

**Manual for
Integrating Environmental, Social, and Gender Risk Policies into Adaptation
Fund Project and Programme Development and Management: Namibia**

**Prepared for
Desert Research Foundation of Namibia (DRFN)**



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Manual for Integrating Environmental, Social, and Gender Risk Policies into Adaptation Fund Project and Programme Development and Management: Namibia

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Preface and Summary Guidelines

Building on a 2013 Memorandum of Agreement between the Desert Research Foundation of Namibia (DRFN) and the International Arid Lands Consortium (IALC)¹, a collaborative proposal was submitted to the Adaptation Fund (AF) in August of 2016 in response to the Fund’s “Call for Technical Assistance Grants for NIEs to Build Capacity to Mitigate Environmental, Social and Gender-related Risks.” In January 2017, the grant was awarded to DRFN, the AF National Implementing Entity (NIE) for Namibia, and IALC consultants initiated project activities soon after. This involved employing user-experience research methods to develop the following products and activities:

- 1) Manual/guidelines for screening projects for environmental, social, and gender (ESG) risks
- 2) Manual/guidelines for ESG risk assessment and management plans
- 3) Checklist for public disclosure and gender-responsive consultation
- 4) Manual/guidelines for ESG-responsive grievance mechanisms
- 5) Training activity for entity staff members on AF ESG policies and procedures

Overall, the purpose of the grant was to strengthen capacity to implement the Fund’s ESG policies. The aim was also to allow potential executing entities (EE) and partners as well as the National Designated Authority (NDA), Ministry of Environment and Tourism, to improve the competitiveness of proposal development as well as project effectiveness. To this end, interviews were held with entity staff members and extensive research conducted on AF ESG-related policies and procedures as well as international and national laws and regulations. The results of these efforts are included in this manual, as well as in the accompanying training presentations (many AF documents are quoted verbatim). The primary context for integrating ESG into project design and implementation is the Implementing Entities’ (IE) Environmental and Social Management System (ESMS) composed of the steps outlined below. Each step is described in detail in this manual, and referenced as to where it should be included in project design, proposal development, and project implementation. They are:

- 1) Environmental, social, and gender risks identification through screening process
- 2) Environmental, social, and gender assessment (ESIA)
- 3) Environmental and social management plans (ESMP)
- 4) Environmental, social, and gender management monitoring, reporting, and evaluation
- 5) Public disclosure and consultation (stakeholder engagement)
- 6) Grievance mechanism

It is our sincere hope this manual will serve as a useful guide for strengthening the integration of ESG policies into AF climate change projects emanating from Namibia. We wish to extend our special thanks to Dr. Martin Schneider, Director of DRFN, for his essential assistance throughout this project, and to all of the entity staff members for their willingness to share their experiences and expertise with us.²

Sincerely,
Barbara Hutchinson and Kristin Wisneski-Blum
IALC Consultants, May 17, 2017

¹ The International Arid Lands Consortium (IALC) is an NGO based in the United States of America with 25 years of conducting international research and development projects. See <http://ialc.world>.

² Salomo Mbai (NUST), Bernadette Shalumba-Shivute (DRFN), Ester Nangolo (DRFN & ASSAR), Sion Shifa (MET), Johannes Sirunda (NamWater), Lesley-Anne Van Wyk (Hanns Seidel Foundation), Martin Schneider (DRFN/NIE)

List of abbreviations and acronyms used

AF	Adaptation Fund
CEDAW	Convention on the Elimination of all Forms of Discrimination Against Women
DA	Designated Authority
DRFN	Desert Research Foundation of Namibia
EE	Executing Entity
EIA	Environmental Impact Assessment
ESA	Environmental and Social Assessment
ESG	Environmental, Social, and Gender (risks)
ESGP	Environmental, Social, and Gender Policies
ESIA	Environmental Social Impact Assessment
ESMP	Environmental and Social Management Plan
ESMS	Environmental and Social Management System
ESP	Environmental and Social Policy
GAP	Gender Action Plan
GCF	Green Climate Fund
GEF	Global Environment Facility
GP	Gender Policy
IE	Implementing Entity
ILO	International Labour Organisation
IPCC	Intergovernmental Panel on Climate Change
IUCN	International Union for Conservation of Nature
MDG	Millennium Development Goals
M&E	Monitoring and Evaluation
NIE	National Implementing Entity
OECD	Organisation for Economic Co-operation and Development
PFG	Project Formulation Grant
PPR	Project Performance Report
RBM	Results-Based Management
SDG	Sustainable Development Goals
SMART	Specific, measurable, accurate, relevant, time-bound
TOR	Terms of Reference
UDHR	Universal Declaration of Human Rights
UNDRIP	UN Declaration on the Rights of Indigenous Peoples
UNEP	United Nations Environment Programme
UNESCO	UN Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
WHO	World Health Organization

Manual for Integrating Environmental, Social, and Gender Risk Policies into Adaptation Fund Project and Programme Development & Management: Namibia

Introduction (primarily adapted from “Manual of basic Environmental and Social Management System (ESMS) procedures and functions at the National Implementing Agencies” & AF Proposal Preparation Documents)

The Adaptation Fund (AF) adopted the Environmental and Social Policy (ESP) in November 2013, and the aligned Gender Policy in March 2016 ([See Annex 1](#)). These policies are to ensure that projects and programmes supported by the Fund promote positive environmental, social, and gender benefits, and mitigate or avoid adverse risks and impacts. To ensure compliance, Implementing Entities (IEs), must develop an **environmental and social management system (ESMS)**. At the project level, environmental, social, and gender (ESG) risks are identified, impacts assessed, and prevention and mitigation actions are formulated if necessary. This is stated as the ESG “safeguarding process”. ([See Annex 2](#)) Projects in all “Categories” must include some level of **monitoring** for unexpected environmental or social impacts. General components of an ESMS may be adapted to particular IE contexts, but should include:

- Environmental, social, and gender risks identification through screening process
 - Included in project design stage and outlined in Proposal section I: background/context
 - Proposal section II.B. - describes how project will avoid or mitigate negative impacts, in compliance with ESG policies
 - Proposal section II.E. – includes description of how project meets national standards for Namibia and complies with ESGP
 - Proposal section II.H. – consultative process with reference to gender and vulnerable communities
 - Proposal section II.K. – overview of ESG impacts & risks identified, and categorization ([See Annex 3 – Checklist for ESP/ESGP](#))
 - In full proposals, if screening results are extensive, include findings in an annex
- Environmental, social, and gender assessment (ESIA)
 - Proposal section II.E. - required for full proposals; costs provided from project formulation grant (PFG); concludes with categorization
- Environmental and social management plans (ESMP)
 - Proposal section III.C. - Required for full proposals
- Environmental, social, and gender monitoring, reporting, and evaluation
 - Proposal section III.D. - Required for full proposals
- Public disclosure and consultation (stakeholder engagement)
 - Proposal section II.H. - included at concept stage, particularly focused on minority groups & indigenous peoples; Full proposals require documentation of a comprehensive consultative process with all potential stakeholders and timely public disclosure
- Grievance mechanism
 - Proposal section III.C.

Note: See also [Annex 4 – Checklist for Proposal Preparation](#) & [Annex 5 – DA Proposal Review Checklist](#)

Environmental and Social Management System (ESMS) (primarily from “Guidance Document for Implementing Entities on Compliance with the Adaptation Fund Environmental and Social Policy”)

Steps: Screening, Identifying, and Categorizing risk as related to 15 environmental, social, and gender policy (ESGP) principles in preparation for project/proposal submissions to the AF. Risk identification process should be concisely summarized in the introductory sections and in the description of the proposed project. In extraordinarily complex cases, additional explanation can be added as an annex.

National Implementing Entities (NIE) use **Environmental and Social Management Systems (ESMS)** to guide the self-screening and self-assessment processes to determine compliance with ESGP. The ESMS should conduct risk assessment at the earliest possible design stage, adopt measures to avoid or minimize risks during implementation, and monitor and report on status of those measures during and at end of implementation. The ESMS provides adequate opportunities for the informed participation of stakeholders and may comprise:

- Screening (page 8)
- Impact assessment (ESIA) (page 18)
- Monitoring (page 20)

“Without proper assessment and community engagement you end up with desktop proposals that are based on assumptions. The quality of the proposal depends on the data you have available.”

- DRFN-IALC participant interview, March 2017

Screening (ESMS Step 1) - to identify potential adverse impacts and risks related to 15 environmental and social/gender principles; describe briefly in proposal with additional documentation included in an annex (if deemed necessary); some principles may not be applicable to a given proposal, but those should still be briefly noted.

- Screening is used to identify risks for which further assessment/management is required. Two types of principles – those that are required (1, 4, and 6), and those that may or may not be relevant to a particular project.
- Screening considers all potential direct, indirect, transboundary, and cumulative impacts in the project area that could result from the proposed project. (See also Categorization, page 18)
- Screening must clearly state that a principle either does not apply or include justification that project meets standards of the principle or that risk actions are needed and documented in an environmental and social management plan (ESMP).
- A principle may be relevant to a project while the related risk may be found to be absent.

Regardless of the outcome of screening, all proposed projects must comply with the Fund’s environmental, social, and gender principles and applicable national and local laws and regulations.

(1) Principle 1 (required) – Compliance with National Regulations (see also gender policy) **(domestic & international law)**

- a) For example: Planning permission, environmental permits, construction permits, permits for water extraction, emissions, use or production or storage of harmful substances (describe current status, steps taken so far, and plan to achieve compliance).
- b) See list of Namibian Government documents in Annex 7.
- c) See list of UN Conventions and Declarations ratified by Namibia ([Annex 6](#)); also note those conventions directly relating to **gender policy**: [Universal Declaration of Human Rights \(UDHR\)](#), [Convention on the Elimination of All Forms of Discrimination against Women \(CEDAW\)](#), [International Labour Organisation’s core conventions \(ILO\)](#), [Millennium Development Goals \(MDGs\)](#), [Sustainable Development Goals \(SDGs\)](#) and the [2030 Agenda for Sustainable Development](#). (See Annex 7)
- d) *Process Steps*:
 - i. Identify all specific, applicable domestic and international laws that apply ([See Annex 7](#)).
 - ii. Identify activities that may require prior permissions.
 - iii. Identify environmental and social safeguarding requirements (screening).
 - iv. Identify technical or industry standards that apply.
- e) *Outputs*: Evaluation of the risks of non-compliance with specific laws. For permitting procedures, a description of the requirements and of current status, any steps already taken, and the plan to obtain permits. For standards, an overview of standards that will be adhered to.

Proposal Reviewer Suggestions:

- A comprehensive list of all national laws, regulations and standards relating to project activities. (See Annex 7)
- Include table of project components and then describe the technical standard, application to the project and then status & monitoring for the standard (See example from India project, Annex 15)
- Include a description of how this monitoring works into the project’s ESMP and reference it as an annex.

(2) Principle 2 – Access and Equity (see also gender policy) – providing fair, impartial, and equitable access to benefits, particularly to vulnerable groups, and that does not have negative consequences to basic services and working conditions, i.e. health services, clean water and sanitation, energy, education, housing, safe and decent working conditions, and land rights.

- a) State there will be neither discrimination nor favoritism in accessing benefits and does not impede access to essential services and rights.
- b) May use a risk analysis to identify and assess risks of exacerbating inequalities.
- c) *Process Steps*:
 - i. Identify project benefits and its geographical area of effect.
 - ii. Identify any marginalized or vulnerable groups among potential project beneficiaries (may use stakeholder mapping³ to identify the potential beneficiaries, rivals, disputants, marginalized or vulnerable people).

³ Stakeholder mapping helps to proactively anticipate stakeholder challenges and plan mitigation strategies. It is a way to map complex stakeholder dynamics to understand how they individually and collectively determine the success or failure of projects. From: Public-Private Dialogue (PPD) stakeholder mapping toolkit, World Bank 2016.

- iii. Identify existing access to essential services and rights in project area as indicated in the principle.
- iv. Describe the mechanism of allocating and distributing project benefits, and how this process ensures fair and impartial access to benefits.
- d) *Outputs*: Stakeholder analysis, marginalized and vulnerable groups identification, beneficiary selection, and benefits allocation process description.

(3) Principle 3 – Marginalized and Vulnerable

Groups (see also gender policy) - projects should not have adverse effects on such groups as: children, women, the elderly, indigenous/tribal groups, refugees, people with disabilities, people with HIV/AIDS.

- a) Groups possibly affected by the project should be identified and quantified; for instance through a vulnerability assessment.⁴ (See “References”)
- b) If these groups are present, describe characteristics of the group(s); identify possible adverse impacts (i.e. lack of wheelchair accessibility) or any disproportionate impacts to other groups and how they can be mitigated or prevented (infrastructure features, access guarantees); and describe monitoring needed during implementation for possible adverse impacts.
- c) *Process Steps*:
 - i. In project area, identify presence of marginalized or vulnerable groups.
 - ii. Quantify all groups identified using accepted methods based, where possible, on disaggregated data⁵.
 - iii. Describe characteristics of any marginalized or vulnerable groups, identifying particular vulnerabilities that would or could make them disproportionately vulnerable to negative environmental or social impacts caused by the project.
- d) *Outputs*: Identification and quantification of marginalized and vulnerable groups and a description of their risk of disproportionate adverse impacts.

“To initiate the site selection process start with the governor for the whole region and then the head counselors. They know the area. They can help identify the most vulnerable ones.”

- DRFN-IALC participant interview, March 2017

NA Governors:

<http://www.murd.gov.na/public-staff-experience>

Proposal Reviewer Suggestions:

- List specific criteria for determining/calculating vulnerability
- Use community-based committees for selection of vulnerable household or communities
- Use women’s committees, groups, and gender-focused organisations
- Draw on national datasets
- Use vulnerability assessment tools, for example: CoDrive; Include bullets on what the tool does and who used it (From India proposal)

⁴ Vulnerability assessments herein involve processes and data to determine the most vulnerable populations to the potential impacts of both climate change and proposed project actions. Indicators of vulnerability may include: income and its sources, food production, food prices, income distribution, and impoverishment [FAO 1999]

⁵ AF describes “gender-disaggregated data” as both being broken down by sex, but also taking into consideration the different socio-economic realities that men and women face in addressing climate change; for example, “how many men and women in the project area have independent income, are aware of climate change, [and] are part of decision-making bodies in the communities served.” (Guidance Document...Gender Policy, page 6)

- (4) Principle 4 (required) – Human Rights (see also gender policy) - projects must create awareness with all involved in a project from design, execution, monitoring, and evaluation of the [Universal Declaration of Human Rights \(UDHR\)](#). (See Annex 7)
- a) If relevant to the project, provide an overview of the relevant human rights issues that are identified in “[Human Rights Council Special Procedures](#)” (indigenous peoples; extreme poverty and human rights; and safe drinking water and sanitation) and how they will be addressed. (See Annex 7)
 - b) Human rights issues should be an explicit part of consultations with stakeholders and findings included in the project proposal with details in an annex, if necessary.
 - c) *Process Steps:*
 - i. Determine if Namibia is cited in any “Human Rights Council Special Procedures”, be they [thematic](#) or [country mandates](#) (no citations at time of preparation of this document).
 - ii. If identified, provide an overview of the relevant human rights issues.
 - iii. Explicitly include human rights issues in stakeholder consultations during project identification and/or formulation.
 - iv. Include the findings of the consultations on human rights issues in project document.
 - d) *Outputs:* Determination of Special Procedures citations, identification of human rights concerns by stakeholders.

- (5) Principle 5 – Gender Equality and Women’s Empowerment (see also gender policy) - (related to legal and regulatory framework and is guided by [Article 2 of the UN Framework Convention on Climate Change \(UNFCCC\)](#) as well as other international conventions) (See [Annexes 1, 7 & 15](#)). Projects must be designed and implemented so that both women and men (1) have equal opportunities to participate as per the Fund gender policy; (2) receive comparable social and economic benefits; and (3) do not suffer disproportionate adverse effects during the development process.

“Women may be working, but they are not making decisions, they are being told what to do.” - DRFN-IALC participant interview, March 2017

- a) Should include an analysis of the legal and regulatory context with respect to gender equality and women’s empowerment (i.e., cultural, traditional, religious, or other grounds that might result in different allocation of benefits; or adverse impacts). (See page 9 and Conventions related to women’s issues in Annex 7).
- b) Describe how the project will pursue equal participation.
- c) Describe project’s pro-active measures to promote gender equality...organizing working groups or conducting stakeholder consultations at convenient times and locations.
- d) *Process Steps:*
 - i. Identify activities or other elements in the project that are known to exclude or hamper a gender group based on legal, regulatory, or customary grounds.
 - ii. Conduct or consult a gender analysis of the project sector, describing current situation of the allocation of roles and responsibilities in the project area.
 - iii. Identify elements in project that maintain or exacerbate gender inequality or the consequences of gender inequality.

- iv. Identify particular vulnerabilities of men and women that would or could make them disproportionately vulnerable to negative environmental or social impacts caused by the project.
- e) *Outputs*: Identification of risks of creating or maintaining gender-based inequalities and a description of gender-based risk of disproportionate adverse impacts.

Proposal Reviewer Suggestions:

- Reference to ILO Standards
- Adhere to country-specific laws
- Provide specific discussion around worker's, children's, and women's rights.

(6) **Principle 6 (required) – Core Labour Rights** - must meet the core labour standards identified by the International Labour Organisation (ILO) listed in the 1998 [ILO Declaration of Fundamental Principles and Rights at Work](#)⁶. (See also Annex 7) Proposals need to summarize how they are ensuring implementation of the ILO core labour standards; in the case of Namibia, all eight ILO core conventions have been ratified.⁷

a) *Process Steps*:

- i. May refer to latest assessments of application of standards in Namibia (published by ILO) – Namibia has ratified eight core conventions.
- ii. Review latest ILO assessments of application of the standards in Namibia.
- iii. Identify any past/present/planned ILO assistance to meet the standards through social dialogue and technical assistance.
- iv. Identify any relevant ILO procedures (or Special Procedures by Namibian government); and how complaints will be managed.
- v. Demonstration on how the ILO core labour standards will be incorporated in the design and implementation of the project.
- vi. Describe common labour arrangements in the sector(s) in which the project will operate, with particular attention to all forms of child labour and forced labour.
- vii. If there are problematic assessments, reference a monitoring process that will be set up during implementation.

b) *Outputs*: Determination of the likelihood of compliance with the core ILO standards.

