

**INCEPTION REPORT FOR THE
COMMUNITY ADAPTATION SMALL GRANTS FACILITY
PROJECT**



Grant provided by the Adaptation Fund via the South African National Implementing Entity.

**Report prepared by: SouthSouthNorth (the Executing Entity)
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Table of abbreviations:

ACDI	African Climate and Development Initiative
AF	Adaptation Fund
AN	Adaptation Network
CSA	Conservation South Africa
DEA	Department of Environmental Affairs
EE	Executing Entity
ESRMF	Environmental and Social Safeguards Risk Management Framework
ESP	Environmental and Social Policy
FA	Facilitating Agency
IDP	Integrated Development Plan
LTAS	Long Term Adaptation Scenarios
M&E	Monitoring and Evaluation
MDM	Mopani District Municipality
NDA	National Designated Authority
NDM	Namakwa District Municipality
NIE	National Implementing Entity
PAG	Project Advisory Group
PMT	Project Management Team
PPR	Project Progress Report
SANBI	South African National Biodiversity Institute
SGF	Small Grant Facility
SGR	Small Grant Recipient
SOP	Standard Operating Procedure
SSN	SouthSouthNorth
TAG	Technical Advisory Group
TOR	Terms of Reference
UCT	University of Cape Town (UCT)
UNFCCC	United Nations Framework Convention on Climate Change

1. Executive Summary

The Parties to the Kyoto Protocol of the United Nations Framework Convention on Climate Change (UNFCCC) established the Adaptation Fund (AF) as a mechanism to finance concrete adaptation projects and programmes in developing countries. It was specifically initiated to assist developing countries in meeting the costs of climate change adaptation.

Taking Adaptation to the Ground: A Small Grants Facility for Enabling Local Level Responses to Climate Change is an AF project being implemented under the auspices of the South African National Biodiversity Institute (SANBI) as the South African National Implementing Entity (NIE). The Community Adaptation Small Grants Facility (henceforth referred to as the SGF) is resourced via a USD 2 442 682 grant from the AF for implementation over a period of four years (2015 – 2019).¹

Moreover, the project marks a significant collaboration between the South African government and South African civil society to provide tangible support for the execution of adaptation measures in two of the country's regions that are most vulnerable to the impacts of climate change. The project is executed and facilitated by three civil society organisations,² and will provide approximately twelve USD 100 000 grants to communities for projects that aim to reduce their vulnerability and increase their resilience to climate variability and change whilst building institutional capacity.

This Inception Report aims to capture a summary of the progress made during the pre-inception phase (8 October 2014 – 15 September 2015) and to set out the agreed programme of work for implementation as captured in the proceedings of the Inception Workshop (16 & 17 September 2015).

The project's proposal can be found on the Adaptation Fund's project page along with periodical reporting throughout the project's lifecycle.³

¹ Project Identification reference: ZAF/NIE/Multi/2013/2.

² Executing Entity: SouthSouthNorth (www.southsouthnorth.org); Facilitating Agency Mopani District: CHoiCe Trust – (<http://www.choicetrust.org.za/>); Facilitating Agency Namakwa District: Conservation South Africa (<http://southafrica.conservation.org/>).

³ See the project's page on the AF website: <https://goo.gl/OMM4Sw>.

2. Introduction

The AF finances projects and programmes to help developing countries adapt to the negative effects of climate change. In September 2011, SANBI was accredited as South Africa’s NIE and undertook a range of consultative processes to determine project(s) that were the highest priority for consideration under the limited AF resources. These consultations led to the finalisation of two detailed project proposals selected. One of these proposals was the Community Adaptation Small Grants Facility (SGF) project titled, *'Taking Adaptation to the Ground: A Small Grants Facility for Enabling Local Level Responses to Climate Change'*.

Subsequently, the AF’s Project and Programme Review Committee endorsed the SGF in October 2014.⁴ In early 2015, the Minister of Environmental Affairs, Hon Ms. E Molewa, officially launched the NIE’s projects in South Africa. The SGF project aims to ensure that vulnerable, rural communities in the two project target areas of South Africa (Namakwa District Municipality and Mopani District Municipality (specifically Greater Giyani and Greater Letaba Local Municipalities) (see: *Figure 1*) have reduced vulnerability and increased resilience to the anticipated impacts of climate variability and change. This aim is realised through a small granting mechanism that the SGF is piloting, known as “enhanced direct access”.

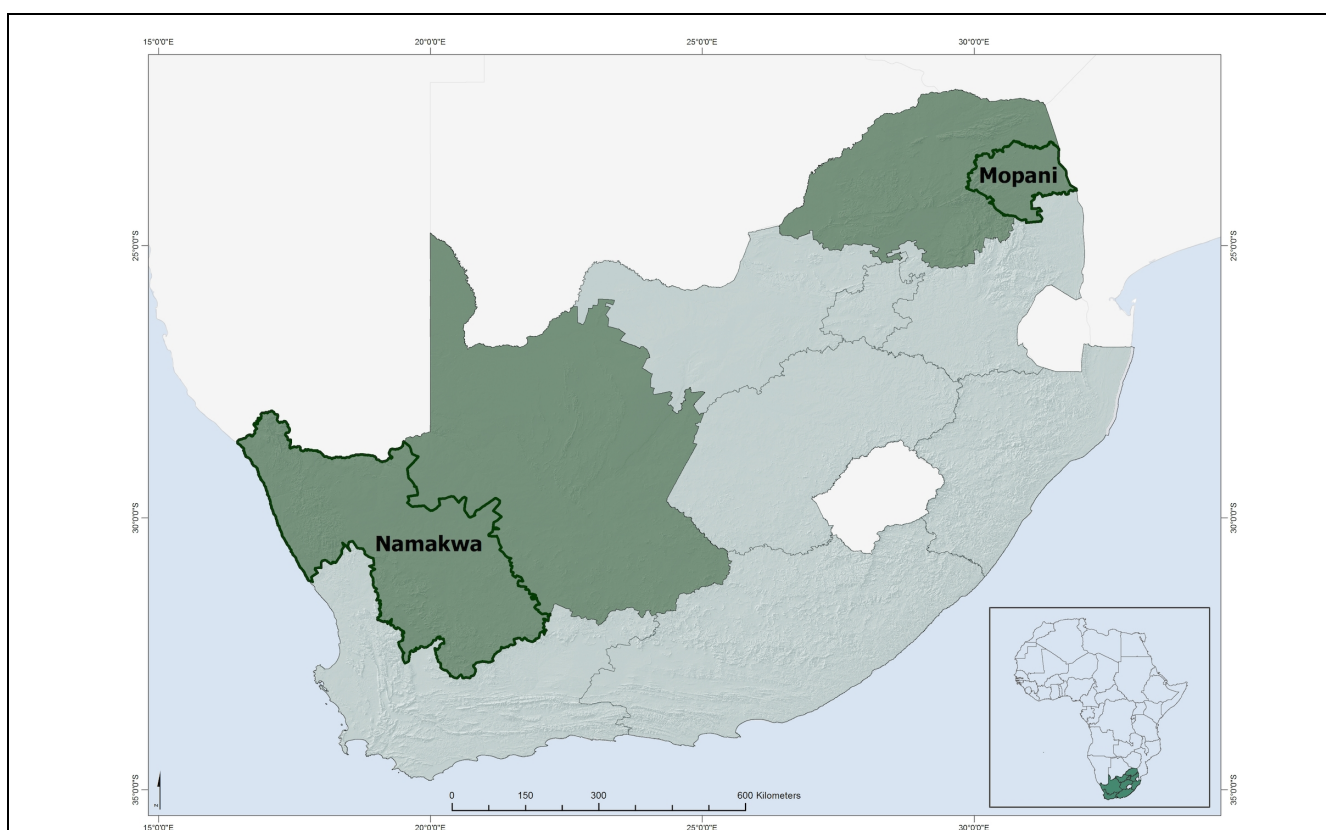


Figure 1: Map of South Africa showing the two project target areas for the Community Adaptation Small Grants Facility (SGF) project, Namakwa District (Northern Cape Province) and Mopani District (Limpopo Province).

⁴ See the revised project proposal: <https://goo.gl/yXmPmZ>.

Climate change projections have indicated that both the Mopani District, in Limpopo in the north east of South Africa, and the Namakwa District, in the Northern Cape in the north west of South Africa (see: *Figure 1*), will be subject to increasing temperatures and changing rainfall patterns. According to local scale analysis of historical trends and future projections, there is a distinct warming trend for both Mopani and Namakwa, which will be far more severe by 2050 if global mitigation efforts are unsuccessful. Rainfall changes are much less certain, with temporal and spatial variability. Yet in historical trends there are indications of an increase in the intensity of heavy rainfall events in both areas, evident through a decrease in the number of rain days coupled with an unchanged average annual rainfall. Warming, and the associated increase in the number of extremely warm days, is set to impact evaporation rates and water availability. This is a concern as water is already scarce in Namakwa and in parts of Mopani. Greater amplitude of dry and wet spells, along with increasing temperatures, will negatively impact already stressed communities in both areas – thus rendering them more vulnerable to the impacts of climate variability and change, more specifically droughts, seasonal shifts and storm-related disaster events.

The climate analysis is based on the latest climate change projections, prepared under South Africa's Long Term Adaptation Scenarios (LTAS) Flagship Research Programme⁵ Phase 1 process.⁶ The LTAS data analysis includes historical trends, as well as statistically and dynamically downscaled projections for South Africa. In order to gain a better understanding of the local scale projections for the two project target areas, a study was commissioned for a spatially specific analysis of data from the downscaled projections produced under the LTAS. A full report, developed by the African Climate and Development Initiative (ACDI) at the University of Cape Town (UCT), can be found as part of the Project Proposal.⁷

2.1. Community Adaptation Small Grants Facility (SGF) project background and objective

The SGF will increase climate resilience in rural communities and socio-economic systems by working directly with local stakeholders and anticipated beneficiaries in the two pilot District Municipalities in South Africa through a small granting mechanism. A detailed background and context to the project is available in the Project Proposal.⁸ Furthermore, vulnerability analyses were undertaken for the Greater Letaba and Greater Giyani Local Municipalities⁹ and the Namakwa District Municipality.¹⁰ For the purposes of this Inception Workshop report a summary of the key objectives, components and modalities is provided below.

⁵ The Long-Term Adaptation Scenarios (LTAS) Flagship Research Programme (2012-2014) is a multi-sectoral research programme, mandated by the South African National Climate Change Response White Paper. The LTAS aims to develop national and sub-national adaptation scenarios for South Africa under plausible climate conditions and development pathways. During its first Phase (completed in June 2013), fundamental climate modelling and related sector-based impacts and adaptation scoping were conducted and synthesised.

⁶ Department of Environmental Affairs, 2013. *Long-Term Adaptation Scenarios (LTAS) Research Programme for South Africa. Climate Trends and Scenarios for South Africa*. Pretoria, South Africa.

⁷ Brodrick, Rahiz and New, 2014. *Analysis of downscaled climate model results for the areas of Mopani and Namakwa, South Africa, at the district municipality scale*. Report prepared by ACDI for the SANBI NIE. See Annex I.1 & 2 of the Project Proposal available at <https://goo.gl/yXmPmZ>.

⁸ See: pages 4 – 17 of the Project Proposal available at <https://goo.gl/yXmPmZ>.

⁹ See: Annex II.1 (page 92) of the Project Proposal available at <https://goo.gl/yXmPmZ>.

¹⁰ See: Annex II.2 (page 125) of the Project Proposal available at <https://goo.gl/yXmPmZ>.

The SGF project objectives are as follows:

- (1) To incorporate climate adaptation response strategies into local practices. Therefore, assets, livelihoods and ecosystem services are protected from climate-induced risks associated with expected droughts, seasonal shifts and storm-related disaster events; and
- (2) To develop a robust methodology of a bottom-up, “enhanced direct access” approach in the context of climate finance, with a view to scaling up and replicating the model as appropriate. This approach responds directly to calls from civil society to bring the principle of ‘direct access’ closer to vulnerable communities, thus empowering them to determine how climate finance will be used, and building institutional capacity for the implementation of adaptation efforts at the local level.

The SGF project will meet the above objectives via three main components of implementation:

- I. Providing small grants to vulnerable communities that deliver tangible and sustainable benefits;
- II. Empowering local institutions to identify and implement adaptation response measures; and;
- III. Compiling and sharing lessons learned to facilitate future scaling up and replication of enhanced direct access.

It is envisaged that support will be provided for approximately twelve grants (approximately six in each project target area) in the region of USD 100 000 per small grant. Small grant projects will be selected through an open call for proposals as per the eligibility criteria for small grant recipients and small grant projects set out in the Call for Project Concepts (see , and specifically for the following Investment Windows: Climate-Smart Agriculture; Climate-Resilient Livelihoods; and Climate-Proof Settlements (*Figure 2*). It is envisaged that, if successful, the SGF approach will be replicated to other areas of South Africa using funds from other sources.



Figure 2: Three Investment Windows of the Community Adaptation Small Grants Facility (SGF): Climate-Smart Agriculture; Climate-Resilient Livelihoods; and Climate-Proof Settlements.

2.2. SGF project governance structure

The governance structures and flow and monitoring of funds for the SGF are outlined in *Figure 3*. SANBI is the South African NIE to the AF. The NIE will support project implementation by assisting in monitoring project budgets and expenditure, achieving project outcomes and outputs, ensuring compliance with AF operational policies and ensuring the efficient use of donor funds. The SGF also has an established Project Advisory Group (PAG) that will ensure alignment with local development plans, good governance and administration for successful project implementation.

The project is led and managed by the appointed Executing Entity (EE) (SouthSouthNorth), which is responsible for overall project execution, management and coordination. The governance structure of the SGF project also includes local level project partners who are based in the relevant target Districts. These partners are defined as Facilitating Agencies (FAs). An FA in each of the two project target areas will provide direct site-based support to small grant recipients. Conservation South Africa (CSA) is the appointed FA for the Namakwa District Municipality and CHoiCe Trust the FA for the Mopani District Municipality.

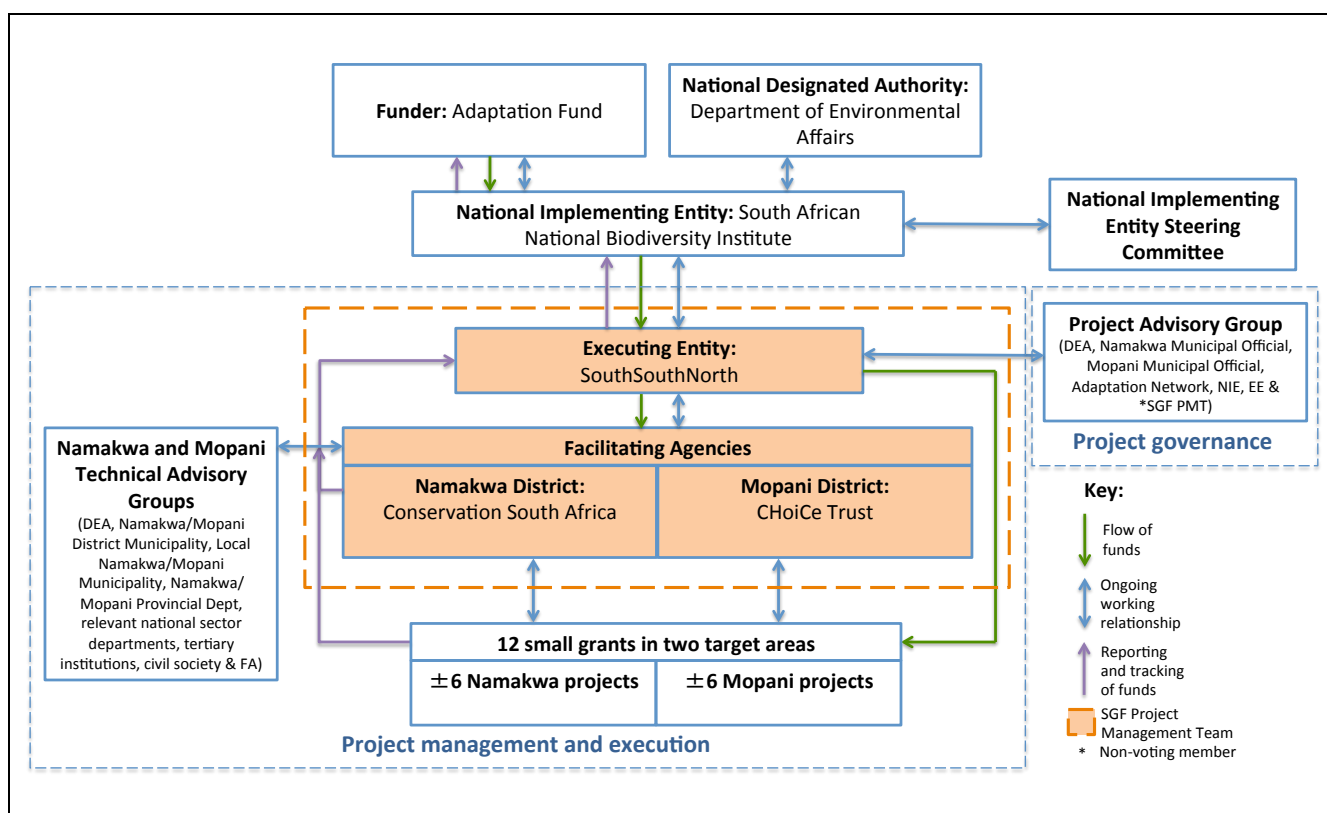


Figure 3: Schematic showing the institutional arrangements and structure (including project governance, management and execution) of the Community Adaptation Small Grants Facility (SGF) for local enhanced direct access piloted under the Adaptation Fund (AF). Green arrows indicate the flow of resources/funds and the blue arrows indicate the relationships between the different project partners, and purple arrows indicate the reporting and tracking of funds. Abbreviations: Department of Environmental Affairs (DEA), Executing Entity (EE); Facilitating Agency (FA); National Implementing Entity (NIE); and Project Management Team (PMT).

2.3. Inception phase activities

A number of activities were completed in the time between the project proposal being endorsed by the AF's Board and Inception Workshop itself. The Project Management Team (PMT) team carried out several activities for project readiness. A summary of these are listed below.

