GP.

12. The following readiness grant project proposal was submitted by the Ministry of Water and Environment (MoWE) of Uganda, which is an accredited NIE of the Fund.

13. The proposal includes a request for funding of US\$ 25,000 outlining the activities to be undertaken by MoWE to build its institutional capacity for addressing environmental and social risks and gender considerations in its projects and programmes.

14. The secretariat carried out a technical review of the project proposal and completed a review sheet.

15. In accordance with a request to the secretariat made by the Board in its 10th meeting, the secretariat shared this review sheet with MoWE, and offered them the opportunity to provide responses before the review sheet was sent to the PPRC.

16. The secretariat is submitting to the PPRC pursuant to decision B.17/15, the final technical review of the project, both prepared by the secretariat, along with the final submission of the proposal in the following section. In accordance with decision B.25.15, the proposal is submitted with changes between the initial submission and the revised version highlighted.



ADAPTATION FUND

## ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT PROPOSAL UNDER THE READINESS PROGRAMME

PROJECT CATEGORY: Technical Assistance Grant for the ESP and GP

Country: **Uganda**Implementing Entity: **Ministry of Water and Environment (MoWE)**AF Project ID: **UGA/NIE/TA-ESGP/2019/1/Readiness**Requested Financing from Adaptation Fund (US Dollars): **25,000**Reviewer and contact person: **Farayi Madziwa**Co-reviewer(s): **Martina Dorigo**Implementing Entity Contact Person: **Fredrick Mulinda**

Review Criteria	Questions	Comments 20 September 2019	Comments 10 October 2019
Country Eligibility	1. Is the country Party to the Kyoto Protocol?	Yes	
Eligibility of IE	1. Is the project submitted through an Implementing Entity accredited by the Board?	Yes	
Project Eligibility	1. Has the designated government authority for the Adaptation Fund endorsed the project?	No, the letter of endorsement is missing.  <b>CAR1:</b> Please submit a letter of endorsement signed on official letterhead by the Designated Authority to the Adaptation Fund for Uganda.	Addressed.

	2. Are the proposed activities to support the implementing entity to implement the Environmental and Social Policy and/or the Gender Policy of the Fund adequate?	<p>Yes. However, it is not clear who the target audience for the proposed workshops will be. In addition, please consider integration and mainstreaming of gender in all proposed activities so that all produced guidelines, procedures and updated policies will be aligned to each other including in terminology, language and referencing each other.</p> <p><b>CR1:</b> Kindly specify the target audience for the different workshops to be held.</p>	Addressed.
Resource Availability	1. Is the requested project funding within the cap for Technical Assistance Grants for the Environmental and Social Policy and Gender Policy set by the Board?	Yes	
	2. If the implementing entity has requested, is the Implementing Entity Management Fee at or below 8.5 per cent of the total project/programme budget before the fee?	Not applicable. No fee has been requested	
Implementation Arrangements	1. Is the timeframe for the proposed activities adequate?	Yes. The support requested is expected to be delivered in 52 work days over a period of 6 months.	

	2. Is a summary breakdown of the budget for the proposed activities included?	Yes	
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<b>Secretariat's Overall Comment</b>	<p>The Ministry of Water and Environment (MoWE) of Uganda proposes to build its institutional capacity for addressing environmental and social risks and gender considerations in its projects and programmes by commissioning the services of a consulting firm and an individual consultant to work on different aspects of the capacity building process. The proposed activities include updating the existing gender policy, development of a guideline for environmental, social and gender risk screening including indicators for monitoring, an environmental and social risk assessment tool and gender assessment tool, developing procedures for public disclosure, updating the existing grievance and complaints handling mechanism, and holding workshops to consult stakeholders in the development process and to build staff capacity through training.</p> <p>The initial technical review found that the proponent had not submitted a letter of endorsement signed by the Designated Authority (DA) to the Adaptation Fund for Uganda and that the proposal had not identified who the target audience for the different workshops to be held were.</p> <p>The final review finds that the revised proposal has sufficiently addressed the clarification requests made in the initial technical review.</p>
<b>Date:</b>	21 October 2019



**REQUEST FOR ASSISTANCE IN COMPLYING WITH THE FUND'S ENVIRONMENTAL AND SOCIAL POLICY AND GENDER POLICY**

**Submission Date: 21 October 2019**

**Adaptation Fund Grant**

**ID: Country: Uganda**

Implementing Entity: **Ministry of Water and Environment**

**A. TIMEFRAME OF ACTIVITY**

Expected start date of activity	<b>January 2020</b>
Completion date of activity	<b>June 2020</b>

**B. Type of support requested**

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

Types of Support Activities	Support requested (please provide short description)	Type/name of provider for the requested support <sup>1</sup>	Requested budget (USD)	Number of days
Development of procedures/manuals/guidelines for screening projects for environmental and social risks as well as gender-related risks	<ul style="list-style-type: none"> <li>Development of procedures/guidelines for environmental, social and gender risk screening and assessments</li> </ul>	Local consultant/firm	8500	8
	<ul style="list-style-type: none"> <li>Development of indicators to monitor (environmental, social and gender risks)</li> </ul>			7
	<ul style="list-style-type: none"> <li>Hold a technical workshop on ESS and gender. One day Will be allocated for each</li> </ul>			2

<sup>1</sup> Specify if it is an institution, consulting firm or individual consultant. When possible, provide the name of the institution, firm or individual identified or selected.



