

**GREEN
CLIMATE
FUND**

Meeting of the Board
12 – 14 October 2016
Songdo, Incheon, Republic of Korea
Provisional agenda item 11(f)

GCF/B.14/07/Add.07

27 September 2016

Consideration of funding proposals – Addendum VII

Funding proposal package for FP024

Summary

This addendum contains the following three parts:

- a) A funding proposal titled “Empower to Adapt: Creating Climate-Change Resilient Livelihoods through Community-Based Natural Resource Management in Namibia” submitted by Environment Investment Fund of Namibia (EIF);
- b) A no-objection letter issued by the national designated authority or focal point; and
- c) Environmental and social report(s) disclosure.

The documents are presented as submitted by the accredited entity, and national designated authority or focal point, respectively.



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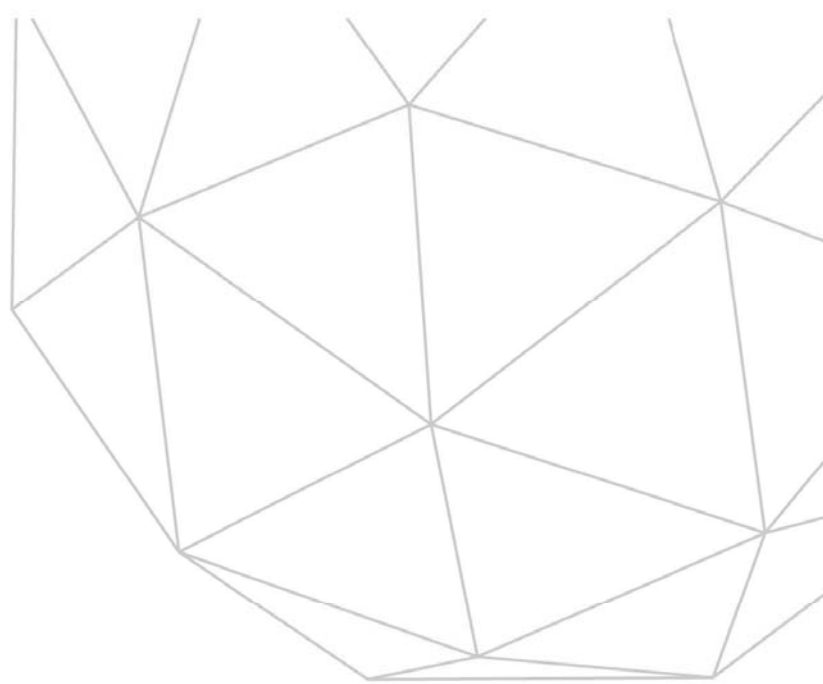
Funding proposal submitted by the accredited entity

No-objection letter issued by the national designated authority or focal point

Environmental and social report(s) disclosure



GREEN
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FUND



Funding Proposal

Version 1.1

The Green Climate Fund (GCF) is seeking high-quality funding proposals.

Accredited entities are expected to develop their funding proposals, in close consultation with the relevant national designated authority, with due consideration of the GCF's Investment Framework and Results Management Framework. The funding proposals should demonstrate how the proposed projects or programmes will perform against the investment criteria and achieve part or all of the strategic impact results.

Project/Programme Title: **Empower to Adapt:
Creating Climate-Change Resilient Livelihoods
through Community-Based Natural Resource
Management in Namibia**

Country/Region: **Namibia, Southern Africa**

Accredited Entity: **Environmental Investment Fund of Namibia**

Date of Submission: **August 26, 2016**

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Note to accredited entities on the use of the funding proposal template

- Sections **A, B, D, E** and **H** of the funding proposal require detailed inputs from the accredited entity. For all other sections, including the Appraisal Summary in section F, accredited entities have discretion in how they wish to present the information. Accredited entities can either directly incorporate information into this proposal, or provide summary information in the proposal with cross-reference to other project documents such as project appraisal document.
- The total number of pages for the funding proposal (excluding annexes) is expected not to exceed 50.

Please submit the completed form to:

fundingproposal@gcfund.org

Please use the following name convention for the file name:

“[FP]-[Agency Short Name]-[Date]-[Serial Number]”

A.1. Brief Project / Programme Information		
A.1.1. Project / programme title	Empower to Adapt: Creating Climate-Change Resilient Livelihoods through Community-Based Natural Resource Management in Namibia	
A.1.2. Project or programme	Project	
A.1.3. Country (ies) / region	Namibia	
A.1.4. National designated authority (ies)	Ministry of Environment and Tourism (MET)	
A.1.5. Accredited entity	Environment Investment Fund of Namibia (EIF)	
A.1.5.a. Access modality	<input checked="" type="checkbox"/> Enhanced Direct Access <input type="checkbox"/> International	
A.1.6. Executing entity / beneficiary	<p><u>Fund Management:</u> Environment Investment Fund of Namibia</p> <p><u>Executing Entities:</u> Communal Conservancies, Community Forests, MET and support organizations such as the Namibian Association of Community-Based Natural Resource Management (CBNRM) Support Organizations (NACSO)¹.</p> <p><u>Beneficiaries:</u> Rural communities from registered Communal Conservancies and Community Forests in Namibia.</p>	
A.1.7. Project size category (Total investment, million USD)	<input checked="" type="checkbox"/> Micro (≤ 10) <input type="checkbox"/> Small ($10 < x \leq 50$) <input type="checkbox"/> Medium ($50 < x \leq 250$) <input type="checkbox"/> Large (> 250)	
A.1.8. Mitigation / adaptation focus	<input type="checkbox"/> Mitigation <input checked="" type="checkbox"/> Adaptation <input type="checkbox"/> Cross-cutting	
A.1.9. Date of submission	August 26, 2016	
A.1.10. Project contact details	Contact person, position	Mr. Benedict Moore Libanda, Chief Executive Officer (CEO)
	Organization	Environment Investment Fund of Namibia (EIF)
	Email address	blibanda@eifnamibia.com
	Telephone number	+ 264 61 431 7700 (+ 264 811 491 944)
	Mailing address	PO Box 28157, Auas Valley

¹ An association comprising 8 Non-Government Organizations (NGOs) and the University of Namibia. The purpose of NACSO is to provide quality services to rural communities seeking to manage and utilize their natural resources in a sustainable manner.

A.1.11. Results areas *(mark all that apply)*

Reduced emissions from:

- Energy access and power generation
(E.g. on-grid, micro-grid or off-grid solar, wind, geothermal, etc.)
- Low emission transport
(E.g. high-speed rail, rapid bus system, etc.)
- Buildings, cities and industries and appliances
(E.g. new and retrofitted energy-efficient buildings, energy-efficient equipment for companies and supply chain management, etc.)
- Forestry and land use
(E.g. forest conservation and management, agroforestry, agricultural irrigation, water treatment and management, etc.)

Increased resilience of:

- Most vulnerable people and communities
(E.g. mitigation of operational risk associated with climate change – diversification of supply sources and supply chain management, relocation of manufacturing facilities and warehouses, etc.)
- Health and well-being, and food and water security
(E.g. climate-resilient crops, efficient irrigation systems, etc.)
- Infrastructure and built environment
(E.g. sea walls, resilient road networks, etc.)
- Ecosystem and ecosystem services
(E.g. ecosystem conservation and management, ecotourism, etc.)

A.2. Project / Programme Executive Summary (max 300 words)

The Community-Based Natural Resource Management (CBNRM) program makes an enormous contribution to both ecosystem conservation and rural development in the communal areas of Namibia. Almost one fifth of Namibia's land surface, accommodating more than 200,000 people, is under conservation and improved management through this program. Local institutions have developed and have gained skills and capacity, resulting in the diversification of livelihoods and the generation of economic benefits for their members. These CBNRM successes are threatened by CC impacts.

2. The proposed project is built on the strong institutional foundation of the Namibian CBNRM network, which consists of communal conservancies and community forests in the rural communal areas of Namibia. These existing institutions are ideally placed to be the conduits for the implementation of local-level climate action as they have been in operation for the past 26 years. It is expected the project will increase the resilience towards climate change of at least 15,000 direct and an estimated 61,000 indirect beneficiaries and improve management on an area of 7,200,000 hectares. The project will run over five years and consists of two complementary components that will empower rural CBNRM communities to respond to climate change in terms of awareness, adaptive capacity and low-carbon rural development. The two components are:

- **Component 1. Capacity Building and Community Support:** This component is essential for the success and sustainability of community-based climate action. It comprises awareness raising, capacity building and support to development and implementation of climate investment plans at the local level.
- **Component 2. Resilient Grant Facility for CBNRM Livelihoods in Namibia:** This component will empower rural CBNRM communities to increase their resilience to climate change through direct access to climate finance. It comprises a ring-fenced grant facility that will focus on the development and strengthening resilient CBNRM livelihoods through grants in three defined investment areas.

A.3. Project/Programme Milestone	
Expected approval from accredited entity's Board (if applicable)	31/10/2016
Expected financial close (if applicable)	31/12/2022
Estimated implementation start and end date	Start: <u>01/03/2017</u> End: <u>31/03/2022</u>
Project/programme lifespan	Five years

B.1. Description of Financial Elements of the Project / Programme

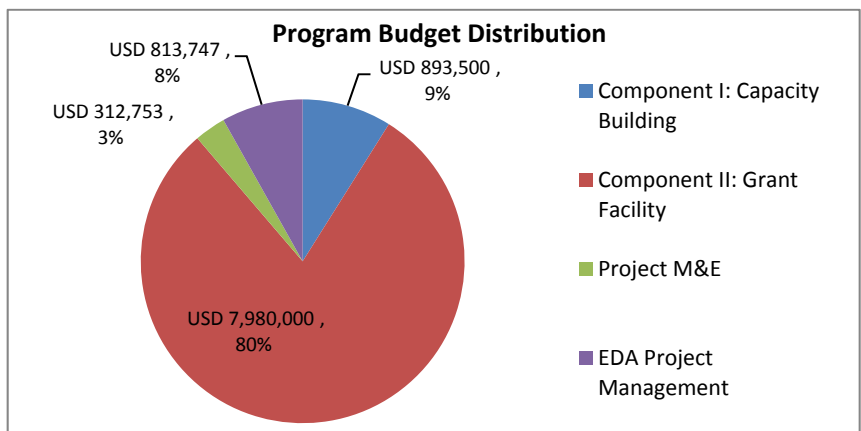
A grant-financing instrument is used for this project seeking maximum concessionality to undertake the proposed adaptation investments.

Table 1: Breakdown of cost estimates for total project costs and GCF financing by sub-component in local and foreign currency

Component	Sub-component (if applicable)	Amount (USD)	Amount in Local Currency (NAD)	GCF funding amount (USD)	Currency of disbursement to recipient
Component I: Capacity Building and Community Support	CC awareness creation	192,000	2,803,830	192,000	USD
	Support to local climate monitoring	34,500	503,813	34,500	USD
	Strengthen CBNRM governance	438,500	6,403,540	438,500	USD
	Capacity building for community-led initiatives	228,500	3,336,850	228,500	USD
	COMPONENT I SUBTOTAL		893,500	13,048,034	893,500
Component II: Grant Facility for Resilient CBNRM Livelihoods in Namibia	Grant Option 2.1: Climate Resilient Agriculture	2,040,000	29,790,699	2,040,000	USD
	Grant Option 2.2: Climate Resilient Infrastructure	1,200,000	17,523,941	1,200,000	USD
	Grant Option 2.3: Ecosystems Based Adaptation and Mitigation	4,740,000	69,219,565	4,740,000	USD
	COMPONENT II SUBTOTAL		7,980,000	116,534,205	7,980,000
EDA Project Management		813,747	11,883,374	813,747	USD
EDA Project M&E		312,753	4,567,227	312,753	USD
Total program financing		10,000,000	146,032,841	10,000,000	USD

A detailed breakdown of cost/budget by expenditure type is provided in the Excel spreadsheet attached to this funding proposal.

An indicative disbursement schedule is provided in the term sheet attached to this funding proposal.



B.2. Project Financing Information							
	Financial Instrument	Amount	Currency	Tenor	Pricing		
(a) Total project financing	(a) = (b) + (c)	10	million USD (\$)				
(b) GCF financing to recipient	(vi) Grants *	10	million USD (\$)	() years () years	() % () % () % IRR		
	Total requested (i+ii+iii+iv+v+vi)	10	million USD (\$)				
(c) Co-financing to recipient	Financial Instrument	Amount	Currency	Name of Institution	Tenor	Pricing	Seniority
	No co-financing envisaged for the proposed project. However, co-funding is envisaged in line with the GCF exit strategy (refer to section D.2.).						
Lead financing institution: N/A							
(d) Financial terms between GCF and AE (if applicable)	<p><i>In cases where the accredited entity (AE) deploys the GCF financing directly to the recipient, (i.e. the GCF financing passes directly from the GCF to the recipient through the AE) or if the AE is the recipient itself, in the proposed financial instrument and terms as described in part (b), this subsection can be skipped.</i></p> <p>For the present funding proposal, the AE is the recipient itself and will administer the grant facility to be established with GCF funding.</p>						
B.3. Financial Markets Overview (if applicable)							
N/A							

C.1. Strategic Context

4. About Namibia: Namibia is situated in South-Western Africa and covers a land area of 825,418 km². With a population of 2.3 million (2013 figure) and an average population density of less than 3 persons/km² (global average: 49 persons/km²), Namibia is the second least densely populated sovereign country in the world (after Mongolia). Namibia gained independence from South Africa only in 1990. The country is a stable parliamentary democracy, classified by the World Bank as an upper-middle income country. Yet, Namibia faces certain unique challenges due to, among other things, its arid climate, recent apartheid history and a severe income gap illustrated by a Gini Coefficient of 63.9 – one of the highest worldwide (UNDP, 2014).

5. Namibia's climate: Namibia is the driest country in Sub-Saharan Africa. The median annual rainfall ranges from less than 50 mm to 250 mm in Namibia's hyper-arid southwest and coastline, and peak at 350 to 550 mm in the sub-humid northeast. Overall, about 22% of the country is classified as hyper-arid, 70% as arid, and less than 8% as dry sub-humid (Mendelsohn, Jarvis, Roberts, & Robertson, 2002). Over most of the country, potential evaporation is at least five times greater than average rainfall (GRN, 2014). The climate is characterized by high variability in the form of persistent droughts, unpredictable and variable rainfall patterns, variability in temperatures and scarcity of water (GRN, 2011). Lack of water is regarded as a key limitation to Namibia's development. Perennial rivers only occur on the country's borders. Of the total rainfall, 83% evaporates shortly after precipitation and 17% is available as surface runoff of which 1% recharges groundwater sources and 14% is lost through evapo-transpiration (2,600 mm to 3,700 mm per year). Hence, only 2% (i.e. 5 mm) remains to be harnessed in surface storage facilities (FAO). Namibia is one of the world's most vulnerable countries with regard to climate change due to its extreme aridity and dependence on primary industry, combined with a limited adaptive capacity (Brown, 2009). Approximately 70% of Namibia's population live in rural areas. Farming is the dominant land use in Namibia, but it is characterized by low production and high risk due to arid conditions, infertile soils and generally poor land use practices.

6. Conservation in Namibia: In total, almost 44% of Namibia's land area is under some form of conservation (NACSO, 2016)². While state-protected areas cover 16.8% of the land surface, an additional 20%, i.e. one fifth, of Namibia's land area is under conservation through the Community-Based Natural Resource Management (CBNRM) Program (see Figure 1). This corresponds to an area of 163,396 km², which is about 53.4% of all communal land and accommodates about 200,000 residents. Of this area, conservancies manage 160,244km², which is about 19.4% of Namibia. Although community forests covers an area of 30,827km², 90% of this area is overlapping with conservancies. The program currently comprises 82 Communal Conservancies and 32 Community Forests on communal land. CBNRM is a conservation and development strategy premised on an incentive-driven philosophy that recognizes how conservation of natural resources links with rural development and sustainable livelihoods. It is based on the assumption that communities with responsibility and authority over natural resources tend to manage them sustainably in ways that also result in reduction in rural poverty when they are in control of those resources and derive direct benefits arising from their use.

² Private forms of conservation areas are Freehold Conservancies and Concessions.