- Several field trips were made to the target districts by various members of the PMT in preparation for the launch of the SGF's call for concepts.
- The signing of the official AF agreements with the NIE at a launch event hosted by Hon Ms. E Molewa (**Figure 4**).
- Drafting of the requisite sub-ordinate legal agreements and terms of reference between the NIE and EE, and the EE and FAs.
- The Project Advisory Group (PAG) was established. To date, the PAG has met five times to discuss matters relating to the SGF's set up and governance (Annex 1).
- Conducting a competitive selection and procurement process for the Mopani District FA.
- The formulation of project teams within the NIE, EE and FAs was completed.
- The creation of a SGF logo; detailed design of project timeframes (including the drafting of Project Implementation Plans and Annual Project Implementation Plans) and the preparation of the documentation for an intended Call for Project Concepts (including refining of the eligibility criteria) (Annex 2 and Annex 3).
- The PMT team giving input to the design of the African Climate and Development Initiatives (ACDI) baseline study of adaptive capacities within vulnerable communities.
- Providing various inputs on a number of research outputs and outreach activities where PMT members were already planning to be in attendance.
 - The SGF was represented at the 9th International Conference on Community Based Adaptation¹¹ and at the International Scientific Conference "*Our Common Future under Climate Change*".
 - The EE attended the Resilience in the Limpopo Basin Program's (RESILIM) workshop in order to identify partners already working in the Limpopo Province.
 - The PMT presented at the Arid Zone Ecology Forum (AZEF) 2015 hosted at Goegap Nature Reserve, Namaqualand, South Africa on 5-8 October 2015; to introduce the SGF project and engage with stakeholders (researchers and practitioners) that work in the Namakwa District (**Figure 5**).
 - Additionally, the NIE and EE were represented at an Adaptation Fund Regional Climate Finance Workshop held in Windhoek, Namibia from 18 to 20 May 2015; in collaboration with the Heinrich Böll Foundation, the Government of Namibia and the Desert Research Foundation of Namibia.¹²

¹¹ See: <http://www.iied.org/cba9-9th-conference-community-based-adaptation-climate-change>. Further, the SGF CBA9 poster can be viewed here: <https://goo.gl/yN2YCq>.

¹² See: <https://za.boell.org/2015/07/24/report-climate-finance-regional-workshop>.

- The EE's key staff attended community based adaptation training hosted by the South African Adaptation Network.¹³



Figure 4: Signing of the official AF agreements with the NIE at a launch event hosted by Hon Ms. E Molewa

¹³ See: <http://www.adaptationnetwork.org.za/training/>.



Figure 5: Technical Project Manager of the Executing Entity (EE), Cherié Forbes, presenting on the Community Adaptation Small Grants Facility (SGF) at the Arid Zone Ecology Forum (AZEF) 2015.

3. Lessons learnt during inception phase

- **Contracting is complex and takes time:** The process of resolving the contractual arrangements between the various implementing, executing and facilitating agencies took more time than expected. There were a number of operational constraints experienced as a result of the dependencies of the contracting arrangements. In order to ease these operational constraints the due diligence and contract precedent documentation should be compiled in parallel to contract negotiations. With regards to contract negotiations, thought and care needs to be taken when drafting contracts to ensure the correct levels of governance and management are applied for a project of this nature. It would have been more favourable for the EE and the NIE to have co-operatively briefed the lawyers responsible for drafting the sub-agreements. The first versions of the EE and NIE agreements were not entirely appropriate for the nature of the grant making process and procedures.
- **The un-funded commitment of time during pre-inception phase has been significant:** Providing input during project proposal design required staff and their respective organisations to commit time. Many staff in the PMT volunteered their time during the design of the proposal and pre-inception phase. This time commitment and collective design process has been critical in the progress made to date.
- **Effective communication is essential for success:** Effectively communicating development interventions is not a simple undertaking especially when considering communicating complex climate change science. The SGF will have a multitude of stakeholders that it will need to communicate with in order to ensure that as many CSOs/NGOs are consulted as possible. Furthermore, one factor in the sustainability/longevity of the adaptation measures will be the SGF's ability to build partnerships and a community of practice amongst Small Grant Recipients. The challenge of ensuring that the project is effectively communicated and resourced accordingly will be a critical success factor. Internally, the process of decentralised governance of adaptation actions comes with increased communication and coordination activities. Moving forward into implementation, the PMT needs to build formal (and informal) coordination mechanisms, processes, roles/responsibilities/ and timelines for achieving collective milestones so that the project runs smoothly.
- **Sustained engagement and support from civil society:** While extensive consultative processes with stakeholders were undertaken during project development some stakeholders reported being unsure about whether or not their feedback was included in the amended Project Discussion Document or final proposal.¹⁴ Ensuring that there is 100% coverage of the necessary civil society stakeholders receiving timely and helpful updates has been a challenge. However, it is envisioned that the contracting of locally based Facilitating Agencies will increase coverage as they are well placed to inform stakeholders and update communication protocols to account for gaps given the relevant contexts. Furthermore, continued interactions with the civil society representatives regarding to the potential challenges that the projects may face (accountability; good governance; financial management of grants; monitoring and evaluation coupled with independent learning processes; etc.) are welcomed in order to ensure the ultimate success of the project. As recommended, the SGF has issued an open call for project concepts and invitations to attend briefing sessions (and optional training sessions) in each of the target districts in

¹⁴ Waagsaether and Koelle, *Insights from South Africa*, page 13. See: <http://af-network.org/download/8098.pdf>.

order to ensure an equal opportunity for CSOs/NGOs to respond. At a local level, civil society's engagement in this process will be critical. Furthermore, on a national scale, robust engagement from members of civil society on South Africa's climate change adaptation strategies and plans is encouraged and welcomed.

- **The importance of project's Learning Component (i.e. Component III):** The function of this component is to inform the lessons generated by this pilot project, testing the enhanced direct access modality. This learning component needs to provide multiple perspectives of the activities undertaken whilst allowing for the capture of honest criticism. It will be important that participating organisations and individuals feel comfortable giving negative feedback in the process of gathering this learning.

4. Inception Workshop

4.1. Objective of the Inception Workshop

The Inception Workshop for the SGF project was held on 16 September 2015 at the SANBI's offices in Kirstenbosch Gardens, Cape Town, South Africa.

The workshop was held over 2 days. The first day's programme (16 September 2015) is detailed below with the presentations given throughout the day attached as annexures to this report (Annex 4, Annex 5, Annex 6, Annex 7 and Annex 8. The second day (17 September 2015) consisted of a training session for the PMT (Annex 9) on the AF's Environmental and Social Safeguards (ESP) and some detailed discussions around the AF's ESP dashboard, the project eligibility criteria and the project application process (see Annex 10, and Annex 11 for presentation).

The objectives of the workshop were to:

- Mark the launch of the project;
- Gather the project's key stakeholders together to strengthen relationships and group cohesion;
- Build commitment and ownership of the responsibility each PAG member holds to ensure project objectives are met;
- Build consensus around the projects goals and objectives;
- Build awareness of certain project requirements (for example M&E and Independent Learning);
- Finalise the certain project activities and agree on the next steps for project implementation; and
- Gain a good understanding of the AF's ESP.

4.2. Workshop expectations

In the spirit of collaboration, learning and building a stronger understanding of each participant's anticipated outcome for the workshop, participants had an opportunity to share their expectations:

- To achieve the projects goals through strong collaboration with each other as PAG members.
- To have a firmer understanding of the status of the project to give accurate feedback to interested parties.
- To share knowledge about policy, governance and implementation aspects of the project.
- To ensure the project's scope benefits those at grassroots and bridges the gap between research and practice.
- To have complete agreement between all project partners regarding the project goals, the eligibility criteria and the Project Concept form.
- To ensure the project goal of improving the lives of communities is achieved and that skills and abilities are built to react to climate change impacts.

- That PAG will hold each other accountable in this project and become servants to the greater good.
- Networking, learning and developing a clear implementation strategy and understanding of the sustainability for the SGF project.
- To embark on this journey and set up a communicative space and to build trust in order to deal with unexpected events in an honest manner.
- To see that science is put into action and see other role players come together with their ideas.
- To develop the correct systems to successfully achieve the project's goals.

4.3. Participants and Agenda

Stakeholders from the following constituencies attended the Inception Workshop:

- The National Designated Authority (NDA), which is the National Department of Environmental Affairs (DEA)
- The National Implementing Entity (NIE), which is the South African National Biodiversity Institute (SANBI)
- The National Executing Entity (EE), which is SouthSouthNorth (SSN)
- The Facilitating Agency (FA) for the Mopani District Municipality, which is CHoiCe Trust
- The Facilitating Agency (FA) for the Namakwa District Municipality, which is Conservation South Africa (CSA)
- Civil society represented by the Adaptation Network (AN)
- Representatives from the Mopani District Municipality in the Limpopo Province
- Representatives from the Namakwa District Municipality in the Northern Cape Province

All PAG members were present (Annex 12).

The full list of workshop attendees:

Name	Organisation
Amanda Bourne (AB)	Conservation South Africa
Antoinette Schutte (AN)	CHoiCe Trust
Bettina Koelle (BK)	Adaptation Network
Carl Wesselink (CW) (Co-facilitator)	SouthSouthNorth
Cherié Forbes (CF)	SouthSouthNorth
Farai Hove (FH)	CHoiCe Trust
Gus Brown (GB)	Namakwa District Municipality
Helen Karathanassis (HK)	SouthSouthNorth
Mandy Barnett (MB)	South African National Biodiversity Institute
Mikateko Sithole (MS)	Department of Environmental Affairs

Name	Organisation
Mpfunzeni Tshindane (MT)	South African National Biodiversity Institute
Ntshavheni Mudau (NM)	Mopani District Municipality
Sarah Frazee (SF)	Conservation South Africa
Sarshen Scorgie (SS)	Conservation South Africa
Vhalinavho Khavhagali (VK)	Department of Environmental Affairs
Zukisani Jakavula (ZJ) (Facilitator)	SouthSouthNorth

The programme for the day covered many topics for discussion and confirmation. The minutes are annexed to this document (Annex 13).

The full agenda for the 16th of September was as follows:

No	Time	Item	Who
1	09h00	Welcome	EE
2	09h10	Introductions and expectations	All
3	09h25	The road to here	NIE
4	09h45	Perspectives from the National Designated Authority and each of the Districts	DEA, Mopani District, Namakwa District
5	10h10	Overall project plan (what we want to achieve during project lifetime, roles and responsibilities, etc.) + indicative timeline for Y1	EE (HK)
	10h45	TEA	
6	11h05	Local launch & briefing sessions (incl. communications plan) possible print	CHoiCe Trust and CSA
7	12h05	SGF M&E indicators	EE (CF)
8	12h35	Granting procedure (eligibility criteria, project concept form)	EE (CF)
	13h15	LUNCH	
9	14h15	Energiser	Adaptation Network
10	15h05	Communications strategy	EE (HK)
11	15h35	Independent learning (Component 3)	EE (CF)
	16h00	TEA	
12	16h20	Reflection and closure	EE and All
13	16h50	Group photo	All
14	17h30	Departure	All
15	18h00	Group dinner	All



Figure 6: Participants of the Community Adaptation Small Grants Facility (SGF) Inception Workshop held on 16 September 2015 at the SANBI's offices in Kirstenbosch Gardens, Cape Town, South Africa.

- Back row (from left to right): Carl Wesselink, Mpfunzeni Tshindane.
- Middle row (from left to right): Mikateko Sithole, Helen Karathanassis, Antoinette Schutte, Farai Hove, Bettina Koelle, Gus Brown, Cherié Forbes, Ntshavheni Mudau, Sarshen Scorgie, Zukisani Jakavula.
- Front row (from left to right): Amanda Bourne, Sarah Frazee, Mandy Barnett.
- Inset: Vhalinavho Khavhagali.

4.4. Key points raised during group discussions

4.4.1 Perspectives from the National Designated Authority and each of the Districts:

Department of Environmental Affairs (DEA):

- This is a pilot project aimed to be a key project on future service delivery projects.
- This project will help to unpack key values on social and economic levels by improving capacity.

- DEA want to reach out to local governments to be able to respond to climate change.
- This project is part of DEA's adaptation portfolio leading to COP21.

Mopani District Municipality:

- The idea of Mopani District's involvement in the project started in February 2014.
- Mopani prides itself by being involved because most environmental proposals are often side lined in favour of economic proposals.

Namakwa District Municipality:

- Districts always want to make sure that the proposals received are in line with the Integrated Development Plans (IDP).
- Namakwa district wants to use the SGF project to reach out to all six municipalities in the District.

4.4.2 Further discussions:

- The Minister of Environment Affairs would like to attend the SGF launches in the Districts, so rather have the launches once the small grant projects are approved. Thus, politicians can engage with the Small Grant Recipients.
- FAs to incorporate a session on ESP in the programme for briefing session (i.e. training in completing the Project Concepts Application Form on the second day - 23 October 2015 for Namakwa and 29 October 2015 for Mopani).
- The case study content could cover the experience of a few small grant projects that have one or two overlaps (e.g. learning for climate change adaptation in South Africa, Limpopo and Namaqualand).

4.5. Monitoring and Evaluation (M&E)

SGF M&E guidance documents are under development based on the monitoring requirements (e.g. SGF log-frame/Results-Based Framework as stipulated in the project proposal approved by the AF, as well as relevant standard practice documentation, namely the AF's Reporting Requirements and the Project Progress Report (PPR) template.¹⁵ Furthermore, the M&E framework will be co-developed by the SGF PMT, with oversight by the NIE. The M&E framework outlines a joint approach with collaborative objectives, processes and arrangements. The purpose of the framework is to have a Standard Operating Procedure (SOP) for partners of the SGF to follow throughout the lifetime of the project since the framework is linked to the SGF work plan and reporting requirements.

In brief the M&E framework outlines the following key monitoring processes:

- Reporting cycle - financial and project progress reports produced quarterly by the Small Grant Recipients, FAs and the EE.

¹⁵ The Project Progress Report (PPR) submitted to the AF by the NIE on an annual basis. The PPR serves as the minimum requirements for reporting. An updated template available here: <http://www.adaptation-fund.org/projects-programmes/project-performance/>.

- Site visits - quarterly site visits to Small Grant Recipients and beneficiaries by the FAs as well as annual site visits by the EE.
- External/independent evaluation - annual reviews of small grant projects by the ESP expert, and a scheduled mid-term and terminal review by an external evaluator.

Evaluations are usually independent, at a fixed point in time, provide data validation, and measure overall project effectiveness. The M&E framework will assist project partners in planning and measuring indicators to reach targets specified in the SGF log-frame/Results-Based Framework. At the Inception Workshop, the majority of the PAG members' comments and feedback focused on the implementation of activities necessary to measure the SGF M&E indicators and therefore achieve the milestones/targets.

The comments given for the draft SGF M&E indicators are summarized below:

- Introduce the M&E framework and requirements to the potential Small Grant Recipients during the briefing sessions so that this is a well-known part of the project from the start.
- To enable accurate reporting on indicators, data will be collected as early as possible from the project's first activities. For example, beneficiary total breakdowns regarding gender and youth will be included in project documentation from the start.
- During the small grant project development phase, the SGF M&E indicators should be used to determine which projects will be accepted – this way the indicator milestones and targets will be reached because they are considered from the start of the small grant projects. In other words, indicators related to the Small Grant Recipients and projects have been incorporated into the eligibility criteria.
- The column named “baseline” was discussed and due to some confusion on the purpose of it, the baseline column is to be renamed “project baseline”. Each small grant project will contribute to the baselines, once they are operational.
- Small Grant Recipients should be notified from the beginning of the project that they may be required to assist in producing case studies as a means to compile and share lessons regarding best practice and challenges.
- Some indicators and targets may need to be adjusted for accuracy after the mid-term review.

4.6. Environmental and Social safeguards training

For the SGF to be in alignment with the AF ESP, the SGF has been designed to be compliant with a set of environmental and social principles. An initial ESP training for the SGF PMT was facilitated by the NIE on Thursday, 17 September 2015 (*Figure 7*). During this session, the EE and FAs were provided with an overview of the fifteen ESP principles¹⁶ outlined by the AF, with the important note that all small grant projects must demonstrate that they comply with the ESP principles (Box

¹⁶ See: <https://goo.gl/NrFLFO>.

1). It was noted that not all fifteen ESP principles might give rise to risks in consideration for all small grant projects; however the three core principles listed below are likely to be an important consideration for all small grant projects funded by the SGF:

- Compliance with the law (principle number 1),
- Human Rights (principle number 4), and
- Core Labour Rights (principle number 6).

Box 1: The 15 Environmental and Social Principles of the Adaptation Fund

Principle 1: Compliance with the Law

Principle 2: Access and Equity

Principle 3: Marginalized and Vulnerable Groups

Principle 4: Human Rights

Principle 5: Gender Equity and Women’s Empowerment

Principle 6: Core Labour Rights

Principle 7: Indigenous Peoples

Principle 8: Involuntary Resettlement

Principle 9: Protection of Natural Habitats

Principle 10: Conservation of Biological Diversity

Principle 11: Climate Change

Principle 12: Pollution Prevention and Resource Efficiency

Principle 13: Public Health

Principle 14: Physical and Cultural Heritage

Principle 15: Lands and Soil Conservation

The NIE also gave an introduction to the Environmental and Social Safeguards Risk Management Framework (ESRMF) and dashboard. During the training session the PMT was able to test the dashboard (*Figure 7b*). This was done via a role-playing exercise where the team was divided into groups of three, with each group choosing a project that was categorised under at least one of the three Investment Windows (see *Figure 2* above).

Each group had to role-play as an organisation that could be a potential Small Grant Recipient and develop a climate change adaptation idea into a project concept. Each group completed the Project Concept Application Form (*Annex 3*); thereafter, the concept forms were exchanged amongst the groups. During this phase each group played the role of the reviewer, evaluating concepts according to the eligibility criteria (*Annex 3*) and ESP principles. The following was learnt through the role-playing exercise:

- The need for adjustments to wording, additional information added and simplification of some sections of the Project Concept Application Form.

- Ensuring that critical eligibility criteria, and therefore certain M&E indicators considered, were included in relevant sections of the form (e.g. of the total number of staff represented on the management team, how many of which are women; of the total number of direct beneficiaries, how many of which are women and youth; etc.).
- The usefulness to include a signed disclaimer at the end of the Project Concept Application Form which requires an applicant to declare that they have read through and comply with the set eligibility criteria, which includes criteria no. 2.7. "Small grant projects must not leave anyone or anything worse off as a result of the project and will be screened for compliance with the Adaptation Fund's Environmental and Social safeguards.¹⁷ Where there are minor risks involved, the applicant must demonstrate clearly and convincingly how these risks will be mitigated".
- Minor adjustment to the ESP dashboard made it appropriate for use by PMT as a reviewing tool during "ESP screening I" of the small granting procedure to initially detect and manage environmental and social risks associated with project concepts.

¹⁷ See: <https://goo.gl/QKiq8N>.

(a)



(b)



Figure 7: (a) Mike Jennings from the NIE introducing the 15 principles outlined in the Adaptation Fund's Environmental and Social Policy (ESP) to the SGF Project Management Team (PMT) during ESP training on 17 September 2015. Note: Slide in the presentation taken from a presentation by Patricia Miller at AF Climate Finance Readiness Seminar #6, Washington DC, USA. (b) Groups role-playing as project concept developers and reviewers to test viability of the revised Project Concept Application Form, revised eligibility criteria and ESP dashboard, during the AF ESP training facilitated by the NIE.

5. Concluding remarks

A key decision made was to shorten the period from when the first call for concepts is made to the first grant going live, without compromising the integrity of the process and its objectives. This means that the Project Concept Form needs to be shortened and that the PAG will have 24hrs to reflect and comment on the recommendations from the EE on which concepts to approve for the next round.

Project activities to ensure smooth implementation and well informed decisions regarding project proposal evaluations are to be concluded in the next few weeks, for example:

- Finalisation of contractual arrangements with all project partners;
- The establishments of the Technical Advisory Groups (TAG) in each district and;
- Issuing the first call for project concepts.