(7) **Principle 7 – Indigenous People**. AF will not support projects that are inconsistent with the rights and responsibilities set forth in the [UN Declaration on the Rights of Indigenous Peoples \(UNDRIP 2007\)](#) and other applicable international instruments relating to indigenous peoples (at least six core international conventions). Namibia voted for the UNDRIP and has signed all the relevant conventions, and has also been visited by the Special Rapporteur of the Human Rights Council. (See Annex 7) Proposals should include:

⁶ The core labour standards consist of four standards, laid out in eight conventions: (a) Freedom of association and the effective recognition of the right to collective bargaining (Convention No. 87 & No. 98); (b) The elimination of all forms of forced and compulsory labour (Convention No. 29 & No. 105); (c) The effective abolition of child labour (Convention No. 138 & No. 182); (d) The elimination of discrimination in respect of employment and occupation (Convention No. 100 & No. 111).

⁷ FUNDAMENTAL RIGHTS AND PROTECTIONS in Namibia's Labour Act of 2007: Prohibition and restriction of child labour; Prohibition of forced labour; Prohibition of discrimination and sexual harassment in employment Freedom of association; Disputes concerning fundamental rights and protections.

a) *Process Steps:*

- i. Identify if indigenous peoples are present in the area of project influence.
- ii. If indigenous peoples are present, quantify the groups identified.
- iii. If indigenous peoples are present, determine in the project proposal if there are provisions for a realistic and effective Free, Prior, Informed Consent process (i.e. indigenous communities have the right to give or withhold consent to proposed projects that may affect their land – owned, occupied, or otherwise used).
- iv. Describe involvement of indigenous peoples in the design and implementation of the project and provide detailed outcomes of the consultation process.
- v. Provide documented evidence of the mutually accepted process between the project and the affected communities and evidence of agreement as an outcome of negotiations. Some disagreement may be allowed.
- vi. Provide a summary of any reports, specific cases, or complaints that have been made with respect to the rights of indigenous peoples by the UN Special Rapporteur on the rights of indigenous peoples and that are relevant to the project. (See Annex 7 & Annex 10)

“Namibia includes 13 major ethnic groups, and 70% is the majority ethnic group...For all projects, we must consider the ethnic component or it can't be implemented quickly.” - DRFN-IALC participant interview, March 2017

b) *Outputs:* Identification and, if necessary, quantification of the presence of indigenous peoples in the project area; identification of indigenous peoples rights in Namibia.

(8) **Principle 8 – Involuntary Resettlement.** Projects must avoid or minimize the need for involuntary resettlement. When unavoidable, due process should be observed so that displaced persons are informed of their rights, consulted on their options, and offered technically, economically, and socially feasible resettlement alternatives or fair and adequate compensation.

a) *Process Steps:*

- i. Review the project to identify if physical or economic displacement is required or will occur as a consequence of its implementation.
- ii. If displacement is required, determine if it is voluntary or involuntary.
- iii. Identify whether stakeholders whole livelihoods may be affected, directly or indirectly, by the project and if this may lead to resettlement.
- iv. Identify stakeholders whose assets or access to assets may be affected, directly or indirectly, by the project and if this may lead to resettlement and its consequences including indemnification, compensation, etc.
- v. If necessary, provide justification by demonstrating any realistic alternatives that were explored and how resettlement has been minimized and is the least harmful solution. Describe in detail extent of involuntary resettlement, and the resettlement process to be applied, with safeguards (include overview of applicable national laws and regulations). Justify the conclusion that involuntary resettlement is feasible. Describe adequacy of organisational structure, capacity, and experience to implement resettlement. Build awareness.

b) *Outputs:* Identification of risk of physical or economic resettlement; identification and quantification of possibly affected people or communities.

(9) **Principle 9 – Protection of Natural Habitats.** AF does not support projects that involve unjustified conversion or degradation of critical natural habitats, including those that are (a) legally protected (b) officially proposed for protection (c) recognized by authoritative sources for their high conservation value, including as critical habitat; or (d) recognized as protected by traditional or indigenous local communities (as per [Convention on Biological Diversity \(CBD\)](#)).

(See Annex 7) If this type of habitat is identified:

a) *Process Steps:*

- i. Identify all critical natural habitats in the project region that may be affected. The area should be large enough to be credible and be chosen in function of the impact generating agent (e.g. noise) and an appreciation of its propagating ability. The habitats to be considered include all those recognized as critical in any way, be it legally (through protection), scientifically or socially.
- ii. Describe location in relation to project and why it cannot be avoided, as well as its characteristics and critical value (location, dimension, duration etc.)
- iii. Provide an analysis on the extent of the impact and a demonstration that the impact is consistent with management plans and affected area custodians.
- iv. Provide information on relevant Namibian laws and regulations and institutional arrangements for their implementation and enforcement that apply to the habitat, for instance Ministry of Environment and Tourism. (See Annex 7)
- v. To identify critical habitats consult: [Convention on Wetlands](#); [scientific information published by UNESCO Man and the Biosphere Programme, IUCN, UNEP, Conservation International, World Wildlife Fund for Nature](#), for example.

Critically Endangered Animals in Namibia:

- *Cave Catfish*
- *Black Rhinoceros*
- *Tristan Albatross*
- *White-backed Vulture*
- *Hooded Vulture*
- *Sawback Angelshark*
- *Smoothback Angel Shark*
- *White-headed Vulture*

Search for all vulnerable and endangered plant and animal species on the IUCN Red List: <http://www.iucnredlist.org>

b) *Outputs:* A map and inventory of all the critical natural habitats in the project area; for each a description of its particular vulnerabilities; findings of risk identification.

(10) **Principle 10 – Conservation of Biological Diversity.** Projects must avoid any significant or unjustified reduction or loss of biological diversity or the introduction of known invasive species. Defined as not only living organisms of all taxa, but also ecosystem processes, habitats, hydrological cycles, processes of erosion and sedimentation, landscapes, etc.

a) *Process Steps:*

- i. Describe the elements of known biological diversity importance in the project area using any relevant sources of information such as protection status, status on [IUCN Red List of Threatened Species](#). (See Annex 7)
- ii. Describe why the biological diversity cannot be avoided and what measures will be taken to minimize impacts; e.g. changes in flow regime or water quality for a seasonal wetland or disruption of migration flows.
- iii. Describe the invasive species that either may or will be introduced and why such introduction cannot be avoided.

- iv. Provide evidence that this introduction is permitted in accordance with the existing regulatory framework (including the [Cartagena Protocol on Biosafety](#)), and results of a risk assessment analyzing the potential for invasive behavior
 - v. Describe measures to minimize the possibility of spreading the invasive species.
- b) *Outputs*: Depend on risk identification findings. Usually a map indicating the relative position of the biodiversity elements of interest and the project location will be useful.
- (11) **Principle 11 – Climate Change** projects should not result in any significant or unjustified increase in greenhouse gas emissions or other drivers of climate change. Change drivers are considered the emission of carbon dioxide gas from fossil fuels and from changes in land use, methane and nitrous oxide emissions from agriculture, emission of hydrofluorocarbons, perfluorocarbons, Sulphur hexafluoride, other halocarbons, aerosols, and ozone.
- a) *Process Steps*:
 - i. Determine if the project belongs to a sector mentioned above for which a greenhouse gasses emission calculation is required.
 - ii. Projects in the energy, transport, heavy industry, building materials, large-scale agriculture, large-scale forest products, and waste management require a greenhouse gas emissions calculation using internationally recognized methodologies ([Guidelines for National Greenhouse Gas Inventories \(2006\)](#) of the [Intergovernmental Panel on Climate Change \(IPCC\)](#). (See Annex 7)
 - iii. Other projects may demonstrate compliance by carrying out a qualitative risk assessment for each of the mentioned drivers of climate change, plus any impact by the project on carbon capture and sequestration capacity.
 - b) *Outputs*: Qualitative risk identifications, listed sector screening outcome.
- (12) **Principle 12 – Pollution Prevention and Resource Efficiency** - projects should be designed and implemented to meet applicable international standards for maximizing energy efficiency and minimizing material resource use, the production of wastes, and the release of pollutants. Projects must both be reasonable in cost and minimize the production of waste and the release of pollutants. The guiding principles of the waste and pollution prevention and management plan should be preventions, a precautionary approach, evidence-based monitoring, and participation and consultation. All project members should be familiar with the plan and its implications.
- a) *Process Steps*:
 - i. Identify project activities with preventable waste or pollution production.
 - ii. Determine the nature and quantity of the waste, as well as those of possible pollutants the project may produce.
 - iii. Determine if the concept of minimization of waste and pollution production has been applied in the project design and if this will be effective during implementation.
 - iv. Project design should illustrate minimization of resource use, and may include references to design options and applicable local, national, and international standards.
 - v. Prepare a waste and pollution prevention and management plan for the project, including cost of implementation as well as performance monitoring.
 - b) *Outputs*: Identification of waste and pollution generation, including that part which is preventable; determination of minimization concept use in project activities and design; determination of compliance with application regulations.

(13) Principle 13 – Public Health projects avoid potentially significant negative impacts on public health as outlined in [WHO Determinants of Health](#) (See Annex 7) such as the social and economic environment, the physical environment, and the person’s individual characteristics and behaviours.

a) *Process Steps:*

- i. Identify potentially significant negative impacts on human health generated by the project. For the purposes of demonstrating compliance, a checklist for health impact assessment screening may be used. It should consider the potential impact of the project on a comprehensive range of health determinants for the population as a whole and for groups within the population.
- ii. Checklists should include (a) background and context of project; (b) an adequate list of health determinants, with space for a nuanced assessment for each determinant; and (c) section identifying the groups most likely to be affected by each health determinant.
- iii. If no significant negative impacts on public health are identified, then the screening can be used to demonstrate compliance. If there is need for further health assessment, then that process may be used to demonstrate compliance. Both must comply with WHO recommended practices.

b) *Outputs:* Health impact screening outcome

(14) Principle 14 – Physical and Cultural Heritage projects are designed and implemented to avoid the alteration, damage, or removal of any physical cultural resources, cultural sites, and sites with unique natural values recognized as such as the community, national or international level. Projects should not permanently interfere with existing access and use of such physical and cultural resources. (See Annex 7 - [UNESCO Convention Concerning the Protection of the World Cultural and Natural Heritage – article 1 and 2](#) & National Cultural Heritage Council of Namibia - <http://www.nhc-nam.org/>)

a) *Process Steps:*

- i. Identify ratification: Namibia accepted Convention in 2000.
- ii. Identify national and local legal and regulatory framework for recognition and protection of physical and cultural heritage.
- iii. Describe in the influence zone of the project all the elements of the cultural heritage their location, and their vulnerabilities. The area considered should be large enough to be credible and be chosen in function of the impact generating agent (e.g. vibrations, landscape elements) and an appreciation of its propagating ability. Include all elements enjoying local or international protection.
- iv. Determine if the cultural heritage is being accessed by communities.
- v. Determine if any of the heritage elements included in the [List of World Heritage in Danger](#) is in the project zone (See Annex 7).
- vi. Consider all project activities to identify actual risks for each of the heritage elements identified taking into account the specific characteristics of the activity (location, dimension, duration etc.) and the vulnerability mechanism(s) of each heritage element identified.

- b) *Outputs*: A map indicating the relative position of the physical and cultural heritage elements of interest and the project location; list of physical and cultural heritage in project area.
- (15) **Principle 15 – Lands and Soil Conservation**. Projects should promote soil conservation and avoid degradation or conversion of productive lands or land that provides valuable ecosystem services. Includes stewardship of land and measures to prevent, mitigate or control soil erosion and degradation. Soil conservation should be incorporated in project design and implementation.
- a) *Process Steps*:
 - i. Identify and describe fragile soils in project area.
 - ii. Identify activities that may lead to loss of soils.
 - iii. Identify productive lands and/or lands that provide valuable ecosystem services within the project area; i.e. clean air, safe drinking water, forest products, habitat for fish and wildlife, and carbon storage also natural processes that are enhanced by careful management.
 - iv. Document reasons why soil loss is unavoidable, and measures that will be taken to minimize soil loss. Also, include how soil conservation has been promoted.
 - v. Reasons why using these lands is unavoidable and the alternatives that were assessed.
 - b) *Outputs*: Maps, land and soil at risk.

Environmental and Social Impact Assessment (ESIA) (ESMS Step 2) - required for a fully developed project proposal and submitted to Secretariat. An **ESIA will be undertaken if risks are identified** during the screening process and may occur at two levels: national regulatory requirements & AF proposal requirements (see Annex 8 figure). An ESIA should assess all potential ESG risks and include a risk management plan (Note: costs for an ESIA are part of project formulation grants). Further, the assessment should: (a) consider all potential direct, indirect, transboundary, and cumulative impacts and risks that could result from the proposed project; (b) assess alternatives to the project; and, (c) assess possible measures to avoid, minimize, or mitigate ESG risks.

- (1) Carried out to internationally accepted standards of practice.
- (2) Involves all relevant stakeholders.
- (3) Evidence-based (substantiated).
- (4) Risks and adverse impacts identified, stated, and justified based on facts and data.
- (5) Knowledge gaps identified.
- (6) *Process Steps*: contracting/conducting ESIA:

- a) Prepare terms of reference (TOR) for the impact assessment; it is based on findings of the risk identification (including national and local requirements). The TOR specifies which areas, topics, and subjects should be covered on the risk identification as well as the scope and extent of impact assessment commensurate with the risks identified.
- b) TOR includes:
 - i. ESIA objectives
 - ii. time frame
 - iii. methodology
 - iv. consultation on risk assessment findings
 - v. reporting format
 - vi. summary
 - vii. budget
 - viii. qualifications of consultants, and
 - ix. description of the ESMS of the IE
- c) TOR may also include elements to comply with national and local requirements for environmental, social, and gender policies.
- d) Identify measures required to mitigate, reduce, or avoid environmental, social, and gender impacts.
- e) Organize public review of the ESIA document that is timely and free of coercion. Include a summary written for the public that is concise, analytical, and free of jargon.

- (7) *Outputs*: Environmental, social, and gender impacts assessment document; identification of ESG management measures, including alternatives; public review outcome.

“The capacity of the implementing entity to manage these risks needs to be demonstrated at both the accreditation stage and at the project proposal phase, which means that the evaluation of potential risks is carried out continuously throughout the Adaptation Fund’s project and funding cycle.”

Senior Climate Change Specialist and acting Manager of the Adaptation Fund Board secretariat Mikko Ollikainen.

“Project site selection takes into account vulnerability, but also the level of current action being taken in a community or region.”

- DRFN-IALC participant interview, March 2017

Categorization – should be considered during the concept or project formulation stage; environmental, social, and gender risks need to be adequately identified and assessed in an open and transparent manner with appropriate consultation. May provide rationales to support their

determination of severity and acceptability so that the determination can be reviewed as necessary. Appropriate categories are presented at the conclusion of risk identification and, the case being, in the impact assessment.

- (1) *Category A* – requires ESIA commensurate with risks – projects likely to have significant adverse environmental or social impacts.
- (2) *Category B* – requires ESIA commensurate with risks – projects with potential adverse impacts but less in number, scale or that are easily mitigated.
- (3) *Category C* – No further actions required beyond on-going risk monitoring – projects with no adverse environmental or social impacts.

Environmental and Social Management Plans (ESMPs) (ESMS Step 3) - must be submitted at the full-proposal stage. The ESMP describes the risk mitigation measures that will be taken to ensure consistency with the ESGP Principles including Namibian laws and regulations, if risk has been identified and assessed to need mitigation. ESMPs will consist of specific management plan(s) and related activities that have been identified as necessary during the impact assessment. A commitment by the IE to implement the management plan(s) is a condition of the project approval and reflected in monitoring and reporting for the project.

- (1) *Process Steps:*
 - a) Based on findings of ESIA, acknowledge need for formulation of an ESMP.
 - b) Determine if ESIA was comprehensive and included all project activities, and that these were sufficiently formulated at the time of ESIA to permit adequate impact assessment.
 - c) If there are unidentified activities or sub-projects, develop a framework to identify ESG risks and to assess impacts commensurately as and when these activities or sub-projects are developed during project implementation.⁸
 - d) Develop the ESMP framework based on the institutional and personnel arrangements at the IE, as well as those at the executing entity (EE). This includes identifying roles and responsibilities, lines of communication, reporting, and oversight.
 - e) Based on the ESG management measures identified in the ESIA, elaborate specific ESG management objectives, corresponding actions, expected outcomes, indicators, and a monitoring regime. The actions should be quantified, costed, and scheduled in time. (See also Annex 14)
 - f) Turn specific ESG management actions into an operational plan at the project level, identifying the required, and financial and human resources.
 - g) Develop a specific budget for the implementation of the ESMP, avoiding the cost to be included in the activity's budget.
 - h) Ensure integration of the ESMP with the existing system of annual project performance reports and evaluation reports, modifying the system if needed to track any required ESG risk management plan or changes in project design.
 - i) Include provisions for monitoring for unanticipated environmental, social, and gender risks that may occur during implementation.

⁸ An unidentified activity or sub-project is one that at the time of proposal submission the ESG risks cannot be identified. This may be because exact location, dimensions, or other characteristics that determine ESG risks are yet to be established and will occur during implementation through a participatory approach. Regardless, these activities or sub-projects require an ESMP that includes a framework for risk identification and management strategies.