	<p>workshop. The target stakeholders for the ESS include: selected staff from the all the departments in the Ministry of Water and Environment (MWE), Representative of the environmental policy committee and agencies such as National Environment Management Authority of Uganda (NEMA), National Water and Sewerage cooperation (NWSC), National Forestry Authority (NFA), selected staff from the Ministry of Gender and Social affairs, Civil Society Organizations e.g. World Wide Fund for Nature (WWF), International Union of Conservation of Nature (IUCN), Private sector, selected National NGO, Policy makers/members of parliament from the natural resources committee and that of climate change committee. The gender workshop Will include: Gender focal persons from the relevant Ministries, Departments and agencies, Civil Society Organisations (both international and national institutions, youth institutions-including the Uganda youth Council representatives, NGOs, selected gender and women advocacy groups and associations</p>			
<p>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</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Development of environmental and social risk assessment and risk management tools procedures/manuals/guidelines</li> <li><input type="checkbox"/> Development of a gender assessment tool and risk management plans that are gender responsive</li> <li><input type="checkbox"/> Hold workshop to validate the environmental and social risk assessment and risk management tools and gender assessment tool. <b>Most of the participants</b></li> </ul>	<p>Local consultant/firm</p>	<p>9000</p>	<p>8 8 2</p>


	<p>listed in the workshop above i.e. (on Development of procedures/manuals/guidelines) will be invited in the validation workshop. However, additional participants will be included to make it comprehensive. For example; persons with background on risk management from disaster departments and academics. These will include representatives from the office of the prime minister- specifically, the Department of Disaster Management, Non-government Organizations working in the field of disasters, selected institutions and companies that under undertake Risk management-include Environment Impact Assessment experts, Gender experts from the ministry of Gender and social affairs</p>			
<p>Development of a policy/avenues for public disclosure and gender-responsive consultation</p>	<ul style="list-style-type: none"> <li>• Development of procedure/guidelines for public disclosure for the National implementing and Executing Entities</li> <li>• Review the current gender policy to make it comprehensive and gender responsive as well as align it to the AF guidelines</li> <li>• One day workshop on validation of the gender policy. (Targeted audiences Will be gathered from the following institutions: Ministry of Water and Environment (MWE) and its sister agencies, which include National Environment Management</li> </ul>	<p>Local consultant/individual</p>	<p>4000</p>	<p>4 5 1</p>

	<p>Authority of Uganda (NEMA), National Water and Sewerage cooperation (NWSC), National Forestry Authority (NFA), selected international and national organisations, Private sector, representatives <u>from sub-national level/local governments and representatives of minority groups e.g. the indigenous peoples</u>; Policy makers- most especially, member of natural resources committee of parliament</p>			
<p>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</p>	<ul style="list-style-type: none"> <li>• Review the grievance mechanism to incorporate environmental, social and gender- related complaints during project implementation</li> <li>• One day workshop to validate the reviewed document (The targeted participants will be those persons experienced in <u>gender</u> issues and working in the areas <u>gender complaints and grievance mechanisms</u>. Some ministries have a complaint desk and committees in place from which the targeted audiences will be selected. e.g. Ministry of Water and Environment, Ministry of Internal affairs and ministry of Justice and constitutional affairs. Other participants will be gathered from ministry of gender and social development and that of youth affairs.</li> </ul>	<p>Local consultant/individual</p>	<p>2500</p>	<p>4</p> <p>1</p>

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	Conduct capacity building of key staff in the NIE on the AF environmental and social and gender policy	Local consultant/individual	1000	2
Other type of support requested (please describe)				
<b>Total Grant Requested (USD)</b>			<b>25000</b>	


**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
Mr. Alfred Okot Okidi, Permanent Secretary, Ministry of Water and Environment (NIE)		29 August 2019	Mr. James Kawesi, Ministry of Water and Environment	+256 785800094	<a href="mailto:jkaweesi11@gmail.com">jkaweesi11@gmail.com</a>

**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.

<p>(Enter Name, Position, Ministry)</p> <p>KGIT MUKHAWAZI Permanent Secretary/Secretary to the Ministry Min. of Finance, Planning &amp; Econ. Dev. Mukhawanzi</p>	<p>Date: (Month, day, year)</p> <p></p>
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Telephone : 256 41 4707 000  
              : 256 41 4232 095  
Fax : 256 41 4230 163  
      : 256 41 4343 023  
      : 256 41 4341 286  
Email : [finance@finance.go.ug](mailto:finance@finance.go.ug)  
Website : [www.finance.go.ug](http://www.finance.go.ug)



THE REPUBLIC OF UGANDA

Ministry of Finance, Planning &  
Economic Development  
Plot 2-12, Apollo Kaggwa Road  
P.O. Box 8147  
Kampala  
Uganda

In any correspondence on  
this subject please quote No. ALD 79/251/02

10<sup>th</sup> October, 2019

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 A PROPOSAL FOR A TECHNICAL ASSISTANCE  
GRANT FOR THE ENVIRONMENTAL, SOCIAL POLICY AND GENDER  
POLICY (TA-ESGP) BY THE MINISTRY OF WATER AND ENVIRONMENT-  
UGANDA.**

In my capacity as designated authority for the Adaptation Fund in Uganda, I confirm that the above project is in accordance with the national environment and gender policies in fulfilment of the Adaptation Fund requirements intended to mitigate adverse impacts and risks posed by climate change projects especially to the vulnerable communities in Uganda.

Accordingly, I am pleased to endorse the above technical assistance grant request with support from the Adaptation Fund. If approved, the final product will be used during the preparation of the Adaptation Fund projects by Ministry of Water and Environment as a National Implementation Entity.

Please accept the assurances of my highest regard and esteem.

Keith Muhakanizi  
**PERMANENT SECRETARY/SECRETARY TO THE TREASURY**

Copy to: The Permanent Secretary, Ministry of Water and Environment

*Mission*

*"To formulate sound economic policies, maximize revenue mobilization, ensure efficient allocation and accountability for public resources so as to achieve the most rapid and sustainable economic growth and development"*