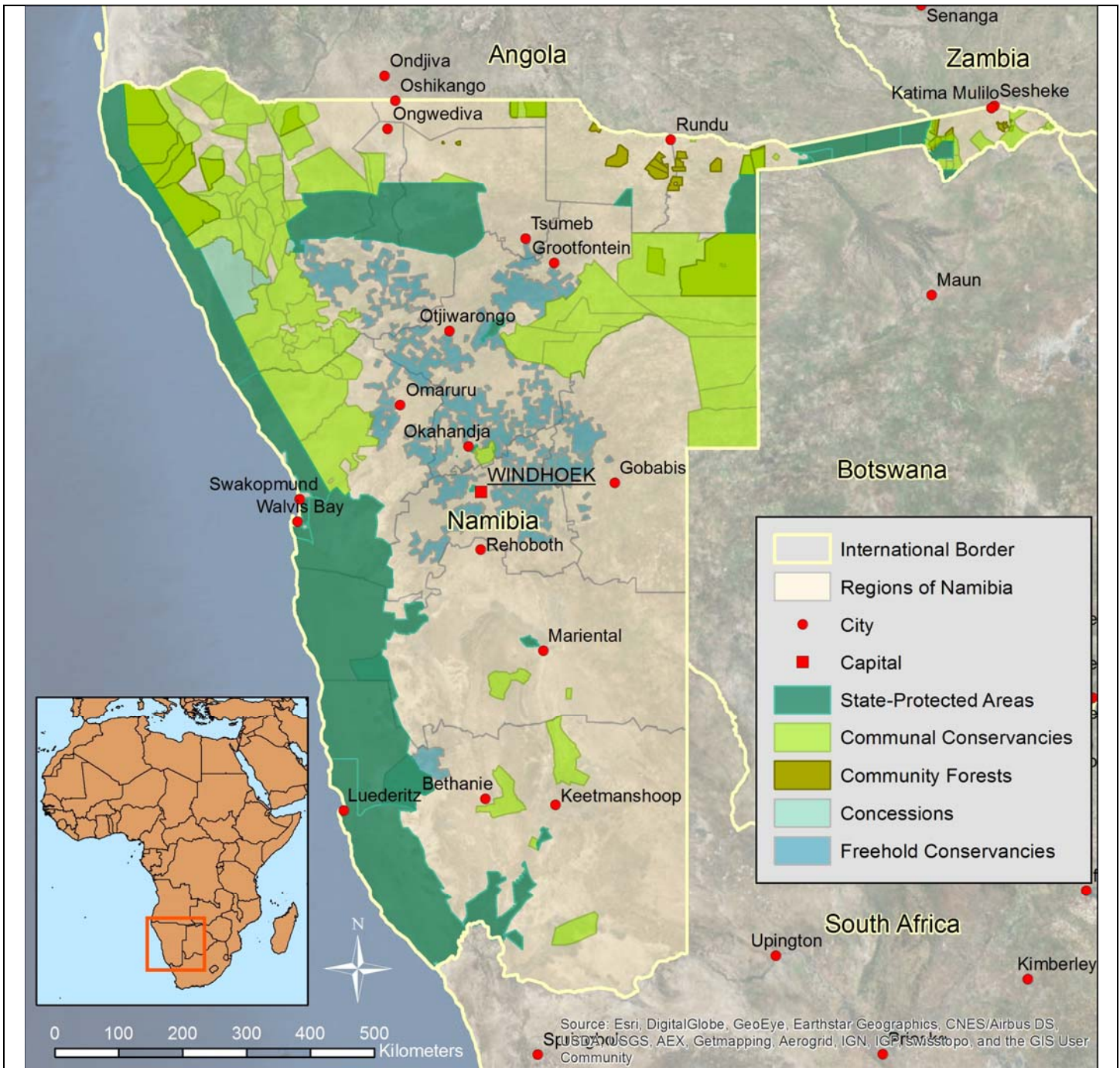


Figure 1: Conservation areas in Namibia. In total, almost 44% of Namibia's land surface are under some form of conservation. The proposed project targets registered Communal Conservancies and Community Forests, which cover roughly 20% of Namibia's land surface.

7. CBNRM in Namibia: CBNRM is founded on three pillars - institutional development, natural resources management, and business, enterprises and livelihoods. Institutional development emphasizes that good governance creates the basis for resource management, benefit capture and distribution. Natural resource management is focused on innovative management approaches, which enables biodiversity conservation and sustainable use. Business, enterprise and livelihoods are based on market-based approaches that enable a wide range of community returns (NACSO, 2014; NACSO, 2013). Some of the characteristics of CBNRM are that:

- It is a rural development program that seeks to devolve rights and responsibilities over wildlife, tourism, forests and other natural resources to rural communities
- It promotes wise and sustainable management of natural resources
- It encourages biodiversity conservation by creating the necessary conditions for sustainable use
- It provides incentives to communities to manage and use natural resources in sustainable and productive ways
- It creates opportunities for enterprise development and income generation
- It is an empowerment and capacity-building project that encourages and assists communities and their local institutions to develop skills and experience to manage their natural resources in order to improve their livelihoods
- More recently, CBNRM is being used as an entry point for community based climate change adaptation initiatives at a local level

8. Climate change and CBNRM: The majority of CBNRM income is directly linked to natural resource utilization. Already, the impact of climate change is undermining the growing nature-based tourism industry in Namibia directly by impacting on the tourism resource base, through changes in habitats, landscape characteristics and vegetation cover, biodiversity loss, decreasing water availability, increased frequency and severity of climate hazards, coastal erosion, and increased incidence of vector borne diseases (like malaria). Beneficiaries of the CBNRM program in conservancies and forest reserves, who are developing sustainable livelihoods based on resource management and tourism, stand to be severely affected by any such changes. The impact of climate change undermines the investments and potential ecosystem services and goods that CBNRM provides to support livelihoods of more than 200,000 Namibians who depend on natural resource use for their survival. The Vulnerability and Adaptation Assessment of Namibia (MET, 2008) identifies CBNRM as an important Program that offers an opportunity for communities to diversify their livelihood options. At the same time, these local level institutions provide an opportunity to integrate adaptation to climate while responding to other environmental or socio-economic changes.

9. CBNRM Policies: Namibia, to date, has implemented several conservation interventions that combine sustainable natural resource management and rural development through CBNRM since 1992. The idea of a national CBNRM support structure emerged in the early 1990s through the work of the CBNRM support organizations, the Ministry of Environment and Tourism and the national NGOs, and was supported by the USAID funded Living in a Finite Environment (LIFE) project. International support was received through USAID, DfID, SIDA, WWF, GEF and World Bank, together with domestic support from the Ministry of Environment and Tourism, the Namibia Nature Foundation and others. The objective was "to promote activities that demonstrate that sustainably managed natural resources can result in social development and economic growth, and in suitable partnership between local communities and government." This has certainly been demonstrated and the program has been successfully mainstreamed into national development priorities - representing one of CBNRM's major, over-riding achievements. CBNRM activities are now an integral part of Rural Poverty Reduction, Rural Development, National Development Plans, Harambee Prosperity Plan and Vision 2030. In short, the CBNRM Program provides a win-win livelihoods and conservation/sustainability solution. The legal provision enabling the implementation of CBNRM is fragmented and embedded in the legislative frameworks of various government ministries. The legislation most relevant to this study is Nature Conservation Amendment Act of 1996 and the Forestry Act of 2002. The CBNRM legal entities as established by the Ministry of Environment and Tourism (MET), and Ministry of Agriculture, Water and Forestry (MAWF) are commonly known as communal conservancies and community forests (CFs). The legal declaration of an area as Communal Conservancy or Community Forest goes hand in hand with the registration of a corresponding legal institution in form of a Community-Based Organization (CBO). CBO is the term used throughout this funding proposal when referring to these CBNRM legal entities.

C.2. Project / Programme Objective against Baseline

10. The CBNRM network comprises about 200,000 residents in 82 Communal Conservancies and 32 Community Forests on communal land. This corresponds to an area of 163,396 km² (16,339,600 hectares). Communal conservancies and community forests operate exclusively in rural settings in Namibia. This renders them particularly vulnerable to the effects of a changing climate as they remain highly dependent on variable rainfall patterns and associated fluctuating natural resource yields. In addition, CBNRM entities in rural Namibia often have very limited access to the financial, technical and human resources required to enhance their resilience to climate change. In

general, CBNRM communities live under high exposure to climate risks such as:

- *Drought and low rainfall:* More than 80% of people living within the CBNRM boundaries depend on natural resource use for their livelihoods as subsistence farmers, small-scale emerging farmers and horticultural farmers. These communities have been identified as having the highest levels of exposure because drought increases the likelihood that crops will fail or animals will die. Drought has affected food production directly over the last 15 years in Namibia (Ziervogel and Angula, 2016). This has led farmers to finish their stock of millet in granaries before the next rainy season.
- *Loss of forest cover and species:* Deforestation and desertification; frequent forest fires; changes in forest types, species composition and distribution; and the disappearance of medicinal plants. Vulnerable species are those that have limited geographical ranges, drought/heat intolerance, low germination rates, low survival rate of seedlings, and limited seed dispersal/migration capabilities. Unsustainable supply of forest, products and services. Decrease in employment and foreign exchange earnings through forest-based industries and trade
- *Inadequate access to climate information:* This is a serious concern for CBNRM communities who depend on land and natural resources and for who knowledge on climatic trends and corresponding adaptation is crucial. This is especially true as residents incur the direct costs of damage from increased extreme weather events.
- *High temperatures:* Extreme high temperatures over the past 15 years have been associated with the outbreak of pests and diseases that impact both crops and animals. Over the years, there has been outbreak of foot and mouth disease, anthrax, and rabies. These diseases have profound impact on both livestock production and wildlife management resulting in loss of revenues to support livelihoods. Sensitivity for those on social grants, such as the elderly and those living with HIV/AIDS was seen to be high, because they will not be able to work long hours in their fields if it is too hot. Small-scale traders are less sensitive because they do not directly depend on natural resources. However, their products are likely to expire faster due to heat stress.
- *Biodiversity loss and species movement:* There is indication that recent and ongoing climate change is leading to rapid changes in the distributions of species in Namibia's protected area network. Species movements into areas where they were not previously found are observed, the disappearance of species from a region where they once were, or a shift in the abundance and distribution of individuals within a species range (Midgeley et al. 2010). Changes in fire and precipitation regimes continue to drive or accelerate shifts from one ecosystem state to another. Declines in charismatic wildlife populations lead nature-watchers, photographers, and hunters to seek other habitats that offer more substantial populations and that have an impact on local livelihoods. The impacts of these changes includes, loss of income opportunities and jobs, loss of primary production to provide ecosystem goods and services, and increased levels of poverty as CBNRM residents depends on natural resource for their livelihoods.

11. While CBNRM communities through the CBNRM program have received substantial support in terms of institutional development, biodiversity and ecosystem conservation and business development based on sustainable natural resource management and utilization, there has been no dedicated support to date to prepare them for the above risks associated with climate change. If the achievements of the Namibian CBNRM program are to be sustained and built upon in future, substantial enhancement of the adaptive capacity of the CBNRM communities is crucial. At the same time, CBNRM CBOs have been identified as critical institutions for local-level awareness and practical climate change adaptation and mitigation activities and are thus crucial to Namibia's overall climate change strategy. The existing Namibian CBNRM program therefore forms a solid basis for widespread community-based climate change responses at the local level and bears enormous potential for creating and safeguarding resilient rural livelihoods while contributing to Namibia's mitigation and adaptation targets.

12. The proposed project aims at increasing the climate change resilience of CBNRM communities while taking advantage of the strong community-based structures that the CBNRM network provides.

13. The overall objective of the proposed project is therefore to

Overall Project Objective:

‘Empower Rural Communities of the Namibian CBNRM Network to Respond to Climate Change in Terms of Awareness, Adaptive Capacity and Low-Carbon Development’.

The project is expected to directly benefit more than 15,000 women and men³ in the CBNRM areas through the support to diversified climate-resilient livelihood options. An area of more than 7 million hectares will be under improved and effective management, which contributes to both increased climate change resilience and to greenhouse gas emission reduction, indirectly benefitting more than 60,000 inhabitants of the CBNRM areas. This will be achieved through two complementary project components:

14. Component I: Capacity Building and Community Support

Component I Objective:

‘Build and Strengthen the Institutional Foundation for Effective and Sustainable Community-Led Local Climate Action in the CBNRM Network’

Component I of the project will build and strengthen the institutional foundation for effective and sustainable community-led local climate action in the CBNRM network. Activities under this component do not necessarily relate directly to climate change actions but that applies to the entire CBNRM network and need to be addressed to ensure the effective implementation of the proposed interventions and to enhance the achievement of the envisaged impacts under project component II. Component I activities fall under the following sub-components:

1. *Climate change awareness creation*

A minimum of 80 CBNRM CBOs will be targeted through awareness materials and dedicated training in order to raise their awareness towards climate change and share information on possible adaptation measures

2. *Local-level climate monitoring*

A climate monitoring system tailor-made for CBNRM CBOs will be developed and implemented across the CBNRM network. A minimum of 30 CBNRM CBOs is expected to adopt the climate monitoring system. This will allow both CBNRM communities as well as external support organizations to strengthen planning and adapt their activities and interventions accordingly.

3. *Strengthening CBNRM governance*

Good governance creates the basis for effective resource management, benefit capture and distribution and is essential for successful implementation of community-based projects as provided under component II. Governance in 30 CBNRM CBOs will be strengthened through this sub-component.

4. *Capacity building for community-led initiatives*

Community-led initiatives to address climate issues are going to require capacity-building of a new set of skills that these CBOs have not yet had the opportunity to develop. Not only will the CBOs be engaging in new aspects of environmental management – climate change adaptation measures – but they will also be required to identify appropriate interventions and develop and submit corresponding proposals under component II. This sub-component will provide training and technical support to CBOs based on a prior assessment of specific needs.

15. Component II: Grant Facility for Resilient CBNRM Livelihoods in Namibia

Component II Objective:

Empower Rural CBNRM Communities through Direct Access to Climate Finance for Increased CBNRM Livelihoods

³ Note that this is lower than the sum of the figures provided in paragraph 15, since some overlap between the beneficiaries of the different grant investment areas is expected. See the attached Excel spreadsheet for more detail.

Resilience and Low-Carbon Rural Development.

Component II comprises a grant facility for resilient CBNRM livelihoods through self-determined local climate change adaptation initiatives. It will serve exclusively for direct access by legally recognized CBOs operating within the ambit of the national CBNRM program and seeking to implement community-level activities which have a strong climate change adaptation impact potential. The grant facility will be fully aligned with GCF investment criteria while allowing for maximum responsiveness to national and, particularly, local priorities in the following three grant investment areas:

1. *Climate Resilient Agriculture*

A minimum of 6 grants under this investment area will benefit more than 11,000 direct and 26,000 indirect beneficiaries by addressing the direct and indirect impacts of climate change on agricultural production. Possible grant projects will focus on responses that feature shifts towards innovative resilient farming techniques such as conservation/climate-smart agriculture, as well as technological improvements.

2. *Climate Resilient Infrastructure*

A minimum of 15 grants under this investment area will benefit more than 2,000 direct and 3,600 indirect beneficiaries by addressing the climate change vulnerability of settlements, the people living in those settlements and the infrastructure on which they depend. Possible grant projects will focus on infrastructure adaptation, renewable energy technology and water saving measures.

3. *Ecosystem Based Adaptation*

A minimum of 12 grants under this investment area will benefit more than 7,000 direct and 60,000 indirect beneficiaries by enhancing resilience and maintain ecological functions and services of ecosystems at the landscape scale. Examples include improvement of connectivity of CBNRM areas, re-integrated natural resource management for wildlife and forest resources, fire management interventions, forest inventories, introduction of wildlife in its former range, restoration of degraded wetlands or forests or unproductive ecosystems.

Altogether, a minimum number of 33 grants with an average volume of USD 240,000 will benefit directly more than 15,000 and indirectly more than 60,000 women and men⁴. An area of more than 7 million hectares will be under improved and effective management. An estimated 2,400 households will enjoy improved food security through the adoption of climate resilient agriculture techniques. The climate change resilience of an estimated 90 rural settlements will be increased and an estimated 186 sustainable climate-resilient jobs will be created. For more detailed information on expected project outcomes and outputs, please refer to the logical framework in section H.1.

C.3. Project / Programme Description

16. Target Population: The project targets rural communities on land which is managed by a registered CBNRM CBOs in Namibia. This corresponds to a population of roughly 200,000. These communities can submit proposals and apply for grant funding from the Grant Facility for Resilient CBNRM Livelihoods through their registered CBO. Project component I aims at preparing them for this task by specifically addressing CBO committee members. All CBNRM CBOs will be made aware of the grant opportunity for community-based local climate adaptation action. A diagnostic screening tool will be applied to all CBNRM CBOs in Namibia in order to establish their specific vulnerability status, baseline information and needs for targeted training and support by the project under component I. Selection of grant beneficiaries will be made according to alignment of proposals with GCF criteria and climate change vulnerability of respective communities/areas.

17. Target areas: The project targets areas managed by registered CBOs of the CBNRM program. Since these operate exclusively on communal land in Namibia, the communal areas constitute the wider potential intervention area. Most of the CBNRM CBOs operate in the north-western (Kunene Region) and north-eastern (Kavango East and West, Zambezi and Otjozondjupa Region) parts of the country. It is therefore expected that most grant projects will be implemented in the communal areas of these regions (see Figure 2), simply due to the comparably high number of CBNRM CBOs operating there. However, note that CBNRM CBOs from other regions are by no means excluded from the project and that CBNRM CBOs from all regions (except Khomas, since there are no registered CBNRM CBOs in

⁴ Note that this is lower than the sum of the figures provided separately for the different grant investment areas, since some overlap between the beneficiaries of the different grant investment areas is expected. See the attached Excel spreadsheet for more detail.

19. Once these materials are developed and produced, they should be disseminated through as many channels as possible – distribution of printed copy, social media and radio programs. These materials should be distributed at any CBO gathering in all of the regions. Support organizations and regional government offices will also be approached to assist. These materials should be available and distributed at any of the planned project events during the first year of project implementation.