The indicative schedule for the first year's activities was discussed and agreed in principle. It was agreed to run two calls for concepts concurrently to ensure the maximum amount of grants contracted as soon as possible. A summary of the activities are listed in the table below.

Activity	Time frame
1st call for project concepts (EE, FA)	September 2015
Project Inception Report due (EE)	October 2015
Official launch of project and briefing sessions in both Districts (Facilitating Agencies). Optional training for potential grantees (climate change, proposal writing)	October 2015
1st call project concept - Submit project concepts (prospective Small Grant Recipients)	November 2015
1st call project concept - Review and screen project concepts against three sets of criteria (Applicant, Project Concept and ESP Screening 1) (Facilitating Agencies, Technical Advisory Groups, EE)	November 2015
1st call project concept - Make recommendations regarding next stages and submit to the EE (Facilitating Agencies)	November 2015
1st call project concept- table recommendations at PAG meeting (EE)	November 2015
1st call project concept- Notify prospective Small Grant Recipients of outcomes (project concept approved; requires additional work; not approved) (Facilitating Agencies). Ask to complete due diligence forms (EE)	December 2015
2nd call for concept - Q&A for potential grantees - cut off 3 days before closing date - all questions and answers to be made public	January 2016
1st call detailed proposal - Complete detailed project proposal DRAFTS; Submit completed detailed project proposals DRAFTS to Facilitating Agencies to check for completeness (Task for prospective Small Grant Recipients)	December 2015 – January 2016
1st call - NIE Steering Committee receive update and note as to the concepts being recommended for full proposals	Date to be determined according to NIE Steering Committee's meeting schedule

Activity	Time frame
1st call detailed proposal - Convene detailed project proposal development sessions with prospective Small Grant Recipients; Work with prospective Small Grant Recipients to improve detailed project proposal, <i>this includes determination of baselines for each proposal</i> (Facilitating Agencies, Experts)	January – February 2016
1st call detailed proposal - Development of a risk management plan AND due diligence (Facilitating Agencies, Small Grant Recipients)	February 2016
1st call detailed proposal - Screen detailed project proposal against AF ESP screening 2, submit to the EE with endorsement letters (Facilitating Agencies on behalf of the TAGs)	February 2016
2nd call project concept- Review and screen project concepts against three sets of criteria (Applicant, Project Concept and ESP Screening 1) (Facilitating Agencies, Technical Advisory Groups, EE)	February 2016
2nd call project concept- Make recommendations regarding next stages and submit to the EE (Facilitating Agencies)	February 2016
2nd call project concept- table recommendations at PAG meeting (EE)	February 2016
2nd call project concept - NIE Steering Committee - confirmation of concepts	February 2016
2nd call project concept - Notify prospective Small Grant Recipients of outcomes (project concept approved; requires additional work; not approved) (Facilitating Agencies). Ask to complete due diligence forms (EE)	March 2016
1st call detailed proposal - Acknowledge receipt (EE); Review completed detailed project proposals – technical and due diligence (Experts, EE)	March 2016
1st call detailed proposal - Screen detailed project proposal against AF ESP screening 2 (EE, and oversight from NIE if necessary - see pg 29/78)	March 2016
2nd call detailed proposal - Complete detailed project proposal; Submit completed detailed project proposals DRAFTs to Facilitating Agencies to check for completeness (Task for prospective Small Grant Recipients)	March – April 2016
1st call detailed proposal - Table recommendations at PAG meeting to agree on the first projects to be granted (EE)	March 2016
1st call detailed proposal - Table recommendations at NIE Steering Committee to agree on the first projects to be granted	March 2016
1st call detailed proposal - Notify prospective Small Grant Recipients of outcomes (detailed project proposal approved; requires additional work; not approved (Facilitating Agencies) & distribute draft of contract	March 2016
2nd call detailed proposal - Convene detailed project proposal development sessions with prospective Small Grant Recipients; Work with prospective Small Grant Recipients to improve detailed project proposal, <i>this includes determination of baselines for each proposal</i> (Facilitating Agencies, Experts)	April – May 2016
1st call detailed proposal- Preparation of draft terms and conditions (EE with Small Grant Recipient)	April 2016
1st call detailed proposal - Finalisation of a risk management plan (EE, FAs, Small Grant Recipients)	April 2016
1st call - Negotiation and finalization of draft legal documents (EE, Facilitating Agencies, Small Grant Recipients Signature of legal documents)	April 2016
1st call - Award small grant (<i>first action to confirm baseline assessment</i>)	April 2016
2nd call detailed proposal - Development of a risk management plan AND due diligence (Facilitating Agencies, Small Grant Recipients)	April – May 2016

Activity	Time frame
2nd call detailed proposal - Screen detailed project proposal against AF ESP screening 2, submit to the EE with endorsement letters (Facilitating Agencies on behalf of the TAGs)	April – May 2016
2nd call detailed proposal - Acknowledge receipt (EE); Review completed detailed project proposals – technical and due diligence (Experts, EE)	May 2016
2nd call detailed proposal - Screen detailed project proposal against AF ESP screening 2 (EE, and oversight from NIE if necessary - see pg 29/78)	May 2016
2nd call detailed proposal - Table recommendations at PAG meeting (EE)	June 2016
2nd call detailed proposal - Table recommendations at NIE Steering Committee	June 2016
2nd call detailed proposal - Notify prospective Small Grant Recipients of outcomes (detailed project proposal approved; requires additional work; not approved (Facilitating Agencies) & distribute draft of contract	June – July 2016
2nd call detailed proposal - Preparation of draft terms and conditions (EE with Small Grant Recipient)	June – July 2016
2nd call - Finalisation of a risk management plan (EE, FAs, Small Grant Recipients)	June – July 2016
2nd call detailed proposal - Negotiation and finalization of draft legal documents (EE, Facilitating Agencies, Small Grant Recipients Signature of legal documents)	June – July 2016
2nd call - Award small grant (<i>first action to confirm baseline assessment</i>)	July 2016



SOUTH
SOUTH
NORTH



Minutes of Meeting

Community Adaptation Small Grants Facility Project Advisory Group Meeting

DISTRIBUTION

To those present +

Project Advisory Meeting No.1 (Interim Meeting)

DATE: 13 April 2015

LOCATION: SANBI, Kirstenbosch, Cape Town

PRESENT:

Mandy Barnett (MB)	South African National Biodiversity Institute (SANBI) - National Implementing Entity (NIE)
Gus Brown (GB)	Namakwa District Municipality (NDM)
Cherie Forbes (CF)	SouthSouthNorth (SSN) - Executing Entity (EE)
Chris Fortuin (CFn)	Namakwa District Municipality (NDM)
Zukisani Jakavula (ZJ)	SouthSouthNorth (SSN) - Executing Entity (EE)
Helen Karathanassis (HK)	SouthSouthNorth (SSN) - Executing Entity (EE)
Bettina Koelle (BK)	Adaptation Network
Vhalinavho Khavhagali (VK)	Department of Environmental Affairs (DEA) - National Designated Authority (NDA)
Ntshavheni Mudau (NM)	Mopani District Municipality
Sarshen Scorgie (SS)	Conservation South Africa (CSA) - Namakwa Facilitating Agency (FA)
Carl Wesselink (CW) (Chair)	SouthSouthNorth (SSN) - Executing Entity (EE)

APOLOGIES: None

PURPOSE: Interim Meeting for the Project Advisory Group

1. Welcome, introductions and confirmation of agenda

- 1.1 CW chaired the meeting and welcomed everyone to the first meeting, the Interim Project Advisory Group meeting, for the Community Adaptation Small Grants Facility Project.
- 1.2 Introductions were made.
- 1.3 The agenda was confirmed without any additional items.

2. Overview of the SGF and the role of the EE

- 2.1 ZJ gave an overview of the role of SouthSouthNorth as the Executing Entity for the Small Grants Facility and how novel the the project is because its funding mechanism is referred to as "enhanced direct access".
- 2.2 MB gave an brief explanation of what the Adapation Fund is, how its funded, how SANBI fits in as the National Implementing Entity and what kind of projects the Community Adaptation Small Grants Facility are going to fund.
 - 2.2.1 An explanation of the differences between the Adaptation Fund (AF), South Africa's domestic Green Fund, the Green Climate Fund (GCF) and the possibilities of aligning them with the investments of the AF.
 - 2.2.2 SS provided an overview of Conservation South Africa's (CSA) background and the role it plays as the Facilitating Agency for the Namakwa District.
 - 2.2.3 The meeting expressed their excitement for the SGF project commencement, mentioning the partnerships and resources that have come together to enable its existence and the hopes for the future expansion of the project beyond the initial pilot districts.
 - 2.2.4 All selected SGF projects must become reflected in the IDPs. So it will be sustainable in the future as this will help tie into a longer-term municipality process. Responsibility of the PAG, TAG, FAs once the 12 projects have been approved.
 - 2.2.5 It was noted that none of the organisations involved are making a profit and are in fact co-financing much of activities because it is believed to be something important. The in-kind invesments will need to be captured so that the real cost of implementation is known in order to understand the costs of scalling up to reach more people, while ensuring good processes, learning and results.

3. PAG Terms of Reference (incl. meeting schedule, round robin agreement, process to elect a chair)

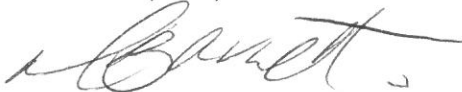
- 3.1 CW explained the importance of the PAG, what it wants to achieve, and the need to have a document outlining its rules and operating procedures, stressing that it should be flexible.
- 3.2 MB provided an overview of the general roles and responsibilities of the governance structure as it appears in the SGF proposal to the AF.
- 3.3 **Comments/Amendments to the draft PAG Roles and Responsibilities**
 - 3.3.1 For the interest of clarity, remove the small box of the PMT, so that the EE and the FAs are the PMT. The FAs will come to the PAG meetings. EE
 - 3.3.2 Need to see where in the governance structure/organogram the learning component is going to be implemented *so that learning is impartial and not bias*. EE
 - 3.3.3 Have ToR be very clear on what the PAG is doing (e.g. need it more compact - one or two pages - these are the members, how many EE

ITEM	ORIGINAL DATE	FORECAST DATE	ACTION BY
			times to meet, who calls the meeting, how often, is it possible to have an "inter alia" or "proxy" - what is the procedure, governance issues, etc.). Need the PAG ToR to be a working document.
3.3.4			Make a separate roles and responsibilities document and talk about all role players and their duties. EE
3.3.5			If there isn't continuity there is risk but at same time there are some instances where there will be a proxy present. Need to make sure that whoever the proxy/inter alia is, he/she needs to be fully empowered and up to speed to comment make decisions on the PAG member's behalf. PAG Members
3.3.6			The word "consider" in the first bullet, page 2 to change to "discuss". EE
3.3.7			Include a flow diagram with the TAG's involvements. EE
3.3.8			Simplify the risk management flow diagram - Stage 1, Stage 2, Stage 3 of the project flow diagram. EE
3.3.9			Grievance procedure - the appeal will go to SANBI CEO as the head of the NIE. A draft of the SGF grievance procedure to be drawn up for the PAG's review in due cause. Steps: grantees must engage the EE then PAG then SANBI (NIE). EE
3.3.10			A shortened PAG ToR to be sent for round robin. All members to email comments for inclusion. EE/PAG
3.3.11			An invitation letter to be sent to CSA to join as an ex-officio member of the PAG . CSA to respond to this. EE/CSA
3.3.12			Include the following options for decision making in the updated PAG ToR - Option 1: meet or phone in via teleconference. Option 2: email if need a quick decision and everybody responds within the time limit (7 days). Option 3: impromptu meeting. Have a caveat - sometimes people are travelling and then call in the inter alia/proxy. EE
3.3.13			Include the function of the Chair in the updated PAG ToR. EE
3.3.14			DEA (Vhali) and SANBI (Mandy) will confer after the meeting regarding accepting role of the Chair. VK/MB
4.			Mopani FA process (advice), the advert for an expression of interest, FA Terms of Reference
4.1			Adverts for the Mopani FA will be done through: local newspaper, organisations that were involved in pre-consultation will be sent via email, local municipality, LEDET and Municipality will also advise. EE
4.2			Information in the FA ToR isn't captured correctly at the moment regarding the level of local roots for the ideal organisation - need to work on the wording up front. SS help with framing this paragraph. SS
4.3			A separate background information sheet to be drawn up to separate the ToR. EE
4.4			Include the "Learning component" - since it is critical and needs to be captured better in the FA ToR - e.g. "Commitment from the FA that they will share and participate in learning" and there will be important learning between the FAs. EE
4.5			Budget section in ToR - take it out so that we are not evaluating on budget up front but rather that there is a conversation later on - but we can state the cap. e.g. "This is the ceiling/cap and the potential Mopani FA will be selected only if all these activities can all be fulfilled" - then supply the list of activities/deliverables, etc. The selection criteria should be based on skill and experience rather than based on budget. EE
4.6			Rather ask the applicant "what did you do when" as opposed to "what would you do if?". We want to see their experience, and as a team (EE and Mopani FA) we will collectively design what they actually do. Communicate in the Expression of Interest (Eoi) that we EE

ITEM	ORIGINAL DATE	FORECAST DATE	ACTION BY
4.7			EE
4.8			EE
4.9			
5. Branding			
5.1			EE
5.2			NIE
6. Any other business			
6.1			EE
7. Next Meeting			
7.1			

Attachment(s)/Enclosure:
None

Minutes accepted by:



Mandy Barnett/Vhalinavho Khavhagali



Community Adaptation Small Grants Facility Project Advisory Group Meeting

DISTRIBUTION

To those present +
Gus Brown

Project Advisory Meeting No.2

DATE: 6 May 2015

LOCATION: Teleconference

PRESENT:

Mandy Barnett (MB) (co-chair)	South African National Biodiversity Institute (SANBI) - National Implementing Entity (NIE)
Cherie Forbes (CF)	SouthSouthNorth (SSN) - Executing Entity (EE)
Zukisani Jakavula (ZJ)	SouthSouthNorth (SSN) - Executing Entity (EE)
Helen Karathanassis (HK)	SouthSouthNorth (SSN) - Executing Entity (EE)
Vhalinavho Khavhagali (VK) (co-chair)	Department of Environmental Affairs (DEA) - National Designated Authority (NDA)
Bettina Koelle (BK)	Adaptation Network
Ntshavheni Mudau (NM)	Mopani District Municipality
Sarshen Scorgie (SS)	Conservation South Africa (CSA) - Namakwa Facilitating Agency (FA)
Mikateko Sithole (MS)	Department of Environmental Affairs (DEA) - National Designated Authority (NDA)
Mpfunzeni Tshindane (MT)	South African National Biodiversity Institute (SANBI) - National Implementing Entity (NIE)
Carl Wesselink (CW)	SouthSouthNorth (SSN) - Executing Entity (EE)

APOLOGIES: Gus Brown (GB) (Namakwa District Municipality)

PURPOSE: 2nd Project Advisory Group Meeting

ITEM		ORIGINAL DATE	FORECAST DATE	ACTION BY
1.	Welcome, introductions and confirmation of agenda			
1.1	CW opened the meeting and welcomed everyone to the meeting.			
1.2	Introductions were made for 2 new attendees: <ul style="list-style-type: none"> - Mikateko Sithole from DEA who will be representing Vhalinavho Khavhagali when he's not able to attend - Mpfunzeni Tshindane who works with the NIE and will be supporting the SGF project 			
1.3	Amanda Bourne from CSA will be the proxy for Sarshen Scorgie if she's unable to attend future meetings (not in attendance today).	8.06.15		EE
1.4	1 addition was made to the agenda and discussed – <ul style="list-style-type: none"> - Telkom to be investigated as the next telecon provider. 			
1.5	It was agreed that meetings will be co-chaired by the NIE and DEA. Either one can chair the entire meeting or agenda items can be alternated between the 2.			
2.	Confirmation of previous meeting's minutes			
2.1	It was agreed that the format and style of the minutes should be an action and decision style.			
2.2	The minutes of the Interim Meeting to be redrafted to the agreed style as well as all future minutes.			EE
2.3	The redrafted minutes of the previous meeting will be confirmed in the next meeting.			EE
2.4	It was suggested that at the end of each agenda item the co-chair should summarise the item clearly as this will help steer the meeting and ensure accurate meeting minutes.			Co-chairs
2.5	Example of the NIE Steering Committee Minutes to be sent to the EE.	10.05.15		NiE
3.	Finalisation of the PAG ToR			
3.1	The meeting reviewed the PAG ToR and the Operation Procedures and asked that the documents be revised with the recommendations below and that they be merged into 1 document.			
3.2	PAG ToR			
3.2.1	MB took over the chair of meeting from this agenda point.			
3.2.2	The composition of the PAG was accepted. CSA's members to include Amanda Bourne.	8.06.15		EE
3.2.3	All meetings will consist of at least 1 co-chair - whenever referring to the chair, its actually the co-chair - pull this through the rest of the document (not deputy and main chair).	8.06.15		EE
3.2.4	On page 2, the section beginning with "Should the need arise..." delete that paragraph, apart from the last sentence.	8.06.15		EE
3.2.5	The co-opting of technical advisors will be on a per needs basis.	8.06.15		
3.2.6	"co-opting" must be replaced with "invite" in this sentence.	8.06.15		EE
3.2.7	Some of the information noted in the introductory section to be placed in the objectives section.	8.06.15		EE
3.2.8	It was noted that the PAG provides expertise and guidance to the decision making process for selection of the small grant projects (i.e. doesn't solely reject or approve proposals). The language of the document to better be nuanced to express this.	8.06.15		EE
3.2.9	A project approval/decision making diagram should be included in this document - need a decision-making process document - which illustrates the obligations of all SGF project partners from project concept to end. EE to draw this up from the available information	8.06.15		EE

ITEM	ORIGINAL DATE	FORECAST DATE	ACTION BY
regarding this process			
3.2.10 CSA to draft the TAG ToR. The FA needs know how far their role goes before they pass on to the TAG or PAG.	7.05.15		CSA
3.2.11 An addition to the document: at the beginning of each meeting, each member will disclose if there is a conflict of interest and at which agenda point of the meeting, so that they can excuse themselves for that part to the meeting.	8.06.15		EE
3.2.12 An addition to the document: the ToR will be amended from time to time to meet the PAG's objectives, if there is a need due to the operational requirements, and will be circulated at least 2 weeks in advance of the meeting, and will be agreed by a quorum.	8.06.15		EE
3.3 Operational Procedures of the PAG			
3.3.1 All documents relevant to the meeting to be made available at least 1 week before the meeting, include in the OP.	8.06.15		EE
3.3.2 It would be nice to have face-to-face PAG meetings. Site visits can be combined with meetings to enable this.			
3.3.3 The occurrences for the PAG meetings in other centres to coincide with learning activities – this to be added to the ToR.	8.06.15		EE
3.3.4 The meeting agreed that members should not be prohibited from attending meetings due to budget constraints. The PAG meetings to be scheduled around availability of members – add to ToR.	8.06.15		EE
3.3.5 Members experiencing problems with costs should notify the co-chairs and copy the EE (since SSN holds the SGF budget). PAG needs to work collectively to manage this – add to ToR.	8.06.15		All
3.3.6 PAG meetings should be held just before the NIE Steering Committee Meetings where possible to ensure continuity.	8.06.15		EE
3.3.7 The last sentence should read that the Secretariat is the focal point of contact.	8.06.15		EE
4. Expression of Interest for the Mopani Facilitating Agency			
4.1 The Eol was approved with the request that one more simple language check be done.	14.05.15		EE
4.1.1 Meeting noted SSN's intention to place the advert for the Eol in the next week.			EE
4.1.2 Amendments to be made to the text in italics on page 2: ... <i>"they are encouraged to form a consortium with another organisation that compliments their skill set and organisational capacity to fulfil the both functions."</i> . Delete the section starting with "however".	14.05.15		EE
4.1.3 Amendments to be made on page 6, paragraph 2 : It should be 1 budget and if 2 organisations form a consortium to be the FA, they will determine the budget split between themselves.	14.05.15		EE
5. Branding			
5.1 SANBI's design agency on contract "Deep Design" will have look at the logo to have it more polished and ready for next week.	7.05.15		NIE
6. Eol Advert			
6.1 It was decided that 4 weeks is enough time for organisations to respond to the advert.			
6.2 The meeting recommended a pre-advert warm up meeting be held between SSN, MS, SANBI and NM (held directly after the PAG meeting)	06.05.15		EE
6.3 The proposals received must be evaluated before the next NIE SC			

meeting which is on 22 June 2015.