- j) Organize public consultations on the proposed ESMP that are timely, effective, inclusive, and held free of coercion and in an appropriate way for communities that are directly affected by the proposed project.
 - k) Disclose the final ESG assessment to project-affected people and other stakeholders.
- (2) *Outputs:* ESMPs; in projects with unidentified activities, it is recommended that the ESMP is formatted as a stand-alone document; the same applies to projects with extensive ESMPs. Public consultation record.

Monitoring, Reporting, and Evaluation (ESMS Step 4) - A monitoring program commensurate with actions identified in the ESMP will report results in the mid-term, annual, and terminal performance reports. Monitoring ensures that actions are taken in a timely manner and to determine if actions are appropriately mitigating risks and impacts or if they need to be modified to achieve intended outcomes. IE's annual project performance reports should include a section on the status of implementation of any ESG risks, as well as any corrective actions deemed necessary. Mid-term and terminal reports will also include an evaluation of the project's performance related to ESG. (See sections on Results Based Management and Gender-Responsive performance monitoring and evaluation; also see Annexes 1, 12, and 13).

(1) *Process Steps:*

- a) Based on the ESMP, identify the monitoring and evaluation needs for the project, taking into account that there may be additional monitoring requirements emerging from impact assessments of unidentified activities or sub-projects.
- b) Based on the monitoring needs, identify a schedule for monitoring activities, timed to generate timely inputs in the scheduled overall project reporting.
- c) Identify human and financial resources required for the monitoring and subsequent reporting.
- d) Prepare the TOR for ESMP aspects of the scheduled project evaluations.
- e) Allocate roles and responsibilities for monitoring and reporting.

(2) *Outcomes:* ESMP, overall project monitoring, reporting, and evaluation schedule.

Proposal Note:

- 1) Impact assessments (ESIA), the ESPM plan, and risk monitoring system should be described in Section III.C of the proposal at the fully developed stage.
- 2) All information demonstrating compliance with the ESGP can be consolidated in a single separate document or annex with the following structure:
 - a. Summary description of the project
 - b. Screening and categorization
 - c. Environmental and social impact assessment
 - d. Environmental and social management plan
 - e. Monitoring and evaluation arrangements
 - f. Details of public consultations and their outcomes

Public Disclosure and Consultation (ESMS Step 5) – (see also gender policy and Annex 9).

(Proposal section II.H. of the “Instructions for Preparing a Request”) Describe the consultative process undertaken during project preparation, with particular reference to vulnerable groups, including gender considerations. A list of stakeholders consulted should be included with the process description. Public disclosure of information encompasses both the project information presented through the consultative process and information that is known to be available to all stakeholders on request. Public disclosure and consultation are key elements in the identification, formulation, implementation, and evaluation of any project.

Open and transparent project planning, implementation and evaluation is known to foster stakeholder engagement and a known organizational ethic of transparency. Maintaining public dialogue through consultation and continuously working to increase public awareness of project activities is essential for ensuring that ESG issues and concerns are heard, documented, and addressed. Both confidentiality and appropriate translation and delivery of information should be balanced against an overall ethic of project transparency. National regulations on public disclosure are complimented by additional guidelines to achieve greater transparency that include consideration of timing, audience, format, language, and opportunity for comment and appeal. Consultation should include timely public disclosure of project information starting at the concept stage and continuing through the project lifetime. All information shared should consider the timing, audience, format, language and opportunity for comment and appeal.

- (1) Minority groups and indigenous peoples should be consulted at the concept stage and their interests or concerns taken into account when designing the project. Other groups/organisations may or may not be consulted at the concept stage. Evidence-based knowledge of the project site and key stakeholders can be used to inform concept development.
- (2) For full proposals, a comprehensive consultative process must take place, and should involve all direct and indirect stakeholders of the project, including vulnerable groups and taking into consideration gender.
- (3) *Process Steps:*
 - a) All stakeholders need to be identified, particularly any marginalized or vulnerable groups and individuals.
 - b) Requires the earliest possible consultation in project design.
 - c) If screening reveals potential environmental, social, and gender impacts and risks, an ESIA and eventually an ESMP will be required. A draft ESIA and any proposed management plan will be made available for public consultations that are timely effective, inclusive, and held free of coercion and in an appropriate way for communities that are affected by the proposed project.
 - d) Compile information for public disclosure or through requests with consideration of key exceptions, appropriate translation, and delivery of information. (See Annex 9)
 - e) Implementation should include a framework (See Annex 9) to allow for stakeholders’ views to be heard during project implementation. A strategy and timetable for sharing information and consulting with each of the stakeholder groups should be provided. Include costs in budget.

“To get consent in the community requires a lot. And if you don’t have patience you will run into trouble fast. It needs to be continuous.”

- DRFN-IALC participant interview, March 2017

- f) Provide final environmental, social, and gender assessment to the AF Secretariat which will publicly disclose it through the Fund's website as soon as it is received. Inform all stakeholders of AF posted documents and their location online.
 - g) Disclose the final environmental, social, and gender assessment to people affected by the project and other stakeholders.
 - h) Publicly disclose project performance reports, including the status on implementation of environmental, social, and gender measures.
 - i) Any significant proposed changes in the project during implementation shall be made available for effective and timely public consultation with directly affected communities.
- (4) *Outputs*: records of disclosure; lists of stakeholders consulted, role, and date of consultation; records of public comments and feedback; a description of the consultation techniques (as per target group); the key consultation findings including suggestions and concerns raised; and records of any subsequent modifications or alterations to the disclosed information.

Proposal Reviewer Suggestions:

- Work with local community to elect a committee to allow easy transition of project over time
- Committee should include members that equally represent all interests (men/women, affiliation/trade/skillset, proximity to project site, etc.)
- Interaction with committee should be continuous throughout project.
- All project updates, new reports and evaluations, and changes should be reported to committee in timely manner.
- Committee should have opportunity to share comments, concerns and grievances through scheduled meetings over the entire project timeline.

[Grievance Mechanism \(ESMS Step 6\)](#) - will be documented in a full proposal ([See Annex 10: Grievance policies of AF, DRFN, Labour Act and role of Namibian Ombudsman](#)). This mechanism is designed to receive and address complaints or grievances in a transparent, fair, accessible, and effective manner and that is commensurate to the complexity of the risks. It must be accessible by employees and affected communities. The mechanism can be pre-existing, national, local, or institution- or project-specific. Complaints can be filed with the AF Secretariat, but should begin with the IE first. Particularly important if involuntary settlement or indigenous peoples are involved.

(1) Process Steps:

- i. Identify for all stakeholder groups the most suitable contact point for lodging grievances related to the project.
- ii. Establish contact point and handling procedure for grievances at the EE, integrated with the ESMP where this exists. Identify roles and responsibilities and a time frame for handling grievances received.
- iii. Establish a contact point and handling procedure at the NIE, integrated with the ESMS. Identify roles and responsibilities and a time frame for handling grievances received.
- iv. Develop a communication schedule to inform stakeholders of their opportunity to express their grievances to the EE or the NIE, including through the entities' website.

(2) *Outputs*: Grievance mechanism at EE and NIE, communication scheme.

Guidance Document for Implementing Entities on Compliance with the AF Gender Policy

Environmental and social policies, and gender policies, (ESGP) are interrelated and mutually reinforcing. Both “Guidance” document elements need to be followed and should complement each other (see also Annex 1).

“Fund projects and programmes without articulated gender considerations shall not receive Fund resources.”
– Proposal for Gender Policies and Action Plan of the Fund (2016)

Principle 5 – gender equality and women’s empowerment always applies to each project under the Fund, and for which risks need to be identified.

IEs are required to undertake an initial gender assessment to select gender-responsive indicators and to design gender-responsive implementation and monitoring arrangements. (See Annex 14) This initial gender assessment will help identify project-related risks to gender equality and women’s empowerment. Compliance should be ensured through the IE’s ESMS. This can begin with recruiting gender expertise in the terms of reference for a project in order to achieve gender balance. The IE should consider designating a gender focal point among the project personnel to facilitate communication and support. Projects should consider Gender checklists. For instance at: <https://www.adb.org/themes/gender/checklists-toolkits>

Determinants for Gender-Responsive Stakeholder Consultation

Participatory methods are necessary to tackle the key challenge of underrepresentation of either women or men throughout all stages of the project cycle. The following list details concrete principles, suggestions, and recommendations on how gender-responsive participation and consultation can be assured:

- (1) Consult with male and female beneficiaries/stakeholders both separately and in groups.
- (2) Select time and locations for consultations at times that are convenient; may be different for men and women.
- (3) Consider appropriate ways of communication, including issues of gender differences in access to information technology and literacy levels.
- (4) Consider setting minimum quota and progress targets.
- (5) Consider appropriate meeting formats; i.e. female staff may need to conduct meetings and trainings.
- (6) Make a targeted efforts to include national women’s groups.

Initial Gender Assessment

- (1) Required as part of project proposal development; should be conducted by a specialist with expertise in gender issues.
- (2) Establish a data baseline at the start of project so that progress and results can be measured.
- (3) Analysis can begin with existing data.
- (4) Other data can be obtained through (a) literature reviews; (b) consultations (interviews, focus groups, workshops); and (c) a survey or research project.

- (5) Data should be broken down by gender, age, and other factors such as ethnic origin and socio-economic realities (gender-disaggregated).
- (6) Gender-specific cultural and legal context should be elaborated.
- (7) Focus on differentiated climate change impacts on men and women and their differentiated capabilities to adapt to these, including an analysis of why these differences exist.**
 - a) What makes men and women more vulnerable to the effects of climate change; and how can these vulnerabilities be reduced?
 - b) Note differences in access to resources such as time, property, finance.
 - c) Note any gendered division of labour (paid and unpaid work).
 - d) Consider the gender-based power structure.

Project and Programme Design (See Annex 15 for Example AF Projects)

The assessment should provide the information needed to identify key gender goals for a project, as well as specific objectives to integrate gender considerations into project design and implementation. (

“There are more women who depend upon nature for their income [in Namibia]. If there is no rain, they will not have any income. With drought, no income.” - DRFN-IALC participant interview, March 2017

Program goals/objectives and target groups

- (1) Specifically state how the project will contribute to improving gender equality, the empowerment of women, and meeting adaptation needs of targeted women and men
- (2) *Key questions* for mainstreaming gender into projects:
 - a) Do the project objectives refer explicitly to men and women?
 - b) Does a specific objective and intended outcome address the needs and concerns of both men and women?
 - c) Will the goal or objective bring about specified and differentiated improvements for women as well as men?
 - d) 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?
 - e) Have the project beneficiaries (male and female) been identified? Is there gender balance within the target beneficiaries groups?
 - f) Have targets been set for including gender aspects in the knowledge management activities of the project?

Design of intervention activities

- (1) Such interventions should allow women to participate as sufficiently visible actors and decision-makers. For instance, awareness raising and outreach activities to promote the participation of women in disaster risk prevention measures.
- (2) *Key questions*:
 - a) 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?

- b) Do the planned activities involve both women and men?
- c) Are there additional activities needed to ensure that a gender perspective is made explicit (for example gender training or additional research)?
- d) 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 needed?

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

(1) Map potential partners and stakeholders that are affected by or could facilitate the implementation of the project under planning, including possible EEs; for instance government gender experts, local and national women’s groups, and advocacy organisations. Identify partners with the capacity to carry-out gender responsive activities

(2) *Key questions:*

- a) 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 organisations and networks)?
- b) Who will execute the planned project? Among potential partners, do some have the necessary skills and expertise to provide gender equality mainstreaming training as part of the project execution?
- c) Are project partners committed to gender equality and willing to ensure that both men and women participate equally in the execution?

Determining and tracking project outputs

Project outputs (products, services, policies or agreements) resulting from a project provide a means for integrating gender considerations to ensure that expected outputs respond to the differentiated needs, concerns, and capabilities of men and women. Sometimes separate outputs are needed for men and women (i.e. a resource manual).

(1) *Key questions:*

- a) How will policy measures, products, or services generated as output of the project respond to women’s and men’s concerns and needs?
- b) Is it necessary to specify outputs separately for men and women?

Formulation of gender-responsive project indicators is a core component of tracking gender results and impacts of intended outputs. (See Annex 14)

- (1) Indicators should be S.M.A.R.T. and examine how gender differences with respect to participation, decision-making, or access to resources are mitigated or addressed.

Gender and Climate Change Vulnerability in Namibia

“Men and women’s coping and adaptive capacities to respond to impacts of climate-related risks are also different owing to the fact that the vulnerability and capacity of an individual to adapt to a changing climate is related to the access to and control of natural, social, physical, political and financial resources. The marginalised, unemployed women and children from rural Namibia have the lowest access to these resources. As a result, social vulnerability posed by climate change hinders progress in addressing gender inequalities and women empowerment in Namibia.”

Margaret Angula, Think Namibia, November 13, 2015

- (2) Indicators should be disaggregated by sex wherever possible and also age, class or ethnic origin to identify sub-groups of men and women.
- (3) Should consider using qualitative gender-responsive indicators in addition to quantitative ones.
 - a) Quantitative methods of data collection so that issues can be counted. A gender-responsive indicator might look at percentages of women and men and/or other social identities (rural or urban; upper caste or lower caste)
 - b) Qualitative methodologies capture people's experiences, opinions, attitudes, and feelings. A 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. Also surveys and often reported as narrative assessments.
- (4) *Key questions:*
 - a) 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?
 - b) 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)?
 - c) 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)?
 - d) Have indicators been designed in a way that enables gender-sensitive monitoring and collection of accurate data in a culturally appropriate way? (see also disaggregated data)

Gender-responsive project budgets

When allocating funds for project 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. Also, funds might be requested for gender training.

- (1) *Key questions:*
 - a) Have financial inputs been assessed to ensure that both men and women will benefit from the planned project/programme?
 - b) Does the budget allocate resources for gender mainstreaming activities or gender expert assistance, if appropriate?
 - c) Do some activities require additional resources to ensure gender-responsive implementation? Have you budgeted for them?

Implementation

Implementation should ensure the longevity and sustainability of gender responsiveness following the completion of the project. The project team will need to have adequate gender expertise. Includes monitoring, identifying challenges, barriers and constraints.

- (1) *Key questions:*
 - a) Are the presumptions and information regarding the characteristics, needs and interests of men and women, which informed the initial project design, still valid?
 - b) Are adequate provisions in place for adaptive management and project implementation adjustments based on learning from earlier decisions and interventions and received feedback?

- c) Have any challenges. Barriers or restrictions arisen during project implementation hindered the equal participation of men and women in activities, decision-making processes and the distribution of resources and benefits?
- d) Are there for example unintended consequences of backlash against women's involvement such as gender-based violence that need mitigation?
- e) Does the implementation team have gender expertise and a gender focal point?
- f) Are partner organisations aware of and trained to address gender inequalities among beneficiaries?
- g) Does the project 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?

Performance Monitoring and Evaluation

(1) Monitoring – ongoing progress control; reported via the *Project Performance Report (PPR)* with the *Project Performance Report (PPR) Results Tracker*, and updated in the *PPR Template*. (See also Annex 13)

a) *Key questions:*

- i. Is a gender-responsive monitoring mechanism for the project in place and assigned to staff members and including gender experts?
- ii. Does the project require all data to be gender-disaggregated and to use both quantitative and qualitative indicators and assessments? (See Annex 14)
- iii. Which methods, tools and budget resources are needed to collect gender-responsive, disaggregated data in a culturally suitable manner? Is consideration given to participatory monitoring processes which involve women and men of the beneficiary groups as well as implementation partners?
- iv. Are adequate provisions in place for adaptive management and project implementation adjustments based on the monitoring outcome?

(2) Evaluation – is an in-depth quality assessment and reviews whether gender concerns have been integrated into every stage of the project cycle. Must have an independent evaluator to conduct a final evaluation that includes an assessment of the project contribution to gender equality and women's empowerment.

a) *Key questions* to consider when assessing the integration of gender considerations in the evaluation process may include:

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

b) *Key questions* to assess the success or failure of integrating gender considerations into the project

- i. Did the project bring about adaptation and reduced vulnerability for both women and men?

- ii. To what extent was the project aligned with the specific adaptation needs and priorities of both women and men?
- iii. Has the project 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 labour and care-burden, time poverty or access and control of resources)?

Knowledge Management, Information Sharing, and Reporting

AF encourages reporting on project commitment to gender equality and women’s empowerment in all outreach, communication, and information sharing efforts on the project to all Fund partners as well as the larger public. This should include highlighting women’s roles as key actors in addressing vulnerabilities and in concrete adaptation measures.

1) Key questions:

- a) 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?
- b) 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?
- c) Are women’s organisations, gender equality advocates and experts included as sources of information in publications, presentations or when reporting?
- d) 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?

Instructions for Preparing a Request for Project or Programme Funding from the AF: summary

Note: See also Annex 4: Proposal Checklist; Annex 5: DA Proposal Evaluation Checklist; Annex 11: AF Proposal Outline; Annex 13: DRFN Proposal Tables & Annex 15: AF Gender Sensitive Projects

Part 1: Project Information - Narrative Portions

(1) Project Background and Context

- a) Brief information on the problem the proposed project is aiming to solve. Outline relevant climate change scenarios according to best available scientific information. Outline the economic, social, gender, development, and environmental context in which the project will operate. This is where the results of the risk assessment/screening are normally included; findings should be summarized with a concise justification. In addition, any ESG safeguarding requirements under national and local regulations should be included and concisely described. Only in very complex proposals will additional information be provided in an annex.⁹

(2) Project Objectives

- a) List main objectives aligned with the *AF Results Framework* and, in full proposals, this is likely to involve multiple objectives by stakeholder / sector / region, and based on an overall strategic plan at regional, national, or local levels. (See Annex 7)

(3) Project Components and Financing

- a) Complete table presenting:
 - i. Components – division of project into major parts, i.e. Activities – actions taken or work performed through which inputs such as funds, technical assistance, and other types of resources are mobilized to produce specific outputs.
 - ii. Milestones/targets – Milestones specify intervals for regular monitoring of progress towards the target. Targets indicate the desired result at the end of the project. (See AF Results Framework and Baseline Guidance – Project Level and pages 28-30).
 - iii. Indicators – what is going to be measured to assess if targets are met? (See AF Results Framework and Baseline Guidance – Project Level and pages 28-30; also Annex 14).
 - iv. Expected Outputs – The product, capital goods and services which result from a development intervention relevant to the achievement of outcomes.
 - v. Expected Outcomes – The change in conditions, or intended effects of an intervention, usually brought about by the collective efforts of partners. Outcomes are achieved in the short to medium term.