Activity 1.2: Regional training workshops on climate change awareness, adaptation and mitigation

20. The second activity involves climate change training workshops that target the CBOs who potentially will engage to a greater extent with this project and aim at exposing training participants to relevant aspects of climate change and means of reducing vulnerability to climate change. It entails 17 training workshops in 13 regions to train a minimum of 40 CBOs with at least 10 reps from each. Selection of the target CBOs will be based on the outcome of the CBO assessment under activity 4.2. The delivery of these workshops will target any CBOs interested in applying for a grant and the training will be delivered on a regional basis during the first half of year 1 of the program. Suitable candidates for this training will include CBO staff or committee as well as representatives from their support organizations. These regional training events will provide possible applicants with the basic climate change knowledge needed to be able to identify needs and possible interventions appropriate in their areas.

21. Participation in these training events will be a pre-requisite for each CBO planning on submitting a proposal for funding for climate change activities through Resilient CBNRM Livelihoods in Namibia grants. If this is considered essential to all grant applicants, then it will be necessary to repeat the training in selected regions at a later stage during program implementation to provide the opportunity to CBOs who might not have accessed the information about the opportunity of accessing support for climate change activities during year 1.

Output 2: Local Climate Monitoring Established

The expected number of CBOs who will have adopted the climate monitoring system and submit corresponding annual monitoring reports as a result of the project is 30.

Activity 2.1: Development and verification of a climate monitoring system with supporting training materials

22. CBNRM in Namibia has a major focus on improved land and resource management practices with considerable emphasis on monitoring the status and use of resources through a structured approach called the Event Book System (EBS). The EBS is a grassroots natural resource monitoring program. It differs from traditional monitoring in that the CBO decides what needs to be monitored, collects the data and undertakes the analysis. The EBS was created to inform management decisions in communal conservancies throughout Namibia and to support the processes of adaptive management. More than 60 conservancies in Namibia have adopted the EBS. A sense of ownership, confidence, pride and commitment to this monitoring system has developed (Stuart-Hill, Diggle, Munali, Tagg, & Ward, 2005).

23. This activity will require the current EBS to be reviewed and opportunities for integrating climate relevant data collection identified. This will include participatory processes with clusters of CBOs to determine what their data needs are and to explore ways in which this information can be effectively utilized. Once the climate monitoring components that need to be added to the EBS system have been identified and developed, CBOs will be provided with training on how to implement and use this system in line with activity 3.2. In addition to formal training events, ongoing support should be provided to the staff of CBOs responsible for collecting the data. Support should also be provided to CBO management to facilitate the synthesis of the data and its application in adaptive management processes. A minimum of 30 CBOs is expected to adopt the climate monitoring system.

24. It should be recognized that the needs of the CBOs are going to vary greatly as a result of geographic differences but also due to locally identified needs and the processes for developing and implementing the climate monitoring system will need to accommodate these variations.

Output 3: CBNRM Governance Strengthened

25. The exact content of this sub-component as well as the selection of the CBOs that will receive targeted support will be based on the outcome of the CBO assessment under activity 4.2. The minimum number of additional CBNRM CBOs for which governance will be strengthened (measured by their compliance with the MET's standard operating procedures (SOP)) as a result of the project is 30.

Activity 3.1: Development or revision of governance and SOP training materials

26. Existing training materials will be reviewed and adapted or updated to address the identified needs. This is likely to represent several existing training modules being revised with the possible need for the development of new modules.

Activity 3.2: Targeted training and technical support provided to CBOs by service providers

27. Based on the outcomes of the diagnostic process under activity 4.2, CBOs and their support organizations will then need to develop a training and technical support work plan which demonstrates how the needs for improved governance and management capacity are going to be addressed. Based on this, support organizations will be contracted by the EIF to provide the required support and capacity building. One of the issues that are likely to be identified through this process is the need for CBO management committees to encourage active engagement of the members in all of the CBO activities. Also, the need for new mechanisms to be developed that allow for increased accountability of CBO management and staff to members. Note that this activity also includes support and training for the adoption and implementation of the local climate monitoring system under output 2.

Output 4: Capacity of CBNRM CBOs for community-led initiatives increased

28. Community-led initiatives to address climate issues are going to require capacity-building of a new set of skills that these CBOs have not yet had the opportunity to develop. Not only will the CBOs be engaging in new aspects of environmental management – climate change adaptation measures – but they will also be required to identify appropriate interventions, develop and submit corresponding proposals and, if accepted, manage the grant awarded by the EDA Project Management Unit within EIF.

29. Those CBOs with demonstrated requisite capacity (to develop fundable projects, to implement such projects, to report as required and account for funds disbursed) can apply directly and implement projects on their own. The number of proposal applications submitted to EDA grant facilities from CBOs directly (i.e. without external support by implementing partner) that are approved for funding is expected to amount to 10. While this will be the preferred modality from the perspective of the NDA and the EIF, the reality is that most CBOs lack this requisite capacity and this capacity-building component has been included to change this situation. Therefore, it is anticipated that most funding applications will be made in partnership with support organizations (for more detailed information on grant modalities and possible support organizations refer to section C.7.). The same is true for project implementation as well as monitoring and reporting. Including the support organization as a partner in the grant application is intended to ensure that this component of capacity building is provided for.

Activity 4.1: Information sharing meetings on grant facility

30. There will be 15 information sharing meetings held in all regions and major centers in order to inform CBOs and respective communities about the project and the opportunity to apply for resilient livelihoods grants. All CBNRM CBOs will be targeted by this activity.

Activity 4.2: CBO diagnostic designed and carried out in all 13 regions to identify CBO capacity and support needs

31. During the first half of year 1, a diagnostic tool needs to be developed that, when applied to CBOs, captures not only baseline information about the CBO and its governance structures, but also identifies the specific training needs related to CBO governance. The diagnostic report that will be generated should provide the baseline information for the program level indicators as well as an assessment of the CBOs' training and technical support needs. Other factors such as potential risks or issues relating to gender or marginalized groups need to be identified and evaluated. Support organizations will be contracted to undertake this diagnostic process and will also be able to use this opportunity for further sharing the CC awareness materials with the CBOs and providing them with information about the grant

opportunities offered by this program.

32. The results of this activity will be key in informing the exact scope, content and target CBOs of support activities under the project outputs 2 and 3. It therefore constitutes the point of departure for component I.

Activity 4.3: Training workshops for CBOs accessing grants

33. All CBNRM CBOs identified through activity 4.2 as having the basic capacity and structures in place on which to be built on for development and implementation of grants under component II will be invited to attend grant training workshops under this activity. 10 workshops at the regional level (some regions will be combined) are envisaged under this activity. Participating CBNRM CBO representatives will be provided with detailed information on grant opportunities, the grant application process, their roles and responsibilities in grant project development, implementation and monitoring as well as opportunities for technical support and cooperation with support organizations.

Activity 4.4: Targeted support to potential grantees for proposal development and submission

In addition to training provided under activity 4.3, there will be ongoing support to grant proposal development and submission by the EIF EDA Project Management Unit (see section C.7. for further information). Furthermore, an independent service provider will be contracted under this activity to provide targeted information, training and proposal development support to selected CBOs as identified through activity 4.2.

Project Activities under Component II: Grant Facility for Resilient CBNRM Livelihoods in Namibia

Output 5: Grant facility for Resilient CBNRM Livelihoods implemented

34. This component aims at empowering rural CBNRM communities to increase their resilience to climate change a through access to direct climate finance. The EIF will establish a ring-fenced EDA Livelihood Resilient Grant Facility from GCF funding that will focus on grant financing for developing and strengthening resilient livelihoods within CBNRM areas. This component will provide grant funding and technical assistance on a demand-driven basis to CBNRM institutions for climate investments that will generate lessons and experience for scaled-up climate action in priority areas in Namibia and possibly neighboring countries. GCF funding will allow for the provision of resources for climate investments on a grant basis, helping reach the poorest and most climate-vulnerable rural communities in priority areas, including the poorest populations residing on fringe/risk-prone areas and marginalized groups such as women. Female-headed farming households with climate resilient (and gender friendly) agriculture technology, extension services, and soil conservation techniques will be targeted and be the main beneficiary of the project.

35. A minimum of 33 grants for community-led climate change adaptation action with an average volume of USD 240,000 will be awarded, implemented and reported upon. In particular, GCF-financed activities will strengthen the climate resilience of those most vulnerable to climate change, by supporting the adoption of climate-smart rural production and landscape management investments that aim to achieve multiple benefits (e.g., climate resilience, food security, increased well-being of beneficiaries, including gender and social inclusion). In the context of the present proposal, 80% of the GCF resources sought under the present proposal will be directed towards three grant investment areas for resilient CBNRM livelihoods.

Activity 5.1: Awarding and implementation of grants under investment window 1: Climate-resilient agriculture

36. A minimum of 6 grants under this investment area with an average financial volume of USD 340,000 will be awarded, implemented and reported upon. Projects that fall within this investment window will address the direct or indirect impacts of CC on agricultural production in CBNRM areas, and could target livestock and/or crop production. They will focus on responses that feature shifts towards innovative resilient farming techniques such as conservation/climate-smart agriculture, as well as technological improvements. The latter could include the use of hydroponic garden systems for food security and supply to community owned lodges, bush encroachment management measures, tree planting or the construction of shade structures and more drinking troughs for livestock in the face of increasing temperatures.

Table 2: Grant Investment Window 1

Option 1: Climate resilient agriculture	
Purpose: to address direct or indirect impacts of climate change on agricultural production	
Scope	<input type="checkbox"/> Priorities for biomes: Tree Savanna <input type="checkbox"/> Intervention areas: conservation agriculture, grazing management, fire management <input type="checkbox"/> Impact spheres: adaption and economic <input type="checkbox"/> Grant sizes: USD 100 000 – USD 400 000 <input type="checkbox"/> Duration: 3 years
Cost categories	<input type="checkbox"/> Large and small scale infrastructure and equipment <input type="checkbox"/> Services for planning, implementation and management <input type="checkbox"/> Training, research and monitoring <input type="checkbox"/> Consumables <input type="checkbox"/> Operational costs
Eligibility criteria	<input type="checkbox"/> Grant should include more than one CBO within a landscape <input type="checkbox"/> Grantee must have the capacity to implement the full scope of the grant <input type="checkbox"/> Measures must ensure tangible benefits for CBO members <input type="checkbox"/> Interventions must comply with local-level land-use plans

Activity 5.2.: Awarding and implementation of grants under investment window 2: Climate-proof infrastructure

37. A minimum of 15 grants under this investment area with an average financial volume of USD 80,000 will be awarded, implemented and reported upon. This investment window incorporates projects that increase the climate change resilience of settlements, the people living in those settlements and the infrastructure on which they depend. Concrete examples of infrastructure upgrades would be water harvesting and storage infrastructure, solar water heaters, solar retrofitting of diesel pumps, small-scale photovoltaics, dry sanitation, etc.

38. Development of climate-proof infrastructure also addresses the need for disaster risk reduction, as climate change in some areas might mean an increase in the frequency and intensity of climate extremes. Community- led disaster risk reduction projects that can safe-guard lives, livelihoods and infrastructure, will thus be included (e.g. erosion management). Depending on the climate change projections for the area, such projects could prepare for extremes ranging from droughts to floods. Ecological infrastructure can in some cases play a role in buffering extremes, and as such be incorporated as part of climate-proof settlement projects. Such interventions need to be linked to projected climate change related impacts on settlements being reduced or prevented as a result of healthy and functioning ecosystems. This could include the restoration or rehabilitation of a wetland that can be shown to provide flood attenuation for a community at risk from flooding due to an increase in the intensity of heavy rainfall events.

Table 3: Grant Investment Window 2

Option 2: Climate proof infrastructure	
Purpose: to address the climate change vulnerability of settlements, the people living in those settlements and the infrastructure on which they depend.	
Scope	<input type="checkbox"/> Priority for biomes: all <input type="checkbox"/> Intervention areas: infrastructure adaptation, renewable energy technology, improved sanitation, water demand management <input type="checkbox"/> Impact spheres: mitigation and social <input type="checkbox"/> Grant sizes: USD 50 000 – USD 400 000 <input type="checkbox"/> Duration: 1 to 2 years
Cost categories	<input type="checkbox"/> Infrastructure and equipment <input type="checkbox"/> Services for procurement and installation <input type="checkbox"/> Monitoring of outcomes
Eligibility criteria	<input type="checkbox"/> Grant can be limited to one CBO <input type="checkbox"/> Infrastructure development must comply with the Environmental Management Act

- Interventions need to be linked to projected climate change related impacts on communities being reduced or prevented

Activity 5.3.: Awarding and implementation of grants under investment window 3: Ecosystem Based Adaptation

39. A minimum of 12 grants under this investment area with an average financial volume of USD 395,000 will be awarded, implemented and reported upon. Ecosystem based adaptation is a framework that uses an integrated ecosystem management approach to enhance resilience and maintain ecological functions and services at the landscape scale. It combines multi-functional land uses and conservation of natural capital to enhance multi-scale benefits from ecosystems that help socio-ecological systems adapt to changing conditions and multiple pressures, including climate change. This framework suggests a new landscape paradigm to maximize the adaptation benefits of ecosystem-based pathways that combine strategies over a mosaic of inter-connected ecosystems.

40. Examples include improvement of connectivity of CBNRM areas, re-integrated natural resource management for wildlife and forest resources, fire management interventions, forest inventories, integration of climate change into local level monitoring system, introduction of wildlife in its former range, restoration of degraded wetlands or forests or unproductive ecosystems.

Table 4: Grant Investment Window 3

Option 3: Ecosystem-based adaption	
Purpose: to achieve multiple benefits in the context of sustainable development by linking biodiversity and ecosystem conservation to rural development, in order to enhance climate change resilience and maintain ecological functions and services	
Scope	<ul style="list-style-type: none"> <input type="checkbox"/> Priorities for biomes: Namib Desert, Nama Karoo, Shrub Savanna and Tree Savanna <input type="checkbox"/> Intervention areas: Biodiversity management, biotrade, forest restoration <input type="checkbox"/> Impact spheres: environmental, adaptation and economic <input type="checkbox"/> Grant sizes: USD 100 000 – USD 400 000 Duration: 3 years
Cost categories	<ul style="list-style-type: none"> <input type="checkbox"/> Small scale infrastructure and equipment <input type="checkbox"/> Services for planning, implementation and management <input type="checkbox"/> Training, research and monitoring <input type="checkbox"/> Operational costs <input type="checkbox"/> Consumables
Eligibility criteria	<ul style="list-style-type: none"> <input type="checkbox"/> Grant should include more than one CBO within a landscape <input type="checkbox"/> Interventions must comply with local-level and regional land-use plans <input type="checkbox"/> Grantee must have the capacity to implement the full scope of the grant <input type="checkbox"/> Measures must ensure tangible benefits for CBO members

C.4. Background Information on Project / Programme Sponsor (Executing Entity)

41. The Environmental Investment Fund of Namibia (EIF) is a fully accredited entity of the Green Climate Fund (GCF) and thus has met the fiduciary responsibilities for managing funds. In addition to the domestically-funded programs, the EIF has managed micro-scale funding on behalf of the UNDP, UNFCCC, and served as a crucial financial management institution for the eleventh Conference of Parties of the UNCCD (that is, COP 11), a large-scale resource envelope that was deemed very successful, by international standards for same large-scale undertakings. Furthermore the EIF is currently managing three different environmental and climate change related grant programs, namely the Game Product Trust Fund, UNDP Small Grants Program and the EIF Grant Program. In total the EIF has handled more than US\$35 million of combined administration of grants. Moreover, the working relationship with other grant making programs provides opportunities for coordination, cost efficiency, and sharing of lessons and experiences. Therefore

the EIF is able to link emerging organizations with more established ones, thereby facilitating more rapid capacity building. These linkages between initiatives also promote collaboration and synergies between projects and organizations, resulting in a better product and in a cost-savings. The EIF has experienced personnel in running and implementing projects, in supporting and back-stopping grantees, in providing on-the-job training to less experienced grantees, etc.

C.5. Market Overview (if applicable)

42. Not applicable. Most envisaged grant project activities focus on subsistence activities and only marginally on products, which require certain market conditions.

C.6. Regulation, Taxation and Insurance (if applicable)

43. The Environmental Investment Fund of Namibia is exempted from tax. This project will enjoy full tax exemption on all goods and services except for the salaries of the project implementation unit. For purposes of this project, all capital equipment will be tax exempt, as is the case for all externally sourced grants. However, project personnel from Namibia will pay normal income taxes to meet social security requirements. All capital goods such as cars, equipment will be insured against theft, fire damage and accidents. Project staff will also receive medical insurance benefits, as required under the Labor Act. All these conditions have applied to large projects that Namibia has run in the recent past through the MET. The scale of these ranged from small (for example INC/SNC⁵ US\$200,000) to medium (for example CPP/US\$7 000 000).

C.7. Institutional / Implementation Arrangements

44. **National Implementing Entity:** The EIF will be the National Implementing Entity (NIE) for the project. The EIF will support project implementation by administering the grant facility and recruiting and contracting project personnel and implementation, support and consultant services, including subcontracting. The EIF will also monitor project implementation by Executing Entities and the achievement of the project outcomes/outputs and ensure the efficient use of donor funds. Within the EIF, the proposed project will be managed and monitored by a dedicated EDA Project Management Unit (PMU). This EDA PMU will consist of four additional dedicated staff members who will be employed on contract for the duration of the EDA agreement. They will be employed with GCF funding and will include the following positions:

- **Project Manager**, responsible for overall project coordination and management, preparation of annual work plans, project risk monitoring and reporting towards the EIF board and GCF
- **M&E Officer**, responsible for monitoring, evaluation and reporting as well as ensuring compliance with environmental and social safeguards (ESS)
- **Grants Support Officer**, responsible for supervision and management of the EDA grant facilities
- **Accountant**, responsible for reconciling financial accounts, produce monthly financial report, assets management, and insurance

The structure of the EDA PMU⁶ Initial within the EIF is illustrated in Figure 3.