7. Next Meeting

7.1 17 June 2015 13h00-16h00

Attachment(s)/Enclosure:

Revised Minutes of PAG Meeting No 1
Amended draft of the PAG ToR
Draft of the TAG ToR

Minutes accepted by:



Mandy Barnett/Vhalinavho Khavhagali



Community Adaptation Small Grants Facility Project Advisory Group Meeting

DISTRIBUTION

To those present +
Amanda Bourne
Gus Brown
Vhalinavho Khavhagali
Bettina Koelle

Project Advisory Meeting No.3

DATE: 17 June 2015

LOCATION: Teleconference

PRESENT: Mandy Barnett (MB) (co-chair) South African National Biodiversity Institute (SANBI) - National Implementing Entity (NIE)
Cherie Forbes (CF) SouthSouthNorth (SSN) - Executing Entity (EE)
Zukisani Jakavula (ZJ) SouthSouthNorth (SSN) - Executing Entity (EE)
Helen Karathanassis (HK) SouthSouthNorth (SSN) - Executing Entity (EE)
Ntshavheni Mudau (NM) Mopani District Municipality
Sarshen Scorgie (SS) Conservation South Africa (CSA) - Namakwa Facilitating Agency (FA)
Mikateko Sithole (MS) Department of Environmental Affairs (DEA) - National Designated Authority (NDA)
Mpfunzeni Tshindane (MT) South African National Biodiversity Institute (SANBI) - National Implementing Entity (NIE)
Carl Wesselink (CW) SouthSouthNorth (SSN) - Executing Entity (EE)

APOLOGIES: Amanda Bourne (AB) (CSA), Gus Brown (GB) (NDM), Bettina Koelle (BK) (AF), Penny Price (PP) (AF), Vhalinavho Khavhagali (VK) (co-chair) (DEA)

PURPOSE: 3rd Project Advisory Group Meeting

ITEM		ORIGINAL DATE	FORECAST DATE	ACTION BY
1.	Welcome, introductions and confirmation of agenda			
1.1	MB opened the meeting and welcomed all attendees.			
1.2	Introductions were made by those present.			
1.3	2 additions were made to the agenda and discussed: <ul style="list-style-type: none"> • Logo • Teleconference mechanism 			
2.	Confirmation of previous meeting's minutes			
2.1	The draft minutes of the first PAG meeting were accepted with one addition to be included: "All selected SGF projects must become reflected in the IDPs. So it will be sustainable in the future as this will help tie into a longer-term municipality process. Responsibility of the PAG, TAG, FAs once the 12 projects have been approved."	29.07.15		EE
2.2	The draft minutes of the second PAG meeting were accepted. The spelling error of Mikateko's name to be corrected.	29.07.15		EE
3.	Finalisation of the PAG ToR			
3.1	The meeting reviewed the revised PAG ToR and unanimously agreed to adopt them.			
3.2	The draft TAG ToR was for table for information. At a later meeting these will be adopted. If members have any comments, they can send them to SSN.			All
4.	Expression of Interest for the Mopani Facilitating Agency			
4.1	The expression of interest for the Mopani FA was advertised, with the deadline for proposals on 15 June at midnight. A briefing session was held on 25 May that 5 organisations attended. The answers to queries raised at the briefing session and via email up until 31 May were posted online for all participants to view.			
4.2	11 proposals were received which were adjudicated by MB, ZJ and Ronald Mukanya from SSN. By consensus 3 proposals have been identified for the FA role in Mopani. SSN directors and EE team to do further robust review and due diligence.	01.07.15		EE
4.3	Another PAG will be held in which the preferred bidder is discussed, presenting reasons for selection, hopefully within the next 2 weeks.	01.07.15		All
4.4	Approval from the NIE Steering Committee will be needed for the final choice.			
5.	Contracting			
5.1	SANBI has forwarded a second draft of the contract to SSN. Once the final contract is agreed between the NIE and the EE, contracting can cascade to the FAs and the grantees at a later stage. Both parties are engaging to reach a final contract.	Ongoing		EE/NIE
5.2	A clause will be included that expenditure incurred by SSN will be eligible for reimbursement.			NIE
5.3	The process has been a bit tricky because of the division of risk that needs to be captured fairly and in the interest of both parties.			
6.	Logo			
6.1	The new logo was finalised at the end of May 2015 and was received well.			

ITEM		ORIGINAL DATE	FORECAST DATE	ACTION BY
6.2	SSN and CSA will have a Communications meeting on 22 June 2015. A branding and communications plan to be formulated and reported back the PAG at the next full meeting.	29.07.15		SSN/CSA
7. Teleconference Mechanism				
7.1	The Telkom conference service was used for the briefing session. Logistically and administratively it was found to have some weaknesses. The PowWowNow mechanism is found to be a better solution.			
7.2	SSN suggests that those parties that feel they must have the costs covered by the EE, they bill SSN directly.			
7.3	SSN to contact the Adaptation Network directly to come up with a solution that is acceptable to both parties.	24.06.2015		EE
8. Next Steps				
8.1 Inception workshop				
8.1.1	According to the AF Project Inception signifies the start of the project. There will be 2 inception workshops, one in each district to launch in the communities and revive interest.			
8.1.2	SSN to discuss options with CSA and present some suggestions at the next full PAG meeting. Which "events/activities" can we tag on those already in the project timeline; what form will the Inception workshop take, etc.?		TBC	SSN/CSA
8.2 Mopani FA				
8.2.1	In 2 weeks times a short 30 minute teleconference will be called regarding the proposed FA for Mopani. SSN will provide a brief overview of the organisation suggested to fulfill this role and how the decision was reached. A short report will provide the names of all 11 organisations, who the 3 shortlisted organisations are and what was discovered during the due diligence process.	01.07.15		EE
8.3 TAG ToR				
8.3.1	SSN and CSA to finalise the TAG ToR as far as possible.			
8.3.2	Table a proposed timeline between now and the call for proposals with the events that must take place up until then for the next full PAG.	29.07.15		EE
9. Next Meeting and any other business				
9.1	Next PAG in 2 weeks time to sign off on the Mopani FA.	01.07.15		All
9.2	The following PAG will take place in 4 weeks time – 22 or 29 July 13h00 is the proposed date for the next full meeting (check with BK).	29.07.15		All
9.3	Table a proposal on the learning component and how to keep it independent – next full PAG	29.07.15		EE
9.4	Marie-Ange (from the African Climate and Development Initiative (ACDI)) to be invited to the next full PAG for her describe what research she's doing in relation to the SGF.	29.07.15		EE

Attachment(s)/Enclosure:

Minutes accepted by:



Mandy Barnett/Vhalinavho Khavhagali



**Community Adaptation Small Grants Facility
Project Advisory Group Meeting**

DISTRIBUTION

To those present +
Amanda Bourne
Gus Brown
Bettina Koelle
Mikateko Sithole

Project Advisory Meeting No.4

DATE: 1 July 2015

LOCATION: Teleconference

PRESENT: Mandy Barnett (MB) (co-chair) South African National Biodiversity Institute (SANBI) - National Implementing Entity (NIE)
 Cherie Forbes (CF) SouthSouthNorth (SSN) - Executing Entity (EE)
 Zukisani Jakavula (ZJ) SouthSouthNorth (SSN) - Executing Entity (EE)
 Helen Karathanassis (HK) SouthSouthNorth (SSN) - Executing Entity (EE)
 Vhalinavho Khavhagali (VK) (co-chair) Department of Environmental Affairs (DEA) - National Designated Authority (NDA)
 Ntshavheni Mudau (NM) Mopani District Municipality
 Sarshen Scorgie (SS) Conservation South Africa (CSA) - Namakwa Facilitating Agency (FA)
 Department of Environmental Affairs (DEA) - National Designated Authority (NDA)
 Mpfunzeni Tshindane (MT) South African National Biodiversity Institute (SANBI) - National Implementing Entity (NIE)
 Carl Wesselink (CW) SouthSouthNorth (SSN) - Executing Entity (EE)

APOLOGIES: Gus Brown (GB) (Namakwa District Municipality), Bettina Koelle (BK) (Adapation Network), (DEA); Mikateko Sithole (MS) Department of Environmental Affairs (DEA) , Amanda Bourne (AB) (CSA)

PURPOSE: Mopani Facilitating Agency Evaluation Process

1. Welcome, introductions and confirmation of agenda

- 1.1** MB opened the meeting and welcomed all attendees.
- 1.2** The purpose for the meeting is give feedback on the process followed to evaluate the proposals submitted in answer to the EOI for the Mopani FA.

2. Overview of the assessment

- 2.1** The expression of interest for the Mopani FA was advertised, with the deadline for proposals on 15 June at midnight. A briefing session was held on 25 May that 5 organisations attended. The answers to queries raised at the briefing session and via email up until 31 May were posted online for all participants to view. 11 proposals were received in answer to the EOI advertised for the Mopani FA. The evaluation team was Mandy Barnett (SANBI), Zuki Jakavula (SSN) and Ronald Mukanya (CDKN).
- 2.2** Overall it was found that none of the organisations could perform the FA role. The evaluation criteria that were agreed upon were used to shortlist 3 proposals, even though they aren't able to undertake the assignment as was envisioned.
- 2.3** One of the disappointments was the University of Limpopo that didn't submit a relevant proposal.
- 2.4** The Chair reminded all that we are looking for an organisation that can find the small grants, not do the small grant projects, and that the FA role is largely administrative.
- 2.5** Overall everyone was comfortable with the process but perhaps Second Generation's ability to contribute in part to what the enabling process needs to be relooked at.

3. Overview of the 3 shortlisted proposals

- 3.1** The 3 shortlisted candidates are: Kruger to Canyon, Mvula Trust and Tsogang Water and Sanitation.
- 3.2** The 3 proposals were presented to the NIE SC 22 June 2015. The SC raised concern about the organisations' capability to perform the function.
- 3.3** SSN did some validation of the information submitted without raising expectations - Tsogang submitted no financial statements, Mvula trust are in the media with some reputational issues, K2C are not immediately local, and are bringing an outside organisation to fulfill the technical function.
- 3.4** In summary the 3 that were shortlisted are not able to perform the job.

4. Questions and comments

- 4.1** Points were raised around the budgets of the submitted proposals and that some proposals had extremely high rates – even though the available budget for this project was declared and available.
- 4.2** It was suggested that Tsogang not be shortlisted because they didn't meet some of the basic requirements and that Second Generation be relooked at because of their local aspect and successful previous projects that the Mopani Municipality is aware of.
- 4.3** The suggestion was made that SSN capacitate one of the 11 organisations that are strictly local.
- 4.4** Another suggestion made was to capacitate the local authority to perform the FA role to ensure the long-term sustainability of the SGF

ITEM

ORIGINAL DATE FORECAST DATE ACTION BY

projects by secondments of individuals.

5. Way forward

5.1 An important thing to remember in terms of the NIE requirements is that 6 projects must be selected within the next 6 months.

5.2 A 2nd evaluation group will be formed between SSN and MDM (CW & NM) to review all the proposals (in particular Second Generation) during the week of 6 July 2015 and provide recommendations to the PAG regarding a way forward.

6-10.07.15

SSN/NM

Attachment(s)/Enclosure:

Minutes accepted by:



Mandy Barnett/Vhalinavho Khavhagali

Adaptation Fund - South Africa

Taking Adaptation to the Ground: A Small Grants Facility for Enabling Local Level Responses to Climate Change

Full call for project concepts

The South African National Implementing Entity of the Adaptation Fund and the project management team of the Community Adaptation Small Grants Facility (SGF), in association with the Mopani and Namakwa District Municipalities are pleased to open the first call for concepts for local climate change adaptation small grants. The SGF will provide finance to communities for projects that aim to reduce their vulnerability and increase their resilience to climate variability and change.

The SGF invites eligible organisations to submit their project concepts:

- In the Namakwa District - **on or before 23h59, Friday, 6 November 2015.**
- In the Mopani District - **on or before 23h59, Friday, 13 November 2015.**

All applications must be submitted to your local Facilitating Agency. Project Concept Application Forms submitted after the deadline will **NOT** be considered. Project Concept Application Forms submitted via the incorrect channels will **NOT** be considered. Briefing sessions will be held in the Namakwa District (22 October 2015) and the Mopani District (28 October 2015).

All small grant projects will deliver concrete, tangible benefits to local communities in one or more of the following Investment Windows:

- Climate-Smart Agriculture;
- Climate-Resilient Livelihoods;
- Climate-Proof Settlements.

The SGF will provide at least 12 grants in the order of R1,000,000 each to fund climate change adaptation projects in the Greater Letaba Local Municipality, Greater Giyani Local Municipality, and the Namakwa District Municipality, South Africa. All project activities should be planned to begin in or after April 2016 and conclude in or before March 2019. The SGF strongly supports field-based, participatory processes.

For more information and to download the following relevant documentation, please visit the SouthSouthNorth (SSN) website: Full call for concepts, Project Concept Application Form (including eligibility criteria), Invitation to the briefing session, Registration form for the briefing session; and supporting documentation, SGF project proposal to the Adaptation Fund, and the Adaptation Fund's Environmental and Social Policy.

SSN website: <http://bit.ly/1Rb59yC>

For local organisations without ready access to the internet, paper copies of the Project Concept Application Form and eligibility criteria can be obtained from the local Facilitating Agency in your region.

Submission guidelines

In the Namakwa District – the Facilitating Agency is Conservation South Africa, Apie Visser Street, Springbok, 8240

- The deadline for submission of your Project Concept Application Form is **on or before Friday, 6 November 2015 at 23h59**.
- Your contact person for enquiries is **Geniene Nero**, tel: (027)7181565.
- Completed Project Concept Application Forms must be submitted by email to csa-jobs@conservation.org.

In the Mopani District – the Facilitating Agency is CHoiCe Trust, 12 Park Street, Tzaneen, 0850

- The deadline for submission of your Project Concept Application Form is **on or before Friday, 13 November 2015 at 23h59**.
- Your contact person for enquiries is **Anne Van Zyl**, tel: (015)3076329.
- Completed Project Concept Application Forms must be submitted by email to anne@choicetrust.co.za.

All Project Concept Application Forms

- Must be submitted in English and by email to the email addresses listed above.
- Must be clearly labelled in the subject line of the email as 'SGF CONCEPT'.

All prospective SGF applicants may approach their local Facilitating Agency at any time with questions related to completing the Project Concept Application Form until 3 days from the submission deadline (**3 November in Namakwa; 10 November in Mopani**). Questions and answers will be posted publicly on the SSN website, updated regularly and with a final update no later than 1 full working day before the submission deadline.

Indicative Timeframe for SGF Project Concepts	
Activity	Timeframe
Local Briefing Session - Namakwa District	22 Oct 2015, Thurs
Optional training on climate change and proposal development - Namakwa District	23 Oct 2015, Fri
Local Briefing Session - Mopani District	28 Oct 2015, Wed
Optional training on climate change and proposal development - Mopani District	29 Oct 2015, Thurs
End of Question and Answer - Namakwa District	3 Nov 2015, Wed
End of Question and Answer - Mopani District	10 Nov 2015, Wed
Project Concept Application Form Submission Deadline - Namakwa District	6 Nov 2015, Fri
Project Concept Application Form Submission Deadline - Mopani District	13 Nov 2015, Fri
Complete Review of Concepts	27 Nov 2015, Fri
Notify applicants of decision	December 2015

**Any delays or changes to this indicative timeframe will be communicated to you.*

***Organisations who submit successful Project Concept Application Forms will be invited to develop Detailed Proposals, supported by their local Facilitating Agency. These Detailed Proposals will be due at the end of February 2016 for approval by the National Implementing Entity Steering Committee, after which approved projects can expect to begin in April/May 2016.*



Community Adaptation Small Grants Facility - South Africa funded by the Adaptation Fund

PROJECT CONCEPT APPLICATION INFORMATION (page i-ii)

Please note that this call for Project Concepts marks the first step in the proposal development process.

This application form will be used to screen and review Project Concepts. Successful applicants will receive further detailed proposal development support from the Facilitating Agencies in each project target area, and fully developed proposals will then be submitted to the Project Advisory Group for approval.

The SGF project team expressly reserves the following rights:

- To reject all or any proposals; and
- To retain the right not to select any application/s even if all requirements are met.

Please complete the following PROJECT CONCEPT APPLICATION FORM (page 1-5), taking into consideration the eligibility criteria for Small Grant Recipients and projects (Annex A) and submit via the correct channels described below.

Send the completed Project Concept Application Form to csa-jobs@conservation.org if you are planning to work in the Namakwa District, or to anne@choicetrust.co.za if you are planning to work in the Mopani District. Submissions must be clearly labelled in the subject line - 'SGF CONCEPT'. Applications should not exceed the specified word counts per section. If you have any questions or concerns please send your enquiry to the same relevant account and we will do all that we can to assist.

Briefing sessions will be held in Namakwa District (22 October 2015) and Mopani District (28 October 2015).

All applications must be submitted two weeks after the local briefing session in your District, on the dates shown below. All applications must be submitted to your local Facilitating Agency. Project Concept Application Forms submitted after the deadline will **NOT** be considered. Project Concept Application Forms submitted via the incorrect channels will **NOT** be considered.

- In the Namakwa District, the deadline is **on or before Friday, 6 November 2015 at 23h59.**
- In the Mopani District, the deadline is **on or before Friday, 13 November 2015 at 23h59.**

INTRODUCTION

The Community Adaptation Small Grants Facility (SGF) will provide grants in the order of R1 000 000, for climate change adaptation projects in the Greater Letaba Local Municipality, Greater Giyani Local Municipality, and the Namakwa District, South Africa. All project activities should be planned to begin in or after April 2016 and conclude in or before March 2019. All successful grantees will be expected to participate in training, lessons sharing, and monitoring and evaluation activities for which they will have to budget.

Please note that, in order to be eligible for receiving funding, applicants will need to have a good track record in project implementation and be able to demonstrate the following:

- Alignment with the SGF Eligibility Criteria - see Annex A below;
- Registration as a legal entity;
- Possession of a South African bank account; and
- Existing relationships with beneficiary communities.