⁹ In addition to the fully-developed project proposal, the IE can consolidate all the information demonstrating compliance with the ESP in a single separate document or annex with the following structure: (a) summary description of the project; (b) risk identification and categorization; (c) environmental and social impact assessment; (d) environmental and social management plan; and (e) monitoring and evaluation arrangements. This annex can also include further details of public consultations and their outcomes, and the institutional, operational, and financial arrangements for the environmental and social safeguarding activities.

Part II: Project Justification

- (1) Describe project components, particularly focusing on the concrete adaptation activities of the project, and how these activities contribute to climate resilience.
 - a) Must be aligned with *AF Results Framework* – must explain project rationale in relation to the climate scenario(s) outlined in the background and context section.
 - b) Fully-developed proposals should have activities detailed at a sufficient level and appropriateness in responding to threats posed by the likely climate scenarios and quantified in terms of magnitude and uncertainty. Include project location and scope and clearly defined activities including any technical specifications.
- (2) Describe how the project provides economic, social, gender, and environmental benefits, with particular reference to the most vulnerable communities, and vulnerable groups within communities. Describe how the project will avoid or mitigate negative impacts, in compliance with the ESG policies of the Adaptation Fund. This should relate directly to the results of the risk assessment (ESIA).
 - a) Include information on expected beneficiaries of the project, with particular reference to the equitable distribution of benefits to vulnerable communities, households, and individuals (as well as minority groups and indigenous communities).
 - b) Benefits must be quantified whenever possible in full proposals. If there is any concern of negative development or maladaptation in any of these areas, relevant evidence would need to be referenced, with specific studies if necessary.
- (3) Describe or provide an analysis of the cost-effectiveness of the proposed project.
 - a) Provide a logical explanation from a sustainability point of view of the selected scope and approach. For full-proposals, provide a clear description of alternative options to the proposed measures to allow for a good assessment of the project cost effectiveness. Compare to other possible interventions that could have taken place to help adapt and build resilience in the same sector, geographic region, and/or community. Use quantitative measures if available.
- (4) Describe how the project meets relevant national technical standards, where applicable, such as standards for environmental assessment, building codes, etc., and complies with the ESGP.
- (5) Compliance with relevant national technical standards need to be identified, and described in detail in full-proposals. These standards include Environmental Impact Assessments (EIAs), building codes, water quality regulations, and sector-specific regulations. EIAs screen for ESG risks and demonstrate compliance.
- (6) Describe if there is duplication of project / programme with other funding sources, if any.
 - a) All relevant potentially overlapping projects need to be identified, and lack of overlap / complementarity stated in a logical manner.
- (7) Describe learning and knowledge management component to capture/disseminate lessons learned.
 - a) Full-proposals should explain in detail the knowledge management and dissemination of lessons learned component. Examples of activities and indicators are included in the *AF Results Framework and Baseline Guidance – Project Level* document (See pages 28-30).
- (8) Describe the consultative process, including the list of stakeholders consulted, undertaken during project preparation, with particular reference to vulnerable groups, including gender considerations. (See Annex 8)

Full-proposals should be clear, concise, and avoid evasive wording. Draw on lessons from earlier initiatives during the project design, learn from any problems or mistakes, and establish a framework for coordination during implementation.

- a) At concept stage, an initial consultative process must take place, with key stakeholders such as minority groups and indigenous peoples in particular; and their interests or concerns taken into account. Depending on level of involvement of local communities or governments, private sector, CSOs or universities/research centers in the execution of the project, those stakeholders may or may not be consulted at the concept state.
 - b) For full proposals, a comprehensive consultative process has to take place involving all direct and indirect stakeholder groups, including gender considerations.
 - c) If, as a result of screening, potential environmental, social, and gender impacts and risks are identified, an environmental and social impact assessment (ESIA), and eventually an environmental and social management plan (ESMP) will be required. These must be made available for public consultations that are timely and inclusive.
 - d) Implementation strategy and timetable for sharing information and consulting stakeholders should be included.
 - e) Consultation documentation required: (1) list of stakeholders consulted including principles, roles, and date of consultation (provide disaggregated data); (2) description of consultation techniques; and (3) key consultation findings including suggestions and concerns raised) (See page 21 & Annex 9).
- (9) Full proposals include detailed reasoning for funding request for each component of the project.
- (10) Description of how sustainability of project outcomes were considered in project design (should enable replication and scaling up with other funds; maintenance of any infrastructure or installations; policy arrangements to be developed; knowledge generated, etc.; including but not limited to economic, social, gender, environmental, institutional, and financial).
- (11) Overview of identified environmental, social, and gender impacts and risks (screening, categorization, requirements for environmental, social, and gender assessment, mitigation, and management). (See Annex 3).

Part III: Implementation Arrangements (required for full proposals)

- 1) Adequacy of project management arrangements: Description of roles and responsibilities; Partnerships; Project team; Implementation arrangements; Annual work planning; Monitoring and evaluation.
- 2) Measures for financial risk management (plan for monitoring and mitigating).
- 3) Measures for environmental, social, and gender risk management: involves a social and environmental impact assessment (ESIA) including gender issues; and includes an ESMP if risks are identified (based on categorization).
- 4) Monitoring and evaluation arrangements for ESG risks (in all reporting activities; PPRs).
- 5) Results framework including milestones, targets, indicators and, where possible, disaggregated data by gender.
- 6) Demonstration of how project aligns with the *Results Framework of the AF*.
- 7) At least one outcome and output indicator from *AF's Strategic Results Framework* must be included at project design phase.
 - Include table similar to example of how a project's objectives and outcomes could align with AF outcome and output indicators (See *Instructions for Preparing a Request...*, page 13; See also Annex 14)
 - align with the AF's outcome and output indicators
- 8) Detailed budget with budget notes, and explanation and breakdown of costs.
- 9) Disbursement schedule with time-bound milestones.

Part IV: Endorsements - by the Designated Government Authority for AF and Certification by the IE

- (1) Record of endorsement by Designated Government Authority
- (2) Implementing entity certification

Results Framework and Baseline Guidance – Project Level

(An Approach to Implementing Results-based Management (RBM))

AF Objectives and Indicators – projects select set of indicators that align with the indicators and objectives of the AF (those appropriate to project).

- (1) AF Objective #1 – reduce vulnerability to the adverse impacts of climate change, including variability at local and national levels.
- (2) AF Objective #2 – Increase adaptive capacity to respond to the impacts of climate change, including variability at local and national levels.

AF Desired Outcomes: core AF indicators (from AF Strategic Results Framework)

- (1) Reduced exposure at national level to climate related hazards and threats.
- (2) Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses.
- (3) Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level.
- (4) Increased adaptive capacity within relevant development and natural resource sectors.
- (5) Increased ecosystem resilience in response to climate change and variability-induced stresses.
- (6) Diversifies and strengthened livelihoods and sources of income for vulnerable people in targeted areas.
- (7) Improved policies and regulations that promote and enforce resilience measures.

Key Components (see also [Annex 12](#) – Logical Framework; and [Annex 14](#) – gender-related indicators)

- (1) **Impact** – positive and negative long-term effects on identifiable population groups. Can be economic, socio-cultural, institutional, environmental, technological, or of other types. Sometimes referred to as vision, goal, objective, longer term outcome...Why are we working on this problem? What do we hope to achieve?
- (2) **Goal** – the higher-order objective to which a development intervention is intended to contribute.
- (3) **Objectives** – measurable actions/objectives to achieve a goal or set of goals; what needs to be done to produce outputs?
- (4) **Outcomes** – short- and medium-term results; measurable using indicators; represent changes in conditions which occur between the completion of outputs and the achievement of impact, i.e. changing in behavior or quality of life; use verbs “improved”, “strengthened”, “increased”.
- (5) **Indicators** – measure, performance measurement, performance standard; should be selected based on six criteria: validity, reliability, sensitivity, simplicity, utility, affordability; how will we know if we are on track to achieve what we have planned?
- (6) **Core Outputs** – products and services which result from the completion of activities within a project; reflect an appropriate strategy for attaining outcomes; they are SMART:
 - a) Specific – describe a specific future condition (impacts, outcomes, and outputs)

- b) Measurable – qualitative and quantitative indicators to assess if results were achieved
- c) Achievable – results must be in the capacity of the project partners to achieve
- d) Relevant – must make a contribution to country priorities
- e) Time-bound – NOT open-ended

How to Develop a Results Framework for an Adaptation Fund Project

- (1) Define the intended effect and scale of interventions (stakeholder analysis; understand uncertainties)
- (2) Analyze and formulate project objectives and analyze alternatives (logical framework¹⁰; [See Annex 12](#))
- (3) Ensure that project objectives are aligned with *AF Strategic Outcomes* (See *Instructions for Preparing a Request...*, page 13).
- (4) Include project indicators and select core AF indicators (use participatory approach)
 - a) Check for validity, precise meaning, affordability, reliability, sensitivity, clear direction, utility, buy-in by stakeholders
 - b) Align with AF indicators where possible (see above seven core AF indicators)
- (5) Set targets – specifies a particular value for an indicator to be accomplished in a given time frame. Be realistic.
- (6) Monitor (collect) data (see matrix framework); must be valid, reliable, timely, cost-effective, appropriate methods (quantitative vs. qualitative) (See *Results Framework and Baseline Guidance – Project-level*, page 17)
 - a) Activities data
 - b) Output data
 - c) Outcome data
 - d) Impact data
- (7) Review and report data (PPR) – NIEs are directly responsible for project level monitoring, reporting, and evaluation (with participation of EEs)
 - a) Financial; Socio-political (gender); Institutional; Environmental; Uncertainties on climate change impacts

Project Level Baselines Information: Guiding Principles - projects must prepare a baseline and submit it with the project document. Baselines draw on the information and data captured from the vulnerability assessment and used to design the project. Baselines are aligned with each indicator that the project will track.

- (1) Climate Change and Vulnerability Baseline Information
 - a) Project baseline – site specific and limited to duration of the project; need a detailed understanding of who is vulnerable and why (vulnerability assessment)
 - b) Reference scenarios – represent future conditions in the priority system in the absence of climate adaptation
- (2) Assessment tools to establish baseline information
 - a) Review and synthesize existing information (see list of possible data sources on page 20 of *AF Project Level Results Framework and Baseline Guidance Document*).
 - b) Describe adaptation policies in place
 - c) Develop baseline indicators – include data trends

¹⁰ A Logical Framework is an instrument for logical analysis and structured thinking, primarily used in project planning

Reporting – Project Performance Report (PPR)

- (1) Monitoring – tracks progress toward a set of benchmarks, measured towards outcomes; is the project achieving its objectives/intended results? Monitoring is ongoing or periodic.
- (2) Evaluation – validates results and can make overall judgments about why and to what extent the intended and unintended results were achieved. Evaluation is episodic and can answer causal questions.

Learning and Knowledge Management – all projects will be required to produce a project specific set of lessons or learning products. Knowledge generation is more important at the early stages of a project, while knowledge dissemination occurs later. (See Manual page 28 and AF *Project Level Results Framework and Baseline Guidance Document*, pages 21-26).

AF Results-Based Management (RBM) Resources and Summary

- (1) *Project Performance Reports (PPRs) (template)*
- (2) *Alignment of Project Objectives with AF Results Framework (table)(to be included in proposals)*
- (3) *Methodologies for Reporting AF Core Impact Indicators (with tables)*
 - a) Number of Beneficiaries
 - b) Early Warning Systems
 - c) Assets Produced, Developed, Improved or Strengthened
 - d) Increased Income, or avoided decreased in Income
 - e) Natural Assets Protected or Rehabilitated
- (4) *Results Tracker Guidance (See Annex 13 and 14)*
 - a) Results tracker is core part of PPRs; includes indicators from:
 - i. AF Strategic Results Framework and AF's core indicators
- (5) *Project Level Results Framework and Baseline Guidance (with tables)*
 - a) Define the intended effect and scale of interventions: stakeholder analysis and overall contextual assessment
 - b) Understand uncertainties
 - c) Analyze and formulate project objectives and analyze alternatives: outputs to outcomes to impacts to goals (use logical framework/logic model matrix)
 - d) Ensure that project objectives are aligned with AF Strategic Outcomes
 - e) Include Project indicators and select core AF indicators:
 - i. Set targets
 - ii. Monitor (collect) data
 - iii. Review and report data

Reference Documents

AF Operational Policies and Guidelines - <https://www.adaptation-fund.org/apply-funding/policies-guidelines/>

OPG Annex 3 – <https://www.adaptation-fund.org/wp-content/uploads/2013/11/Amended-March-2016-OPG-ANNEX-3-Environmental-social-policy-March-2016.pdf>

OPG Annex 4 – Gender Policy and Action Plan - <https://www.adaptation-fund.org/document/opg-annex4-gender-policy/>

AF Proposal Preparation – General

AF Mechanism for Handling Complaints - <https://www.adaptation-fund.org/projects-programmes/programme-complaints/>

AF Project Proposal Materials Webpage - <https://www.adaptation-fund.org/apply-funding/project-funding/project-proposal-materials/>

AF Project/Programme Review Criteria - <https://www.adaptation-fund.org/wp-content/uploads/2015/03/Review-Criteria-5.12.pdf>

Guidance Document for Implementing Entities on Compliance with the Adaptation Fund Environmental and Social Policy - <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>

Guidance Document for Implementing Entities on Compliance with the Adaptation Fund Gender Policy - <https://www.adaptation-fund.org/wp-content/uploads/2017/03/GenderGuidance-Document.pdf>

Instructions for Preparing a Request for Project or Programme Funding from the Adaptation Fund - <https://www.adaptation-fund.org/wp-content/uploads/2015/03/OPG-ANNEX-4-2-Instructions-Nov2013.pdf>

Manual of basic Environmental and Social Management System procedures and functions at National Implementing Entities - <https://www.adaptation-fund.org/document/manual-basic-environmental-social-management-system-procedures-functions-national-implementing-entities/>

Request for Project/Programme Funding from the AF (fillable template) – <https://www.adaptation-fund.org/wp-content/uploads/2015/03/OPG-ANNEX-4-1-Project-proposal-template-Nov2013.doc>

AF Reporting Requirements (Related to Proposals)

Alignment of Project Objectives/Outcomes with Adaptation Fund Results Framework - <https://www.adaptation-fund.org/generic/results-framework-alignment-table/>

Methodologies for Reporting Adaptation Fund Core Impact Indicators - <https://www.adaptation-fund.org/wp-content/uploads/2016/04/AF-Core-Indicator-Methodologies.pdf>

Results Framework and Baseline Guidance – Project Level - <https://www.adaptation-fund.org/wp-content/uploads/2015/01/Results%20Framework%20and%20Baseline%20Guidance%20final%20compressed.pdf>

Project Level Results Framework and Baseline Guidance Document - <https://www.adaptation-fund.org/wp-content/uploads/2015/01/AF-FinalDraftGuidance-wimpactproposal-10March11.pdf>

Project Performance Report (PPR) Review Process (2012) - https://www.adaptation-fund.org/wp-content/uploads/2015/01/AFB.EFC_9.4.Rev_1%20PPR%20Review%20Process.pdf

Project Performance Reporting: Process, Structure, Content (2011) - <https://www.adaptation-fund.org/wp-content/uploads/2015/01/ilovepdf.com-1.pdf>

Results Tracker Guidance Document - <https://www.adaptation-fund.org/wp-content/uploads/2016/04/AF-ResultstrackerGuidance-final2.pdf>

Results Tracking (amendment to Project Level Results Framework and Baseline Guidance Document) - http://www.adaptation-fund.org/wp-content/uploads/2015/01/AFB.EFC_13.4%20Results%20Tracking.pdf

DRFN AF Documents (Available on accompanying USB stick or from DRFN)

- DRFN Appraisal Guidelines
- DRFN Conditions of Service, grievance procedure, page 25-26, 30-31, 46
- DRFN Monitoring and Evaluation Framework, April 5, 2017 (See also Annex 12)
- DRFN Project Implementation Planning – Quality at Entry Process, 2014
- DRFN Risk Management Policy
- DRFN Project at Risk Process, 2014

Background Documents/Resources

Climaps by EMAPS in 2 pages: A summary for policy makers and busy people (A Global Issue Atlas for Climate Change Adaptation) - <http://climaps.eu/#!/home> ; <http://ssrn.com/abstract=2532946>

Environmental Law and Policy: Towards Making Africa the Tree of Life - <https://www.environmental-awareness.org/na/engage.php?id=27>

Establishing a food insecurity and vulnerability information and mapping system. [1999] FAO. <http://www.fao.org/docrep/W5849T/w5849t09.htm#TopOfPage>

Gender, Climate Change and Community Based Adaptation Guide Book (UNDP)- http://www.undp.org/content/undp/en/home/librarypage/environment-energy/climate_change/gender/gender-climate-change-and-community-based-adaptation-guidebook.html

Gender and Climate Change: Namibia Case Study – <https://www.boell.de/en/navigation/climate-energy-Namibia-9078.html>

Gender Equality Action Plan (GEF) -

https://www.thegef.org/sites/default/files/publications/GEF_GenderEquality_CRA_lo-res_0.pdf

Institutional Scorecard for Gender Mainstreaming:

http://oasis.col.org/bitstream/handle/11599/2731/2017_Tezare_Institutional-Scorecard-Gender-Mainstreaming_Viewing.pdf?sequence=1&isAllowed=y

Log Frame Handbook (World Bank) -

https://www.afdb.org/fileadmin/uploads/afdb/Documents/Evaluation-Reports-Shared-With-OPEV/_00158077-EN-WB-LOGICALFRAMEWORK-HANDBOOK.PDF

Making the Adaptation Fund Work for the Most Vulnerable Assessing Progress in The Adaptation Fund -

<https://germanwatch.org/de/download/3511.pdf>

Public-Private Dialogue (PPD) stakeholder mapping toolkit : a practical guide for stakeholder analysis in PPD using the net-map method (World Bank) -

<http://documents.worldbank.org/curated/en/842721467995900796/Public-Private-Dialogue-PPD-stakeholder-mapping-toolkit-a-practical-guide-for-stakeholder-analysis-in-PPD-using-the-net-map-method>

Sister Namibia - National Gender Policies: <https://sisternamibia.com/gender-based-violence/gender-policies/>

Social and Environmental Screening Procedure (UNDP) -

<http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html>

UNDP's Social and Environmental Standards -

<http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-standards.html>

Who deserves to be funded? A closer look at the practices of vulnerability assessment and the priorities of adaptation funding - <http://climaps.eu/#!/narrative/who-deserves-to-be-funded>

The World Bank policy on access to information (2013):

<http://documents.worldbank.org/curated/en/843001468166481505/The-World-Bank-policy-on-access-to-information>

Quotes

Margaret Angula, Think Namibia: <https://www.enviro-awareness.org.na/post.php?id=12>

Mikko Ollikainen, Senior Climate Change Specialist and acting Manager of the Adaptation Fund Board secretariat: <https://www.adaptation-fund.org/adaptation-fund-readiness-webinar-focus-managing-environmental-social-gender-risks-projects/>

Annex 1 - AF Operational Program Guidelines: Environmental and Social Policy (OPG Annex 3) and Gender Policy and Action Plan (OPG Annex 4)

Supplemental - Environmental and Social Policy: Annex 3 to OPG

General Environmental and Social Commitment: (i) IEs will have an environmental and social management system (ESMS) that ensures environmental and social risks are identified and assessed at the earliest possible stage of project/programme design; (ii) IEs will adopt measures to avoid or where avoidance is impossible, to minimize or mitigate those risks during implementation, and (iii) will monitor and report on the status of those measures during and at the end of implementation. There should be adequate opportunities for the informed participation of all stakeholders in the formulation of projects/programmes supported by the Fund.