⁵ Initial National Communication/Second National Communication.

⁶ The Project Manager will provide required technical and administrative support to coordinate and implement project activities at national level as well as linkages to CBOs and supporting agencies. He/she will ensure effective management of the supported by the Project Steering Committee (PSC). The Monitoring and Evaluation (M&E) Officer will be responsible for monitoring and evaluation of the EDA Project including overseeing gender mainstreaming, environmental and social safeguard as well as to perform other M&E functions. The Grants Support Officer will be responsible for project development support activities with CBOs and NACSO partners including narrative, financial, logical, and all grants content. The Project Accountant is responsible for maintaining the budget, recording and reflecting fully, accurately, clearly and in a timely manner the funds that are allocated and the disbursements made to support project implementation, in accordance with the approved documents and the liquidation of expenditures on an annual and quarterly basis as well as upon project termination.

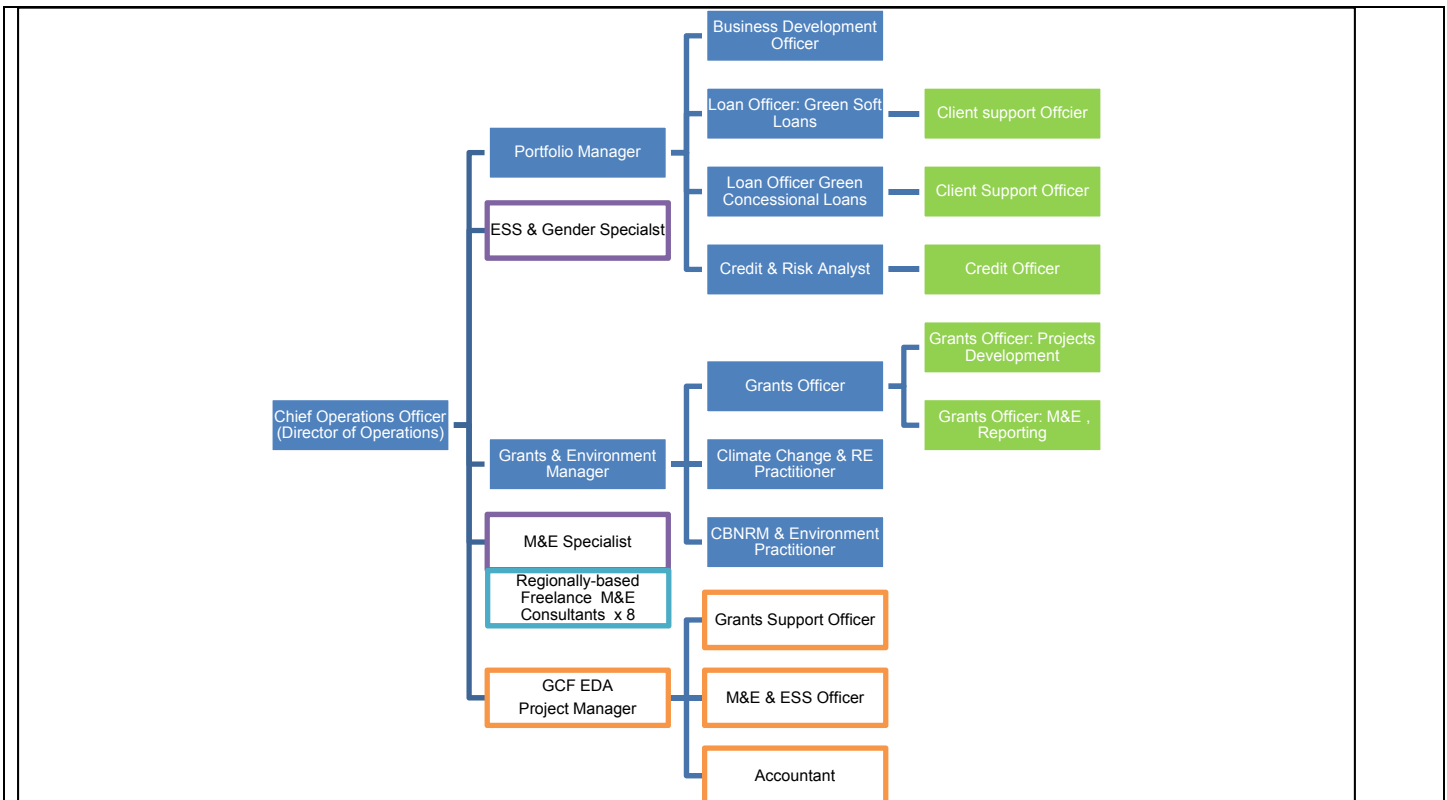


Figure 3: Organogram of the EIF, including the EDA PMU to be established for management of the proposed project (orange boxes).

Component I Implementation Arrangements

45. **Executing Entities:** For practical reasons, the EIF through the PSC will select Executing Entities (EEs) for the implementation of Component 1 activities on the open market through a rigorous competitive and transparent public process. Given the broad thematic spectrum of component 1 activities and, particularly, the large geographic spread of the target groups, it is likely that corresponding tasks will be distributed among several EEs. In addition to the MET, possible EEs with long-standing experience in CBNRM support are organized under the umbrella of Namibian Association of CBNRM Support Organizations (NACSO⁷). Examples of these are Integrated Rural Development and Nature Conservation (IRDNC), which is the lead NGO in Kunene and Zambezi regions and the Namibia Nature Foundation (NNF), which is the lead NGO in Kavango West and Kavango East regions. NACSO comprises eight NGOs and the University of Namibia (UNAM). The purpose of NACSO is to provide quality services to rural communities seeking to manage and utilize their natural resources in a sustainable manner. The philosophy of forming NACSO was to harness the wide range of skills available in GRN, NGOs and UNAM into a complementary nation-wide CBNRM support service. The rationale behind this is that it is unlikely that any single institution houses all of the skills, resources and capacity to provide community organizations with the multi-disciplinary assistance that is required to develop the broad range of CBNRM initiatives taking place in Namibia. The participation of NACSO members in this project brings a wealth of experience in natural resources management and skills to support climate change adaptation and mitigation. The NACSO members have long-standing experience in CBNRM support and are the natural supporting partners for implementation of the proposed program. While these organizations constitute obvious candidates for project

⁷ <http://www.nacso.org.na>

execution, the calls for applications will not be limited to these. A summary of the expected needs for EEs is presented in Table 5.

Table 5: Summary of expected needs of EE for implementation of Component I activities

Number of EE	Responsibilities
EE 1	Development and distribution of CC awareness materials; development of training materials for CC workshops
EE 2	Organizing and presenting regional workshops on CC – 17 workshops
EE 3	Development of a community-based climatic monitoring, system; development of training materials; organizing and presenting training workshops
EE 4	Development of methodology for CBO diagnostic – include training needs assessment (TNA), CC baseline information and M&E baseline; guidelines for implementation.
EE 5	Multiple regionally based service providers to facilitate the diagnostic process with CBOs
EE 6	Development and/or revision of CBO governance training materials including SOPs.
EE 7	Provision of training and technical support to CBOs – governance and SOPs.

46. Procurement of Component I Services: The existing Fund Management Committee (FMC) of the EIF will assume the responsibility of procuring services related to component 1. The role of the FMC under the project is to provide administrative functions for the PSC to approve all submissions related to the EDA. The FMC is comprised of the Chief Executive Officer, Director of Operations and Director of Finance and Administration. The EIF's Operations Department serves as the Secretariat for the FMC. For the task of selecting the various EEs for Component I, up to two representatives of the NDA and the EIF's Corporate Secretary will be co-opted to the FMC, in order to add more rigor and depth to the selection process.

47. The FMC will develop clear terms of reference, review and evaluate the bids received, select the best bids upon PSC approval and negotiate terms of agreement with selected bidders. Successful bidders will then be contracted as service providers through existing contracting procedures with legal inputs from the EIF's corporate lawyers. Concomitant agreements will be performance-based service contracts – as opposed to grant agreements - in terms of which selected entities will be paid only for agreed services actually provided. This is in line with the results-based financing philosophy of the GCF.

Component II Implementation Arrangements

48. The grant facility will support the implementation of concrete adaptation and/or mitigation measures in vulnerable communities within CBNRM areas through a suite of interventions that are supported through at least 28 small grants that will be limited to a maximum of USD 400,000 per grant. The grants should be phased and must be disbursed in tranches to ensure a sound implementation process and effective integration of project-level monitoring and evaluation processes.

49. Executing Entities: Executing entities (EE) will be responsible for implementation of the grant projects. They can be either the respective CBNRM CBOs themselves (in case they have sufficient capacity for development, implementation, monitoring and reporting of grant projects) or supporting organizations which develop, implement, monitor and report on grant projects in partnership with the respective CBNRM CBO(s). Given the limited experience with and capacity for grant project development and implementation among CBNRM CBOs, the latter constellation is expected to be used in the majority of grant projects.

50. Grant Modalities: CBNRM CBOs will be able to access grant funding in two ways. Those CBOs with demonstrated requisite capacity (to develop fundable projects, to implement such projects, to report as required and account for funds disbursed) can apply directly and implement projects on their own. While this will be the preferred modality from the perspective of the NDA and the EIF, the reality is that most CBOs lack this requisite capacity. Therefore, it is anticipated that most funding applications will be made in partnership with support organizations. The same is true for project implementation as well as monitoring and reporting. In order to ensure full ownership by the CBOs, such partnership

arrangements with support organizations will need to fulfil the following conditions:

- I. The project must target a CBNRM area on communal land in Namibia
Projects are not limited to one certain CBNRM entity (e.g. one single Communal Conservancy or Community Forest, but can also target clusters of these at the landscape level). In order to ensure a fair geographical distribution of grant funding, a CBNRM CBO cannot be beneficiary of more than one grant under the same grant investment window. Multiple grant funding for a given CBNRM CBO through grants under different investment windows is possible.
- II. The grant application must involve and be endorsed by a registered CBO which forms part of Namibia's CBNRM network. The proposed EDA Project is dedicated exclusively to assist CBNRM communities with direct finance for climate action. Ideally, the grant applicant must therefore be a registered conservancy or CF (or a group thereof in case of cluster-level project proposals). However, since many CBOs do not yet have the internal capacity for project development, implementation and monitoring, assistance from support organizations will be required in many cases. However, such support organizations can only propose projects in partnership with registered CBOs. Therefore, funding applications must always be accompanied by no-objection/support letters signed by legally authorized CBO management.
- III. If possible, expected project benefits must accrue (directly or indirectly) to the entire population of the targeted CBNRM entity/ies. Grant applications must clearly describe how the entire population of the targeted CBOs will benefit from the proposed project and how potential economic co-benefits (monetary and in kind) will be distributed. If applicable, the proposal must clearly describe a benefit sharing model as agreed upon in advance by the respective CBOs. The signed benefit-sharing agreement must be provided. If certain benefits are concentrated on a sub-population basis, this needs to be justified in the proposal.
- IV. The proposal development processes by the CBOs and their service provider will be facilitated by a member of the EDA Project Implementation Unit.
- V. Overhead costs of the supporting organization will be limited to 25% of the total budget in order to ensure that the majority of funding (75%) is utilized for implementation of agreed community-level activities.
- VI. If applicable, the support organization will have the responsibility for ensuring that monitoring and reporting according to defined EDA grant facility monitoring and reporting regulations is adhered to (either by the CBO or by the support organization).
- VII. The support organization (if involved) must make provisions for acceptable skills transfer and capacity measures with realistic targets and corresponding objectively verifiable indicators in their respective grant applications.

51. **Grant Duration:** In line with the GCF results-based financing approach, projects funded under the grant facilities shall yield an objectively measurable impact by project end. Eligible projects are thus considered standalone projects, as opposed to long-term programs/intervention series. The duration of grant agreements will therefore not exceed durations of 36 months. All projects must be proposed and contracted within a time frame that allows full implementation within the EDA project lifetime, i.e. by the year 2021. Time extensions (also called no cost extensions) of up to 12 months can be requested for, provided:

- the contract partner provides a convincing justification for this request
- the total duration of an individual grant does not exceed 42 months
- time extensions are not requested during the last 12 months of the EDA project implementation
- project implementation will be finished at least 6 months before the end of the EDA project lifetime (end of the year 2021)

52. **Financial Volume of Grants:** The total financial volume of proposed projects must be between the minimum of USD 50,000 and the maximum of USD 400,000. However, in special cases, projects with a smaller volume (down to USD 10,000) could be considered at the discretion of the EDA Project Steering Committee (see below).

53. **EDA Grant Funding Criteria:** In line with the GCF investment criteria, EDA grants will only be awarded to projects for which a significant impact in the field of climate change adaptation is expected. This means that the very nature and

overall objective of a project must be aligned with this criterion and further expected co-benefits will add value to a project only if this central condition is met. In terms of content, any grant application will then be judged according to the following EDA Grant Investment Criteria:

- **Climate change adaptation impact**
 - Adaptation impact, e.g.
 - Direct and indirect beneficiaries whose vulnerability is reduced or resilience is increased
 - Climate change resilient jobs/livelihoods created
 - Dependency on livelihoods vulnerable to climate change reduced
 - Increase in generation and use of climate information in local decision-making
- **Transformational/paradigm shift character of the project**
 - Degree to which the proposed project addresses prevailing unsustainable practices/situations towards a sustainable (low-carbon/resilient) development pathway
 - Degree to which the project is innovative/business unusual
 - Potential for cost-effective scaling up and replication elsewhere if the project proves successful
 - Potential for knowledge and learning
 - Sustainability of outcomes and results beyond completion of the intervention
- **Sustainable CBNRM Community-Level Development Impact**
 - Environmental Co-Benefits:
Potential for positive environmental externalities (i.e. not directly climate-related), such as conservation, biodiversity, soil quality, air quality etc.
 - Social Co-Benefits:
Potential for positive externalities in areas such as health and safety, access to education, cultural preservation etc.
 - Economic Co-Benefits:
Potential for positive economic externalities in areas such as expanded and enhanced job markets, job creation and poverty alleviation, improved sector income-generating capacity, increase in agricultural productivity, increase in energy and water supply security, etc.
 - Gender-Sensitive Development:
Degree to which the project addresses prevailing gender inequalities in general and with regards to climate change vulnerability and risks in particular

54. Performance of proposed projects against the specified criteria must be credibly described in the project proposal and summarized in the accompanying EDA grant application form. Corresponding targets must be set realistically through the definition of target values for appropriate performance indicators.

55. **Grant Advertisement:** The AE will publicly advertise “calls for proposals” twice a year starting with mid-year of the first year of the five-year EDA agreement with GCF. This will be done through print media, the EIF website, EIF social media appearances (e.g. Facebook) and the NACSO network and will run for up to 30 days at a time. The adverts will be placed six months apart from each other, preferably in January and June. For practical reasons, there will, however, be no public invitations for proposals during the fourth or fifth year. All proposals will need to be reviewed and contracted by the start of year 4 to allow sufficient time for implementation and M&E.

Grant Appraisal Procedure

56. **EDA Project Unit:** The EDA project manager and PO will assume the primary responsibility for receiving and processing all grants applications. These staff members will process all applications received as follows:

- Issue acknowledgments of receipt to applicants and record all applications onto the prescribed register

- Perform administrative and technical pre-screening of applications (for completeness and eligibility)
- Ensure relevant EIF staff members administer the Environmental and Social Safeguards and Gender Assessments on screened applications
- Communicate with applicants as necessary on queries or shortcomings
- Prepare and present applications to EIF approval structures – i.e. FMC, Technical Advisory Panel (TAP) and the PSC for decision-making
- Implement decisions of the said approval structures (approvals, declines and refer backs) as prescribed in the Operations Manual. This will also involve communicating and corresponding with applicant as necessary
- Negotiating contracting terms and performance measures with successful applicants
- Prepare grant agreements for signature

57. Fund Management Committee: The EIF Board established the FMC to serve as the first internal evaluation and appraisal structure for project proposals submitted to the EIF. The FMC's detailed terms of reference are outlined in the Operations Manual. The FMC consists of the EIF CEO (FMC chairperson), the EIF Director of Operations and the EIF Director of Finance, Administration and HR. After reviewing EDA grant applications submitted, the FMC is entitled to make one of the following decisions: a) decline, b) refer back for improvement, or c) accept for further processing. Applications accepted for further processing will be presented to the TAP.