Please note that the SGF is interested in funding projects that clearly responds to experienced or anticipated climate induced stresses and shows a demonstrated link to building climate change resilience and/or reducing climate risk for vulnerable groups. Projects must respond to at least one of the three Investment Windows described in Box 3 in the project proposal to the Adaptation Fund: (1) Climate-Smart Agriculture, (2) Climate-Resilient Livelihoods, and (3) Climate-Proof Settlements. It may be useful to refer to your local climate change vulnerability assessment (refer to Annex II.1 or II.2 in the project proposal to the Adaptation Fund).

The proposed project management structure must include an NGO and the presence of women in the management structures of the lead applicant will be an advantage.

Please note that the SGF will **NOT** fund the following:

- Projects that are **exclusively** education and awareness;
- Projects that are **exclusively** research oriented;
- Projects that are **exclusively** planning based; and

Elements of these activities listed above can be included in a project but **should not be the main focus** of the proposed project.

During the evaluation of Project Concepts, the SGF project team may contact applicants with requests for additional information or with questions for clarity if this is required. Note that whether or not an applicant is contacted or visited for more information during concept review is not an indication of whether or not the submission is likely to be successful.

PROJECT CONCEPT APPLICATION FORM (page 1 of 5)

(For Executing Entity (EE) office use ONLY. Do not write anything here.)

Reference number: _____

Concept approved OR **request for additional information** OR **not approved**

EE Lead name: _____

EE Lead Signature: _____

Date: _____

PART I: ORGANISATION INFORMATION

ORGANISATION LEGAL NAME:

PROJECT LEAD CONTACT *(Provide the name and contact information for the person responsible for correspondence regarding this project.)*

NAME AND SURNAME:

MAILING ADDRESS:

PHYSICAL ADDRESS - *if different from mailing address above:*

E-MAIL ADDRESS:

TELEPHONE:

CELL:

FAX, IF ANY:

WEB SITE ADDRESS, IF ANY:

LEADING ORGANISATION TYPE *(tick one)*

Community Based Organisation Non-profit company Trust Private Sector for profit

University or Academic Institution Other: _____

Total number of staff in the organisation	
<i>of which, total number of staff (women)</i>	
<i>of which, total number of staff (men)</i>	
Total number of staff in the management structures of the organisation	
<i>of which, total number of management team (women)</i>	
<i>of which, total number of management team (men)</i>	

PROJECT CONCEPT APPLICATION FORM (page 2 of 5)

PROJECT TITLE:

PROJECT LOCATION *(Define the geographic location where project activities will take place.)*

Province:

Local Municipality:

Nearest Town:

GPS co-ordinates:

INVESTMENT WINDOW *(Which category does your project fit into? Tick one or more.)*

Climate-Smart Agriculture

Climate-Proof Settlements

Climate-Resilient Livelihoods

PROJECT DURATION *(Enter the approximate time period of your project.):*

WHO WILL IMPLEMENT THE PROJECT? *(Describe project partners (if any) by providing a bullet point list of names of partners and their main role in the project.):*

-
-
-
-

ORGANISATION'S CAPACITY AND TRACK RECORD *(What relevant implementation experience does your organisation have? Describe your track record in managing funds and in implementing projects by providing a list of examples of projects and funders over the last 3-5 years, including the annual value. Indicate if there have been substantial prior relationships with local community). (Maximum 250 words).*

PROJECT CONCEPT APPLICATION FORM (page 3 of 5)

PART II: PROJECT MOTIVATION

PROBLEM STATEMENT *(What is the main challenge/need that you want to address through this project?). (Maximum 300 words).*

CLIMATE CHANGE LINK *(What are the main climate change impacts that affect the challenge/need identified above, currently and into the future? Consider how people will be affected). (Maximum 300 words).*

ADAPTATION RESPONSE *(What is the response that you propose to this challenge/need? How will your project respond to the climate risks identified and how will your project build long term resilience to climate change and/or reduce vulnerability to climate risks in vulnerable local communities?) (Maximum 300 words).*

PROJECT CONCEPT APPLICATION FORM (page 4 of 5)

PART III: PROJECT DESCRIPTION

PROJECT ACTIVITIES *(Describe the activities you will undertake to achieve your adaptation response described above) (Maximum of 6 activities as bullet points):*

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.

FUNDING REQUEST AMOUNT *(Enter the total amount (ZAR) of funding requested from the SGF. The budget should be broken down into the project activities mentioned above (maximum 6). Note that **the amount for project implementation should not exceed approximately R1 000 000:***

Activity	High level indicative budget (ZAR)
Activity 1	
Activity 2	
Activity 3	
Activity 4	
Activity 5	
Activity 6	
Overheads and running costs (if not already built into activities above)	
Total (ZAR):	

PROJECT CONCEPT APPLICATION FORM (page 5 of 5)

PART IV: PROJECT IMPACT

PROJECT BENEFICIARIES *(Provide a description of the direct beneficiaries of the project. Maximum 150 words in bullet point form.):*

-
-
-
-

Total number of direct beneficiaries	
<i>of which, number of direct beneficiaries (women)</i>	
<i>of which, number of direct beneficiaries (men)</i>	
<i>of which, number of direct beneficiaries (youth)</i>	

PROJECT IMPACTS *(Provide a brief description of how the project provides climate change adaptation benefits (in economic, social and/or environmental terms) to vulnerable local communities). (Maximum 200 words).*

SUSTAINABILITY AND REPLICABILITY *(Briefly explain how the outcomes of the project will be sustained in the long term). (Maximum 200 words).*

DISCLAIMER

I,, acknowledge that the information I have provided is accurate and that I have read the eligibility criteria (Annex A) and considered how these will be addressed should this Project Concept (Stage 1) be selected for Detailed Proposal development (Stage 2).

Signature:

Date:

Community Adaptation Small Grants Facility - South Africa

ANNEX A: ELIGIBILITY CRITERIA

	No.	Small Grant Recipient Criteria
Minimum requirements	1.1	Small Grant Recipients must be legal entities with a South African bank account and a clean audit , and have the experience and capacity to receive, manage and audit project funds .
	1.2	Small Grant Recipients must be South African institutions with proven relevant implementation experience over the last 2-5 years .
	1.3	Small Grant Recipients must have previous positive experience receiving a combination of funds in the order of R250 000 per year over a period of at least two years .
	1.4	Civil society organisations must be represented on management structures of all small grant projects.
	1.5	Organisations will need to show how women are included in their project management structures .
	1.6	Small Grant Recipients must have proof of land or asset ownership, and/or sustainable land tenure or permission to carry out proposed activity, as relevant.
	1.7	Small Grant Recipients must have a clear mandate from anticipated beneficiaries and local community stakeholders to work in the project target areas on the identified project activities.
	1.8	Small Grant Recipients must demonstrate commitment (indicated in their budgets) to participate in learning and knowledge development and dissemination processes.
	1.9	Small Grant Recipients may only receive one small grant from the Community Adaptation SGF. (NOTE: Organisations may submit more than one idea for consideration in initial calls for concepts, but no organisation will receive multiple grants).
Preferable	1.10	Preference will be given to small grant projects led by civil society organisations .
	1.11	Small grant recipients are encouraged to develop implementation partnerships that augment or share their current capacity; additionally collaboration could assist in meeting recipient eligibility criteria.
	1.12	Preference will be given to Small Grant Recipients that have established long-standing relationships with communities in the Namakwa or Mopani District Municipality.
	No.	Project criteria
Minimum requirements	2.1	Small grant projects must support adaptive interventions that clearly respond to current or anticipated local climate change vulnerabilities relevant for the project area and therefore deliver concrete, tangible and measurable climate change adaptation benefits, as identified in the project Vulnerability Assessments (see Annex II.1 or II.2 in the project proposal to the Adaptation Fund) .
	2.2	Small grant projects must be located in rural/semi-rural project target areas (i.e. Namakwa District Municipality, or Greater Giyani or Greater Letaba in the Mopani District Municipality).
	2.3	Small grant projects must align with the Community Adaptation SGF Investment Windows , as described in Box 3 in the project proposal to the Adaptation Fund .
	2.4	Small grant projects must show an efficient use of resources (i.e. include value for money principles).
	2.5	Small grant projects must benefit vulnerable, local communities, and especially women and youth .
	2.6	Small grant projects must benefit community groups rather than single individuals, targeting an average of 50 direct beneficiaries per project.
	2.7	Small grant projects must not leave anyone or anything worse off as a result of the project and will be screened for compliance with the Adaptation Fund's Environmental and Social safeguards (refer to http://bit.ly/1iWFyhD). Where there are minor risks involved, the applicant must demonstrate clearly and convincingly how these risks will be mitigated.
	2.8	Small grant projects should be located within the broader development context (provide economic, social, and/or environmental co-benefits) of the area .
	2.9	Small grant projects must be sustainable after the Community Adaptation SGF funding ends.
	2.10	Small grant projects must include learning outcomes and will ideally be replicable and/or scalable in other communities.

NOTE:

- **Applicants may be required to provide documentation to verify recipient eligibility criteria during the application process.**
- **If an applicant does not have previous climate change adaptation experience but believes that they fulfill the above requirements they are still encouraged to apply.**
- **Applicants that have a great idea but do not meet the minimum eligibility criteria are encouraged to partner with organisations who do meet the minimum eligibility criteria.**

SANBI
Biodiversity for Life
NATIONAL IMPLEMENTING ENTITY OF THE GLOBAL ADAPTATION FUND

SMALL GRANTS FACILITY II
Responding to climate change

Road To Here

Small Grant Facility Inception Workshop

Kirstenbosch National Botanical Gardens

16 September 2015
Mpfunzeni Tshindane

ADAPTATION FUND

The Adaptation Fund (AF) was established by the **Parties to the Kyoto Protocol** of the United Nations Framework Convention on Climate Change (UNFCCC), as a **mechanism to finance concrete adaptation projects and programmes** in developing country parties.

The fund is capitalised mainly from a percentage of proceeds of the Clean Development Mechanism.
Likely to be capitalised via the Green Climate Fund (GCF) in future.

Adaptation Fund resources are accessed via Multilateral Implementing Entities (MIEs) and **National Implementing Entities (NIEs)**.

Direct Access – the Big Innovation of the Adaptation Fund

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SMALL GRANTS FACILITY II
Responding to climate change

Major Milestones

- Accreditation – 2011
- Stakeholder workshops - 2012
- Call for concept proposals – Nov 2012
- Full Proposal Development - 2013 – 2014
- Capacity Building, Human Resource and Partnership – 2014 – 2015
- Inception Workshops - 2015

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SMALL GRANTS FACILITY II
Responding to climate change

1. Accreditation & Governance of the NIE

- DEA – National Designating Authority
- SANBI – National Implementing Entity

Roles of the NIE

- Responsible for vetting and endorsing project and programme proposals
- Disbursing funding from the AF to Executing Entities
- Responsible for the overall management of funded projects and programmes, and thus for reporting, financial and monitoring aspects

environmental affairs
Department of Environmental Affairs
REPUBLIC OF SOUTH AFRICA

SANBI
Biodiversity for Life

national treasury
Department of National Treasury
REPUBLIC OF SOUTH AFRICA

national planning commission
Department of Planning, Economic Development and Reconstruction
REPUBLIC OF SOUTH AFRICA

THE ADAPTATION NETWORK
Working together for the climate challenge

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SMALL GRANTS FACILITY
Responding to climate change

2. Stakeholder Engagement – October 2012

- To share SANBI's understanding of the opportunity provided by the Adaptation Fund (AF)
- To obtain comment on South Africa's proposed strategy for AF investment in South Africa
- Following the stakeholder engagement the NIE went on to develop an Investment Framework

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SMALL GRANTS FACILITY
Responding to climate change

3. Call for Proposals – November 2012

- On the 30th of November 2012 the NIE sent out a call for project concept notes, to which it received over 70 varied and interesting responses based on the IF
- The NIE was guided by the criteria of the AF and the NIE Investment Framework
- The process led to the selection and further development of two project concept notes

SOUTH AFRICAN NATIONAL BIODIVERSITY INSTITUTE

CALLING FOR CLIMATE CHANGE ADAPTATION PROJECT PROPOSALS

If you have the interest and ability to develop and implement an innovative project to combat climate change, we invite you to submit a project proposal to the Adaptation Fund (AF). We are inviting interested South African parties to look for funding from the Adaptation Fund (AF).

BACKGROUND

The Adaptation Fund (AF) was established by the Parties to the Kyoto Protocol at the United Nations Framework Convention on Climate Change (UNFCCC), as a fund dedicated to finance climate adaptation projects and programmes in developing countries (AFPs). These are specifically related to water development, forestry, coastal zone management, agriculture, and other sectors. In South Africa, the Adaptation Fund (AF) is managed in accordance with the South African National Biodiversity Institute (SANBI), which has been designated for the National implementing entity (NIE) for the AF. A total of 100 million USD is available to South African climate change adaptation projects. The total amount of AF grants available for projects in South Africa is 10 million USD. The total amount of AF grants available for projects in South Africa is 10 million USD. The total amount of AF grants available for projects in South Africa is 10 million USD.

THE APPLICATION PROCESS

In our efforts to build a coordinated adaptation response that delivers tangible, meaningful benefits to participants, we invite interested parties to submit a project proposal to the Adaptation Fund (AF). The AF will accept proposals for projects that are innovative, feasible, and have a clear impact on the ground. Proposals must be prepared in a specific format and submitted to the AF. The AF will accept proposals for projects that are innovative, feasible, and have a clear impact on the ground. Proposals must be prepared in a specific format and submitted to the AF.

SUBMISSION OF THE APPLICATIONS

To be eligible for consideration, the applicant must be a South African citizen or a South African company. All projects and programmes will need to align with the results framework of the AF. The AF will accept proposals for projects that are innovative, feasible, and have a clear impact on the ground. Proposals must be prepared in a specific format and submitted to the AF.

CLOSING DATE

The request for proposals opens at 12pm on 30 November 2012 and closes at midnight on 31 January 2013. Proposals must be submitted to the AF. The AF will accept proposals for projects that are innovative, feasible, and have a clear impact on the ground. Proposals must be prepared in a specific format and submitted to the AF.

SANBI

- Building Resilience in the Greater uMngeni Catchment, South Africa**
- Taking Adaptation to the Ground: A Small Grants Facility for enabling local level responses to climate change**

SANBI
Sustainability for Life
NATIONAL IMPLEMENTING ENTITY OF THE GLOBAL ADAPTATION FUND

SMALL GRANTS FACILITY
Responding to climate change

- Both projects were submitted to the AF Board in **May 2013**
- Both projects were approved by the Adaptation Fund on its board 21st Board Meeting - **July 2013**

SANBI
Sustainability for Life
NATIONAL IMPLEMENTING ENTITY OF THE GLOBAL ADAPTATION FUND

SMALL GRANTS FACILITY
Responding to climate change

- Full Proposal Development – 2013 – 2014**
- Conduction of rigorous scientific evidence based research
- Field visits in both Namakwa and Mopani
- Transparent stakeholder engagement, consultation and writing
- Project **approval** at the 24th Adaptation Funds Board meeting – **October 2014!!!**

SANBI
Biodiversity for Life
NATIONAL IMPLEMENTING ENTITY OF THE GLOBAL ADAPTATION FUND

SMALL GRANTS FACILITY
Responding to climate change

SGF Project Background

Taking Adaptation to the Ground: A Small Grants Facility for enabling local level responses to climate change (USD 1,985,000)

- A comprehensive project development process followed for consideration at the 24th Adaptation Board meeting
- This included numerous site visits to the project implementation areas to meet and form relationships with local stakeholders.
- Full SGF Proposal

Component 1: Small grants
Small grants to vulnerable communities deliver tangible and sustainable benefits

Component 2: Institutional capacity
Local institutions empowered to identify and implement adaptation response measures

Component 3: Lessons learnt
Lessons learnt facilitate future up-scaling and replication of small grant financing approaches



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Responding to climate change

Project Launch - 20 February 2015




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4. Partnerships, Human Resources & Capacity Building

- SANBI Capacity Building
- Executing Entity Contracting
- Call for Facilitating Agency



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Lessons learnt thus far:
"Good process takes time"

- Building capacity in NIEs themselves takes time
- Project development takes time
- NIEs cannot compromise good process or move too quickly
- Time spent in preparation lays the ground for faster project mobilisation

Through the NIE we have:

- Unlocked domestic resources and built long term institutional support for adaptation.
- Triggered discussions about creating sustainable financial instruments for Climate change Adaptation – NT and GCF linkages.
- Been able to develop AF-funded projects as part of coherent, country driven programme
- Been able to fully integrate biodiversity considerations in the programme of work





COMMUNITY ADAPTATION SMALL GRANTS FACILITY

Presented by:
Helen Karathanassis
(Operational Project Manager)

16 September 2015

SMALL GRANTS FACILITY
Responding to climate change



FUNDING TO HELP COMMUNITIES LIVE WITH CLIMATE CHANGE:
The Small Grants Facility



Overall Project Plan

The Community Adaptation Small Grant Facility Objective

The SGF aims to ensure that **vulnerable, rural communities in the project target areas** (Mopani and Namakwa District Municipalities) have **reduced vulnerability and increased resilience** to the anticipated impacts of climate variability and change.




Figure 1: Map of South Africa showing Mopani District and Namakwa District, located in Limpopo Province and Northern Cape Province, respectively.

Overall Project Plan


3 Investment Windows (1)



GROWING FOOD IN A TURBULENT CLIMATE:
Climate-smart agriculture

Overall Project Plan

3 Investment Windows (2)



PROTECTING WHERE PEOPLE LIVE:
Climate-proofing settlements

Overall Project Plan

3 Investment Windows (3)

SUPPORTING PEOPLE TO MAKE A LIVING:
Climate-resilient livelihoods

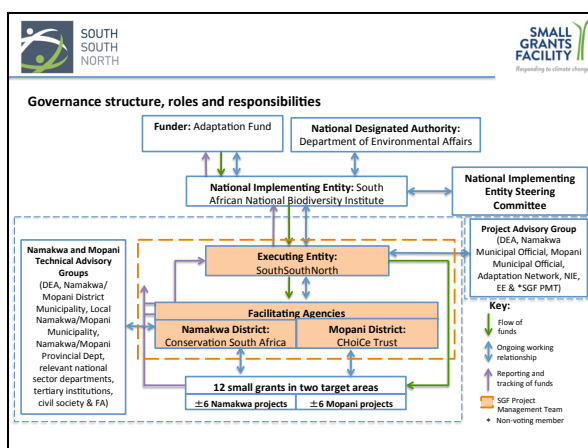
Objectives

The project will achieve its aims through 3 components:

- 1) providing small grants** to vulnerable communities that deliver tangible and sustainable benefits (USD 1 542 000.00);
- 2) empowering local institutions** to identify and implement adaptation response measures (USD 325 000.00); and
- 3) compiling and sharing lessons** learned to facilitate future scaling up and replication of small grant-financing approaches (USD 189 000.00).