See sections on Screening, Categorization, Environmental and Social Assessment, Environmental and Social Management Plan, Monitoring/Reporting/Evaluation, Public Disclosure and Consultation, and Grievance Mechanism (pages 9-23).

Supplemental - Gender Policy and Action Plan: Annex 4 to OPG - Pertains primarily to Principles # 1,2,3,4 and 5.

Definitions

- (1) **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.
- (2) **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 organisational structures.
- (3) **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.
- (4) **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.
- (5) **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.

- (6) 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.
- (7) Gender sensitive: refers to the consideration of gender norms, roles and relations but does not necessarily address inequality generated by unequal.
- (8) 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:
 - a) women's sense of self-worth;
 - b) women's right to have and determine choices;
 - c) women's right to have access to opportunities and resources;
 - d) women's right to have power to control their own lives both within and outside the home;
 - e) women's ability to influence the direction of social change to create a more just social and economic order, nationally and internationally.

Objectives

The Fund and its implementing partners 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.

- (1) The Fund's gender policy has the following objectives:
 - a) To ensure that the Fund will achieve more effective, sustainable and equitable adaptation outcomes and impacts in a comprehensive manner in both its internal and external procedures;
 - b) To provide women and men with an equal opportunity to build resilience, address their differentiated vulnerability, and increase their capability to adapt to climate change impacts; recognizing the need for targeted efforts in order to ensure women's participation.
 - c) To address and mitigate against assessed potential project risks for women and men in relation to concrete adaptation actions financed by the Fund; and
 - d) To contribute to addressing the knowledge and data gaps on gender-related vulnerabilities and to accelerate learning about effective gender-equal adaptation measures and strategies.
 - e) To consult with affected women and men actively, taking into account their experiences capabilities and knowledge throughout Fund processes.

Main Principles - The Fund's gender policy is based on a set of key principles:

- (1) Commitment – to uphold women's human rights and contribute to gender equality; adopt methods and tools to promote gender equality and reduce gender disparities.
- (2) Comprehensive in scope and coverage – applies to ALL AF activities; policy will be implemented through AF processes; includes gender assessments as per ESP, gender-responsive indicators, and gender-responsive implementation and monitoring arrangements; screened for gender responsiveness.
- (3) Accountability – Gender monitoring is to be integrated into the AF Results-Based Management (RBM) framework. This needs to account for both men and women beneficiaries through efforts to improve gender-disaggregated data collection. Projects are accountable for gender results. Need to document capacity and commitment to AF gender policy and demonstrate an ability to implement it, i.e. institutional framework, IE policies/action plans, ability to undertake ESP&G

assessments, ability to identify measures to avoid/minimize or mitigate adverse gender impacts, and monitor and evaluate progress. MUST have a grievance mechanism in place.

- (4) Competencies – AF will work with DAs and IEs to enhance these capabilities; and support capacity building.
- (5) Resource allocation – Projects will NOT be funded without documenting support for gender equality and empowerment of women.
- (6) Knowledge generation and communication – AF will identify good practices and exchange knowledge on gender issues with partner organisations (GEF and GCF).
- (7) Review and Revisions – AF will review gender policies 3 years after becoming operational.

Gender Action Plan FY17-19 for the Adaptation Fund

- (1) Operational Guidelines and Project Cycle Support – update documents with policies, templates, and guidance
 - a) *Guidance Document for Implementing IEs on Compliance with the AF Gender Policy – link in reference list*
 - i. Conduct an **initial gender analysis and assessment** to determine different needs, capabilities, roles and knowledge resources of women and men and identify how changing gender dynamics might drive lasting change (establishes baseline; can be part of project preparation grant).
 - ii. Estimation and **allocation of adequate resources** for gender-responsive implementation; for inclusion and capacity-building of women stakeholders and others.
 - iii. Identification and **design of specific gender elements** to be included in AF projects.
 - iv. Determinants for **gender-responsive stakeholder consultation** process.
 - b) *Request for Project/Programme Funding from the AF & Instructions for Preparing a Request for Project or Programme Funding from the AF*
 - c) *AF Project/Programme Review Criteria*
- (2) Capacity Development – gender training will be provided by the AF, consultants, or through a gender advisory group of experts drawn from AF partners.
- (3) Results-based Management (Gender-sensitivity to be updated by AF in these documents) (See also pages 32-34 of this Manual)
 - a) *Strategic Results Framework* – to include gender dimension in outcome and output related indicators; disaggregated data is essential
 - b) *Methodologies for Reporting AF Core Impact Indicators* - performance monitoring and reporting system (See Annex 14 for gender-related indicators)
 - c) *Results Framework and Baseline Guidance – Project Level*
 - i. Project baselines should draw on gender analysis and gender-responsive project results frameworks.
 - d) *Project Performance Report (PPR) with the Project Performance Reports (PPR) Results Tracker*
 - i. Correlated to *Strategic Results Tracker* and the AF seven core indicators (with gender-disaggregated data).
 - e) *Project Performance Report Template*
 - i. Include actions targeting gender equality and women’s empowerment in the spreadsheets on risk assessment, the rating of project implementation progress

against key milestones, project indicators, lessons learned (through qualitative assessment questions on gender) and results tracking.

- f) *Gender Score Card* – will be developed to supplement AF’s seven core indicators
 - i. At entry: Initial gender assessment during project preparation.
 - ii. At entry: Incorporated gender-responsive elements into implementation arrangements (budgeting, target population groups, gender-responsive indicators, etc.)
 - iii. At exit: Percentage of annual Project Performance Reports (PPRs) that incorporate gender equality and women’s empowerment issues
 - iv. At exit: Percentage of PPRs at completion that incorporate gender equality and women’s empowerment issues and assess results/progress.
- g) *PPR Section on Lessons Learned*
 - i. Include detailed measures and project indicators that highlight the role of women as key actors with experiences and knowledge of utility to the project implementation.
 - ii. Evaluation – *Evaluation Framework*; include an assessment of the project’s contribution to gender equality and women’s empowerment.

Annex 2 - Proposal Checklist of Environmental, Social, & Gender Impacts and Risks Relevant to Projects, with Proposal Reviewer Suggestions
(Proposal section II.K/L)

Checklist of environmental and social principles	No further assessment required for compliance	Potential impacts and risks – further assessment and management required for compliance
<i>Compliance with the Law (include gender)</i>		
<i>Access and Equity (include gender)</i>		
<i>Marginalized and Vulnerable Groups (include gender)</i>		
<i>Human Rights (include gender)</i>		
<i>Gender Equity and Women’s Empowerment</i>		
<i>Core Labour Rights (include gender)</i>		
<i>Indigenous Peoples</i>		
<i>Involuntary Resettlement</i>		
<i>Protection of Natural Habitats</i>		
<i>Conservation of Biological Diversity</i>		
<i>Climate Change</i>		
<i>Pollution Prevention and Resource Efficiency</i>		
<i>Public Health</i>		
<i>Physical and Cultural Heritage</i>		
<i>Lands and Soil Conservation</i>		

Comments from AF Proposal Reviewers:

- Include required table with the checklist of environmental and social principles, and column (1) no further assessment required for compliance and column (2) potential impacts and risks – further assessment and management required for compliance.
- Beyond a check or “X” in the appropriate column, include a full explanation of why column 1 or 2 was selected.
- An additional table further detailing a description of the process for environmental, social and gender safeguarding; and responsible executing agent and their roles and responsibilities.
- Additional in-text information either before or following required table with summary of risk and subsequent categorization (A, B, or C) of project/programme.
- Include reference to Environmental and Social Management Plan (ESMP) in an annex.
- Document a thorough overview of gender considerations:
 - What roles do different genders have and how does this affect their life and the access they have to resources and opportunities?
 - Description of gender expert’s role and what skills they bring to the project.

Annex 3 - Checklist for Integrating Environmental, Social, and Gender Policies (ESGP) into Project Design for DRFN Proposals and Projects

Environmental and Social Management System (ESMS) – to screen and assess compliance with ES&G policies (ESGP); involves stakeholder participation and risk assessment

- Stakeholder Participation
- Risk Identification and Assessment (DRFN Risk Manager; DRFN Risk Champion)
- Screening of 15 AF environmental and social principles
 - 1: compliance with national regulations (required)
 - 2: Access and equity (gender-related)
 - 3: Marginalized and vulnerable groups (gender-related)
 - 4: Human rights (required; gender-related)
 - 5: Gender equality and women’s empowerment (gender-related)
 - 6: Core labour rights (required)
 - 7: Indigenous people
 - 8: Involuntary resettlement
 - 9: Protection of natural habitats
 - 10: Conservation of biological diversity
 - 11: No significant increases in greenhouse emissions
 - 12: Pollution prevention and resource efficiency
 - 13: Avoidance of negative impacts on public health
 - 14: Protection of physical and cultural heritage
 - 15: Lands and soil conservation
- Gender analysis and assessment
 - Established baselines
 - Allocated adequate resources
 - Designed specific gender elements
 - Included gender-responsive stakeholder consultation
- Environmental and Social Impact Assessment (ESIA) – if risks identified, an ESIA must be conducted and an Environmental and Social Management Plan (ESMP) must be submitted with full proposal
 - All stakeholders consulted
 - Analysis easily understood by public
 - Reviewed by public
 - Alternatives to the project assessed
 - Measures described to minimize or mitigate risks
 - Executive summary made available for public audience
 - Included concise explanations
- Risk Management Plan (DRFN Risk Register) – if risks are identified
 - Risk description
 - Impact (consequence)
 - Category (high/medium/low; A, B, C)
 - Proposed mitigation

- Grievance Mechanism
- Gender Equity and Women’s Empowerment (points to remember)
 - Equal opportunity for men and women
 - Strategies for women’s participation
 - Mitigation of risks
 - Address knowledge gaps
 - Active consultation with women and men
 - Document their experiences and knowledge
 - Gender monitoring
 - Disaggregated data collection
 - Budgeted gender activities
 - Documentation of good gender-related practices

Primary References:

- 1) DRFN Appraisal Guidelines
- 2) DRFN Conditions of Service, grievance procedure, pages 25-26, 30-31, 46
- 3) DRFN Monitoring and Evaluation Framework, April 5, 2017
- 4) DRFN Project at Risk Process, 2014
- 5) DRFN Project Implementation Planning – Quality at Entry Process, 2014
- 6) DRFN Risk Management Policy
- 7) *Guidance Document for Implementing Entities on Compliance with the Adaptation Fund Environmental and Social Policy*
- 8) *Guidance Document for Implementing Entities on Compliance with the Adaptation Fund Gender Policy*
- 9) *Instructions for Preparing a Request for Project or Programme Funding from the Adaptation Fund*

Annex 4 - Checklist for Proposal Preparation (incorporating Results-Based Management)

***ESGP requirements are underlined and italicized

Supplemental Materials:

- 1) Sample Generic Proposal Outline (See Annex 11)
- 2) Sample Logical Framework (See Annex 12)
- 3) AF Results Framework (tables from DRFN Monitoring and Evaluation Framework 2017) ([See Annex 13](#))

Project Information

- Project background and context
 - Goal – higher-order objective
 - Rationale relevant to comate
 - Describe briefly ESG risks identification through screening process, including stakeholder input
- Project objectives – measurable actions to achieve goal or desired impacts (aligned with AF strategic outcomes/results framework (core impact indicators); base on national strategic plan if possible)
- Project Components and financing (complete table and projected calendar)
 - Activities
 - Outputs – strategies for obtaining outcomes (SMART)
 - Outcomes – results of strategies/actions taken
 - Impacts – what project hopes to achieve through actions taken
 - Indicators (Specific, Measurable, Achievable, Relevant, Time-bound (SMART)) – what is going to be measured to assess if desired results are met
 - Gender-responsive
 - Data source
 - Data collection method
 - Who will collect data?
 - Frequency to collect
 - Baselines – drawn from data collected during initial assessments; aligned with indicators
 - Milestone/Targets – intervals for monitoring progress and desired result
 - Sources of verification

Project Justification

- Components: Adaptation activities contributing to climate resilience (aligned with *AF Results Framework*); Project location, scope, detailed activities including technical specifications
- Description of economic, social, gender, and environmental benefits
 - Expected beneficiaries; equitable distributions of benefits to vulnerable groups
 - Quantification of benefits (if possible)
- Analysis of cost-effectiveness of project including clear description of alternative options using quantifiable measures, if possible (full proposals)
- Descriptions of how project meets relevant national technical standards and compliance with ESGP
- Descriptions of compliance with relevant national standards (full proposals)

- Description of any duplication of project with other funding sources, if any; identification of any overlapping projects
- Description of learning and knowledge management component to capture and disseminate lessons learned (for full proposals, see *AF Results Framework and Baseline Guidance – Project Level*, page 21-26)
- Description of consultative process; list of direct and indirect stakeholder groups consulted (vulnerable groups; gender considerations). If risks are identified, public consultations are required; as well as an ESIA and ESMP
- Justification for funding requested; includes detailed reasoning for each component of the project (full proposals)
- Description of how sustainability of project outcomes was considered in project design
- Overview of identified environmental, social, and gender impacts and risks (state category of risks)
- Checklist of environmental and social principles (table)

Implementation Arrangements (required for full proposals)

- Description of roles and responsibilities: Partnerships; Project team; Implementation arrangements; Annual work planning; Monitoring and evaluations (grievance and public disclosure policies)
- Measures for financial risk management (plan for monitoring and mitigating)
- Measures for environmental, social, and gender risk management; involves a social and environmental assessment (ESA) including gender issues; include an ESMP if risks are identified
- Monitoring and evaluation arrangements for ESGP (in all reporting activities)
- Results framework including milestones, targets, indicators and, where possible, disaggregated by gender
- Demonstration of how project aligns with the Results Framework of the AF
 - At least one outcome and output indicator from AF’s Strategic Results Framework must be included at project design phase.
 - Table (See Instructions for Preparing a Request..., page 13)
- Detailed budget with budget notes, and explanation and breakdown of costs
- Disbursement schedule with time-bound milestones

Endorsement By the Designated Government Authority for AF and Certification by the IE

- Record of endorsement by designated government authority
- Implementing entity certification

Annex 5 - Designated Authority (DA) for Namibia - AF Project Review Checklist

Adaptation Fund _Project concepts/proposals check list review

The Ministry of Environment and Tourism is the National Designated Authority (NDA) to the Adaptation Fund. In order to ensure projects submitted to the AF are in compliance with national priorities and the Fund itself, the NDA has developed a tailor made assessment criteria, which verify if the proposals are in conformity with relevant Namibian legal frameworks. These assessments are highlighted in the table below:

National Policy on Climate Change 2011
National Development Plans (NDPs)
National Climate Change Strategy and Action Plan
Environment Management Act 2007
Medium Term Expenditure Framework
Intended National Determined Contributions
The National Agricultural policy

Furthermore, the DNA has adopted other investment assessment criteria which are commonly used by GCF and other funding windows as illustrated below.

