



ADAPTATION FUND

AFB/PPRC.23-24/3
19 November 2018

Adaptation Fund Board
Project and Programme Review Committee

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

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 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)

5. 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 (S-S) cooperation. Annex I to document AFB/B.23/5 presented an application form through which implementing entities could submit proposals for technical assistance grants.

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

7. It is worth noting that at its twenty-seventh meeting, the Board 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 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.31/28 by the Board to approve the secretariat work schedule and work plan for fiscal year 2019 as contained in document AFB/EFC.22/7, the secretariat launched a call for project proposals intersessionally between the thirty-first and thirty-second Board meetings and eligible accredited national implementing entities (NIEs) 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 satisfactory grant proposals that met all the following criteria as at the time of the 23-24 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/or GP.

12. The following readiness project proposal was submitted by an accredited NIE eligible to receive the TA-ESGP, i.e. the Dominican Institute of Integral Development (IDD)

13. The present document introduces the TA-ESGP project proposal submitted by IDDI. It includes a request for funding of US\$ 22,700 outlining the activities to be undertaken by IDDI to build its capacity for assessment and management of environmental, social and gender related issues and compliance with the Fund's ESP and GP.

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 IDDI, and offered it the opportunity of providing responses before the review sheet was sent to the PPRC.

16. The secretariat is submitting to the PPRC the summary and, 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.

Project Summary

Project – Application for a grant to Project to source technical assistance for assessment and management of environmental, social and gender related issues and for compliance with the Fund's Environmental and Social Policy and Gender Policy in Dominican Republic

Implementing Entity: Dominican Institute for Integral Development (IDDI)

Project Execution Cost: 0

Total Project Cost: USD 22,700

Implementing Fee: USD 0

Financing Requested: USD 22,700

Project Background:

The overall objective of this grant application submitted by IDDI, is to strengthen the institutional capacity for complying with the Fund's Environmental and social Policy and Gender Policy.

The proposed activities aim to strengthen the institutional system for complying with the Adaptation Fund Environmental and Social Policy (ESP), as well as Gender Policy (GP). Additionally, the grant will support the improvement of the gender policy of the executing partner institutions related with the project, as the Ministry of Environment and the National Institute of Drinking Water and Sewerage (INAPA), and the creation/improvement of the gender policy in other implementing partners organizations.



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

PROJECT CATEGORY: Technical Assistance Grant for the ESP and GP

Country: **Dominican Republic**Implementing Entity: **Dominican Institute of Integral Development (IDDI)**Requested Financing from Adaptation Fund (US Dollars): **22,700 USD**Reviewer and contact person: **Martina Dorigo**Co-reviewer(s): **Farayi Madziwa**Implementing Entity Contact Person: **Dámarit Pérez González**

Review Criteria	Questions	Comments 2 November 2018	Comments 19 November 2018
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, through IDDI a NIE of the Adaptation Fund.	
Project Eligibility	1. Has the designated government authority for the Adaptation Fund endorsed the project?	Yes, the DA endorsement letter has been provided, and is dated October 24, 2018.	

	<p>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>	<p>Yes, the proposed activities aim to strengthen the institutional system for complying with the AF Environmental and Social, as well as Gender Policy. Additionally, the grant will support the improvement of the gender policy of the executing partner institutions related with the project, as the Ministry of Environment and the National Institute of Drinking Water and Sewerage (INAPA), and the creation/improvement of the gender policy in other implementing partners organizations.</p> <p>CR1: It is expected that the technical assistance grant should enable development or updating of an institutional framework that should enable the entity's management and staff to screen, assess and address environmental, social and gender risks at the institutional level, and not only for a single project. Please explain the proposed activities in the context of a broader institutional environmental system, manual or procedures that are going to be updated or developed to enable environmental and social risks and gender related issues to be screened, assessed and addressed beyond a single and specific project.</p> <p>CR2: Think about the long-term sustainability in the creation of a grievance mechanism and a system in place to receive complaints related to environmental, social and gender risks, not only for this project but also for other initiatives implemented by IDDI.</p>	<p>CR1: Addressed.</p> <p>CR2: Addressed.</p>
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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?	The IE did not request for a IE management fee.	The IE sent a revised proposal and included a management fee of 8.1%
Implementation Arrangements	1. Is the timeframe for the proposed activities adequate?	The proposed timeframe is six months. CR3: According to the nature of the proposed activities to be undertaken, it is suggested to revise the timeframe and allow a couple of extra months for the execution of this project. Also, kindly specify the expected number of days for the training events to be conducted, and for the preparation of the policy documents.	CR3: Addressed. The duration of the project was revised to 8 months.
	2. Is a summary breakdown of the budget for the proposed activities included?	Yes, a summary breakdown at activity level has been included in the grant request form.	
Secretariat's Overall Comment	<p>The overall objective of this grant application submitted by IDDI, is to strengthen the institutional capacity for complying with the Fund's Environmental and social Policy and Gender Policy.</p> <p>The initial technical review found that whilst the proposed activities were in line with the Environmental and Social as well as Gender Policy of the Fund, the proposal needed to provide further clarity on the context in which support would be sought to broaden the institutional capacity to identify, screen, assess and address environmental and social risks and gender related issues beyond a single and specific project, that further</p>		