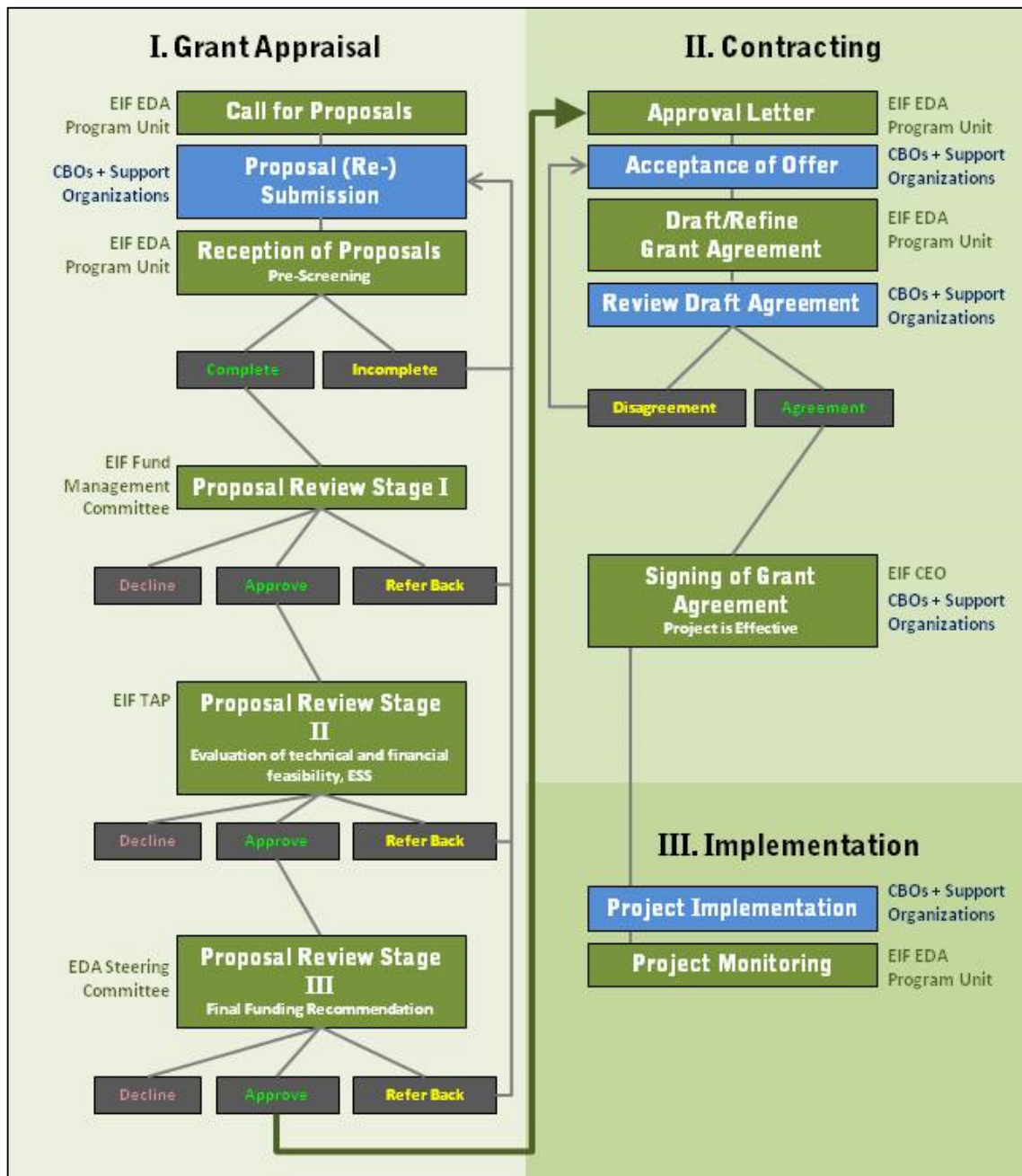


Figure 4: Schematic illustration of the grant appraisal and contracting procedures

58. **Technical Advisory Panel:** The TAP is prescribed in Section 11 of the Environmental Investment Act (Act 13 of 2001) as a subcommittee of the EIF Board. Its composition, areas of expertise to be represented, its mandate and functions are all spelled out in detail in the Act. The TAP essentially serves as the external and independent technical screening panel. It undertakes thorough technical and financial feasibility evaluation on grant and loan applications and provides expert advice to the EIF Board for final decision. TAP is also legally mandated to play a pivotal role in monitoring and evaluation. After assessing grant applications presented, TAP will make one of the following decisions: a) decline, b) refer back for improvement, or c) recommend for presentation to the Board. Applications recommended by TAP will be presented to the EDA Project Steering Committee for final decision.

59. Environmental and social safeguard assessment: All proposals will be subjected environmental and social safeguard assessment as there are cornerstones of technical and financial evaluation to achieve sustainable poverty reduction and enhanced resilience of CBNRM livelihoods. Therefore, procedures for addressing environmental and social issues are included in the project cycle management process. A driving principle of the project is to prevent and mitigate any harm to people and thus to incorporate environmental and social concerns as an intrinsic part of project cycle management. The project will only approve proposals that are categorized as Category C of the environmental and social safeguard policy of the EIF and in line with the GCF accreditation conditions. The objective of these safeguards and associated policies and procedures is to prevent and mitigate undue harm to people and their environment and strive to develop benefits in the development process. More specifically, safeguard policies and procedures are designed to avoid, mitigate, or minimize adverse environmental and social impacts of projects and strategies, and to implement projects and strategies that produce positive outcomes for people and the environment. The Project Cycle Management Approach describes a project cycle of design, implementation and evaluation. The EIF addresses environmental and social issues within this cycle as follows:

Design

- Inquire on, and assess, environmental, and social guidelines
- Discuss with project designers and study any reports as requested
- Prepare comments and requests for additional information
- Advise on any specific requirements for compliance
- Review and assess for approval and/or any special measures required

Implementation

- Continue to inquire and review environmental and social safeguard issues
- Prepare any comments and requests for new information
- Review and advise on implementation of any special measures required

Evaluation

- Ensure inclusion and review environmental and social safeguard issues in final project reporting as well as any lessons learned

Sharing of lessons

- Provide platform for grant recipients and partners to share lessons

Table 6: Checklist of environmental and social principles

Access and Equity	Potential impacts and risks – further assessment and management required for compliance	Remarks
Compliance with the Law		
Access and Equity		
Marginalised and Vulnerable Groups		
Human Rights		
Gender Equity and Women's Empowerment		
Core Labour Rights		
Indigenous Peoples		
Involuntary Resettlement		
Protection of Natural Habitats		
Conservation of Biological Diversity		
Climate Change		
Pollution Prevention and Resource Efficiency		
Public Health		
Physical and Cultural Heritage		
Lands and Soil Conservation		

60. EDA Project Steering Committee: A Project Steering Committee (PSC) will be established as a sub-committee of the project with the NDA as the Chair. The Board will formally delegate powers, functions and authority - outlined below - to the PSC for the duration of the EDA project. The PSC shall serve the purposes of approving proposals and monitoring and evaluation of the EDA Resilient Livelihood Grants Facility. The primary aim of the PSC is to make

selection and award decisions on grant applications received from eligible CBOs and supporting partners, in line with EDA and GCF funding criteria. The PSC may make one of the following decisions on applications under its review as part of its review procedures: a) decline, b) refer back for improvement, or c) approve. The PSC will be chaired by the NDA and will consist other members with background expertise covering environmental finance, climate change, CBNRM, social science, biodiversity conservation and sustainable development. Sectors represented in the PSC will be from the national/local governmental institutions, private sector, beneficiary representatives, Civil Society Organization, and Academic Institution. Equal gender representation on all structures of the project will be promoted. See more detailed information on the PSC in the attached feasibility study.

61. Risk Management: A number of measures overseen by the EIF Risk and Investment Committee (RIC) are in place to manage the financial and project risks. The Risk and Investment Committee (RIC) is a specialized board committee also established under section 10 of the Environmental Investment Fund Act. The RIC shall review grant proposals cleared by the TAP financially as well as in terms of the Fund Risk Framework and will provide expert advice to the Board from these perspectives. More detailed information is available in Annexure IV of the EIF Operations Manual.

62. Contract Management: Successful grant applicants will be issued with comprehensive grant agreements. Contracting procedures are detailed in Chapter 5 of the Operations Manual. Following approval by the Board, applicants will be issued with an offer. After receiving legally valid acceptance letters, the EDA Project Implementation Unit will prepare draft grant agreements with input from the M&E (ESS Officer). The M&E and ESS Officer's involvement in this process is of cardinal importance, as he/she will assist with developing, negotiating and agreeing on realistic, practical and measurable performance indicators. After clearance by the Director of Operations, applicants will be provided with copies of the draft grant agreements for their review and comments. Once agreement is reached on the content and terms, the EIF will prepare the contracts with all supporting documents for signature with the authorized beneficiary representative. In order to ensure full awareness of the agreement from the side of the respective beneficiary CBO, the latter must be either the legally authorized member of the CBO (e.g. conservancy chairperson) or a proxy person mandated in writing by the CBO.

63. The EIF Company Secretary office will ensure that the GCF fiduciary standards are upheld, and will undertake the contractual and administrative functions that are required in relation to overall procurement whilst tracking payments and expenditure for the duration of the project. The EIF will undertake due diligence on the applicant using the already existing systems by applying check points such as fiduciary assessments, capacity assessment, know you customer tools, credit check, financial management assessment, etc. With regards to paying grant recipients and service providers, the EIF will follow standard grant management operating procedures whereby:

- Pre-authorize payments to grant recipients and service providers based on a schedule of milestones and expected payments as entrenched in the agreement.
- The EE's project manager and the EDA Project Implementation Unit personnel work in close collaboration to monitor the performance of the grant recipients.
- The EI will require written confirmation from the project manager that a grantee has met the standards for a milestone before payment is made. This is known as "sign off" and is required for all payments.
- Every effort will be made to pay contractors within 14 days of receipt of sign off on a payment.
- Bank charges charged by the grant recipients' banking institution will be for the grant recipients' account.

64. Redress Mechanism: The EIF has a Grievance and Redress Mechanism in place to ensure that ensures that complaints are being promptly reviewed and addressed by the responsible units. An independent committee that is comprised of the Company Lawyer, External Auditor (PWC), Representative from a Commercial Bank (Credit Expert), Communication Officer (Appeals Administration), UNDP/SGP National Grants Manager, and Board member (Chair) is established to address public grievances and complaints. All members of the committee will not be involved in the decision making process of the activities implemented by the EDA Resilient Livelihood Project and as such their opinion on handling issues is balanced. Please refer to Annex V and Chapter 7 of the EIF Grants Manual.

65. Backup Support: The EIF will provide backstopping support to the EDA Project Implementation Unit by establishing a Project Support Team that consists of the Chief Executive Officer, Director of Finance, Director of Operations, Monitoring and Evaluation Officer and the Communication Officer. The support team will play an advisory role with regards to ensure alignment of activities to the GCF result framework and as per the accreditation conditions

of the EIF. This will ensure that there is overall good project management throughout the life cycle of the project. Specific risks and low delivery will be averted by ensuring stricter adherence to the existing requirements, such as, a) legal agreements, which are enforceable as government by Namibian contract law, which the EDA will use with all contractors; (b) counterparty risks, which are a core element of all legal agreements in Namibia; and (c) should the need really arise, the Namibian justice system, to which the EIF is obligated, is robust with adequate recourse mechanisms all the way to the Supreme Courts. For practical reasons, the Programme Steering Committee will select Executing Entities (EEs) for the implementation of these crosscutting issues on the open market through a rigorous competitive and transparent public process. Given the broad thematic spectrum of the cross-cutting issues and, particularly, the large geographic spread of the target groups, it is likely that corresponding tasks will be distributed among several EEs.

D.1. Value Added for GCF Involvement

66. CBNRM CBOs have been identified as critical institutions for local-level awareness and practical climate change adaptation activities and are thus crucial to Namibia's overall climate change strategy. The existing Namibian CBNRM program forms a solid basis for widespread community-based climate change responses at the local level and bears enormous potential for creating and safeguarding resilient rural livelihoods.

67. Communal conservancies and community forests operate exclusively in rural settings in Namibia. This renders them particularly vulnerable to the effects of a changing climate as they remain highly dependent on variable rainfall patterns and associated fluctuating natural resource yields. In addition, CBNRM entities in rural Namibia often have very limited access to the financial, technical and human resources required to enhance their resilience to climate change. Rural activities related to land use, land-use changes, and the use of fossil energy sources, have a significant impact on the livelihoods of rural communities. Often, because of variable incomes resulting from fluctuating year-to-year natural resource yields, rural communities' access to suitable sources of funding is less reliable and more constrained than that of their urban counterparts living on regular incomes.

68. Yet, CBNRM communities live in and from unique ecosystems, which are important reservoirs of biodiversity and crucial habitats of numerous endemic species. CBNRM entities in the north-west and south of Namibia harbor a large number of endemic species, while CBNRM entities in the north-east generally harbor a higher number of different plant and mammal species. As such, CBNRM communities are guardians of areas with an enormous value not only for the national, but also the global public. As climate change is threatening these ecosystems, building resilient livelihoods based on their conservation through CBNRM provides an adaptation venue which benefits both these ecosystems and the rural communities they accommodate. The proposed project through enhanced direct access puts the CBNRM communities in the driver's seat in order for them to take full ownership of securing their future livelihoods through natural resource management and conservation.

69. The need for investment in

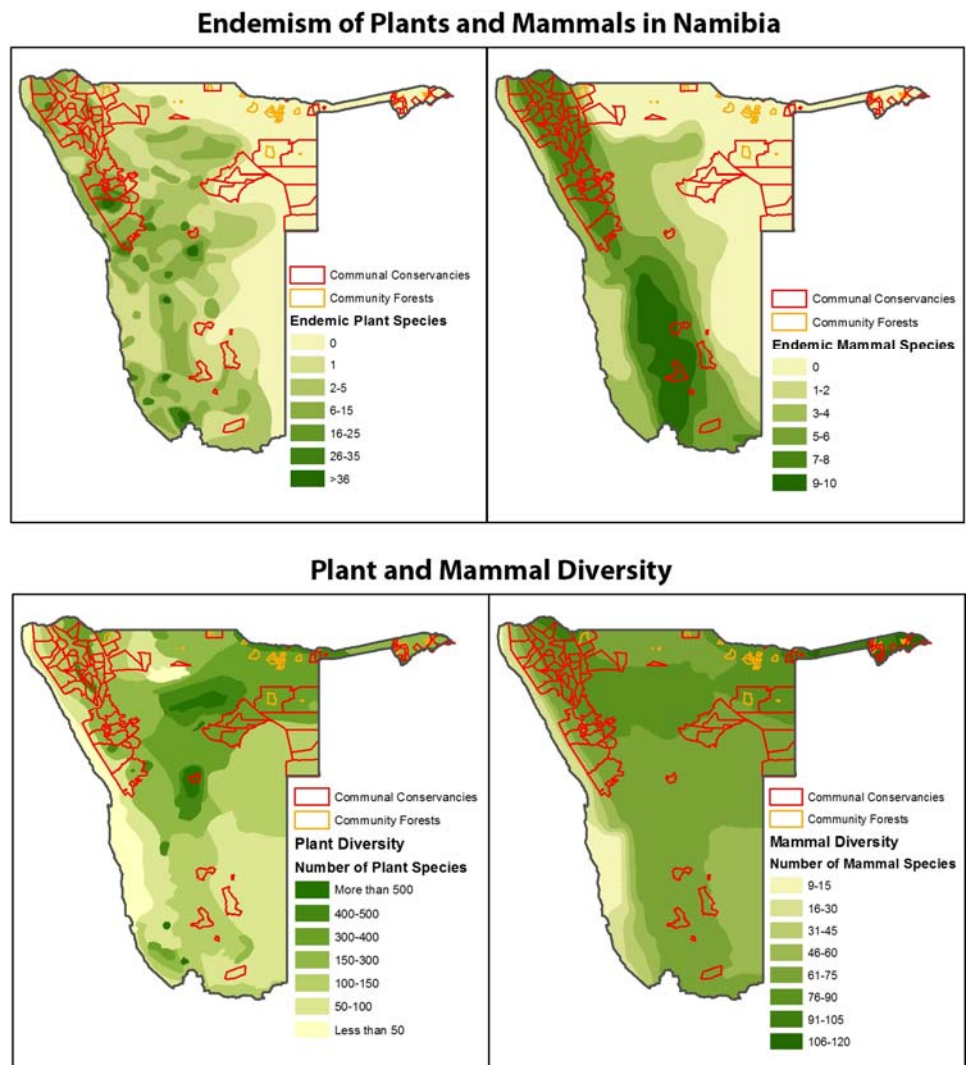


Figure 5: Endemism and diversity of plants and mammals in Namibia (Mendelsohn, et al., 2002).

Communal Conservancies and Community Forests is underpinned by the impact on rural development, job creation and the empowerment of communities and increasingly by both the project's need and potential to encounter and adapt to the impact of climate change. However, there is a striking imbalance between investments in communal and commercial areas in Namibia.

70. CBNRM investments are primed in communal areas. Market failure manifests itself as a result of the lack of secure tenure rights, from private banks and investors' perspective. Even the current leasehold regime is not adequate enough to reduce the risk perspective involved. As a result, local communities lack the requisite equity/development capital to engage into joint ventures to derive benefits from existing opportunities. Moreover, the risk premium of such investments is increased further by the long cash flow gestation character of investments in CBNRM. The major deterrent towards capital flows to the green industries are mainly very low investment returns as well as the long holding period required. This creates major uncertainty for commercial and at development banks, thereby creating a financing gap for such opportunities.