Impact potential	Potential to contribute to achievement of Fund's objectives and result areas
Paradigm shift potential	Long-term impact beyond a one-off investment
Sustainable development potential	Wider economic, environmental, social (gender) co-benefits
Country ownership	Country ownership and capacity to implement (policies, climate strategies and institutions)
Efficiency & effectiveness	Economic and, if appropriate, financial soundness, as well as cost-effectiveness and co-financing for mitigation
Responsive to needs of recipients	Vulnerability and financing needs of beneficiary in targeted group

Annex 6 - Treaties Ratified by Namibian Government

From: <http://indicators.ohchr.org/>

International Convention on the Elimination of All Forms of Racial Discrimination :1969	Signature: NA, Ratification/Accession: 1982
International Covenant on Civil and Political Rights :1976	Signature: NA, Ratification/Accession: 1994
Optional Protocol to the International Covenant on Civil and Political Rights :1976	Signature: NA, Ratification/Accession: 1994
Second Optional Protocol to the International Covenant on Civil and Political Rights, aiming at the abolition of the death penalty :1991	Signature: NA, Ratification/Accession: 1994
International Covenant on Economic, Social and Cultural Rights :1976	Signature: NA, Ratification/Accession: 1994
Optional Protocol to the International Covenant on Economic, Social and Cultural Rights :2013	Signature: NA, Ratification/Accession: NA
Convention on the Elimination of All Forms of Discrimination against Women :1981	Signature: NA, Ratification/Accession: 1992
Optional Protocol to the Convention on the Elimination of All Forms of Discrimination against Women :2000	Signature: 2000, Ratification/Accession: 2000
Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment :1987	Signature: NA, Ratification/Accession: 1994
Optional Protocol to the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment :2006	Signature: NA, Ratification/Accession: NA
Convention on the Rights of the Child :1990	Signature: 1990, Ratification/Accession: 1990
Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflict :2002	Signature: 2000, Ratification/Accession: 2002
Optional Protocol to the Convention on the Rights of the Child on the sale of children, child prostitution and child pornography :2002	Signature: 2000, Ratification/Accession: 2002
Optional Protocol to the Convention on the Rights of the Child on a communications procedure :2014	Signature: NA, Ratification/Accession: NA
International Convention on the Protection of the Rights of All Migrant Workers and Members of their Families :2003	Signature: NA, Ratification/Accession: NA
International Convention for the Protection of all Persons from Enforced Disappearance :2010	Signature: NA, Ratification/Accession: NA
Convention on the Rights of Persons with Disabilities :2008	Signature: 2007, Ratification/Accession: 2007
Optional Protocol to the Convention on the Rights of Persons with Disabilities :2008	Signature: 2007, Ratification/Accession 2007

Annex 7 - Legal and Regulatory Checklist: International and Republic of Namibia

International

Resources

- [2030 Agenda for Sustainable Development](#)
- [Article 2 of the UN Framework Convention on Climate Change \(UNFCCC\)](#)
- [Cartagena protocol on Biosafety](#)
- [Convention on Biological Diversity \(CBD\)](#)
- [Convention on the Elimination of All Forms of Discrimination against Women \(CEDAW\)](#)
- [Guidelines for National Greenhouse Gas Inventories \(2006\)](#)
- [Human Rights Council Special Procedures thematic mandates](#)
- [Human Rights Council Special Procedures country mandates](#)
- [ILO Declaration of Fundamental Principles and Rights at Work](#)
- [Intergovernmental Panel on Climate Change \(IPCC\)](#)
- [IUCN Red List of Threatened Species](#)
- [List of World Heritage in Danger](#)
- [Millennium Development Goals \(MDGs\)](#)
- [Observations on the State of Indigenous Human Rights in Namibia in Light of the UN Declaration on the Rights of Indigenous Peoples Namibia, July 2015](#)
- [Ramsar sites inventory \(Namibian wetlands\)](#)
- [Report of the Special Rapporteur on the rights of indigenous peoples, James Anaya \(The situation of indigenous peoples in Namibia\)](#)
- [Special Rapporteur on the Rights of Indigenous Peoples \(UN\)](#)
- [Status of Ratification Interactive Dashboard \(See Namibia listing\)](#)
- [Sustainable Development Goals \(SDGs\)](#)
- [UN Framework Convention on Climate Change \(UNFCCC\) \(Article 2\)](#)
- [UNESCO Convention Concerning the Protection of the World Cultural and Natural Heritage, 1972 – article 1 and 2. See also: <http://whc.unesco.org/en/statesparties/na> - Namibia accepted the Convention in 2000. See also: \[List of World Heritage in Danger – article 11\\(4\\) of the Convention\]\(#\)](#)
- [UNESCO Convention on Biological Diversity](#)
- [UNESCO Convention Concerning the Protection of the World Cultural and Natural Heritage – article 1 and 2](#)
- [UNESCO Man and the Biosphere Programme reserves list \(Africa\)](#)
- [Universal Declaration of Human Rights \(UDHR\)](#)
- [UN Declaration on the Rights of Indigenous Peoples \(UNDRIP 2007\)](#)
- [WHO Determinants of Health](#)

National

Resources

- Namibia Ministry website: <http://www.gov.na/>
- Ministry of Gender Equality and Child Welfare - <http://www.mgecw.gov.na/>
- Municipality websites: <http://www.alan.org.na/municipalities.html>
- Overview of Standards and Regulatory Organisations in Namibia: http://www.commonwealthofnations.org/sectors-namibia/business/standards_and_regulation/
 - Namibian Standards Institution: <http://www.nsi.com.na>

- List of standards:
 - [http://www.nsi.com.na/files/downloads/f6c_Namibian%20Standards%20\(NAMS\)%20-%20MARCH%202016.pdf](http://www.nsi.com.na/files/downloads/f6c_Namibian%20Standards%20(NAMS)%20-%20MARCH%202016.pdf)
- Namibia Legal Assistance Center: <http://www.lac.org.na/laws/namlex.html> and index by year: <http://www.lac.org.na/laws/lawsindex.php>
- Namibian Statistical Agency - <http://nsa.org.na/>
- List of Acts - <http://www.met.gov.na/files/files/Climate%20Change%20Vulnerability%20&%20Adaptation%20Assessment.pdf>

Laws and Regulations examples

- Environmental Assessment Policy (MET, 1995) - http://www.met.gov.na/files/downloads/05c_Environmental%20Assessment%20policy.pdf
- Environmental Management Act 2007 - <http://www.ilo.org/dyn/natlex/docs/ELECTRONIC/82560/90507/F17802156/NAM82560.pdf>; Guide to... - http://www.the-eis.com/data/literature/824_EMA%20Guide.pdf
- Government of Namibia Vision 2030 National Development Plan – <http://www.gov.na/national-development-plan>
- Harambee Prosperity Plan (HPP): Namibian Government's Action Plan towards Prosperity for All - <http://www.gov.na/documents/10181/264466/HPP+page+70-71.pdf/bc958f46-8f06-4c48-9307-773f242c9338>
- Intended National Determined Contributions of Namibia to the UNCFPP - <http://www4.unfccc.int/submissions/INDC/Published%20Documents/Namibia/1/INDC%20of%20Namibia%20Final%20pdf.pdf>
- Land Use Planning Towards Sustainable Development Policy (Met, 1994)
- Medium Term Expenditure Framework - http://www.mof.gov.na/documents/27827/109194/MTEF+2015_2016+FINAL_1.pdf/62a85b5a-9cdf-4808-93ca-2b79e8cef21f
- Ministry of Environment and Tourism – Policies and Regulations - <http://www.met.gov.na/>
- Namibia's Fourth National Development Plan (NDP_4) - http://www.gov.na/documents/10181/14226/NDP4_Main_Document.pdf/6a57bd4f-a1ff-4aa5-9bd1-264e4a3e1e1a
- The National Agricultural Policy, December 2015 - <http://www.mawf.gov.na/documents/37726/48258/Namibia+Agriculture+Policy/80928f95-f345-4aaa-8cef-fb291a4755cf?version=1.0>
- National Climate Change Strategy and Action Plan - <http://www.met.gov.na/files/files/National%20Climate%20Change%20Strategy%20&%20Action%20Plan%202013%20-%202020.pdf>
- National Heritage Council of Namibia - <http://www.nhc-nam.org/>
- National Policy on Climate Change 2011 (includes sections on policies, gender issues and child welfare, and vulnerable groups) - [http://www.met.gov.na/files/files/National%20Policy%20on%20Climate%20Change%20for%20Namibia%202011\(1\).pdf](http://www.met.gov.na/files/files/National%20Policy%20on%20Climate%20Change%20for%20Namibia%202011(1).pdf)
- Office of Ombudsman, Government of Namibia: Filing a Complaint - <https://www.ombudsman.org.na/filing-a-complaint/>
- Regional Planning And Development Policy (Npc, 1997)

- Republic of Namibia Labour Act, 2007 - http://www.mol.gov.na/documents/432260/1685800/2007_LabourAct.pdf/2f4ad2c4-f075-440b-bfd9-a658a7323e0c
- United Nations Partnership Framework (UNPAF) – 2014-2018: Namibia http://www.unfpa.org/sites/default/files/portal-document/Namibia_UNPAF.pdf

Sector specific laws and regulations examples:

Agriculture

- See Ministry of Agriculture, Water and Forestry: <http://www.mawf.gov.na/web/mawf/policies-and-regulations>
- National Agricultural Policy (MAWF, 1995)
- National Drought Policy and Strategy (MAWF, 1997)
- Green Scheme Policy (MAWF, 2004 and revised in 2008)
- National Rangeland Management Policy and Strategy (MAWF, in compilation)

Coastal Zone Management

- See Ministry of Fisheries and Marine Resources: <http://www.mfmr.gov.na/home>
- Territorial Sea And Exclusive Economic Zone Of Namibia Act 3 Of 1990
- Sea Shore Ordinance
- Walvis Bay And Offshore Islands Act1 Of 1994
- Namibian Ports Authority Act 2 Of 1994
- Division Of Land Ordinance Of 1963
- Town Planning Ordinance 18 Of 1954
- Marine Resources Act 27 Of 2000
- Aquaculture Act 18 Of 2002
- Inland Fisheries Act 1 Of 2003

Disaster Risk Reduction

- See Office of the Prime Minister: <http://www.opm.gov.na/directorate-disaster-risk-management>
- Public and Environmental Health Act, 2015: http://www.mhss.gov.na/files/downloads/9a3_Public&Environment%20Health%20Act,%202015.pdf

Food Security

- See Ministry of Agriculture, Water and Forestry: <http://www.mawf.gov.na/web/mawf/policies-and-regulations>

Forests

- See Ministry of Agriculture, Water and Forestry: <http://www.mawf.gov.na/web/mawf/policies-and-regulations>
- Forestry Development Policy (Mawf, 2001)
- Forest Act (2001)
- Wildlife Management, Utilisation And Tourism In Communal Areas Policy (Met, 1995)
- Amendment To The 1975 Nature Conservation Ordinance (1996)
- Promotion Of Community-Based Tourism Policy (Met, 1995)

Multisector Projects

Rural Development

- See Ministry of Urban and Rural Development: <http://www.murd.gov.na/>
- National Land Policy (Mlr, 1998)

- National Resettlement Policy (Mlr, 2001)
- Agricultural (Commercial) Land Reform Act (1995)
- Communal Land Reform Act (2002)

Urban Development

- See Ministry of Urban and Rural Development: <http://www.murd.gov.na/>

Water Management

- See Ministry of Agriculture, Water and Forestry:
<http://www.mawf.gov.na/web/mawf/policies-and-regulations>
- Public and Environmental Health Act, 2015:
http://www.mhss.gov.na/files/downloads/9a3_Public&Environment%20Health%20Act,%202015.pdf
- National Water Policy White Paper (MAWF, 2000)
- Water Supply and Sanitation Policy (MAWF, 1993 and revised in 2008)
- Water Resources Management Act (2004, Presently Being Revised)

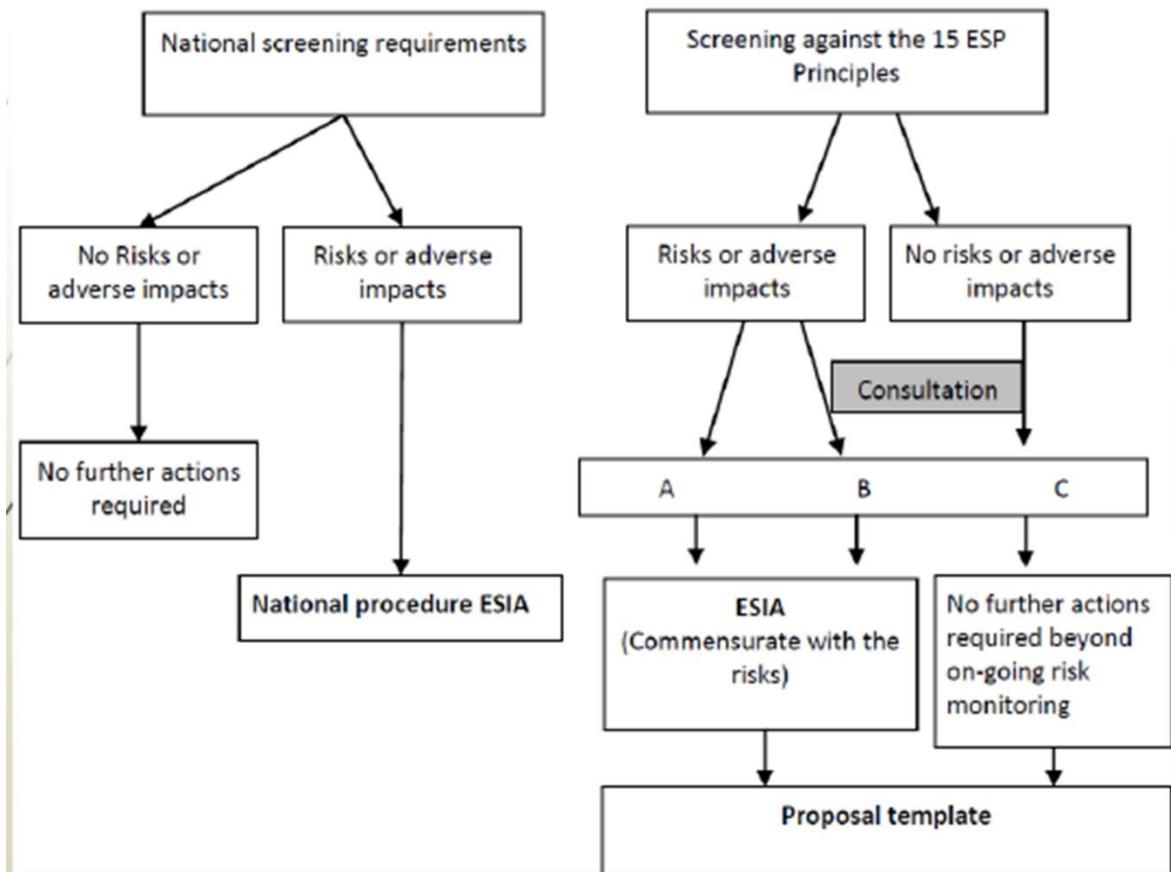
TABLE 13.1. KEY POLICIES AND LAWS, CLUSTERED INTO GROUPS ACCORDING TO SECTOR

Sector	Policies and laws
Agriculture	National Agricultural Policy (MAWF, 1995) National Drought Policy and Strategy (MAWF, 1997) Green Scheme Policy (MAWF, 2004 and revised in 2008) National Rangeland Management Policy and Strategy (MAWF, in compilation)
Water	National Water Policy White Paper (MAWF, 2000) Water Supply and Sanitation Policy (MAWF, 1993 and revised in 2008) Water Resources Management Act (2004, Presently Being Revised)
Forestry, Parks and Wildlife	Forestry Development Policy (Mawf, 2001) Forest Act (2001) Wildlife Management, Utilisation And Tourism In Communal Areas Policy (Met, 1995) Amendment To The 1975 Nature Conservation Ordinance (1996) Promotion Of Community-Based Tourism Policy (Met, 1995)
Land	National Land Policy (Mlr, 1998) National Resettlement Policy (Mlr, 2001) Agricultural (Commercial) Land Reform Act (1995) Communal Land Reform Act (2002)
Fisheries and coastal management	Territorial Sea And Exclusive Economic Zone Of Namibia Act 3 Of 1990 Sea Shore Ordinance Walvis Bay And Offshore Islands Act 1 Of 1994 Namibian Ports Authority Act 2 Of 1994 Division Of Land Ordinance Of 1963 Town Planning Ordinance 18 Of 1954 Marine Resources Act 27 Of 2000 Aquaculture Act 18 Of 2002 Inland Fisheries Act 1 Of 2003
Environmental Planning	Environmental Assessment Policy (Met, 1995) Environmental Management Act (2007) Land Use Planning Towards Sustainable Development Policy (Met, 1994) Regional Planning And Development Policy (Npc, 1997)

From:

<http://www.met.gov.na/files/files/Climate%20Change%20Vulnerability%20&%20Adaptation%20Assessment.pdf> (p.159)

Annex 8 - AF Screening and Assessment Process Figure



Annex 9 - Checklist for Public Disclosure and Consultation

Consultation that is integrated throughout the project timeline, starting at the concept stage, can lead to greater engagement by all stakeholders. Timely public disclosure of project information allows for stakeholders input that will help ensure the success of a project. All comments and concerns should be addressed and considered to make needed changes to project plans. For Adaptation Fund purposes, public consultation should consider all Parties affected by both possible social and environmental risks, and make an effort to inform and involve all genders in the process. EE should consult with NIE regarding concerns about public disclosure of information.

- Project description that includes AF policy compliance text
 - Example: *This project/programme is funded by the Adaptation Fund and complies with all policies with special attention to its Environmental, Social and Gender risk policies.*
 - Share project description throughout consultative process to emphasize adherence and commitment to environmental and social safeguarding and gender sensitivity.
- Stakeholder Map
 - Include all directly and indirectly affected stakeholders
 - Indicate minority and indigenous stakeholders and groups
 - Describe gender considerations in stakeholder identification
- Project information available for public disclosure
 - All project information should be available for public disclosure and provided in a timely manner to the requester. A service fee may accompany any requests that require a substantial amount of time or materials to supply requested information. Unreasonable requests can be forwarded to the grievance mechanism.
 - Key exceptions
 - Personal information (i.e. not including name, gender, and affiliation)
 - Information that could cause harm to an individual, group or community
 - In-progress budget and financial information
 - Identifiable data, all data should be de-identified
 - Appropriate translation and delivery of information
 - Every effort should be made to provide stakeholders information in a venue and format that allows for easy comprehension and commenting.
 - Considerations include:
 - Timing: Does the timing of public consultation meetings or events allow for equal participation? Should multiple meetings be held to encourage and increase participation?
 - Venue: Is the selected venue a safe place that allows for all voices to be heard? Where might some participants feel safer listening and sharing?
 - Audience: Does the combination of different participants support or inhibit sharing diverse perspectives? Should smaller groups be used to ensure all perspectives are captured?
 - Format/Platform: What format or platform can the project best engage all stakeholders? Which formats will provide perspective and which will provide data?