	<p>clarity was needed regarding the long-term sustainability of the grievance mechanism to be developed, and that further clarification was needed to justify the proposed project timeframe.</p> <p>The final review finds that the revised proposal has sufficiently addressed the clarification requests made in the initial technical review. The revised proposal also includes a revised budget and an implementing entity management fee.</p>
Date:	19 November, 2018



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

Submission Date: 24/10/2018

Adaptation Fund Grant ID: TA-ESGP

Country: Dominican Republic

Implementing Entity: Dominican Institute for Integral Development Inc. (IDDI)

A. Timeframe of Activity

Expected start date of activity	01/01/2019
Completion date of activity	30/06/2019 31/08/2019

B. Type of support requested

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

Types of Support Activities	Support requested (please provide short description)	Type/name of provider for the requested support ¹	Requested budget (USD)
Development of procedures/manuals/guidelines for screening projects for environmental and social risks as well as gender-related risks	Update and strengthen the Environmental and Social Management System (ESMS) and its Environmental and Social Impact Assessment (ESIA) and the Environmental and Social Management Plan (ESMP) included in the project "Enhancing Climate Resilience in San Cristóbal Province, Dominican Republic -	Individual consultant	USD 4,000

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

	<p>Integrated Water Resources Management and Rural Development Program” to accomplish with the Environmental and Social Policy (ESP) and to include a Gender Risk Management System to accomplish with the Gender Policy (GP) of the Adaptation Fund.</p> <p>This system, that will be developed for this project and for future projects developed by IDDI, will be a broader institutional environmental system to identify environmental and social risks related with the projects executed under the Adaptation Fund and gender inequalities in all the project’s cycle.</p> <p>So, it will be developed an institutional environmental and social management program to establish the maximum level of environmental and social risks that a project can reach. For that, it will include the procedures in screening projects emphasizing in environmental and social risks and also gender risks. These screening processes will be undertaken each 3 months to monitoring all the risks during projects implementation. Under the program, it will be designed a screening and monitoring form to</p>		
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	<p><u>be filled for each project and there will be a focal point staff for each thematic (environment, social and gender). All the implementing entities will participate in the design of the screening procedures.</u>—These procedures will allow a good monitoring process of the projects to accomplish with AF policies. <u>The design of the program will take at least 4 months.</u></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>	<p>Update and creation of more developed procedures to make environmental and social assessment in the identified communities to avoid environmental and social harms related with the projects implementation, through the creation of indicators and risk management plans. <u>The manual will stablish a procedure to identify and to have access to the environmental and social requirements of the Adaptation Fund. In this manual it's necessary to stablish objectives and results. It will be developed environmental and social management plans, products of a previous environmental and social evaluation. Under this manual it will be necessary to make a</u></p>	<p>Individual consultant</p>	<p>USD 7,000</p>

	<p>difference between the necessities between different groups, as men and women. All these process will be developed together with all the implementing entities that will participate during all the assessment processes.</p> <p>Also the creation of procedures to undertake gender assessment in the identified communities to select gender-responsive quantitative and qualitative indicators and to design gender-responsive implementation and monitoring arrangements. During implementation, monitoring and evaluation, this gender analysis assists to assess differences in participation, benefits and impacts between males and females, including progress towards gender equality and changes in gender relations. Through this process it is important to make references to their differentiated, needs, concerns and abilities.</p> <p>The update and creation of the procedure will take at least 3 months.</p>		
<p>Development of a policy/avenues for public disclosure and gender-responsive consultation</p>	<p>Analysis and improvement of the gender policy of the public executing institutions</p>	<p>Individual consultant</p>	<p>USD 4,000</p>