71. Despite the positive CBNRM program outcomes and its huge potential as a platform for local-level climate change adaptation and mitigation, NACSO (2012), through the CBNRM Sustainability Task Force, indicated the sustainability crisis that is engulfing the program in the presence of declining donor support. The rapid (mainly donor-driven) growth in the number of communal conservancies since the first four conservancies were registered in 1998, combined with the addition of community forests to the CBNRM network, has outstripped the capacity of government and NGOs to respond to increasing demands for assistance. The CBNRM program faces funding gaps that needs to be addressed with estimates of around NAD 40 million per annum. There are a number of risks to conservancies and community forests if support cannot be sustainably funded in the future. The major risks are that CBNRM entities do not meet their full potential for revenue generation, are driven by internal disputes because of mismanagement of revenue, and as a result lose the support of their members. Declining support from members could lead to collapse of CBNRM CBOs and the collapse of their conservation efforts, their contributions to rural development and their potential for local level climate action. The study by Humavindu & Stage (2015) underpins the need to ensure the financial sustainability of CBNRM in the face of its high social and economic impacts and argues for a quicker resolve of the overall program resourcing requirements.

72. The proposed project "Empower to Adapt: Creating Resilient Livelihoods through CBNRM in Namibia" constitutes a unique opportunity not only to empower rural communities of the Namibian CBNRM network to respond to climate change in terms of awareness, adaptive capacity and mitigation action through direct access to climate finance. At the same time, GCF support would crucially contribute to the consolidation of the achievements by CBNRM communities in terms of their contribution to conservation of wildlife, forest lands and biodiversity as well as rural development.

73. In addition to maximizing the potential of the CBNRM network as a platform for local-level climate change adaptation action, the GCF could therefore make a significant contribution to the long-term sustainability of the entire Namibian CBNRM program, whilst efforts are being undertaken to create a sustainable path for the national program support mechanisms.

D.2. Exit Strategy

73. Local Ownership through Enhanced Direct Access: In line with the objectives of the GCF EDA modality, rural communities will be enabled through this project to directly access climate finance. The grant facilities will be fully aligned with the GCF in terms of their objectives and investment criteria while allowing for maximum responsiveness to national and, particularly, local priorities. In contrast to a pre-determined top-down funding approach, the proposed approach of self-determined local adaptation through a grant facility is expected to

- Respond directly to local needs, vulnerabilities and opportunities,
- Create more local awareness towards climate change and ownership of the climate change response, and thus
- Be sustainable beyond the period of direct financial support.

74. Possibility for Self-Sustainability of Project Elements: Project elements such as the climate monitoring system to be developed and introduced by the project are expected to be self-sustained and bear benefits beyond the project lifetime. Furthermore, some of the grants awarded could entail self-sustaining elements such as ‘revolving CBNRM funds’. While this is not prescribed at the current stage, corresponding activities may emerge from grant proposals. If corresponding proposed self-sustained activities appear realistic and feasible and are aligned with the grant criteria, these will certainly draw particular interest by the EIF.

75. Pilot nature of the Proposed Project: The proposed EDA project constitutes a first-of-its-kind, not only in Namibia, but also internationally. Enhanced direct access to climate finance is a new strategy unique to the GCF and as such still in development. The proposed project therefore constitutes a pilot which has a huge potential for learning. Even if not all elements of the proposed EDA project may be self-sustainable after project end, corresponding lessons will be learned for the design of a full-scale EDA program with stronger elements of self-sustainability. Thorough evaluation of the project impact and sustainability will be key in order to maximize the value of the proposed project beyond its lifetime.

76. Possibility for Domestic Allocation for Continuation of Resilient CBNRM Livelihoods Grant Facility: The project establishes a model for enhanced direct access by rural communities to climate finance. In doing so, it provides an opportunity for future allocation of domestic resources, both from the public and private sector for continued grant funding for CBNRM. This will however depend on the impact and results of the project to influence policy and decision-making on treasury. The EIF is a dedicated national funding and investment instrument that presents an opportunity to absorb much of the activities of the project and scale up funding for CBNRM in Namibia.

77. From January 2017, the EIF intends to introduce environmental levies on electronic and electrical appliances, lubricant oils and batteries. These are expected to generate USD 9 million per annum. The EIF Board of Directors approved 20% of this amount (USD 1.8 million per annum) to be dedicated to CBNRM grant funding as part of the exit strategy for the proposed project. A corresponding confirmation letter is attached to this proposal.

E.1. Impact Potential

Potential of the project/programme to contribute to the achievement of the Fund's objectives and result areas

E.1.1. Mitigation / adaptation impact potential

78. The proposed approach of self-determined local adaptation and mitigation action through two complementary grant facilities is expected to respond directly to local needs, vulnerabilities and opportunities. Empowering rural communities by enabling them to directly access climate finance will allow for the provision of tailored local-level solutions to local-level challenges related to climate change.

79. By program end, the proposed grant facility will have impacted an estimated 15,500 direct beneficiaries in terms of increasing their resilience towards climate change. The estimated number of indirect beneficiaries is 61,000 by project end⁸. This is critical in a country where large numbers of inhabitants are rural dwellers who will carry a significant cost in relation to climate change impacts if they do not have access to adaptive approaches, technologies and funding.

80. The area that will be under improved and effective management that increases ecosystem and livelihoods resilience and potentially contributes to CO2 emission reductions is expected at 7,200,000 hectares. The number of rural households implementing climate-resilient agriculture techniques is estimated at 2,400. The number of rural settlements with reduced climate change vulnerability is estimated at 90. An estimated 450 households will benefit from improved water security, improved health and sanitation and at the same time increased resilience to slow onset/sudden climate induced disasters. An estimated 186 sustainable climate-resilient jobs will be generated through the project. Furthermore, an estimated 30 CBNRM CBOs will include climate monitoring in their existing event book system.

E.1.2. Key impact potential indicator

Provide specific numerical values for the indicators below.

GCF core indicators	<i>Expected tonnes of carbon dioxide equivalent (t CO₂ eq) to be reduced or avoided (Mitigation only)</i>	<i>Annual</i>	
		<i>Lifetime</i>	
	<ul style="list-style-type: none"> <i>Expected total number of direct and indirect beneficiaries, disaggregated by gender (reduced vulnerability or increased resilience);</i> <i>Number of beneficiaries relative to total population, disaggregated by gender (adaptation only)</i> 	<i>Total</i>	Direct: 15,500 (50% female, 50% male) Indirect: 61,000 (50% female, 50% male)
		<i>Percentage (%)</i>	Direct: 1% of population of CBNRM areas (200,000 people) Indirect: 30% of population of CBNRM areas (200,000 people)

⁸ In line with the Adaptation Fund Core Indicator Methodology, an indirect beneficiary is defined as a person benefitting from the project at medium intensity in a way that is not targeted. In the present case, these are inhabitants of discrete CBNRM areas and members of corresponding CBNRM communities which benefit from the project investments. The figures presented were established based on beneficiary figures of comparable community-based projects concluded in the past in the Namibian CBNRM context.

<i>Other relevant indicators</i>	<ul style="list-style-type: none"> • Strengthened institutional and regulatory systems for climate-responsive planning and development: <ul style="list-style-type: none"> ○ 30 additional CBNRM entities will demonstrate compliance with MET's SOPs as a result of the project. • Increased generation and use of climate information in decision-making: <ul style="list-style-type: none"> ○ 30 CBOs will have adopted the local climate monitoring system developed and introduced by the project. • Strengthened adaptive capacity and reduced exposure to climate risks: <ul style="list-style-type: none"> ○ 2,400 rural households expected to climate resilient agriculture actions ○ 90 settlements expected to have increased climate change resilience ○ 450 households with improved water security, improved health and sanitation and at the same time increased resilience to slow onset/sudden climate induced disasters ○ 186 sustainable climate-resilient jobs (50% female, 50% male) expected to be generated • Strengthened awareness of climate threats and risk-reduction processes <ul style="list-style-type: none"> ○ 510 people directly trained in awareness of climate threats and related appropriate responses ○ Awareness of climate change issues of 80 CBNRM CBOs will be enhanced
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81. Most of the figures presented were established based on beneficiary figures of comparable community-based projects concluded in the past in the Namibian CBNRM context. The Excel spreadsheet containing corresponding source data and calculations is attached to this funding proposal.

E.2. Paradigm Shift Potential

Degree to which the proposed activity can catalyze impact beyond a one-off project/programme investment

E.2.1. Potential for scaling up and replication (Provide a numerical multiple and supporting rationale)

82. At its start in the 1980s, the CBNRM concept of promoting nature conservation and rural economic development by giving local communities the management and utilization rights over the natural resources constituted an innovative and radical shift from the prevailing conservation paradigm. Nowadays, 20% of Namibia's land surface are under conservation through CBNRM, which is now termed a 'movement'. The CBNRM concept has been replicated worldwide. CBNRM is increasingly being adopted as a means of poverty reduction in the national development strategies of most southern African countries.

83. GCF Enhanced Direct Access, meaning granting rural communities direct access to climate finance for locally determined climate change adaptation (and potentially mitigation) action, seems like a similarly radical concept and has the potential to trigger a similar paradigm shift from top-down to bottom up combating of climate change.

84. The proposed project propagates this EDA spirit by putting rural CBNRM communities in the driver's seat for climate change adaptation. If successful, the potential for significant up-scaling of this approach in Namibia is given. As the proposed project will directly target about one third of CBNRM areas and indirectly target about 30% of inhabitants of CBNRM areas, a threefold scaling up in Namibia would be possible, given that corresponding funds are available. Furthermore, the concept could be replicated in any other country where CBNRM structures and institutions are in place.

E.2.2. Potential for knowledge and learning

85. As one of the first of its kind, the project will certainly yield extremely valuable lessons on the potential of the approach of providing rural communities with direct access to finance for local climate change adaptation action. In the sphere of the fund recipients, the project has a huge potential for increasing their awareness and knowledge about climate change and increasing their capacity to develop and implement their own adaptive responses to it. In the sphere of the global initiative to combat climate change, the approach piloted through the project may yield lessons on the effectiveness of direct provision of climate finance to rural communities and the adaptation impact resulting from it.

E.2.3. Contribution to the creation of an enabling environment

86. If successful, the project could not only trigger the sustained support and expansion of the concept by the Namibian government (see section D.2.), but also spread this innovative direct funding approach for community-based adaptation internationally.

E.2.4. Contribution to regulatory framework and policies

87. CBNRM in Namibia has proven to influence policy development and led to measures being included in Rural Development Programs, National Development Plans and Vision 2030. A great strength of CBNRM is that projects actively engage with local farmers and resource users and thus the demonstration effects is visible in the use of the same techniques elsewhere on participating communities, even after the projects have ended. For example, CBNRM has been instrumental in the introduction of adaptation strategies such as no tillage and cover crops and since August 2015, Namibia has adopted a national policy on Comprehensive Conservation Agriculture. CBNRM is yet to focus strongly on climate change mainstreaming as such this project unlocks mechanisms for sharing information among local decision makers in different sectors, between general purpose local governments and local between local and higher level governance arrangements, and across decision making in the process influencing national policies that can create incentives for communities to undertake adaptation, or provide resources for community use in adaptation initiatives. National government programs will gather ideas from this project as a community-led and replicate them through larger initiatives. It is acknowledged that mainstreaming adaptation at all levels require a considerable amount of awareness raising and interaction with stakeholders. Component I of the project addresses this concern with a view to include public involvement to improve transparency and accountability in adaptation planning and share lessons. This is a key benefit to improve understanding of the perspectives of vulnerable populations, and increased buy-in from policy makers.

88. The proposed project therefore has a huge potential to contribute to shaping future CBNRM support policies, particularly with regards to climate change interventions that are local determined and thus respond to locally specific needs and priorities. By preparing the ground for sustainable investment through the environmental levy system currently under preparation (see section D.2.), the proposed program offers great potential to catalyze significant long-term financial support by the Namibian government to a climate change responsive CBNRM carried by local CBNRM communities.

E.3. Sustainable Development Potential

Wider benefits and priorities

E.3.1. Environmental, social and economic co-benefits, including gender-sensitive development impact

89. The project will address ecosystem degradation, water security, food insecurity and hunger resulting from crop failures and erratic rainfall patterns (SDG 2). Furthermore, The project aims at poverty eradication amongst the most vulnerable society groups and communities in Namibia (SDG1). Another benefit will be supporting actions that have a direct bearing on improving rural communities adaptive capacities to adapt (that is, live and adjust their community settings and cropping practices) to the negative impacts and risks of climate change, as well as those related to agriculture, forestry and land use (AFOLU) that can build up landscape carbon stock on soil and standing biomass, through, for instance, reforestation activities or improved fire management (SDG 13).

90. **Environmental Co-Benefits:** The proposed project has the significant environmental co-benefit of consolidating and safeguarding the tremendous wildlife, habitat and biodiversity conservation benefits of the CBNRM network. Conservancies and community forests contribute to the survival of important wildlife species, thereby providing tourism benefits for the rest of the country and enormous conservation benefits for the global community as a whole. Strengthening the CBNRM network as such therefore yields high environmental co-benefits. The proposed activities under the ecosystem-based adaption investment window will support the further development and integration of local level institutions to enhance their environmental benefits. The grant facility will achieve the following environmental benefits:

- Provide on-going incentive to manage indigenous biodiversity as a long-term land use;
- Finance interventions against and enhance alternatives to illegal hunting and trade in wildlife products in Namibia's communal areas;
- Safeguard essential ecosystems services and functions that sustain the livelihoods of rural people
- It is estimated that about 7,200,000 hectares are expected to be under improved management in terms of land use and conservation by the end of the proposed project.

91. **Social Co-Benefits:** Active participation in CBNRM activities is associated with large social co-benefits. Although many of the benefits associated with wildlife and forest management activities are collective, CBO members who actively participate in CBO activities are more likely to realize these benefits (Bandyopadhyay, Lendelvo, & Guzman, 2010). From the Namibian government's perspective, the conservancies are an important source of employment generation in areas where unemployment is high. The social benefits linked to employment generation are important, and as a result, the social net benefits are higher than the financial net benefits, to the conservancy itself. Net social benefits were generally found to be lower for more recently established conservancies than for those that have been established for many years. The project is expected to yield the following social co-benefits:

- Unlocking human capital through the creation of new resilient livelihoods.
- Natural resource managers will be drawn from local communities and will have appropriate skills, knowledge of mainstreaming climate actions into the CBNRM Program.
- At least 90 settlements will benefit from the project interventions in terms of climate change resilience. It is anticipated that 450 households will have improved water security, improved health and sanitation and at the same time increased resilience to slow onset/sudden climate induced disasters. Direct beneficiaries are estimated at a minimum of 2,200 people with around 3,700 indirect beneficiaries.
- The grant making interventions aims to diversify and improve people's livelihoods and will also yield social co-benefits. For example, monitoring of the use of income generated from bio-trade activities in Kunene region indicates that the cash that will be earned is primarily used to access (travel) and pay for healthcare, buy school uniforms and pay school fees and to buy food.

92. **Economic Co-Benefits:** The expected economic co-benefits from the project are hard to quantify. Since this project is essentially a grant mechanism, it is almost not possible to pre-determine the exact nature of the proposals that will be developed. However, several studies have confirmed that returns from wildlife, tourism and biotrade generated through CBNRM have proven to be substantial. The variety of opportunities and direct benefits being created add a new dimension to community empowerment that traditional forms of land use are not able to deliver on their own. This is particularly valuable in rural areas where human development needs are high and the chances of making a reliable living from traditional land uses are limited by low and erratic rainfall, infertile soils and limited

access to markets and services. By diversifying land use and livelihood options and choosing a balanced mix of activities, communities can optimize the returns from their land and its resources. This reduces susceptibility to the impacts of climate change and other threats (NACSO, 2015). The estimated number of direct beneficiaries from the grants who will gain economic co-benefits from the project grant investments is 15,500 (7,750 men and 7,750 women). Furthermore, it is expected that the project will generate 186 sustainable climate-resilient jobs (50% female, 50% male).

93. Gender-Sensitive Development: All EDA project activities will aim at ensuring equal participation by gender groups. The proposed project will attempt to enhance the trend of increasing participation by women in CBO-level decision-making. The project will foster gender equality and are expected to result in an approximate 50/50 split between genders in terms of employment and other income-generating opportunities. Improving infrastructure in conservancies and community forest areas will provide market opportunities for local craft weavers to sale their locally made craft, an enterprise that has a very strong female bias (**of 765 people supplying crafts to a range of outlets in 2014, 155 were males and 610 females**). The development impacts for women will thus be significant. The expected number of beneficiaries from the project is expected to consist of an equal share of women and men. Since traditionally women are the managers of plant resources, many of the interventions will be targeting women. Examples of these are bio-trade and conservation agriculture. Monitoring reports from other similarly targeted interventions indicate that while the number of male and female participants might be equal at the start of a new development, the female participants are more likely to remain engaged with the related activities throughout the program period than the men. Adaptation options include interventions aiming at bio-trade and natural indigenous products (INPs). Bio-trade activities in both conservancies and community forests are becoming increasingly important as a means of livelihood diversification. The development of bio-trade activities in CBNRM centers round women and their traditional knowledge (Nott, 2007). While men are involved in the harvesting and selling of INPs, the involvement of women is more consistent and strengthening corresponding livelihoods therefore a means to specifically target female beneficiaries.