- Language: Are consultations inclusive? How might translation needs be supported by community ownership of the project?
- Consultation Timeline

Document all steps, actions taken, and results of public disclosure and consultation for AF reporting. Include all participants (and their gender and group affiliations) in the consultative process Register.

 - Concept Stage
 - Identify and engage minority and indigenous groups in consultation for feedback on project design, especially their perceived risk and impact concerns
 - Consider all stakeholders with increased vulnerability to climate change and, as needed, consult to inform design of project
 - Following initial ESG screening, conduct ESIA and share results with affected stakeholders with consideration of key exceptions and appropriate delivery
 - Share final ESG assessment with AF for public access through the AF website
 - Implementation Stage
 - Share public disclosure and consultation strategy and timeline with all stakeholders
 - Strategy to include: 1) equal participation of all stakeholders with priority given to all directly affected stakeholder comments and concerns; 2) iterative design based on consultation; 3) public disclosure of information integration into consultation and on request; 4) multiple information sharing formats and platforms; 5) adherence to public disclosure recommendations in Environmental Management Act (EMA) of 2007 (see References); and, 6) reference to grievance mechanism
 - Timeline to include expected dates of on-site meetings, periods of public commenting, and comment response delivery to stakeholders. Also include: all assessments, reports, and evaluations due to AF.
 - Submit environmental clearance application to the Ministry of Environment and Tourism and proceed with giving notice as recommended in the EMA
 - See *Guide to the EMA of 2007* for guidance on posting notices
 - Disclose and discuss final ESG assessment and project response with affected stakeholders
 - Address concerns and any new developments in project activities during scheduled consultations or request additional meetings
 - Evaluation Stage
 - Early in project be responsive to the possible need to alter format of public disclosure and consultation, especially if equal participation of all stakeholders and gender sensitivity was not achieved at the outset
 - Ongoing evaluation includes internal review of public consultation documentation and AF required reporting.

Annex 10 - Grievance Policies & Conflict Resolution (Including AF Ad Hoc Complaint Handling Mechanism (ACHM))

Guidelines from the Adaptation Fund

Full proposals should include a description of a grievance mechanism, which is accessible by employees and affected communities. The mechanism will be designed to receive and facilitate grievances in a transparent manner and will be commensurate to the complexity of the risks. This mechanism is particularly important in projects with involuntary resettlement or indigenous peoples.

AF Climate Change Complaints Process

Complaints should be submitted to the Senior Climate Change Specialist of Adaptation Fund Board secretariat, Mikko Ollikainen; Email: mollikainen@adaptation-fund.org; Fax: +1 (202) 522-3240. Provide contact details and a brief message outlining your complaint. Once the message has been received, a team member of the Adaptation Fund Board secretariat will process the complaint and respond accordingly. Complaints can also be registered with a contact in within the accredited Implementing Entities, particularly for complaints of fraud or corruption.

NIE Contact - DRFN (Namibia)

Leslie-Ann Van Wyk

Email: ann.van.wyk@drfn.org.na

Phone: +264 61 377 500/505

AF Ad Hoc Complaint Handling Mechanism (ACHM)

This mechanism is to be used if the IE's grievance procedures do not led to a satisfactory solution within a year of the submission of a complaint. The AF secretariat manages complaint handling under the oversight of the Ethics and Finance Committee (EFC). The ACHM serves to facilitate dialogue among stakeholders, mediate/assist in resolving issues raised, and develop and share lessons to improve future operations. Techniques may include facilitation, mediation, cooperative or interest-based problem-solving, neutral evaluation, joint fact-finding, conciliation, and arbitration.

Complaints can be lodged by any individual or their representative living in an area where impacts of a Fund-supported project may occur. The complaint should be written (in any UN language) and brought forward to the secretariat. They can be submitted (1) by email to afcomplaints@adaptation-fund.org; or (2) by hard copy to Adaptation Fund Board secretariat, 1818 H Street NW, N7-700, Washington D.C. 20433, USA. Guidelines on page 4-5 of the ACHM document. Exclusions and Disclosures are listed on pages 5 and 6.

- **Receipt:** within 5 days of receipt, the secretariat manager informs Parties of receipt
 - Names and other identifiers are confidential
- **Assessment and Agreement:** secretariat prepares draft report within 20 days; parties provide comments within 10 days and incorporated into report as deemed appropriate. At this time, the secretariat designs a strategy toward mutual understanding and a solution based on

consultation with the Parties involved and drawing on alternative dispute resolution techniques. The Final Assessment Report is submitted to the EFC which will make a recommendation for approval by the secretariat Board, as per the Fund's risk management framework.

- Non-objection on Final Assessment Report: secretariat asks for absence of objection to the report within 14 business days. If objection is raised, dispute resolution activities will cease. If non-objection is provided, the secretariat in consultation with the Parties implements trust building measures or dispute resolution activities on a single issue or grouping of issues.
- Implementation and Monitoring: This part of the process is not time bound and involves continued dispute resolution strategies. Update reports will be provided to the EFC and costs for the ACHM are covered by the Fund. If within two Update reports, the strategy was not able to be implemented, the EFC may decide to suspend or terminate dispute resolution activities. At such a time, the Parties will be informed of a temporary suspension which will involve revisiting the issue on a bi-monthly basis. This is based on the Parties' good faith agreement to reengage.
- Remedy and Incentive: If termination is necessary because of lack of cooperation by any of the Parties, the secretariat may refer the complaint to the EFC, who may recommend to the Board the measures included in the Risk Management Framework. (See page five of *Risk Management Framework for the AF* – amended October 2014 and note below).
- Resolution: Once all matters are deemed resolved or dispute resolution activities are terminated, the secretariat issues a Final Resolution Report, making mention of any interim solutions reached in the process. Included will be a succinct analysis of systemic policy-related aspects that may have led to the complaint or its lack of resolution. Such aspects may include Policy compliance, institutional capacity, environmental and social risk management framework, weakness in supervision, technical expertise, disclosure and consultations, or other relevant aspects. This report is shared with the Parties to provide their comments within 14 business days. The secretariat incorporates any relevant comments in the Final Resolution Report, annexes the Parties' comments, and submits the report to the Board.

Note: NIE grievance mechanisms will be listed on the AF Accountability Register webpage; and are encouraged to link the AF Accountability Register on their website as well. Also, when a complaint is reviewed by the EFC and the secretariat, the Accreditation Panel also reviews the complaint and gives a recommendation which could lead to cancellation of the accreditation.

DRFN Grievance Policy (from DRFN Conditions of Service, page 25-6; 46)

The DRFN grievance policy is designed to minimize misunderstandings by providing transparent grievance procedures. A grievance is defined as "any serious dissatisfaction or feeling of injustice affecting a [person] that arises out of his/her work situation, or the employment relationship between him/herself and the DRFN." In the first instance it is [everyone's] duty to attempt to resolve any misunderstandings or disagreements at the earliest possible stage. Stages of Grievance Procedure:

- (1) Day 1 – a standard grievance form is completed (Form 9), clearly stating the most important allegation and the desired solution, and is submitted to the Executive Director.
- (2) Day 2 & 3 – The Executive Director nominates a person who will attempt to resolve the grievance within two working days. If agreement is reached, it will be so noted on the grievance form. If a solution is not reached, the case will be referred back to the Executive Director.

- (3) Day 4 & 5 – The Executive Director convenes a meeting of all concerned within two working days and may call for additional evidence. If a satisfactory solution is not reached within two working days, the matter will be referred to the organisation’s management committee.
- (4) The Executive Director will convene a special management committee meeting to review the grievance. In addition to the parties in question, a union official is entitled to attend to represent the aggrieved person. Failure to reach a solution within seven days will constitute a dispute and may be directed to the Disputes Procedures of the Labour Act.

Republic of Namibia, Labour Act, 2007

Chapter 8 of the Republic of Namibia Labour Act of 2007 describes “Prevention and Resolution of Disputes” including disputes affecting the national interest, conciliation of disputes, arbitration of disputes, and private arbitration. Such disputes may involve Ministers, the Labour Commissioner, appointment of conciliators, and/or the Labour Advisory Council.

Namibian Ombudsman Office

An Ombudsman is specified in Chapter 10, Article 91 of the Namibian Constitution. It is their duty to investigate complaints concerning alleged or apparent instances of violations of fundamental rights and freedoms, abuse of power, unfair, harsh, insensitive or discourteous treatment of an inhabitant of Namibia by an official in the employ of any organ of Government (whether central or local). It is also the duty of the Ombudsman to investigate complaints concerning the over-utilization of living natural resources, the irrational exploitation of non-renewable resources, the degradation and destruction of ecosystems and failure to protect the beauty and character of Namibia. In addition, the Ombudsman is tasked to investigate complaints concerning practices and actions by persons, enterprises and other private institutions where such complaints allege that violations of fundamental rights and freedoms under this Constitution have taken place. Appropriate action is required to remedy, correct, and reverse instances specified through such means as are fair, proper, and effective, including:

- (1) negotiation and compromise between the parties concerned;
- (2) causing the complaint and his or her finding thereon to be reported to the superior of an offending person;
- (3) referring the matter to the Prosecutor-General;
- (4) bringing proceedings in a competent Court for an interdict or some other suitable remedy;
- (5) bringing proceedings to interdict the enforcement of such legislation or regulation by challenging its validity if the offending action or conduct is sought to be justified by subordinate legislation or regulation which is grossly unreasonable; and
- (6) reviewing such laws as were in operation before the date of Independence in order to ascertain whether they violate the letter or the spirit of this Constitution and to make consequential recommendations to the President, the Cabinet or the Attorney-General for appropriate action.

Annex 11 - Example of a Generic Outline for a Proposal (Appendix E from AF Evaluation Framework)

Appendix E: Example of an outline for a project proposal

- 1.1. Title
- 1.2. Location(s)
- 1.3. Cost of the action and amount requested from the Contracting Authority
- 1.4. Summary (max 1 page)
- 1.5. Objectives (max 1 page) This is a key section for making the sales pitch for the proposal!
- 1.6. Relevance of the action (max 3 pages)
 - Challenges the project will tackle
 - Relevance of proposal to target groups
 - Relevant solutions
 - Relevance of proposal to objectives and guidelines of the call for proposal
- 1.7. Description of the action and its effectiveness (max 14 pages)
 - Current farming practices and challenges
 - Conservation agriculture
 - Expected results
 - Previous activities and their effectiveness at national level
 - Proven results from other countries
 - Project activities Make sure to justify how the activities will lead to the promised results of project.
- 1.8. Methodology (max 4 pages)
 - Co-operation Strategy and Major Partnerships
 - Proposed team for the implementation of the project
 - Implementation Arrangements
 - Annual Work Planning
 - Monitoring and evaluation
- 1.9. Duration and indicative action plan for implementing the action
- 1.10. Sustainability (max 3 pages)
 - Main preconditions and assumptions during and after the implementation phase.
 - Provide a detailed risk analysis and possible contingency plans.
 - How sustainability will be secured after completion of the action. Important section! The donor would like to see that the activities carries on after the project end.
- 1.11. Logical framework

Annex 12 - Example of a Logical Framework (Appendix F from AF Evaluation Framework)

Appendix F: Example of a Logical Framework

<i>Narrative Summary</i>	INDICATORS OF SUCCESS <i>(objectively verifiable indicators)</i>	METHODS OF VERIFICATION <i>(means of verification)</i>	<i>RISKS AND ASSUMPTIONS</i>
Goal: To contribute to poverty reduction and economic growth in x through increased financing and investments for UNCCD/SLM implementation.	<ul style="list-style-type: none"> • Programme Document defining programmatic support • Aide Memoires on cooperation • Tools and instruments to support financial resource mobilization 	<ul style="list-style-type: none"> • X Country reports on UNCCD • Implementation • Joint Aide Memoires between X and Y • Z Reports • Y annual reports and progress reports • Progress reports • Newsletters 	<ul style="list-style-type: none"> • Political will is present to comprehensively develop a targeted integrated financing strategy to support UNCCD implementation • Political leadership to address socio-economic drivers to land degradation • Institutional capacity of implementing Ministry/agency to undertake and follow up on major initiatives

<i>PROGRAMME OBJECTIVES</i>	<i>PROGRAMME ACTIVITIES</i>	INDICATORS OF SUCCESS	METHODS OF VERIFICATION	<i>RISKS AND ASSUMPTIONS</i>
<i>COMPONENT 1: Resource mobilization through an Integrated Financing Strategy⁹⁷</i>				
Objective 1: Increase investments and financing for UNCCD implementation and sustainable land management (SLM) through the development and implementation of an integrated financing strategy (IFS)	Activity 1: Organize an inception workshop on designing integrated financing strategies for SLM	<ul style="list-style-type: none"> - # of interested sectors participating in capacity building workshop - Task force established and working efficiently 	<ul style="list-style-type: none"> • X's Country reports on UNCCD implementation • Joint Aide Memoires between X, Y and partners • Z Reports • Y annual reports and progress reports • Progress reports • Newsletters and media • IFS action plan 	<ul style="list-style-type: none"> • Political will is present to actively engage in mainstreaming of UNCCD/SLM into national planning processes • The *proramme is rolled out by Government in a coordinated, systematic and strategic manner in order to achieve maximum impact
	Activity 2: Establish a task force to support formulation of IFS	<ul style="list-style-type: none"> - # of reviews and analytical work conducted 		
	Activity 3: Building Linkages with Existing Financing Mechanisms (e.g. Green Technology for the Environment Fund or the Interim Environmental Fund, Aid for Trade financing instruments, develop criteria and indicators on SLM for inclusion in the funds, and identify activities to be supported.	<ul style="list-style-type: none"> - # of financing sources and mechanisms for SLM and entry points for access identified - Economic evidence on value of land produced - Cross-sectoral trade priorities with an SLM perspective identified by national partners within the AFT/EIF framework - # of trade project proposals for SLM 		

	<p>Activity 4: Stocktaking and analytical work to develop and support the IFS, including</p> <ul style="list-style-type: none"> - identification of existing and potential financing sources and mechanisms for SLM and entry points (e.g. private sector, Incentive and market based mechanisms and climate change); - macroeconomic valuation of land resources and degradation to generate evidence in support of advocacy for SLM investments& - Identification, development and up-scaling of Incentive and market based mechanisms for SLM - Analysis of AFT Flows to X in SLM relevant sectors 	<p>developed</p> <ul style="list-style-type: none"> - IFS action plan with identified key activities developed - Funding potential for SLM maximized - SLM financing and investments increased 		<ul style="list-style-type: none"> • Identified sources of finance and financing mechanisms can be effectively exploited and/or easily accessed • Innovative financial sources and mechanisms can be accessed for the purpose of land rehabilitation • Country assigns higher priority and investments to UNCCD objectives
	<p>Activity 5: Review of stocktaking and analytical work by stakeholders and organize validation workshop to secure high level buy-in and outreach</p>			
	<p>Activity 6: Strategy development and implementation of IFS action plan, including identified investment priorities and activities to meet the associated financial requirements</p>			
<i>COMPONENT 2: Mainstreaming, Partnership and Coalition Building</i>				
<p>Objective 2: Mainstream SLM into ongoing processes, establishing partnerships and build coalitions to enhance UNCCD implementation</p>	<p>Activity 1: Support the establishment of a SLM Partnership Platform</p>	<ul style="list-style-type: none"> - Effective SLM Partnership Platform established or existing platform strengthened with constituencies and relevant partners 	<ul style="list-style-type: none"> • X's Country reports on UNCCD implementation 	<ul style="list-style-type: none"> • Partners (i.e. government ministries, bilateral and multilateral development partners, civil society, private sector, research institutions) are willing to co-
	<p>Activity 2: Mainstream SLM into the SNDP and other relevant processes through chapter reviews, written inputs, consultations and advocacy.</p>	<ul style="list-style-type: none"> - Arguments and messages to support SLM advocacy and mainstreaming are available 	<ul style="list-style-type: none"> • Joint Aide Memoires between X and Y 	
	<p>Activity 3: Develop tools and</p>	<ul style="list-style-type: none"> - # of substantive inputs 		

	instruments to support UNCCD/SLM implementation through the *programme			
	Activity 4: Establish strategic partnerships with private sector (PS) and Civil Society Organizations (CSOs)	- Inclusion of UNCCD/SLM into key national development processes		
	Activity 5: Partner with and provide support to climate change and carbon finance initiatives (including UNREDD, PPCR etc)	- Co-operation on financing for SLM is established with existing funds		
	Activity 6: Mainstreaming SLM in the DTIS and relevant trade planning frameworks guiding the allocation of Aft resources	- Criteria and indicators on SLM to be included in existing funds developed		
		- # of programmes on SLM that could be supported by the fund identified		
		- of partnerships initiatives for finance on SLM supported		
		- # of partnerships with PS and CSOs brokered and facilitated		
		- # of joint programming on climate change, land and water with partners		
			<ul style="list-style-type: none"> • Z Reports • Y annual reports and progress reports • Group discussions • Progress reports • Newsletters and other media products 	operate, actively pursue collaboration, and assign higher priority and investments to SLM issues.