	<p>related with the project, as the Ministry of Environment and the National Institute of Drinking Water and Sewerage (INAPA) and creation or improvement of the gender policy in the rest of the implementing partner organizations, after a gender-responsive consultation to identify gender impacts and inequalities. Also the development of an external public campaign related with the projects implementation, involving different stakeholders, from the private and public sector, about gender perspective in mitigation and adaptation to climate change.</p> <p><u>We expect to analyze and make the improvements in the gender policies of the different implementing institutions during 4 months and related to the public campaign we expect to develop it during 7 months.</u></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>	<p><u>In order to accomplish with the environmental, social and gender institutional policies and to guarantee that in all projects developed by IDDI the environmental, social and gender requirements are accomplished, we will create Creation of a committee in charge of</u></p>	<p>IDDI Executive Council</p>	<p>USD 2,000</p>

	<p>receives complaints related to environmental, social and gender risks and other adverse impacts during projects implementation and to resolve them. <u>This committee will be composed by the Executive Director of IDDI, the Executive Assistant, the Director of the Department of Social Promotion and a technician of the Department of Climate Change of IDDI.</u></p> <p>In order to receive these complaints, the creation of a complaint box located in IDDI's headquarters. Also, to facilitate the process, <u>through our web page we can receive complaints filling in a form and also we will have an email account and a telephone number to receive the complaints from other regions of the country.</u> <u>We will reinforce this mechanism to have a better process to systematize all the complaints by thematic.</u> <u>Related to the process of resolutions of complaints, we will classify all the complaints by thematic and each focal point staff person will be in charge of make an evaluation in the field to collect all the data relevant for the case and present a solution to the committee for the</u></p>		
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	<p><u>final resolution. All these resolutions will be systematized as lessons learned for future projects.</u></p>		
<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</p>	<p>The staff training has the objective to train specialist staff in environmental and social issues to work as focal points in these areas during the project cycle of <u>all the projects implemented by IDDI, as the project "Enhancing Climate Resilience in San Cristóbal Province, Dominican Republic - Integrated Water Resources Management and Rural Development Program" and other future projects.</u> This staff will be in charge of environmental and social assessment, indicators and trainings in the communities related with projects' impacts. Related to gender issues, the objective is to train staff so they can work as gender focal points in the projects. This staff will be in charge of gender assessments, create gender indicators, train the communities in gender perspective and gender equality. Through this training we want to assess and build capacity and commitment to gender sensitive planning and programming. <u>The training program will be composed by three different trainings: environmental approach.</u></p>	<p>Individual consultant</p>	<p>USD 4,000</p>


Con formato: Interlineado: sencillo, No ajustar espacio entre texto latino y asiático, No ajustar espacio entre texto asiático y números

	social approach and gender approach. Each of this training will have a duration of 40 hours, distributed in two weeks each one, 20 hours per week.		
Other type of support requested (please describe) Management fee	This fee will be used for administrative costs and unforeseen expenses during the execution of the technical assistance.		USD 1,700
Total Grant Requested (USD)			USD 224,700

Con formato: Centrado

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
David Luther (Executive Director)		Oct. 22, 2018	Dámarit Pérez González	+1 809 534 1077 ext. 252	damarit.perez@iddi.org

D. Record of endorsement on behalf of the government

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

<i>Pedro Garcia, National Designated Authority, Director of Climate Change, Ministry of Environment, Dom. Rep.</i>	Date: 24 October, 2018
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Letter of Endorsement by Government

Dominican Republic

October 24, 2018

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

Subject: Endorsement for *Call for Grants to Support the Assessment and Management of Environmental and Social Risks and Gender-Related Issues*.

In my capacity as designated authority for the Adaptation Fund in Dominican Republic, I confirm that the above project proposal is in accordance with the government's national priorities in implementing adaptation activities to reduce adverse impacts and manage risks posed by climate change in Dominican Republic.

Accordingly, I am pleased to endorse the above project proposal with support from the Adaptation Fund. If approved, the project will be implemented by the Instituto Dominicano de Desarrollo Integral (IDDI).

Sincerely,

Ing. Pedro García Brito M.Sc
Director de Cambio Climático
Ministerio de Medio Ambiente y Recursos Naturales