Outputs and Outcomes

Project Components	Expected Concrete Outputs	Expected Outcomes
Component 1: Small grants to vulnerable communities deliver tangible and sustainable benefits (Small Grants)	Adaptation assets strengthened through the implementation of at least 12 small grants (approximately USD 100,000 each) are disbursed to at least 12 local institutions in the Mopani and Namakwa District Municipalities.	Small grants support concrete adaptation measures that strengthen livelihood strategies, adaptive capacity, infrastructure and assets in vulnerable communities in two district municipalities in South Africa.
Component 2: Local institutions empowered to identify and implement adaptation response measures (Institutional Capacity)	At least 12 local institutions in the Mopani and Namakwa Districts are supported to: <ul style="list-style-type: none"> develop small grant projects for local-level adaptation and to implement integrated climate adaptation responses 	Small Grant Recipients and associated institutions are empowered to identify response measures to climate induced-vulnerabilities, and implement relevant climate change adaptation projects.
Component 3: Lessons learned facilitate future scaling up and replication of small grant financing approaches (Lessons Learned)	<ul style="list-style-type: none"> Training opportunities are provided for Small Grant Recipients Local networks for reducing climate change vulnerability and risk reduction are developed, expanded and strengthened Case studies and policy recommendations are developed for reflecting on, replicating and scaling up small grant financing approaches 	A methodology for enhancing direct access to climate finance is developed, based on lessons learned, providing recommendations for scaling up and replicating in South Africa and beyond.






Indicative timeline until first small grant recipients are contracted

Stage 1 – from and idea to a project concept



- 28 September 2015: Issue call for concepts
- 22&23 October 2015: (Namakwa) Official project launch and briefing sessions
- 28&29 October 2015: (Mopani) Official project launch and briefing sessions
- 28 September – 15 November 2015 (7 weeks): Submission of project concepts
- 16 November 2015 – 6 March 2016 (10 weeks): Review and screen project concepts, FA recommendations to EE for review and subsequent tabling at PAG

Stage 2 – from and approve project concept to a detailed project proposal

- 7 March – 22 May 2016 (11 weeks): FAs to notify prospective Small Grant Recipients of outcomes (project concept approved; requires additional work; not approve). Detailed proposal workshops & submission of detailed proposals
- 9 May – 6 July 2016 (9 weeks - slight overlap with above activity): FA review and screen detailed proposals, submit to EE for screening and due diligence

Stage 3 – contracting

- 7-27 July 2016 (3 weeks): EE tables recommendation at PAG, FA notifies prospective Small Grant Recipients of outcomes
- 28 July – 21 August 2016 (4 weeks): Contracting process with Small Grant Recipients begins






Activities past August 2016

Stage 4 – implementation, monitoring and reporting

- Quarterly and annual site visits
- Quarterly and 6 monthly progress reports
- Periodic training and capacity building events
- Annual fora
- Mid-term review
- Terminal review



All of the activities and time frames are available on the Four Year Project Implementation Plan.

Thank you!


Mopani District Briefing

PAG; 16th September 2015
Cape Town




Contents

- (Brief) Introduction to CHoiCe Trust
- Communication Plan
- Overview of Mopani Briefing Day(s)




Introduction to CHoiCe

- Established in 1997 in Tzaneen, Mopani District
- Focus on community empowerment and development for wellbeing and resilience
- Well established in area with diversely skilled staff members
- Strong administrative and financial support structures
- Experience in working and capacitating CBOs and NGOs (coordination and training)




- General understanding of climate change within organisation
- Areas of experience in:
 - *Agriculture*: working on food security and WASH in communities and strengthening situation on farms in area
 - *Livelihoods*: facilitate VS&L groups and food gardening for household / community strengthening for poverty alleviation
 - *Settlements*: facilitation of community-driven processes for mitigation of risks within communities






Communication Plan

- Essential to attract all interested stakeholders to ensure wide range of applications to meet specific criteria and have greatest community-level impact
- Stakeholders identified at different levels:
 - Regional and National
 - Provincial
 - Local and Community



Communication Strategies:

- National level advertisement, making use of SANGONET
 - Suggested shared advertisement with Namakwa (to be discussed)
- Provincial level advertisement in newspapers
- Local level advertisement in local newspapers (urban and community)
- Advertisement on local radio(s) in Sub-Districts
- Engagement with District House of Traditional Leaders
- Direct communications with stakeholder database
 - Informed by participants at prior briefing and identification with MDM support



Overview of Briefing Day(s)

- Briefing over 2 days as opportunity to:
 - Introducing the Adaptation Fund small grant facility Project
 - Brief on opportunity details
 - Share findings of vulnerability assessment
 - Eligibility criteria and proposal development stipulations
 - Share baseline data
 - Networking and partnerships development
 - Capacitating-Basic proposal development skills (for participants who request it as additional day)



- Ensure common understanding of process and basic proposal skills – contribution to development of CBOs and other community initiatives
- Opportunity for mentorship from CSA during process
- *Agenda aligned to CSA's draft*
- Challenges:
 - Budget constraints based on venue costs at accessible venue (for 2 Sub-Districts)



Thank You






Community Adaptation Small Grants Facility (SGF) Inception Workshop
16 September 2015

FUNDING TO HELP COMMUNITIES LIVE WITH CLIMATE CHANGE:
The Small Grants Facility

Presented by:
Cherié Forbes
(Technical Project Manager at SouthSouthNorth (SSN) the Executing Entity)

Logos: Government of KwaZulu-Natal, SANBI, SOUTH SOUTH NORTH, CONSERVATION SOUTH AFRICA, ACDI

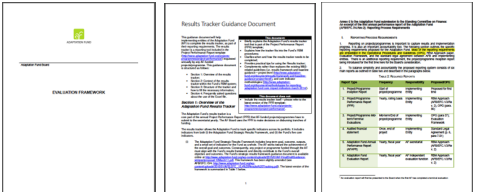


Overview

1. SGF M&E Indicators (agenda item no. 7)
 - 1.1. Reasons for M&E in the SGF project
 - 1.2. M&E processes
 - 1.3. Indicators
2. Granting procedure (agenda item no. 8)
 - 2.1. Process over project lifetime
 - 2.2. Eligibility Criteria for applicants
 - 2.3. Project Concept form (Stage 1)
3. Independent learning (Component 3) (agenda item no. 12)

1.1. Reasons for M&E in the SGF project (agenda item no. 7)


- Different mandates but one a **joint M&E framework** – common goal, purpose, etc. = joint learning.
- Facilitates **decision-making** for implementation activities.
- **Alignment** with others M&E frameworks – **coordination and learning** (NIE and/or DEA?).
- **A requirement** by the Adaptation Fund.



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1.2. M&E processes

- Linked to SGF work plan and reporting
- M&E Framework (draft) – EE's Standard Operating Procedures
 - Key monitoring processes:
 - **Reporting cycle** (quarterly financial & PPR – SGRs, FAs, EE)
 - **Site visits** (quarterly - FAs, annually – EE)
 - **External/independent evaluation** (mid-term and terminal review; ESP expert annually)
 - Evaluations are usually **external**, at a fixed point in **time**, data validation, and **measure overall** project effectiveness.
 - Planning and counting to reach our targets in the logframe/results-based framework.



Logos: SMALL GRANTS FACILITY, SOUTH SOUTH NORTH


1.3. Indicators (1/3)



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Table 2: Results based framework showing the indicators and targets (and contributors thereof) for the SGF Monitoring and Evaluation Framework.
Note: Adaptation Fund indicators (highlighted in blue) are by default accounted for through reporting against the SGF indicators. Key: Evaluating Entity (EE), Facilitating Agency (FA), Small Grant Recipients (SGR).

Indicator No.	Indicator description	Baseline	Target	Means of verification	Contributor to the target
Objective 1	Number of vulnerable community members in project target areas with reduced risk to extreme weather events	0 women and 0 men, 0 youth	300 women, 300 men, 300 youth	Pre- and end-of-project gender sensitive assessment of representative sample of project beneficiaries.	SGR
Objective 2	Number of grant recipients with increased capacity to implement climate change adaptation projects	0 grant recipients	At least 12 grant recipients	Pre- and end-of-project assessment of grant recipients.	SGR
Objective 3	Number of policy briefs presented to South African National Treasury and domestic Green Fund reflecting on experiences of the Community Adaptation SGF and informing appropriate actions with a view to creating a climate adaptation finance mechanism that supports local level responses	0 policy briefs	1 policy brief	Review of policy brief.	FA/EE
Outcome 1	Number of vulnerable community members with reduced risk to climate-driven impacts as a result of project interventions	0 women and 0 men, 0 youth	300 women and 300 men, 300 youth	Pre- and end-of-project gender sensitive assessment of representative sample of project beneficiaries.	SGR
Output 1.1.1	Number of agricultural adaptation assets: <ul style="list-style-type: none"> number of livestock shelters; area (ha) under improved soil management; area (ha) under improved agroforestry; and area (ha) of improved drought resistant crops. 	<ul style="list-style-type: none"> 0 livestock shelters; 0 ha under improved soil management; 0 ha under improved agroforestry; and 0 ha of improved 	To be determined as small grant projects are approved, and finalised on submission of first M&E report to the AF at the end of year 1.	Review of small grant project reports, field inspections.	SGR



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1.3. Indicators (2/3)



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Indicator No.	Indicator description	Baseline	Target	Means of verification	Contributor to the target
Output 1.1.2	Number of livelihood adaptation assets: <ul style="list-style-type: none"> number of communal market facilities; number of cooling facilities for food traders; number of shelters for vegetable production; and number of savings groups. 	<ul style="list-style-type: none"> 0 communal market facilities; 0 cooling facilities for food traders; 0 shelters for vegetable production; and 0 savings groups. 	To be determined as small grant projects are approved, and finalised on submission of first M&E report to the AF at the end of year 1.	Review of small grant project reports, field inspections.	SGR
Output 1.1.3	Number of settlement adaptation assets: <ul style="list-style-type: none"> number of houses with improved insulation; area (ha) with improved coastal storm protection; number of improved river crossings; and area (ha) of rehabilitated wetlands and riparian systems. 	<ul style="list-style-type: none"> 0 houses with improved insulation; 0 ha with improved coastal storm protection; 0 improved river crossings; and 0 ha of rehabilitated wetlands and riparian systems. 	To be determined as small grant projects are approved, and finalised on submission of first M&E report to the AF at the end of year 1.	Review of small grant project reports, field inspections.	SGR
Outcome 2	Number of Small Grant Recipients with increased capacity to implement adaptation projects that address risks to extreme weather events	0 small grant recipients	At least 12 small grant recipients	Pre- and end-of-project assessment of small grant recipients.	SGR
Output 2.1.1	Number of Small Grant Recipients with women within the management structures	0 small grant recipients	At least 10 small grant recipients	Review of grant project reports.	SGR
Output 2.1.2	Number of Small Grant Recipients new to climate change adaptation.	0 small grant recipients	At least 8 small grant recipients	Review of detailed project proposals from small grant recipients (highlighting management structures and previous climate change adaptation experience).	SGR
Output 2.1.3	Number of small grant recipients lead by civil society	0 small grant recipients	At least 8 small grant recipients	Review of small grant project reports.	SGR
Output 2.1.4	Number of small grant recipients with civil society within the management structures	0 small grant recipients	At least 12 small grant recipients	Review of small grant project reports.	SGR

1.3. Indicators (3/3)




SMALL GRANTS FACILITY
Responding to climate change

Indicator No.	Indicator description	Baseline	Target	Means of verification	Contributor to the target
Output 2.2	Number of project site visits by Facilitating Agencies	0 site visits	152 site visits	Review of site visit reports.	EE
Outcome 3	Number of local level mechanisms developed to increase community resilience through direct access to climate finance	0 local level mechanisms	1 local level mechanism	Review of relevant documents, including policy briefs, case studies and training session summary reports.	FA/EE
Output 3.1	Number of training sessions to build local community capacity in inter- and intra-Municipal levels	0 training sessions	10 training sessions	Review of training materials and training session summary reports.	FA/EE
Output 3.2	Number of fora for grant recipients to share experiences at inter- and intra-Municipal levels	0 fora	At least 4 fora	Review of proceedings/summary reports from fora.	FA/EE
Output 3.3.1	Number of fora where project outcomes and relevant policy recommendations are presented	0 fora	At least 6 fora (4 local, 1 national and 1 international/fora)	Review of proceedings/summary reports from fora.	FA/EE
Output 3.3.2	Number of case studies capturing beneficiary and grantee experiences	0 case studies	At least 2 case studies	Review of case studies.	SGR
AF Outcome indicator 2.2	Number of people with reduced risk to extreme weather events		Set target in line with approved proposal		EE
AF Outcome indicator 7	Climate change priorities are integrated into national development strategy		Set target in line with approved proposal		EE
AF Output indicator 6.1.1	No. and type of adaptation assets (physical as well as knowledge) created in support of individual- or community livelihood strategies		Set target in line with approved proposal		EE
AF Output indicator 2.1.1	No. of staff trained to respond to, and mitigate impacts of, climate-related events		Set target in line with approved proposal		EE
AF Output indicator 7.1	No. types and sector of policies introduced or adjusted to address climate change risks		Set target in line with approved proposal		EE
AF Core impact indicator 1	Direct beneficiaries supported by the project (total / female / youth)		600 / 300 / 300		EE
AF Core impact indicator 2	Indirect beneficiaries supported by the project (total / female / youth)		1740 / 910 / 273		EE



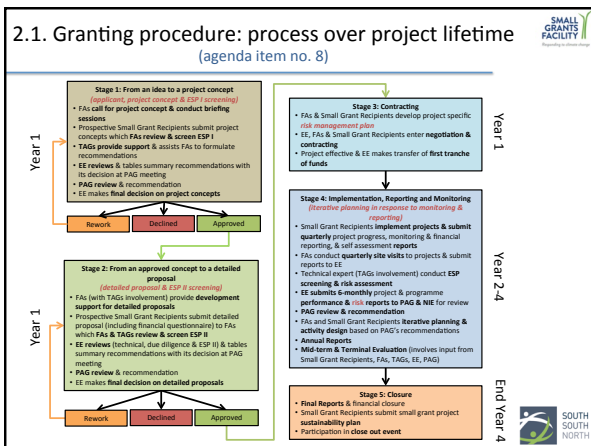
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Overview



SMALL GRANTS FACILITY
Responding to climate change

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3. Independent learning (Component 3) (agenda item no. 12)



2.2. Granting procedure: Eligibility Criteria for applicants

Adaptation actions through 3 Investment Windows

Climate-smart Agriculture | Climate-resilient Livelihoods | Climate-proof Settlements

12 small grants in 2 target areas valued at US\$ 1.5 million

To note:

- 12 Small Grant Recipient (SGR) eligibility criteria
- 12 small grant project eligibility criteria
- Minimum requirements, the PMT and PAG will consider many factors when reviewing, criteria weighting (e.g. those strongly related to M&E indicators).
- Adjust criteria later, if necessary.

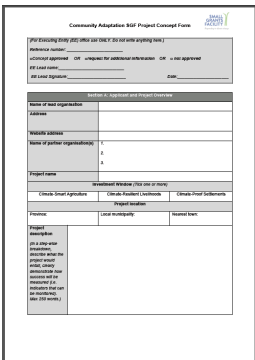
2.2. Granting procedure: Eligibility Criteria for applicants

No.	SGR Criteria description	Fulfills the following indicator	Addressed in the following form (Key: PC = Project Concept; DP = Detailed Proposal; SV = Site visit form; PPM = Project Progress Report)
1.1	Small Grant Recipients must be South African institutions with proven relevant implementation experience.	PC/DP	Not sure whether this is adequately covered in the PC page 21
1.2	Preference will be given to Small Grant Recipients that are legal entities with a clean audit and have the experience and capacity to receive, manage and audit project funds.	PC/DP	
1.3	Small Grant Recipients must have previous positive experience receiving a combination of funds in the order of USD 25,000 (i.e. R 250,000) per year over a period of at least two years.	PC	Covered in Project concept page 2 and 3 "Value (SAR) of all projects and climate-related projects administered over the last 2 years"
1.4	Preference will be given to small grant projects led by civil society organisations, and civil society organisations must be represented on management structures of all small grant projects.	Output 2.1 - 3; Output 2.1 - 4	PC/DP
1.5	Organisations will need to show how women are included in their project management structures	Output 2.1 - 1	PC/DP/SV
1.6	Small grant recipients are encouraged to develop implementation partnerships that augment or share their current capacity; additionally collaboration could assist in meeting recipient eligibility criteria.	PC/DP	
1.7	Preference will be given to Small Grant Recipients that have established long-standing relationships with communities in the Ntshaba or Mqandzi District Municipality.	7	
1.8	Small Grant Recipients must have proof of land or asset ownership, and/or sustainable land tenure or permission to carry out proposed activity, as relevant.	PC/DP/SV	
1.9	Small Grant Recipients must have a clear mandate from anticipated beneficiaries and local community stakeholders to work in the project target areas on the identified project activities.	PC/DP/SV	
1.10	Small Grant Recipients must demonstrate commitment (indicate in budget breakdown) to participate in learning and knowledge development and dissemination processes.	Output 2.2; Output 2.1 - 2	PC: In the case of the DP - do we want them to propose ideas of what they would like to get out of the M&E related activities, e.g. at grant fora, or FB groups, etc.? The FAC/EE would need to monitor this commitment, but not in the SV and rather at the actual annual fora or quarterly progress report. (NOTE: leverage SGR won't get the tranche unless they attend the fora, etc.)
1.11	Small Grant Recipients must not be receiving funds from other sources for the proposed small grant project activities.	PC/DP/SV	
1.12	Small Grant Recipients may only receive one small grant from the Community Adaptation SGR.	PC/SV	We can track the reference number from the approved PC.