E.4. Needs of the Recipient

Vulnerability and financing needs of the beneficiary country and population

E.4.1. Vulnerability of country and beneficiary groups (Adaptation only)

94. Namibia's Climate Vulnerability: In Namibia, climate change will create vulnerability in the water balance, which is expected to be affected adversely by an increase in evaporation rates due to temperature increases. An increase in evaporation of about 5% is expected per degree of warming. With rainfall variability predicted to increase, Namibia is likely to face severe water shortages and total lack is projected for the central part as early as later this year (2016), unless rain falls soon and in large quantities to enable the major aquifers and underground sources to be recharged. The country's poor rural population, particularly subsistence pastoralists and dryland farmers, will be affected most as they are already facing existing vulnerabilities in terms of social, economic and gender imbalances. Namibia's northern and southern parts of the country experience the highest temperatures, with the average maximum for the hottest month being over 34°C. High evaporation rates in the country vary between 3 800 mm per annum in the south to 2 600 mm per annum in the north. This is attributed to high solar radiation, low humidity and high temperatures. It is also estimated that potential evaporation is at least five times greater than average rain received over most of the country. Climate change is likely to pose new challenges for various farming systems.

95. The vulnerability and adaptation (V&A) assessment (MET, 2013) reveals that more than half of the Namibian population live in rural areas and depends heavily on subsistence farming. Poverty is an important driver in the sensitivity of people to climate change and their adaptive capacities. This high vulnerability is further attributed to the country's natural resource-based economy, its arid nature, and variability in climatic patterns, as well as socio-economic factors, such a high divergence of income levels, which limit the adaptive capacity of its population (GRN, 2002; Dirx *et al*, 2008; MET, 2011). Additionally, natural resources such as forest products and rain-fed agriculture on which people depend are vulnerable and sensitive to anthropogenic climate change (Reid *et al*, 2007; GRN,

2002). According to the vulnerability assessment report to the impacts of climate (2011), the first vulnerability aspect concerns the likelihood that an individual or group will be exposed to and will be adversely affected by new climatic circumstances. The second aspect of vulnerability relates to the characteristics of individuals or groups in terms of their capacity to anticipate, cope with, resist and recover from the impacts of environmental change. This capacity to adapt to climate variability and climate change understandably varies among specific regions and socio-economic groups in Namibia, in the sense that those with the least capacity to adapt are generally the most vulnerable to the impacts of climate variability and change. In turn, this depends to a great extent on resources available to a given group, individual or region. The report points out that livelihood vulnerability to climate change is acute in the Zambezi, Kavango East and West, Omusati, Oshana, Kunene, Otjozondjupa and Omaheke regions. The listed regions make up more than 85% of the CBNRM area. In these regions, the regional and household livelihood system is based on subsistence production on communal land, that is, on small crop plots that surround people's homesteads, natural products, whilst livestock largely grazed on communal pastures and woodlands (Mendelsohn, 2006).

96. Risk exposure of CBNRM communities as a result of climate change:

- Drought and low rainfall: More than 80% of peoples living within the CBNRM boundaries depend on natural resource use for their livelihoods as subsistence farmers, small-scale emerging farmers and horticultural farmers. These communities have been identified as having the highest levels of exposure because drought increases the likelihood that crops will fail or animals will die. Drought has affected food production directly over the last 15 years in Namibia (Ziervogel and Angula, 2016). This has led farmers to finish their stock of millete in granaries before the next rainy season.
- Loss of forest cover and species: Deforestation and desertification; frequent forest fires; changes in forest types, species composition and distribution; and the disappearance of medicinal plants. Vulnerable species are those that have limited geographical ranges, drought/heat intolerance, low germination rates, low survival rate of seedlings, and limited seed dispersal/migration capabilities. Unsustainable supply of forest, products and services. Decrease in employment and foreign exchange earnings through forest-based industries and trade
- Inadequate access to climate information: This is a serious concern for CBNRM who depend on land and natural resources and need to know what climate to expect. This is especially true as residents incur the direct costs of damage from increased extreme weather events.
- High temperatures: Extreme high temperatures over the past 15 years have been associated with the outbreak of pests and diseases that impact both crops and animals. Over the years, there has been outbreak of foot and mouth disease, anthrax, and rabies. These diseases have profound impact on both livestock production and wildlife management resulting in loss of revenues to support livelihoods. Sensitivity for those on social grants, such as the elderly and those living with HIV/AIDS was seen to be high, because they will not be able to work long hours in their fields if it is too hot. Small-scale traders are less sensitive because they do not directly depend on natural resources. However, their products are likely to expire faster due to heat stress.
- Biodiversity loss and species movement: There is indication that recent and ongoing climate change is leading to rapid changes in the distributions of species in Namibia's protected area network. Species movements into areas where they were not previously found are observed, the disappearance of species from a region where they once were, or a shift in the abundance and distribution of individuals within a species range (Midgeley et al. 2010). Changes in fire and precipitation regimes continue to drive or accelerate shifts from one ecosystem state to another. Declines in charismatic wildlife populations lead nature-watchers, photographers, and hunters to seek other habitats that offer more substantial populations

and that have an impact on local livelihoods. The impacts of these changes includes, loss of income opportunities and jobs, loss of primary production to provide ecosystem goods and services, and increased levels of poverty as CBNRM residents depends on natural resource for their livelihoods.

97. **Gender related vulnerabilities:** Women in Namibia tend to have unequal access to resources and control over resources particularly in rural areas (Ipinge et al., 2000). This makes women more vulnerable to poverty. Climate change exacerbates these existing social problems. Gender equality, including fairness, just and equitable access to all resources, is an important priority in Namibia's National Development Strategy and is one of the Sustainable Development principles. The strategy acknowledges that gender issues have not been adequately addressed in most of the major government strategies. The specific vulnerability of women in Namibia is notable in a number of areas. For example, almost half of the severely food insecure households are headed by women, as well as a third of the moderately food insecure. These female-headed households, which represent about a fifth of total households, also have a significantly higher overall incidence of extreme poverty. The EDA Project will promote women participation and equal voice to air their concerns and challenges, identify barriers that keep them out of the main economic, political and social spheres, and find sustainable solutions is best achieved when women are directly engaged. Thus most of the women's vulnerabilities will be addressed by creating platforms that ensure women's participation, involvement and inclusiveness in all stages of the project lifespan. Gender concerns will be central to the design of business and economic instruments. The participation of both men and women is a Constitutional mandate and fully enshrined in the National Gender Policy and Plan of Action, as well as part of the ruling party philosophy, which was fully applied with a zebra action (that is, 50/50) in 2015.

E.4.2. Financial, economic, social and institutional needs

98. To manage the long-standing aggregate colonial impacts while curbing new threats, such as climate-related risks, Namibia proactively undertook a long-term development agenda, encapsulated in the country's Vision 2030 that is premised on substance of healthy ecosystems for current and future generations⁹. This is augmented by five-year medium-term plans (the NDPs), presently at NDP 4 and currently being rolled in the NDP 5. Current patterns of poverty, to a larger extent, mirrors (or reflects) the then unequal distribution of natural resources¹⁰ which led to uneven allocation of resources, underdevelopment, and multiple deprivations. The Namibian government is developing tailor-made policies and strategies to curb the threats at the root source¹⁰. This is premised on the realisation that the pace and rate of reducing the poverty debt is low despite the country's middle income country (MIC) status. This then needs newer refined and targeted interventions such as the EDA Project. Notwithstanding, some fairly large-scale public investments CBNRM, there has been a decline in the proportion of public funding going in recent years, mostly in the agriculture, environment, tourism and housing services and sectors¹¹. Hence, a *de facto* 'poverty - environmental degradation' situation is kept within the rural population groups.

99. The Government of Namibia's 2015/16 budget has been described as 'pro-growth and pro-poor' with a special focus on poverty eradication and improved access to social welfare, as the second highest priority after economic growth. With 18% of the budget allocated to Education (N\$11.32 billion), and N\$6.4 billion to Health, there is a strong indication of commitment to improving the social sector. This is in addition to the recent increase of Old Age Pensions by 60% from N\$600 to N\$1 000, and with a commitment in the Medium Term Economic Framework (MTEF) to increase the pension annually to N\$1 200 by the end of the current MTEF in 2017. While overall inflation has been declining since 2013 from 5.6% to 3.6% in 2015, the food inflation has averaged 7.7% indicating food as the single most important driver of inflation in Namibia. The causes of food insecurity in the country, which are

⁹ Republic of Namibia- National Planning Commission (2004), Namibia Vision 2030.

¹⁰ The skewed economic growth in Namibia is extreme, such that 10% of the Namibian society (mainly whites) receives more than 65% of income, leaving 35% for the remaining 90% of the population (predominantly blacks and mixed races) (National Development Plans, 2002). Thus, even after 25 years of independence, some of the Namibian language groups enjoy quality of life similar to those of developed economies, like Luxembourg and Greece at one end of the scale, and groups that suffer poverty similar to that of least developed economies, like Ethiopia and Mozambique (United Nations, 1999).

¹¹ Republic of Namibia –Ministry of Regional and Local Government, Housing and Rural Development (2012), *National Draft Rural Development Policy*.

exacerbated by high poverty levels, include extreme weather events (drought and flooding), massive environmental degradation, livestock diseases, and limited access to agricultural inputs, rising food prices, and the impact of HIV and AIDS, among others.

100. Currently, the Namibian Government spends about N\$580 million per year to cater for emergency response and relief efforts. This includes all types of emergency such as drought, flood, fire, diseases (for example, foot-and-mouth (FMD)), and livestock and crop-related failures. Due to the nature and extent of the climate change risks in this effort, the government is not able to invest substantial resources towards CBNRM without the support of the GCF, as it covers for all other types. CBNRM has the potential to transform the crop/horticultural sub-sector, maintain health ecosystems, and improve national food security. While the government is doing its utmost best to reduce vulnerabilities by availing domestic resources to education, health and food-for-work programmes in times of emergencies, there are still huge financial gaps. Total estimated cost (excluding co-financing) is over 5 years. Namibia is applying for a grant, as opposed to loans from the GCF. While Namibia is considered a middle-income country, the majority of national wealth is in the hands of a mere 5% of its population, making it one of the most unequal economies and societies in the world. This puts a burden on the government to devote its resources to Public Investment Programmes for social development and the economic upliftment of the majority.

101. **CBNRM Financial Needs:** Communal conservancies and community forests operate exclusively in rural settings in Namibia. This renders them vulnerable to the effects of a changing climate as they remain highly dependent on variable rainfall patterns and associated fluctuating natural resource yields. In addition, CBNRM entities in rural Namibia often have very limited access to the financial, technical and human resources required to enhance their resilience to climate change. Rural activities related to land use, land-use changes, and the use of fossil energy sources, have a significant impact on the livelihoods of rural communities. Often, because of variable incomes resulting from fluctuating year-to-year natural resource yields, rural communities' access to suitable sources of funding is less reliable and more constrained than that of their urban counterparts living on regular incomes.

102. The need for investment in Communal Conservancies and Community Forests is underpinned by the impact on rural development, job creation and the empowerment of communities and increasingly by both the project's need and potential to encounter and adapt to the impact of climate change. However, there is a striking imbalance between investments in communal and commercial areas in Namibia. CBNRM investments are primed in communal areas. Market failure manifests itself as a result of the lack of secure tenure rights, from private banks and investors' perspective. Even the current leasehold regime is not adequate enough to reduce the risk perspective involved. As a result, local communities lack the requisite equity/development capital to engage into joint ventures to derive benefits from existing opportunities. Moreover, the risk premium of such investments is increased further by the long cash flow gestation character of investments in CBNRM. The major deterrent towards capital flows to the green industries are mainly very low investment returns as well as the long holding period required. This creates major uncertainty for commercial and at development banks, thereby creating a financing gap for such opportunities.

103. Despite the positive CBNRM program outcomes and its huge potential as a platform for local-level climate change adaptation and mitigation, NACSO (2012), through the CBNRM Sustainability Task Force, indicated the sustainability crisis that is engulfing the program in the presence of declining donor support. The rapid (mainly donor-driven) growth in the number of communal conservancies since the first four conservancies were registered in 1998, combined with the addition of community forests to the CBNRM network, has outstripped the capacity of government and NGOs to respond to increasing demands for assistance. The CBNRM program faces funding gaps that need to be addressed with estimates of around NAD 40 million per annum. There are a number of risks to conservancies and community forests if support cannot be sustainably funded in the future. The major risks are that CBNRM entities do not meet their full potential for revenue generation, are driven by internal disputes because of mismanagement of revenue, and as a result lose the support of their members. Declining support from members could lead to collapse of CBNRM CBOs and the collapse of their conservation efforts, their contributions to rural development and their potential for local level climate action. The study by Humavindu & Stage (2015) underpins the need to ensure the financial sustainability of CBNRM in the face of its high social and economic impacts and argues for a quicker resolve of the overall program resourcing requirements.

104. **CBNRM Institutional Needs:** One of the three pillars of CBNRM is institutional development for good governance, founded on the understanding that good governance creates the basis for effective resource management, benefit capture and distribution (NACSO, 2013). Good governance is essential for successful implementation of community-based projects. The conservancy management structures were designed to manage the wildlife and tourism resources, therefore CBOs need support for institutional capacity development to be able to respond to climate change through adaptation and mitigation. Community-led initiatives to address climate issues are going to require capacity-building of a new set of skills that these CBOs have not yet had the opportunity to develop.

E.5. Country Ownership

Beneficiary country (ies) ownership of, and capacity to implement, a funded project or programme

E.5.1. Existence of a national climate strategy and coherence with existing plans and policies, including NAMAs, NAPAs and NAPs

105. By signing and ratifying the UNFCCC, Namibia has, respectively, committed to the adoption and implementation of policies and measures to adapt to climate change and to manage existing climate risks, including improving resilience preparedness and adaptation capacities. The project design is fully informed by the vulnerability assessments undertaken as part of Namibia's preparations of the INC, SNC, BUR1, and TNC. The objectives and activities are in line with the strategic aims of the 2011 National Policy on Climate Change (NPCC) and its accompanying strategy and action plan (NCCSAP) as approved by Cabinet in 2014. The seven principles provide strategic guidance for a response to climate change that is nationally appropriate, effective, efficient, fair, non-discriminatory, inclusive and timely. The project reflects the voluntary intentions of Namibia enshrined in the INDC (2015), which is setting the supreme adaptation and mitigation options, targets and national focus - in the medium- to long-term. The GRN lead coordinating entity for climate change, that is, MET, which is also the NDA for both GCF and AF has been part and parcel throughout the entire project formulation stage, thus ensured that there is direct and full alignment between this project and INDC, especially AFOLU priority actions.

106. Namibia's CBNRM program is a long-standing national program, which was established in 1990 by the Government of the newly independent Republic of Namibia under the lead of the Ministry of Environment and Tourism. The program is a joint venture between the Government of the Republic of Namibia and NGOs, CBOs, communities and other development partners. Since independence in 1990, the entire CBNRM program has therefore been supported by a highly enabling policy and institutional framework on which the proposed program will be built on and benefit from.

107. The proposed project enjoys full country ownership in the sense of alignment with national policies and priorities. The project directly responds to priorities as outlined in

- **The Constitution of Namibia**, which highlights the need to develop and implement policies to maintain the ecosystems, ecological processes and biological diversity for the benefit of the present and future generations.
- **Namibia's Vision 2030** (GRN, 2004 p. 76 ff.), in which expansion of the CBNRM program beyond wildlife and tourism is favored.
- **Namibia's National Climate Change Strategy and Action Plan** (Ministry of Environment and Tourism, 2015), in which the highest priority theme for adaptation activities is "food security and sustainable biological resource base". The document states that "*Namibia's biodiversity is a fundamental to livelihood generation and a national asset of significant value. In addition, it underpins an important nature-based tourism industry. Climate change impacts (sea level rise, changes in temperature and rainfall) may affect natural resources: temporal and spatial shifts in habitat/habitat loss, loss of biodiversity and ecosystems, species diversity, and invasive species among others.*"

- **Namibia’s National Policy on Climate Change** (Ministry of Environment and Tourism, 2011a), stressing the strong role to be played by local CBOs and NGOs:
 - *“The policy recognizes the importance of meaningful participation in the planning, development and implementation of climate change activities at local, regional and national level. The policy recognizes the need to ensure the participation of women, children and other vulnerable/marginalized groups and individuals, as well as, the use of appropriate local knowledge for adaptation.”*
 - *“The policy recognizes the important role of the participation of Non-Government Organizations (NGOs), Community Based Organizations (CBOs) and Faith Based Organizations and the private sector in climate change adaptation and mitigation. In particular NGOs , CBOs and Faith Based Organizations should contribute to climate change awareness and advocacy.”*
- **INDCs of Namibia** (GRN, 2015), for which the great majority of Namibia’s mitigation contributions is projected to result from changes in the agriculture, forestry and land use (AFOLU) sector, which CBNRM is closely linked to.

E.5.2. Capacity of accredited entities and executing entities to deliver

108. All the proposed activities are well within the technical scope of Namibian stakeholders. There is strong government and NGO technical support that covers natural resource management, business enterprise development, and institutional backstopping (including financial management and governance).

109. Namibia has a well-defined approach to corresponding national development through the AE for the present proposal, the Environmental Investment Fund (EIF). The EIF was established by The Environmental Investment Act 13 of 2001. The Fund is a statutory entity outside the public service with clear and separate roles and functions distinct from any government body or entity. The Fund is a state-owned enterprise, whose Board of Directors reports directly to the Minister of Environment and Tourism. The EIF invests in and supports projects and activities that promote the national development strategy of the Government of the Republic of Namibia but for which it is currently unable to provide the required financial investments. There is thus a strong link between the EIF and maximizing country ownership.