COMPONENT 3: Information, Communication and Knowledge Management

Objective 3: Generate information and knowledge to support IFS/UNCCD implementation	Activity 1: Establish a monitoring and evaluation system for tracking financial resources for SLM and measuring returns on SLM investments based on Observatory methodology	- Database/Observatory on SLM financing in place and easily accessible		
	Activity 2: Advocacy, awareness raising and communication campaign to support UNCCD/SLM	- Appropriate finance related knowledge, information and skills enhanced		
	Activity 3: Capacity building to enhance the use of information and knowledge on UNCCD/SLM financing	- # South-to-South cooperation initiatives for the exchange of information and experiences on resource mobilization		
			<ul style="list-style-type: none"> • X's country reports on UNCCD • Joint Aid memos between X, Y and other partners • Z Reports • Y annual reports - Progress reports • Newsletters and other media products 	Political will is present to support advocacy for UNCCD/SLM

Total duration of the action	36 months	Important message. The project may lead to up-scaling and structural change far beyond project
Objectives of the action	<p>Overall objective / Impact:</p> <p>The overall objective of the project is to strengthen food security in the project areas by establishing good conservation agriculture and agro-forestry practises, which can be up scaled to other areas of Eritrea. It is expected that, this will lead to programmatic and structural change of the Eritrean farming system in those areas that have potential for increased cereals food crop production.</p> <p>Specific Objectives / Outcome:</p> <ul style="list-style-type: none"> • Study and test the applicability and adaptability of conservation tillage practices with promising cover crops and agro-forestry practises in Eritrea's cereal based cropping systems. • Introduce and raise awareness among small scale farmers of the advantages of conservation agriculture systems and ensure that the new agricultural practice is locally owned and driven. • Train small scale farmers on conservation and evergreen agriculture practices and techniques, (local training activities and south to south knowledge exchange). • Introduce incentives based mechanisms for the land users to change agricultural practises through the demonstration of good results of conservation agriculture, and financing opportunities (including microfinance) and award systems for farmers. 	
Must respond to overall objective of the funding source!		
Partner(s)	Global Mechanism of the UNCCD,IT-2008-BOG-0503986534, International Organization	
Target group(s)	Farmers (including Women headed households), Researchers and Extension agents, and Private Sector Investors,	
Final beneficiaries	4500 small and medium scale farmers and private sector investors	
Estimated results / output	<ol style="list-style-type: none"> 1. Conservation agriculture and agro-forestry practices adopted and widely replicated; 2. Agricultural production increased and food security strengthened especially in rural communities and vulnerable populations; 3. Increased income generation from increased food production and drought resistant crops; 4. Improved technologies for addressing structural food security challenges adopted; 5. Environmental degradation reduced and sustainable land management promoted; 6. Good crop residue management system adopted to increase biomass and for weed and erosion control as well as soil moisture conservation; and 7. Appropriate fertilizer trees across different landscapes for increased soil cover and fertility planted. 	
Important section! Make sure it is in line with key interests of the donor.		
Main activities	Introduce and establish conservation agriculture and agro-forestry practices of zero or reduced tillage, direct planting, crop rotation, cover crops residue and use of different multi-purpose nitrogen fixing trees in the selected sites.	

Justify very well in the main text *how* these activities will lead to the estimated results.

Annex 13 - Tables from DRFN's Monitoring and Evaluation Document, 2017 (Risk Management Plan, Results Framework, Indicator Analysis)

Table 1: Risk Management Plan

Risk no.	Risk Description	Impact (Descriptive consequence)	Impact Category ¹ (High/medium/low)	Risk Rank	Proposed Mitigation	Manageability ²	Responsible person	Due Date

¹Rate the expected impact as high or medium or low
²Rate “manageability” of the expected impact from 1 to 3.

Table 2.1 – Results framework

Objectives	Indicators	Baselines	Targets	Sources of verification	Risks & assumptions

Table 2.2 – Indicator analysis

Indicator	Data Source	Data Collection method	Who will collect data?	Frequency to collect	Cost and difficulty to collect	Who will analyze data?	Who will report data?	Who will use data?
1								
2								
3								

Annex 14 - Gender-Related Indicators in the AF Results Tracker

<p>Impact: increased resilience at the community, national, and regional levels to climate variability and change</p> <p>*outcome 1: reduced exposure to climate-related hazards & threats</p>	<p>Core Indicators: # of beneficiaries</p> <p>Indicator 1: relevant threat and hazard info generated and disseminated to stakeholders on a timely basis</p>	<p>Total # of beneficiaries</p> <p>Total # of targeted stakeholders</p>	<p>% of female beneficiaries</p> <p>% of female stakeholders targeted</p>
<p>Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic & environmental losses</p> <p>Output 2.1: Strengthened capacity of national & sub-national centers and networks to respond rapidly to extreme weather events</p>	<p>Indicator 2: Capacity of staff to respond to, and mitigate impacts of climate-related events from targeted institutional increased Indicator</p> <p>2.1.1.: # of staff trained to respond to, and mitigate impacts of climate-related events</p>	<p>Total # of staff targeted</p> <p>Total # of staff trained</p>	<p>% of female staff targeted</p> <p>% of female staff trained</p>
<p>Output 3: Targeted population groups participating in adaptation and risk reduction awareness activities</p>	<p>Indicator 3.1.1.: Percentage of targeted population awareness of predicted adverse impacts of climate change, and of appropriate responses</p>	<p>Total # of targeted beneficiaries</p>	<p>% of female beneficiaries targeted</p> <p>% of female stakeholders targeted</p>
<p>Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas</p>	<p>Indicator 6.1: Increase in households and communities having more secure access to livelihoods assets</p> <p>Indicator 6.2: Increases in targeted population’s sustained climate-resilient alternative livelihoods</p>	<p>Total # of targeted households</p> <p>Total # of targeted households</p>	<p>% of female headed households</p> <p>% of female headed households</p>

Annex 15 - Example AF Gender-Responsive Projects

Order of projects: Chronological for those with a start date; Chronological for those with just an approval date

Ecuador: *Enhancing resilience of communities to the adverse effects of climate change on food security, in Pichincha Province and the Jubones River basin*

AF project URL: <https://www.adaptation-fund.org/project/enhancing-resilience-of-communities-to-the-adverse-effects-of-climate-change-on-food-security-in-pichincha-province-and-the-jubones-river-basin/>

- Objective: To strengthen the resilience and food security of 120 food insecure and vulnerable communities located in the Pichincha province and the Jubones river basin.
- Start Date: November 2011
- Grant amount: USD 7,449,468
- Implementing entity: WFP, *executing entity: Ecuador's Ministry of Environment
- A gender approach in all training modules and awareness campaigns
- Inclusion of a gender approach in every adaptation plan implemented at community level, which are incorporated into district level development plans
- Overarching target: to increase capacity to manage climate risks into 50% of women headed households
- 13 local governments involved in the project to include gender considerations in developing their respective Development and Land Use Plans (PDOT).
- Increased participation of women through training of project staff in gender themes: 53% through employing measures to increase female participation in the project

Rwanda: *Reducing Vulnerability to Climate Change in North West Rwanda through Community Based Adaptation*

AF project URL: <https://www.adaptation-fund.org/project/reducing-vulnerability-to-climate-change-in-north-west-rwanda-through-community-based-adaptation/>

- Objective: The objective of the project is to increase the adaptive capacity of natural systems and rural communities living in exposed areas of North Western Rwanda to climate change impacts.
- Start Date: February 2014
- Grant amount: USD 9,969,619
- Rwanda has actively promoted gender equality and equity in its laws and education policies. It has a proactive policy that promotes women participation in all areas of socio-economic life and currently has a higher percentage of women in parliament than any other country in the world.
- Traditional gender roles and patriarchal attitudes towards women in rural Rwanda mean that women have limited control over assets and decision making at the household and community level. This weakens their adaptive capacity and makes them more vulnerable to shocks and stresses linked to climate change. Women's involvement in certain livelihoods is also limited by gender relations which limits the ability of women to take up certain off-farm livelihoods.
- Training of project staff and community animators in gender sensitive adaptation planning
- Training workshops, round tables and short courses for Government and NGO staff in gender sensitive adaptation planning
- A **gender analysis** was undertaken as part of the design process to better understand gender roles, power relations and to disaggregate women's and men's specific interests, needs, and

priorities as they relate to the proposed project. The study examined women's vulnerabilities to climate change and how gender relations determine adaptation strategies.

- Objectives:
 - Improve understanding of men and women's vulnerabilities to climate change and explain how gender relations determine adaptation strategies in the target area
 - Provide recommendations on how women can participate equally and actively alongside men
 - Develop appropriate gender disaggregated indicators that can be integrated into the project framework
- The analysis explained how climate change affects women and men in different ways and enabled gender sensitive approaches to be incorporated in the project design and gender disaggregated indicators integrated into the project framework to ensure gender parity in the distribution of project benefits. A summary of the study is included in Annex 10.
- Gender sensitization training in households delivered jointly to husbands and wives, and then also to husbands in savings groups starting new businesses to outline the economic benefits for households and communities of women's economic empowerment
- Challenges identified include: the persistence of traditional gender roles and patriarchal attitudes towards women; misunderstandings about the meaning of gender, gender equality and women's empowerment; a lack of knowledge and awareness of national and local policy and priorities; and the perceptions of key decision-makers.

South Africa: *Building Resilience in the Greater uMngeni Catchment*

AF project URL: <https://www.adaptation-fund.org/project/building-resilience-in-the-greater-umngeni-catchment/>

- Objective: This project aims to reduce climate vulnerability and increase the resilience and adaptive capacity in rural and peri-urban settlements and small-scale farmers in productive landscapes in the uMgungundlovu District Municipality (UMDM), KwaZulu Natal Province, South Africa, that are threatened by climate variability and change, through an integrated adaptation approach.
- Start date: November 2015
- Grant amount: USD 7,495,055
- Objective achieved through implementing a series of complementary gender sensitive project interventions
 - A gender & social action plan prepared at the outset of implementation
 - Gender equity incorporated in many implementing activities of project
 - Gender consideration in the design and process of capacity building workshops
 - Effective gender planning to ensure the equal opportunities for men and women to receive comparable social and economic benefits
 - Inclusion of gender and social experts with rural community work experiences
 - Equitable representation of women and other vulnerable groups as project beneficiaries
 - Gender-sensitive targets for the project were established (see Section III.E) for appropriate interventions, accounting for the large proportion of rural households in the target area are led by women
- Each of the components of the project will be implemented taking gender considerations into account and with a strong focus on training and capacity building, which will have direct and indirect economic benefits for vulnerable communities and which will contribute to the project investments being sustained and scaled up. For instance, small scale farmers (both men and

women) in Swayimane and Vulindlela will be provided with training, interpretation and assistance by agricultural extension officers, giving them a better understanding of the climate change adaptation strategies available to them (for example, farm planning in terms of seasonal forecasting, planting crops which are flood and drought resistant).

- This participatory approach will encourage a sense of ownership, supporting the sustainability of project interventions and strengthening community cohesion, the empowerment of women and gender equity.
- At the same time, the project's participatory approach will capacitate local communities including vulnerable groups such as women, youth, and the elderly to participate in detailed plan development, and facilitate the integration of local and traditional knowledge with scientific/technical knowledge, ensuring that solutions are relevant to local conditions, usage and cultural practices.

India: *Building Adaptive Capacities of Communities, Livelihoods and Ecological Security in the Kanha-Pench Corridor of Madhya Pradesh*

AF project URL: https://www.adaptation-fund.org/wp-content/uploads/2016/08/Nabard-DPR_AFB-Project_KPC_Madhya-Pradesh-Aug-2016.pdf

- Objective: to build the adaptive capacity of the KPC community and the landscape in the backdrop of declining functionality of the ecosystem due to the degradation. It proposes to adopt a community centric three pronged approach of: i) building and strengthening community based institutions; ii) Community led ecosystem conservation; and, iii) promotion of climate informed and climate resistant livelihoods.

the project's objective is to manage the threats that have been discussed i

- Approval date: 10/20/2016
- Grant amount: USD 2,555,093
- Explores institutional processes that facilitate ways of maintaining gender equity in three villages based on common objectives and governed by collectively developed rules and regulations. To that extent, the planning, implementing, and monitoring of the project remains gender balanced and community driven. The project design ensures the representation of women and vulnerable communities which in turn provides them the opportunity to participate in the decision making process. Collective decision making builds on the ability of the women and vulnerable community to address their concerns in a judicious and equitable manner, thereby, improving their social standing.
- To identify the gender issues in the project area, a gender analysis was undertaken as part of the project formulation exercise. Table 2.1 gives details about the changes men and women have seen with regards to various aspects like – equity and livelihoods over a period of 30 years.
- Sensitization of leaders and members of the community-based organisations on gender issues identified in the above exercise will be undertaken which will help in mainstreaming gender issues in the developmental process at the village level. (See page 87)
- The project would also create/revive women self-help groups and integrate the women leaders in the capacity building and village planning exercise to ensure gender focused plans and their representation in the village level CBOs. The discussion with the community at different stages would attempt to bring to the fore the role of women, specific challenges faced by them, requirement to develop their adaptive capacities, focus on women headed household and their challenges. Specific drudgery related issues would be discussed in the meetings and addressing these would be factored in the village micro planning exercise.

- The dependence of women over natural resources is much more, as natural resources are generally in the domain of common properties and commons serve as safety net for the poor. Forests, water resources not only provide firewood but also contribute significantly to food and nutrition security especially in distress times. Therefore, institutional actions promoting judicious use of natural resources will be established to create provisioning for the vulnerable and poorer sections of the society including women. Also, better avenues for the wellbeing of women will be undertaken such as provision of efficient cooking stove, biogas (wherever there is a potential) which reduces exposure to health hazards/ physical risks. The project design also envisages elevating the economic status through various alternative income generating activities to ensure the success of uptake through skill development. All institutional processes will nurture democratic ethos in village governance, thereby facilitating integration of women and vulnerable communities in project design.
- Mobilisation and organization of the community into gender balanced village based institutions to plan, implement, and monitor the project activities is one of the major benefits of the project. In the village community based institutions, representation will be given to marginalized groups, which in turn will provide them the opportunity to participate in the decision making process.
- CoDrive assessment tool: <http://www.wotr.org/sites/default/files/WOTR-PD-handbook-Final-Web-Version.pdf>

Jordan - *Increasing the resilience of poor and vulnerable communities to climate change impacts in Jordan through Implementing Innovative projects in water and agriculture in support of adaptation to climate change*

AF project URL: <https://www.adaptation-fund.org/project/increasing-the-resilience-of-poor-and-vulnerable-communities-to-climate-change-impacts-in-jordan-through-implementing-innovative-projects-in-water-and-agriculture-in-support-of-adaptation-to-climate-4/>

- The primary aim of this project is to develop the sustainability of waste water reuse activities and on-farm integrated agriculture in Wadi Mousa as a mean of climate change adaptation.
- Approval Date: 04/10/2015
- Grant amount: USD 9,226,000
- **Social and Gender Risks, Integration and Impacts**
- The term “gender” here alludes to the cultural, social, economic and political conditions that are the basis of certain standards, values and behavioral patterns related to genders and their relationship.
- **Gender inequalities crossed with climate risks and vulnerabilities:** Women’s historic disadvantages – their limited access to resources, restricted rights, and a having muted voices in shaping decisions – make them highly vulnerable to climate change. The nature of that vulnerability varies widely, cautioning against generalization. But climate change is likely to magnify existing patterns of gender disadvantage
- Climate change affects women and men differently; understanding the risks and different impacts of climate change on men and women is a key to achieving sustainable development.
- Women are not just victims – they can help in implementing mitigation and adaptation of climate change strategies related to energy and resources use, economic and socio-economic perspectives, and policy making. Gender-based violence is also a socio-cultural construct that can create specific risks for women and girls in disaster-related situations.
- Amongst major gender-integration and impact issues, the Project is addressing in the context of national capacity building and development of the female gender at the farming site as follows:

- Women will be affected by the increased demand for on-farm labor and subsidiary services created as a result of farming sites work demands
- Women will be affected positively by intensified production, considering changes in labor requirements, in household cash requirements for agricultural investments, and concomitant changes in women's labor allocation
- Encouraging women householders (particularly widows and divorced women supporting families) to participate in the work of the local registered NGO managing the farming & irrigation activities at the project site
- Exploring most effective means to use treated wastewater to cultivate crops that can have commercial value added through processing of products or by-products, thus creating employment/income-generating opportunities for women
- Providing extensive on-site training to both men and women in the safe handling and use of treated wastewater
- Developing public awareness and social marketing tools directed to both men and women related to safety in handling and exposure and utility of wastewater reuse, recognizing that some tools may need to be tailored to the specific sub-audience groups
- Promoting engagement of female extension agents, and include in TORs, responsibility for technical issues related to effective and appropriate handling of treated wastewater
- Actively recruiting women professional staff in technical and administrative roles
- Of the 40 farmers, 6 women farmers were chosen as representatives of the local community.
- A wide spectrum of the community ranging from farmers, female heads of households, and local NGOs, discussed the project concept and recognized the importance of using treated waste water as a climate change adaptation in agriculture in Wadi Mousa region.

Chile – *Enhancing Resilience of Climate Change of the Small Agriculture in Chilean Region of O'Higgins*
 AF project URL: <https://www.adaptation-fund.org/project/enhancing-resilience-of-climate-change-of-the-small-agriculture-in-chilean-region-of-o-higgins/>

- The main objective is to increase the resilience capacity of rural farm communities in the coastal and inner dry lands of the O'Higgins region with respect to actual climate variation and future climate changes.
- Approval date: 10/09/2015
- Grant amount: USD 9,960,000
- Increase economic benefits through more involvement of women in farm production will strengthen their role and participation in farm management decision making.
- Women are more likely than men to adopt ecofriendly sound decision making. The strengthened position of women in farm management will have positive implications on the environmental consciousness building process at family level and will result in more environmental friendly farm practices.
- The project provides benefits to the most marginalised population in project area: poor rural households at the top of the vulnerability scale.
- Beneficiaries in 1.2.7 must be at least 57% women. Women participation in capacity development activities must keep at least the 31% in target population. Means of verification: yearly beneficiary survey, Annual Management Reports (AMR)