2.2. Granting procedure: Eligibility Criteria for applicants

No.	Project criteria description	Fulfills the following indicator	Addressed in the following form (Key: PC = Project Concept; DP = Detailed Proposal; SV = Site visit form; PPM = Project Progress Report)
2.1	Small grant projects must support adaptive interventions that clearly respond to current or anticipated local climate change vulnerabilities relevant for the project area and therefore deliver concrete, tangible and measurable climate change adaptation benefits, as identified in the project VAs (see Annex 200).	Objective 2, Outcome 2; AF Output Indicator 5.1.2	PC/DP/visit SV
2.2	Small grant projects must be low risk or no risk in terms of the AF ESP. Where there are minor risks involved, the applicant must demonstrate clearly and convincingly how these risks will be mitigated.	PC/DP/visit SV and the ESP support - this person would review the reports from the PA/EE and conduct field visits to validate the ESP data.	
2.3	Small grant projects must align with the Community Adaptation SGR Investment Windows, as described in 200.	Output 2.1 - 1; Output 2.1 - 2; Output 2.1 - 3	PC/DP/visit SV
2.4	Small grant projects must be located within the broader development context (rural/urban, economic, social, and/or environmental co-benefits) of the area.	AF Outcome Indicator 2	PC/DP - FAs and TAGs can work with municipality to ensure that small grant projects are aligned with local government (DPS) in a formal way. SV - This will need to be monitored via the quarterly site visits.
2.5	Small grant projects must benefit vulnerable, local communities, and especially women and youths.	AF Core Indicator 2; AF Core Indicator 2	PC/DP - This is covered in the ESP checklist section of the PC and will need to be fleshed out more in the DP. SV - ongoing monitoring of the number of direct and indirect beneficiaries, especially women and youths.
2.6	Small grant projects will benefit community groups rather than single individuals i.e. at least 50 direct community beneficiaries per project.	Objective 2; Outcome 2	PC - At the moment this is not in the PC - is this going to be a major criteria for us? Do we want to show an approximate number of beneficiaries before concepts proceed to the next stage? DP/SV
2.7	Small grant projects must include learning outcomes and must be replicable and/or scalable in other communities.	PC/DP	PC/DP - clearly show that they are replicable and clearly show the methodology of the DP. SV/quarterly PPM - on the learning outcomes, structuring the 6 monthly Project Performance self-assessment reports (included in every second quarterly PPM) around learning and disseminating up or replicating a good thing! This report needs to be less "score-led" and more of an idea and lessons learnt report, showing internal reflection.
2.8	Small grant projects must clearly demonstrate how success will be measured (i.e. have clear indicators that can be monitored).	PC/DP/SV	
2.9	Small grant projects must be sustainable after the Community Adaptation SGR funding ends.	PC/DP/SV/visit PPM	Small Grant Recipients should propose ideas towards a sustainability plan at the DP stage and this can be monitored up the SV and lessons learnt from the Community PPM will add to the sustainability plan that is submitted at Stage 5 (SGR project Closure)
2.10	Small grant projects must show an efficient use of resources (i.e. include value for money practices).	PC/DP/quarterly PPM	
2.11	Small grant projects must be located in rural/semi-rural project target areas (i.e. Ntshaba District Municipality, or Greater Giyani or Greater Tzaneen in the Mqandzi District Municipality).	PC/DP	As long as small grant projects are located within Ntshaba and Greater Tzaneen and Giyani then by default, they fulfil this requirement.
2.12	Small grant projects must contribute to the Monitoring & Evaluation processes (monitoring and reporting requirements, set up by the EE).	PC/SV/quarterly PPM	

2.3. Granting procedure: Project Concept Form



- Made available to potential applicants at *Issue call for project concepts* (provisionally 28 September 2015).
- Explained at **local briefing sessions**.
- All **24 eligibility criteria** addressed.
- Submitted to FAs - preferably in **English, typed** and submitted via **google forms technology**.

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3. Independent learning (Component 3) (agenda item no. 12)

- Inform the development of a robust methodology** for 'enhanced direct access' approach.
- Identify effective **strategies and policy recommendations** for **scaling up and replication**.
- Objective and impartial view** of project progress
 - Facilitate and support **reflection** on implementation successes and challenges, and **develop insights**.




3. Independent learning (Component 3) (agenda item no. 12)




Activity no.	Description	Timeframe	Budget (USD)
3.2.4.	Conduct independent learning processes to reflect on implementation and develop insights. This activity would be undertaken by independent service providers and in conjunction with planned annual learning fora (4 over the lifetime of the project) so as to benefit from the opportunity of Small Grant Recipients being together.	At minimum, 4 annual learning fora during Y2-4.	26,667
3.3.1.	Capture learning and produce case studies on local-level best practice and challenges. This activity would be undertaken by the EE or FAs or consultants in years 2, 3 and 4. The target is to generate at least 8 case studies which capture Small Grant Recipient and beneficiary experiences.	At minimum, Y2-4. Ongoing monitoring that begins at inception phase.	28,571

NEXT STEPS:


- PMT to draft ToR by **March/April 2016.**
- **Input from PAG** - ToR and dissemination strategy and anticipated outcomes/impact.
- EE and PAG to **raise additional funding** to support long-term independent qualitative learning processes.



Acknowledgements



- NIE for hosting the SGF Inception Workshop at the South African National Biodiversity Institute venue
- Adaptation Fund
- Department of Environmental Affairs as the NDA



COMMUNITY ADAPTATION SMALL GRANTS FACILITY

SMALL GRANTS FACILITY
Responding to climate change

Presented by:
Helen Karathanassis
(Operational Project Manager)

16 September 2015

FUNDING TO HELP COMMUNITIES LIVE WITH CLIMATE CHANGE:
The Small Grants Facility

environmental affairs, SANBI, CONSERVATION SOUTH AFRICA, ACDI

SOUTH SOUTH NORTH **SGF Communications Strategy** **SMALL GRANTS FACILITY**
Responding to climate change

Overview

- The SGF communication strategy forms part of the SGF's overall Knowledge Management strategy.
- It has been developed to ensure the objectives of the project are communicated and distributed to the correct stakeholders in the correct format.
- It also serves to guide the process of communications from concept to creation, decision-making and levels of authorization, and distribution channels.
- The type of communication disseminated is determined by the project activities and outputs.

SOUTH SOUTH NORTH **SGF Communications Strategy** **SMALL GRANTS FACILITY**
Responding to climate change

SGF communication types by priority and value for money

• **Primary activity**

- High
- Medium
- Low Priority

\$ low monetary cost
\$\$ medium level cost
\$\$\$ high cost
*does not take into consideration human resource cost

SOUTH SOUTH NORTH **SGF Communications Strategy** **SMALL GRANTS FACILITY**
Responding to climate change

Branding

ADAPTATION FUND, Indigo, greenfund, IIED, environmental affairs, giz, SANBI, national treasury, EMG, University of Venda, CONSERVATION SOUTH AFRICA, ACDI, SOUTH SOUTH NORTH, MOFANE DISTRICT MUNICIPALITY




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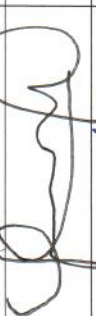



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Responding to climate change

Thank you!

Adaptation Fund: ESP Safeguards Training

Thursday 17 September 2015 from 09h00 – 16h30
Colophon Room Biodiversity Building, Kirstenbosch, CT

Attendance register

Name	Organisation	Contact number	E-mail	Signature
Carl Versteek	SSN		Carl@Southsouthnorth.org	
R. MPEUNZENI	SANBI	021 799 8841	M.Tshindane@sanbi.org.za	
Helene Koutoukassis	SSN	0834413817	helene@southsouthnorth.org	
Farai Hove	CHOICE TRUST	0714183405	farai@choicetrust.co.zw	
Antigite Simute	CHOICE TRUST	0153076329	antigite@choicetrust.co.zw	
CHEIE FORETS	SSN	0760393659	cheie@southsouthnorth.org	
Mike Jennings	SANBI	0721084718	m.jennings@sanbi.org.za	
Amade Burne	CSA	0536602081	aburne@conservation.org	
Sasha Scorgie	CSA	021799885	sscorgie@conservation.org	
M. Barnett	SANBI	0279999878	m.barnett@sanbi.org.za	



Community Adaptation Small Grants Facility

Agenda for Safeguards Training

DATE: 17 September 2015

LOCATION: SANBI, Cape Town

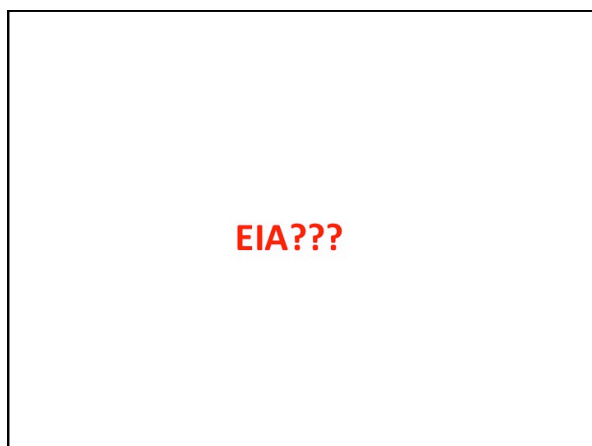
- ATTENDEES:
1. Mandy Barnett (MB)
 2. Cherié Forbes (CF)
 3. Helen Karathanassis (HK)
 4. Carl Wesselink (CW)
 5. Mpfunzeni Tshindane (MT)
 6. Amanda Bourne (AB)
 7. Michael Jennings (MJ)
 8. Antoinette Schutte (AS)
 9. Farai Hove (FH)
 10. Sarshen Scorgie (SS)

No		Item	Who
1	09h00 – 10h00	Update of project timelines	All
2	10h00 – 11h00	Updates of concept application form	All
3	11h00 – 11h30	TEA	
4	11h30 – 12h00	Introduction to AF Safeguards (ESP) (X15)	MJ
5	12h00 – 13h00	Role play on concept development	All
6	13h00 – 14h00	LUNCH	
7	14h00 – 14h30	Role play on concept review and application of Safe Guards	All
8	14h30 – 15h00	Plenary feedback on concepts by reviewers	All
9	15h00 – 16h00	Training Reflections	All
10	16h00	Kirstenbosch Garden Tour	



Presentation Outline:

- Background to the AF ESP
- Applicability
- 15 Principles – high level overview
- Opportunities for further training



- Approved Nov 2013
- Amended Oct 2014
- Articulates AF commitment to support projects that do not harm the environment, public health or vulnerable communities
- Defines 15 E&S Principles
- Requires categorization
- Requires an ESMS
- Describes a delivery process including consultation/grievance mechanism

Component of Environmental and Social Policy	Key findings assessment against the component	Priority actions to be taken by the Implementing Entity
General Policy	The AF ESP is a policy that applies to all projects funded by the AF. It is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values. The AF ESP is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values.	
Labour and Work	The AF ESP is a policy that applies to all projects funded by the AF. It is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values. The AF ESP is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values.	
Environment and Sustainable Use	The AF ESP is a policy that applies to all projects funded by the AF. It is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values. The AF ESP is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values.	
Human Rights	The AF ESP is a policy that applies to all projects funded by the AF. It is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values. The AF ESP is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values.	
Gender Equity and Empowerment	The AF ESP is a policy that applies to all projects funded by the AF. It is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values. The AF ESP is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values.	
Climate Change	The AF ESP is a policy that applies to all projects funded by the AF. It is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values. The AF ESP is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values.	
Indigenous Peoples	The AF ESP is a policy that applies to all projects funded by the AF. It is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values. The AF ESP is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values.	
Resettlement	The AF ESP is a policy that applies to all projects funded by the AF. It is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values. The AF ESP is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values.	
Public Health and Safety	The AF ESP is a policy that applies to all projects funded by the AF. It is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values. The AF ESP is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values.	
Community Development	The AF ESP is a policy that applies to all projects funded by the AF. It is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values. The AF ESP is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values.	
Anti-Corruption	The AF ESP is a policy that applies to all projects funded by the AF. It is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values. The AF ESP is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values.	
Other	The AF ESP is a policy that applies to all projects funded by the AF. It is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values. The AF ESP is a policy that is designed to ensure that the AF's investments are made in a way that is consistent with the AF's mission and values.	

SGF Project Proposal to AF

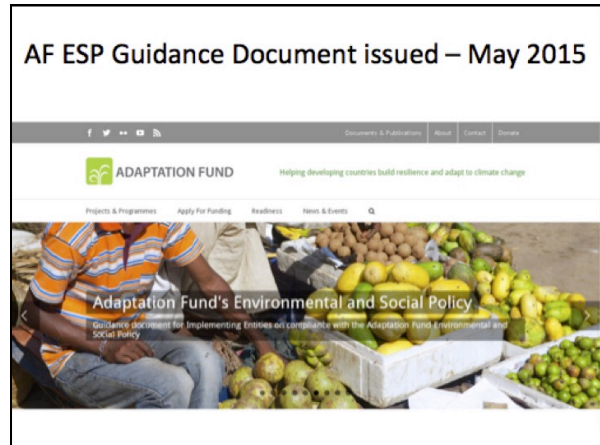
Section K: Provide an overview of the identified environmental and social impacts and risks

→ **Category B**

i.e. projects with possible but **limited** anticipated adverse environmental or social impacts

Limited: fewer in number, smaller in scale, less widespread, reversible or easily mitigated

- ESMP
- "Any small grant projects that do not meet the requirement for a project with no significant risks in terms of the AF ESP, or a project with minor risks that can be mitigated, will be excluded".



Applicability:

ESP

- during the process of **accrediting** Implementing Entities (IEs); and
- during the process of **project review**

Guidelines

- The ESP shall be applied throughout **all the project implementation phases**, including design, execution, monitoring, and evaluation.

Feedback to AF

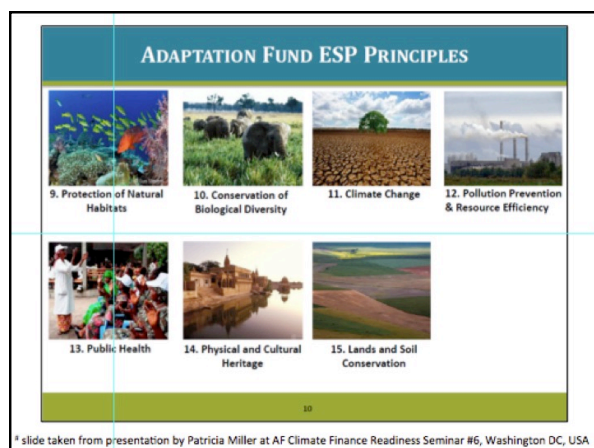
- **Annual, mid-term** and **terminal** performance reports

ADAPTATION FUND 15 ESP PRINCIPLES

1. Compliance with the Law*
2. Access and Equity
3. Marginalized and Vulnerable Groups
4. Human Rights*
5. Gender Equity and Women's Empowerment
6. Core Labour Rights*
7. Indigenous Peoples
8. Involuntary Resettlement

* Denotes the core Principles that always apply

* slide taken from presentation by Patricia Miller at AF Climate Finance Readiness Seminar #6, Washington DC, USA



Principle 1: Compliance with the Law.

Projects supported by the AF shall be in compliance with all applicable domestic and international law

- Core principle – always applies
- Prior permission – planning permission, environmental permits, construction permits, permits for water extraction
- NEMA / NEMBA
- Constitution
- List of other relevant laws / policies...
- Local bylaws
- Section II.D and II.E

Principle 2: Access and Equity.

Projects supported by the AF shall provide fair and equitable access to benefits in a manner that is inclusive and does not impede access to services

Projects should not exacerbate existing inequities, particularly with respect to marginalized or vulnerable groups

- Small Grant selection (site selection) – fair and impartial
- Discrimination / favoritism
- FA role – decision making?
- Services: basic health services, clean water and sanitation, energy, education, housing, safe and decent working conditions, and land rights

Principle 3: Marginalized and Vulnerable Groups.

Projects supported by the AF shall avoid imposing any disproportionate adverse impacts on marginalized and vulnerable groups

- Marginalized – “excluded from the normal economic and social fabric of societies” – lack access to basic services
- Vulnerable – “unable or with diminished capacity to cope with, resist and recover from external (climate) pressures”
- Examples: children, women and girls, the elderly, indigenous people, tribal groups, displaced people, refugees, people living with disabilities, and people living with HIV/AIDS
- “...identify ADVERSE impacts each marginalized and vulnerable group are likely to experience from the project...”
- Any???

Principle 4: Human Rights.

Projects supported by the AF shall respect and where applicable promote international human rights

- Core principle – always applies
- Universal Declaration of Human Rights (1948) – common standard of achievements
- Special Procedures
- Not infringing on Human Rights
- Promotion of Human Rights – creating awareness with all involved in project operations about UDHR
- Operations: design, execution, monitoring and evaluation

Principle 5: Gender Equity and Women's Empowerment.

Projects supported by the AF shall be designed and implemented in such a way that both women and men 1) are able to participate fully and equitably; 2) receive comparable social and economic benefits; and 3) do not suffer disproportionate adverse effects during the development process

- Analysis of legal / regulatory context; cultural, traditional and religious grounds
- Stakeholder engagement
- Demonstrate compliance: gender disaggregated monitoring



Principle 6: Core Labour Rights.

Projects supported by the AF shall meet the core labour standards as identified by the International Labour Organization

- Core principle – always applies
- Elimination of forced or compulsory labour
- Elimination of child labour
- Elimination of discrimination in respect of employment and occupation
- Creating awareness
- National level – Occupational Health and Safety Act – regulates health and safety at the workplace for all workers

Principle 7: Indigenous Peoples.

The AF shall not support projects that are inconsistent with the rights and responsibilities set forth in the UN Declaration on the Rights of Indigenous Peoples and other applicable international instruments relating to indigenous peoples

- South Africa – Khoi or San communities
- Declarations / Conventions:
 - 2007 UN Declaration on the Rights of Indigenous Peoples (UNDRIP)
 - Convention against Torture and Other Cruel, Inhuman, or Degrading Treatment or Punishment
 - Convention on the Elimination of All Forms of Discrimination against Women
 - Convention on the Rights of the Child
 - International Covenant on Civil and Political Rights
 - International Covenant on Economic, Social, and Cultural Rights
 - International Convention on the Elimination of All Forms of Racial Discrimination
- Guidance: Steps 1 – 4...

Principle 8: Involuntary Resettlement.

Projects supported by the AF shall be designed and implemented in a way that avoids or minimizes the need for involuntary resettlement

- Refers to:
 - physical displacement (relocation or loss of shelter); or
 - economic displacement (loss of assets or access to assets that leads to loss of income sources or other means of livelihood)
- When limited involuntary resettlement is unavoidable, due process should be observed so that displaced persons shall be informed of their rights, consulted on their options, and offered technically, economically, and socially feasible resettlement alternatives or fair and adequate compensation
- Guidance: Steps 1 – 6...

Principle 9: Protection of Natural Habitats.

The AF shall not support projects that would involve unjustified conversion or degradation of critical natural habitats

- Include:
 - legally protected;
 - officially proposed for protection;
 - recognized by authoritative sources for their high conservation value, including as critical habitat; or
 - recognized as protected by traditional or indigenous local communities
- Convention on Biological Diversity
- Common knowledge, traditional insights, scientific research, intrinsic value
- Conversion: natural to non-natural...?

Principle 10: Conservation of Biological Diversity.

Projects supported by the AF shall be designed and implemented in a way that avoids any significant or unjustified reduction or loss of biological diversity or the introduction of known invasive species

- Convention on Biological Diversity
- Living organisms and ecosystem processes, habitats, hydrological cycles, processes of erosion and sedimentation
- Reduction or loss...?
- Any significant or unjustifiable impact:
 - Guidelines: Steps 1 – 3...



Principle 11: Climate Change.

Projects supported by the AF shall not result in any significant or unjustified increase in greenhouse gas emissions or other drivers of climate change

- Increased emissions of CO₂?
- Methane and nitrous oxide emission from agriculture?
- Projects in following sectors require GHG emission calculations:

• Energy	• Large-scale agriculture
• Transport	• Large-scale forest products
• Heavy industry	• Waste management



Principle 12: Pollution Prevention and Resource Efficiency.

Projects supported by the AF shall ... maximize energy efficiency and minimize material resource use, the production of wastes, and the release of pollutants

- Two aspects:
 - Minimise the way resources are used (in a reasonable and cost effective way) – energy, water, other material inputs
 - Minimise production of waste / release of pollutants (including GHGs)
- Construction of hard interventions: waste / pollution prevention and management plan?

Principle 13: Public Health.

Projects supported by the AF shall be designed and implemented in a way that avoids potentially significant negative impacts on public health

- Project's impact on "determinants" of health:
 - Access to medical care, facilities and lifestyle choices
 - Broader set of social, environmental and economic conditions
- "Project may demonstrate that it will not cause potentially significant negative impacts on public health through a health impact screening ... outcome used to demonstrate compliance"?

Principle 14: Physical and Cultural Heritage.

Projects supported by the AF shall ... avoid the alteration, damage, or removal of any physical cultural resources, cultural sites, and sites with unique natural values recognized as such at the community, national or international level.

- UNESCO Convention Concerning the Protection of the World Cultural and Natural Heritage
- National Heritage Resource Act
- Projects should also not permanently interfere with existing access and use of such physical and cultural resources
- Stakeholder consultation NB

Principle 15: Lands and Soil Conservation.

Projects supported by the AF shall ... promote soil conservation and avoid degradation or conversion of productive lands or land that provides valuable ecosystem services

- Soil conservation: Fragile soils (e.g. soils on the margin of a desert area, coastal soils, soils located on steep slopes, rocky areas with very thin soil)
 - Activities that may lead to loss of soils???
- Productive lands: valuable ecosystem services
 - Activities that may lead to degradation???

Opportunities for further training on AF ESP
Application by end September 2015
Training – early 2016???



ADAPTATION FUND
Helping developing countries build resilience and adapt to climate change

Projects & Programmes Apply For Funding Readiness News & Events

Technical Assistance Grants
Adaptation Fund launches a public roster of environmental and social risk management experts

Environmental & Social Safeguards...everyone's responsibility!
Thank you















South African
National Implementing Entity
of the Adaptation Fund

Community Adaptation Small Grants Facility
Meeting Attendance register

Date: 16 September 2015

Purpose of Meeting: Inception Workshop

Location: SANBI, Kirstenbosch, Cape Town

Name	Surname	Organisation	Contact number	Email Address	Signature
Helene	Karathanasios	SSN	0834113817	helene@saitsaathnorth.org	
CHERIE	FORBES	SSN	0760393659	cherie@saitsaathnorth.org	
GUS	BROWN	NAM	027 712 8000	gusb@namalwa-dm.gov.za	
Mpfuruzeni	Tshindane	SANBI	076 744 7828	M.Tshindane@sanbi.org.za	
Manley	Baird	SANBI	092690 8293	m.baird@saitsaathnorth.org	
Sevone	Scorgie	CSA	0837851532	S.Scorgie@coverdale.org.za	
Antoinette	Schulte	CHOICE TRUST	015 307 6329	antoinette@choicetrust.co.za	
Farai	Hole	CHOICE TRUST	07141 83405	farai@choicetrust.co.za	
NTSHAVHANI	MUDAU	MOPANI DISTRICT MUNICIPALITY	0761133733	mudaur@mopani.gov.za	
ZUKI	JAKAVULA	SSN	0824605313		
Mikateko	Sithole	DEA	083321 6231	mysithole@environment.gov.za	
Annanda	Bourne	CSA	0834602081	bourne@coverdale.org	

Name	Surname	Organisation	Contact number	Email Address	Signature
Vishinawho	Khowhagali	DEA	012 399 9172	vkhawhagali@emissionmatters.co.za	<i>[Signature]</i>
Bethia	Kochu	Adephokhu	079 524 3916	bethia@indigo dc.org	<i>[Signature]</i>



**Community Adaptation Small Grants Facility
Project Advisory Group Meeting**

DISTRIBUTION

To those present +
Nicola Stuart-Thompson

Project Inception Workshop

DATE:	16 September 2015	
LOCATION:	SANBI, Kirstenbosch Gardens, Cape Town	
PRESENT:	Mandy Barnett (MB)	South African National Biodiversity Institute (SANBI) (NIE)
	Amanda Bourne (AB)	Conservation South Africa (CSA) (FA)
	Gus Brown (GB)	Namakwa District Municipality (NDM) (Local representative)
	Cherie Forbes (CF)	SouthSouthNorth (SSN) (EE)
	Farai Hove (FH)	CHoiCe Trust (FA)
	Zukisani Jakavula (ZJ) (chair)	SouthSouthNorth (SSN) (EE)
	Helen Karathanassis (HK)	SouthSouthNorth (SSN) (EE)
	Vhalinavho Khavhagali (VK)	Department of Environmental Affairs (DEA)(NDA)
	Bettina Koelle (BK)	Adapation Network (AN) (Civil society)
	Ntshavheni Mudau (NM)	Mopani District Municipality (MDM)
	Sarshen Scorgie (SS)	Conservation South Africa (CSA) (FA)
	Antoinette Schutte (AS)	CHoiCe Trust (FA)
	Mikateko Sithole (MS)	Department of Environmental Affairs (DEA)(NDA)
	Mpfunzeni Tshindane (MT)	South African National Biodiversity Institute (SANBI) (NIE)
	Carl Wesselink (CW)	SouthSouthNorth (SSN) (EE)
APOLOGIES:	Nicola Stuart –Thompson (CHoiCe Trust)	
PURPOSE:	Inception Workshop Minutes	

ITEM	ORIGINAL DATE	FORECAST DATE	ACTION BY
1. Welcome and confirmation of agenda			
1.1	ZJ opened the meeting and welcomed all attendees.		
1.2	The agenda was accepted without any additions.		
2. Introductions and expectations			
2.1	Introductions were made and all attendees were given the opportunity to share their expectations for the workshop.		
2.2	<ul style="list-style-type: none"> • BT - Adaptation Network - Indigo. Partner in process of supporting the proposal development. Happy to see it happening - Expectation: leave the workshop, knowing what is happening with the SGF (able to give a concise and confident answer to interested parties). • MS - DEA the NDA - since 2014 engaging Mopani to be a part of the process. Anticipating all efforts to make a difference at grassroots community and individual level. Expectation: that at the end of the day what we seek to achieve is realised through working together. • VK - DEA - CCA. Bring a perspective from DEA and excited about CCA and implementing efforts realised, lobby for funds for CCA work. Bigger picture - where are going as a country - resources and gaining momentum. Sense of pride - build and strengthen all governance systems (local government, NGOs, etc.). Expectation: Share further the policy, governance and implementation and where are the low hanging fruits. • GB - NDM - Expectation: Consulting with people and reading the proposals. How do we implement the bigger picture and how does it affect the man at grassroots level. Bridge the gap of research and practice. • AB - CSA - Namakwa FA - Expectation: all partners to be on the same page and move forward - agreement on the eligibility criteria and the Project Concept form. • NM - MDM - fully engaged as a local governance sphere. Expectation: Improving the lives of the community. Build skills and abilities to be able to react to CC impacts. • CW - SSN as EE - looking forward to from meeting- get used to long timeframes and long implementation periods - no excuse to do things immediately, timeframe, mandate and get to work. Shift up a gear. Expectation: Hold each other accountable in this project. become servants to the greater good • AS - CHoiCe Trust - Mopani FA - Committed passionate about community work and development, CCA and including health and improve quality of life. Expectation: networking and learning. • FH - CHoiCe Trust - Expectation: clear strategy of rolling out the SGF project and an understanding of the sustainability of the SGF project. • SS - CSA - Namakwa FA - based at CT and CC policy work supporting Amanda. It has been a long journey and I am very excited. Expectation: echoes Amanda's comment that all partners will be on the same page and agreement on the eligibility criteria. • MB - SANBI - NIE - Expectation: embark on journey and set up a communication space when things go differently than we expect, we can communicate and deal with it. All take our place on the global stage - honest and trusting of each other. 		

ITEM	ORIGINAL DATE	FORECAST DATE	ACTION BY
<ul style="list-style-type: none"> • HK - SSN as EE - Expectation: all partners on the same page, excited for the chance to implement at grassroots. • Cherie – my expectations are to have the united understanding between all of us, for all the conversations to be raised now, to help us to succeed in the project and set a good tone for the next few years. • MT - SANBI as the NIE - Expectation: good to see that science is put into action and see other role players come together with their ideas. • ZJ - SSN as EE - Expectation: Put in the correct systems to make this work and get input from all members. 			
2.3 The agenda was accepted without any additions.			
3. The road to here			
3.1 The NIE reflected on the process up to the Inception of the Project.			
4. Perspectives from the National Designated Authority and each of the Districts			
4.1 The Department of Environmental Affairs (DEA) and both District Municipalities reflected on the process up to this point.			
4.2 Department of Environmental Affairs <ul style="list-style-type: none"> • As DEA, we see this as the official beginning or start of the project. • As the Climate Change Adaptation Team at DEA, we are currently seeing climate change moving from science to policy and finally to implementation. • There are a lot of expectations on progress monitoring from this project. • This is a pilot project aimed to be a key project on future service delivery projects. • This project will help to unpack key values on social and economic levels by improving capacity. • We want to reach out to local governments to be able to respond to climate change. • We want to adjust the scope of district municipalities at rural areas which have key demands on natural resource reliance. • DEA will continue looking for finding donor finances for climate change adaptation • This project is a seed that will pioneer for other funding bodies. • DEA is looking forward to working with the SGF partners and hoping to have a good relationship. • DEA will provide leadership but not control the project towards departmental needs. • This project is part of DEA's adaptation portfolio leading to COP21 • From DEA's perspective, let's put ideas on the table engage them from our different schools of thoughts to move the project forward 			
4.3 Mopani District Municipality <ul style="list-style-type: none"> • The idea of Mopani District's involvement in the project started in February 2014 presented by the national department. • Mopani prides itself by being involved because most environmental proposals are often side-lined in favour of economic proposals • Mopani sees the project as one of great value for communities 			

ITEM	ORIGINAL DATE	FORECAST DATE	ACTION BY
<p>responding to climate change impacts</p> <ul style="list-style-type: none"> Mopani District can't wait to get the SGF project off the ground and moving forward. 			
<p>4.4 Namakwa</p> <ul style="list-style-type: none"> Districts always want to make sure that the proposals received are in line with the IDP. Namakwa District is mostly rural and facing a reduction in mining activities, hence there is a focus on looking towards farming and agriculture. This project will also yield economic benefits at District level Namakwa district wants to use the SGF project to reach out to all six (6) municipalities in the District Namakwa wants to introduce climate change subjects at primary school level to introduce the subject to future generations and the reasons of such projects. 			
<p>5. Overall project plan</p>			
<p>5.1 HK presented the overall project plan, what the project aims to achieve during project lifetime, roles and responsibilities and an indicative timeline for Y1.</p>			
<p>5.2 There is a serious concern which might become a big criticism of the SGF project: There has been too much administration before actual implementation on the ground. A method to find a way of receiving concept notes and approving them faster should be found.</p>			
<p>5.3 The timeline should be revised and by principle there should be no compromise on the very important support provided by FAs during project development and review periods needed. However, PAG reviews of concepts and detailed proposals can have a quick turn around time. The worst case scenario is that small grant projects only start after 12 months.</p>			
<p>5.4 Options to speed up the process: Have staggered deadlines for the concepts with a fast-track process for some concepts or adjust the timeline so that we can have a second call for concepts sooner. In speeding up the process, we must ensure that the integrity of the project is not compromised</p>			
<p>5.5 SGF PMT to revise the timeline during Day 2 and EE send to PAG members for confirmation.</p>	17.09.15		SGF PMT
<p>5.6 When revising the timeline note the following:</p> <ul style="list-style-type: none"> With the current review structure and process between the TAG, FA, PAG and NIE a shorter review time will put pressure on the different role players Two weeks set aside for Project Concept writing after the briefing sessions is the minimal time that should be given to applicants and shouldn't be squeezed further Is the Project Concept Form too complicated? We might have to simplify it and build principles for FA's to shorten the process The concept review process is taking too long, suggest shortening this to 2 weeks In this case the PAG will have 24hrs turn-around to process after submission Note that all small grant projects must end 4-6 months before the closure of the SGF project wrap-up activities including learning and reflection We might have to introduce a two-track process by approving good concepts and a normal track for technical inputs To avoid removing TAG from the review process, we might want 			

ITEM		ORIGINAL DATE	FORECAST DATE	ACTION BY
	to have some of our PAG members in the TAG reviewing team.			
5.7	PAG/TAG will warm-up project proponents on the background of the process.			
6. Local briefing sessions				
6.1	Each FA presented their plan for the briefing sessions for their district.			
6.2	Regarding local language as a barrier in the project target areas: <ul style="list-style-type: none"> CH T past experience of mentoring CBOs in Mopani: organisations that would attend the briefing session will understand English and if not there will be a CH T staff member to translate. However when conducting field visits in the past, a translator was often needed. There are approximately 3-4 spoken languages in Mopani. CSA past experience: mostly Afrikaans spoken - will need to translate. 			
6.3	FAs to invite the local elected leaders (e.g. mayor and MMs) to the briefing sessions to give a word of support. This way they can also attend the workshop and understand the SGF project. This buy-in from leadership of the municipality is essential.	16.10.2015		FAs
6.4	NOTE from the NIE SC: Since the Minister would like to attend the SGF launch, rather have the launch once the small grant projects are approved. Thus, politicians can engage with the Small Grant Recipients.			
6.5	CH T to liaise with NM re venue for Mopani briefing session (22-23 October 2015). Possibility to get the MDM community hall free of charge, and MDM could assist with other logistics.	28.09.2015		ChoiCe Trust
6.6	Transport for participants attending the briefing session: FAs would like to make some transport available for some participants on a motivation basis. We expect some organisations to have this level of capacity already, so the FAs could facilitate lift sharing this way as well.			
6.7	Regarding the Call for Concepts: When communicating on radio we need to make sure that our communication is clear and concise, describing exactly what the SGF project aims to do. ALWAYS refer back to the eligibility criteria for projects and recipients and mention what the SGF DOES NOT fund.	28.09.15		FAs
6.8	FAs to incorporate a session on ESP in the programme for briefing session (i.e. training in completing the Project Concepts Application Form on the second day - 23 Oct for Namakwa and 29 Oct for Mopani).	23&29.10.2015		FAs
7. M&E Indicators				
7.1	CF discussed the M&E component of the project.			
7.2	It's a requirement from the AF to track our progress and its important to have a joint M&E framework so that everyone is working towards a common goal and purpose.			
7.3	12 projects will be working on different things, with a joint M&E framework everyone can see what their bit of work adds to the big picture.			
7.4	Introduce this to the potential SGRs to M&E at the second day of the briefing sessions so that this is a well known part of the project from the start.	23 & 29.10.2015		FAs
7.5	The project indicators can't be changed, how we get them, can be changed, but the overall indicators can't change.			

ITEM		ORIGINAL DATE	FORECAST DATE	ACTION BY
7.6	During the project design phase, the indicators should be used to determine which projects will be accepted – this way the project indicators will be reached because they're being kept in mind from the beginning. In other words, they should be built into the project criteria.	28.09.2015		FAs
7.7	The column named "Baseline" was discussed and due to some confusion on the purpose of it, the baseline column is to be renamed "project baseline". Each project will contribute to the baselines, once they're up and running.	17.09.2015		EE
7.8	A concern was raised about the indicator for site visits - seems to be slightly high (144 site visits is based on 12 projects x 4 quarters over 4 years) for the project and due to cost savings, the visits may be consolidated.			
7.9	Some projects will require more visits than others. During the mid term evaluation the accuracy of the indicator will be evaluated to decide if there is a case to amend it.	Mid-Term Review		All
7.10	Grantees should be notified from the beginning of the project that they will be required to assist in producing case studies.	22&28.10.15		FAs
7.11	To enable accurate reporting on indicators, where possible start collecting data from the first activities regarding gender and youth totals of beneficiaries e.g. add columns to attendance registers to include male, female, youth. Nuance and quantitative data to be collected for FA reporting.			FAs
8. Granting procedure				
8.1	CF presented the granting procedure, including the eligibility criteria and the project concept form.			
8.2	Criteria discussion: <ul style="list-style-type: none"> Some of the criteria relate directly to the M&E requirements Point 1.11 of the criteria deals with the double dipping issue Point 1.3 - the reference to USD should be removed Point 1.4 – this sentence should be split into 2 parts for the purposes of the advert for project concept 	28.09.15		PMT
8.3	General note: <ul style="list-style-type: none"> Minimum requirements should be listed in the call, and "bonus" requirements for the optional criteria When the ad goes out, make it friendly e.g. for organisations that are doing development work already, "if you can climate proof your activities, you can apply" The criteria to be interrogated to decide a split 3 ways: must-haves, nice-to-haves and the bonuses 	28.09.15		PMT
8.4	It was agreed that the Concept Form would be amended the following day. Some notes to remember during the next day's workshop: <ul style="list-style-type: none"> Forms must be submitted in English. Having the FAs translate incorrectly allows risk of misinterpreting Section C - big words, can these be simplified? The forms will be worked on at the ESP training. Look at the flow - each section can be separated Include a note on what the projects time frame is Overall budget - doesn't have to be a detailed breakdown Ask for risk factors that would influence the implementation of the project Reword the civil society criteria (page 4) 	28.09.15		PMT

ITEM		ORIGINAL DATE	FORECAST DATE	ACTION BY
9.	Communications Strategy			
9.1	HK presented the draft communications strategy for the SGF			
9.2	Case studies: Option - have very intense 1 week process with writers and editors and after a week, a really good case study is generated. The case study content could cover the experience of a few small grant projects that have one or two overlaps - learning for CCA in SA or Limpopo or Namaqualand.			
9.3	NIE funding for communications: The NIE has some budget (e.g. brochures, project sheets, calendar, etc.			
9.4	Local government can also assist in communications - e.g. newsletters, etc. EE/FAs to provide a short piece on the Inception Workshop that can go into District newsletter.	05.10.2015		EE/FAs
9.5	CDKN can also disseminate communications.			
9.6	Branding: It was suggested that documents should always have the 2 umbrella logos (i.e. NIE and the SGF logos) at the top and other relevant partners at the bottom. On the SGF webpage, have all the partners but have the SGF logo as the main one.			EE
10.	Independent Learning (component 3)			
10.1	CF presented a draft plan for the Independent Learning for the project.			
10.2	The whole SGF team needs to take stock on the learning processes - so that we don't lose the lessons learnt thus far. NOTE: BK attending the next AF civil society dialogue meeting in October - where she will present on the M&E Framework to assess NIE projects .			All
10.3	Lessons learnt pre-inception/execution should be captured. SSN is going to have to collect their thoughts and document lessons learnt institutionally and as part of the SGF team (we can't only do Component 3 work after execution). PAG members may add lessons learnt on the document once sent out.			EE
10.4	An external person/organisation will need to be appointed to capture lessons, keeping the budget allocation in mind. Marie-Ange Baudin from ACDI to be kept in the loop to avoid too many people collecting lessons both at recipient and governance level. (CDRA - Nomvula – is also a suggestion).			EE
10.5	PAG members themselves should start documenting lessons themselves to reflect on lessons learnt that can be discussed at PAG meetings.			PAG
10.6	Perhaps include a lessons learnt section in the quarterly reports as there is a section in the PPR to the AF regarding this.			FAs/EE/ NIE
11.	Reflection and closure			
11.1	All members have a better sense of the Mopani FA (since this was the first face to face meeting of all partners).			
11.2	This is an exciting time in the project and team members are feeling positive that we can execute the indicative timeline via a collaborative spirit.			
11.3	All team members have the same aim and therefore can work towards a common goal.			