110. The Environmental Investment Fund’s (EIF) financial management structures and systems have been scrutinized by the GCF and its compliance with GCF Standards is what led to the accreditation of the EIF. Thus as an accredited entity, the EIF will be responsible for the management of the finances (procurements, disbursements and auditing). Moreover, the Fund was independently assessed and rated by the Association of African Development Finance Institutions (AADFI), in collaboration with the African Development Bank (ADB) that applied the Prudential Standards, Guidelines and Rating System (PSGRS) assessment tool. This is a rating system that assesses three areas of the Fund, namely: governance guidelines, financial prudential standards, and operational guidelines. In 2014, the Fund was awarded a B rating and in 2015, the Fund was rated B+, an improvement in the financial management system. Implementation of the project will be done according to the procedures of the EIF with full oversight of its Board. Furthermore, the EIF has an on-going grant making programme with policies, procedures, and systems in place and such experience will be beneficial for the EDA Promoting Resilient Livelihood for CBNRM Project.

111. It has been previously demonstrated through Integrated Community-Based Ecosystem Management Project, Integrated Sustainable Land Management Programme and the Millennium Challenge Account that some Communal Conservancies and Community Forest entities managed to access grant funding and successfully implemented their projects. However, to achieve such success more resources should be directed towards capacity building for local level institutions before accessing grant funding and component 1 of the project is designed to serve such purpose. Furthermore, there is the Namibian Association of Community Based Natural Resource Management (CBNRM) Support Organisations (NACSO). An association comprising eight Non-Government Organisations (NGOs) and the University of Namibia. The purpose of NACSO is to provide quality services to rural communities seeking to manage

and utilize their natural resources in a sustainable manner and some of the vehicle for delivering grant financing will be channeled through these members. See below the list of the NACSO members.

Table 7: List of NACSO member organizations.

NACSO Member	Role
Integrated Rural Development and Nature Conservation	Field based NGO providing technical support to registered and emerging conservancies. Activities include: training in natural resources management; community capacity building; institutional development; facilitation of income generating projects; interim financial and logistic assistance.
Legal Assistance Centre	Legal advice to conservancies on constitutions, contracts, legal conflicts and conflict resolution and advocacy on CBNRM issues.
University of Namibia (Multi-disciplinary Research Centre and Consultancy)	Research into the social effectiveness of CBNRM and conservancies in Namibia.
Namibia Development Trust	Advocate and foster development that is community based, gender inclusive, sensitive to the environment and sustainable.
Namibia Nature Foundation	Provides assistance in grant administration, fundraising, financial management and Monitoring and Evaluation
Nyae Nyae Development Foundation of Namibia	Field based NGO providing technical support to San communities in the Otjozondjupa region
Omba Arts Trust	Independent non-profit initiative supporting the development, marketing and promotion of Namibian craft with emphasis on fair trade.
Save the Rhino Trust	Save The Rhino Trust focus areas include rhino conservation and management, training and capacity building in rhino management and responsible rhino tourism ventures.
World Wide Fund for Nature	Provides technical support to implementers in the field of natural resource management, enterprise and business development and institutional development.

E.5.3. Engagement with NDAs, civil society organizations and other relevant stakeholders

112. The Ministry of Environment and Tourism, which is the NDA for the GCF, fully supports the proposed project and confirms that the national process for ascertaining no-objection to the project has been duly followed. A corresponding NDA no-objection letter is attached to this funding proposal.

113. The EDA Project was fully developed with direct engagement and inclusive of government ministries responsible for climate change, communal conservancies, community forest and NACSO CBNRM partners. The MET, in its capacities as NDA for AF and GCF has proved to be crucial, especially in ensuring that there were no duplications and overlaps in planned activities to be supported except from strategic points. The accreditation of the EIF was publicly announced by the Minister of Environment and Tourism at a press conference on 13 July 2015. The initial brainstorming session for this project was held on the 23-24 July 2015, at Gross Barmen, Okahandja, and was attended by representatives from the Ministry of Agriculture, Water and Forestry (MAWF), National Planning Commission (NPC), Namibia National Farmers Union (NNFU), Ministry of Mines and Energy (MME), Ministry of Environment and Tourism (MET), and environmental consultants from civil society. In line with the compilation of the feasibility study for this project, about 200 people were consulted with the majority from the CBNRM rural communities during field visit and ground proofing.

114. Namibia having a national policy and strategy on climate change as well as the NAMAS and INDC proved to be advantageous and valuable as these documents helped to guide –providing overall national drive towards adaptation and mitigation options that are suitable for Namibia. Most of the relevant stakeholders and those with a stake

contributed greatly through these interactive processes, setting a good baseline and foundation to formulate a well-targeted and crafted project. The EDA Project has resulted from a broad inclusive process involving all stakeholders, that is, national government, regional and local government, traditional authorities, local farmers, representatives of on-going project initiatives for example UN supported, GEF supported, EU, GIZ and others implemented via national and local NGOs, such as NNF, NCAP, etcetera. Furthermore, to ensure that there is public, private and civil society collaboration, the programmatic concept was presented to Namibia's Sustainable Development Advisory Council (SDAC), which is chaired by the Permanent Secretary of the MET. SDAC primary function is to ensure collaboration and coordination between and amongst entities pursuing sustainable development in Namibia.

E.6. Efficiency and Effectiveness

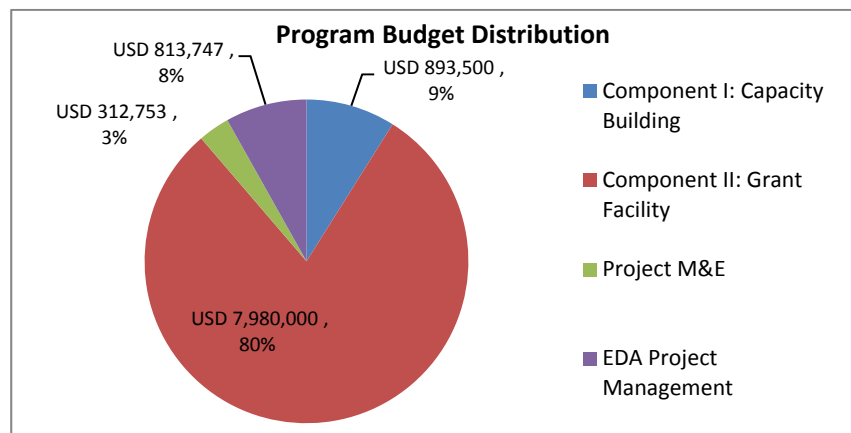
Economic and, if appropriate, financial soundness of the project/programme

E.6.1. Cost-effectiveness and efficiency

115. Experience has shown that, although perceived to be administratively costly, small grants are often more effective at delivering tangible benefits that respond to direct needs of beneficiary communities, and should thus be sustained. Direct community involvement through community-based adaptation activities increases the chance of sustainability as community members have a sense of ownership of the projects and thus potentially an incentive for sustainability is created.

116. The Adaptation Fund conducted a comparative analysis of a number of small grants Programmes in order to investigate the administrative costs of operating Programmes with multiple levels of execution. For the Programmes investigated, it was found that on average 25-30% of the total Programme budget was spent on administrative costs. The Global Environment Facility undertook a comparative study in 2009 that focused on evaluating the efficiency of the Small Grants Programme in different countries. They looked at the amount of grant resources delivered, the number of grants managed, the average size of these grants and their monitoring and evaluation requirements as the determinants of cost.

117. For the proposed project, 80% of the project budget will be spent on grant projects, 9% on capacity building, 8% on Project Management and Administration and 3% on dedicated M&E measures¹². Overhead costs of the supporting organization for implementation of grant projects will be limited to 25% of the total grant volume in order to ensure that the majority of funding (75%) is utilized for implementation of agreed community-level activities.



118. An independent impact evaluation undertaken for the Namibia/Swedish Environmental Small Grants Programme in 2005 concluded that 88% of the grants funded were successful and recommended a policy option for the Government of Namibia to appropriate funding for environmental grant making, which latter resulted in the

¹² Note that the 8% project management budget also contains significant budget lines for M&E, such as a M&E officer position.

introduction of a grant Programme by the EIF of Namibia in 2012. This experience has shown that small grants can be enormously successful in delivering tangible and relevant benefits to local stakeholders and beneficiaries. This enhanced direct access approach is in direct response to Namibia stakeholders who called for a mechanism that will empower local communities to conceive and drive local adaptation responses directly. A single, large intervention would not permit this level of local ownership or design.

119. The EDA Resilient Livelihoods Project will be implemented through existing structures, and will thus save costs in project mobilization and inception. Another factor contributing to efficiency and cost-effectiveness is that potential grant recipients and small grant projects will be screened and prioritized against specific pre-determined selection criteria. These criteria will be used from the project concept through to project proposal development stage. Further, the EDA Resilient Livelihood Project will invest in climate change adaptation interventions that fall into prioritized Investment Windows. These filters will ensure that investments are targeted appropriately.

E.6.2. Co-financing, leveraging and mobilized long-term investments (mitigation only)

N/A

E.6.3. Financial viability

120. It is estimated that CBNRM contribution to the national economy was N\$530 million. Since 1990, the CBNRM program has had an economic internal rate of 23% and has earned an economic net present value of some N\$803 million. This is a highly positive economic return for a program investment. In addition to the annual contribution of CBNRM to the national economy, the capital value of some natural resources has increased. The increased capital value of wildlife in northwestern Namibia between 1990 and 2014 is estimated at N\$526 million.

121. The project provides an opportunity for future allocation of domestic resources, both from the public and private sector for continued grant funding for CBNRM. This will however depend on the impact and results of the project to influence policy and decision-making on treasury. The EIF is a dedicated national funding and investment instrument that presents an opportunity to absorb much of the activities of the project and scale up funding for CBNRM in Namibia. From January 2017, the EIF intends to introduce environmental levies on electronic and electrical appliances, lubricant oils and batteries. These are expected to generate USD 9 million per annum. The EIF Board of Directors approved 20% of this amount (USD 1.8 million per annum) to be dedicated to CBNRM grant funding as part of the exit strategy for the proposed project. A corresponding confirmation letter is attached to this proposal.

E.6.4. Application of best practices

122. With the growing expectations for performance and the complexity of grant making initiatives, the EDA Resilient Livelihood Project realized the importance a well designed grant programme that is clearly articulated in terms of funding strategy and goals setting from the onset. Therefore several lessons and best practices available on grant making and design that have been integrated by the EDA Resilient Livelihood Project. The best practices adopted by the EDA Project include capacity building; collaboration and partnership approach; constituency building and citizen engagement; and project management and monitoring. These lessons are extracted from a variety of experience and best practices approach from institutions such as the Global Fund, Global Environment Facility, Millennium Challenge Account, etc.

123. Capacity building: Capacity building for prospective grant recipients is critical to achieve the objectives of any grant-making programme. The EDA Resilient Livelihood Project will introduce interventions that strengthen local level institutions and support agencies to access grant financing and attain the desired results as set by the project. This will occur in many aspects of an organization, including programs, management, fund raising, financial management, and communications. Capacity building activities will include staff training, peer exchanges, one-on-one consulting,

new equipment and staff, or even facility purchase or renovation. It is also closely related to the issue of core operating funding, which for many organizations is the most critical need in establishing effective capacity.

124. Collaboration and Partnership: Collaboration among environmental organizations and with other sectors can produce significant and lasting benefits. To ensure that this partnership achieves the desired outcomes, the EDA Project make the entire process interactive, so that partners in a collaboration are involved in a meaningful way in framing its structure and priorities, have enough flexibility to learn and adjust, and help define an evaluation framework. This is contained in Component 1 of the project. Furthermore, the project will look for issues with overlapping interests and readiness for new approaches, and insist that potential partners in collaboration are having initial discussions before applying for funding support.

125. Constituency Building and Citizen Engagement: Citizen engagement, both in environmental organizations and in broader causes, is a crucial element in long-term environmental change and effecting adaptation at local level, but the success of grant making in involving citizens is very uneven. Several factors have been identified which help to make citizen engagement more effective and that could be encouraged by funders: involvement of a range of stakeholders; partnerships; enlisting prominent local champions; providing a diversity of opportunities for involvement; face- to-face interactions; reasoned arguments; and maintaining a sustained presence and continuity of organizational involvement.

124. Project management and monitoring: Good governance and management structure to assess, approve, contract, and monitor implementation of projects are essential for a successful grant-making program. The EDA Resilient Livelihood Project has integrated those aspects in the project by designing investment areas of the project, criteria, project steering committee, and EDA Project Implementation Unit.

E.6.5. Key efficiency and effectiveness indicators

N/A

** The information can be drawn from the project/programme appraisal document.*

F.1. Economic and Financial Analysis

125. By diversifying land uses, the programme is unlocking new industries based on wildlife and tourism, as well as other natural resource use.

- Wildlife provides the foundation for tourism and sustainable use
- Tourism provides employment, income and training, and facilitates other economic activities
- Crafts are generally produced from natural resources and capitalise on the markets created through tourism
- Veld products provide alternative income opportunities within the health and beauty sectors
- Forest products provide income opportunities within the building, woodworking and other sectors
- Sustainable hunting can utilize areas unsuitable for tourism and provides important food and significant cash income used to cover a high percentage of conservancy running costs
- Inland fisheries provide considerable income as well as a direct food supply
- Conservation agriculture increases crop yields and minimizes wastage
- Holistic range management improves livestock production and the health of ecosystems

126. By applying the climate change predictions to the current CBNRM scenarios, substantial declines in revenue were forecasted for the majority of conservancies in the study undertaken by Brown (2009). Revenue per ha is projected to decrease by up to 42% of its current value by 2050, and up to 59% by 2080, with the largest reductions occurring in the central region (Brown, 2009). The average predicted change in revenue across the sample of farms is a loss of 28% of current revenue by 2050 and a loss of 42% by 2080 (Brown, 2009). The consequences of losses in revenue on this scale are alarming. The mean revenue for CBNRM in this analysis is N\$218/ha, and the mean area is 9,420ha. This amounts to an average loss of about N\$575,000 for each highly productive conservancy by 2050 and about N\$860,000 by 2080 (Brown, 2009). Such large reductions in income will be devastating to CBO members¹³. The above demonstrates the economic, financial need and the return on investment towards CBNRM that goes beyond profit making to secure livelihood and enhancing vital ecosystem services. This feasibility study states that an expected Economic Rate of Return (ERR) of about 20% could be expected from such climate change interventions even though the full impacts of climate may not be felt for many years to come. This assessment (MET, 2013) also states that adaptation can be carried out in an economically efficient manner especially in the case of CBNRM activities where the benefits are anticipated to be greater than just the offsetting of potential losses due to climate change.

F.2. Technical Evaluation

127. The practices and technologies to be promoted, adopted and applied through the EDA Project are appropriate, gender sensitive and suitable based on the climate risks and effects to be addressed. They will be addressing the following adaptive capacity aspects, targeted at the communities and groups that are most vulnerable to climate impacts:

- Access (availability, gender sensitive and affordability of) to technology and different farming methods
- Access (availability, gender sensitive and affordability of) to crop varieties and farming inputs
- Access (availability, gender sensitive and affordability of) to water (efficient use, conservation, harvesting, storage)
- Access (availability, gender sensitive and affordability of) to land and soil conservation measures
- Access (and applicability of) to best practices and skills development

¹³ This analysis has made a number of simplifying assumptions, one of which is that land use remains constant over time, and is based on values for revenue per hectare that are computed using current prices, therefore failing to take into account changes in prices of productive output that will inevitably occur over time.

128. From a technical and scientific viewpoint, the pursuance of sustainable natural resource management with good practices includes integrating biodiversity management into production landscapes [for example agricultural (agro-ecosystems)] is an important objective of land sharing as opposing to land sparing assumption of the then green revolution. Namibian landscapes (such as conservancies and community forests) are multifunctional (with multiple land uses) thus provides examples where agricultural production and for example biodiversity conservation are not antagonistic due to their heterogeneity features. Beyond biodiversity (wildlife) itself, the protection function of multifunctional landscapes serves a series of ecosystem services, such as, carbon sequestration, water conservation, soil erosion control, provision of raw materials and genetic or medicinal resources, sites of cultural value, all contributing to improved livelihoods.

129. Thus the promotion of various technologies including ripper implements (for minimum tillage) instead of disc following farming practices; and micro-drip irrigation (for water pumping) instead of sprinklers; and solar water pumps instead of diesel or petrol generators are all proven technologies which are best suited for the CBNRM areas in Namibia. Furthermore, the adoption of micro-drip irrigation saves water and is most suitable in rain-fed agriculture and applicable for dryland crop farming communities where drought and water scarcity are constant occurrences.

F.3. Environmental, Social Assessment, including Gender Considerations

59. All proposals will be subjected environmental and social safeguard assessment as there are cornerstones of technical and financial evaluation to achieve sustainable poverty reduction and enhanced resilience of CBNRM livelihoods. Therefore, procedures for addressing environmental and social issues are included in the project cycle management process. A driving principle of the project is to prevent and mitigate any harm to people and thus to incorporate environmental and social concerns as an intrinsic part of project cycle management. The project will only approve proposals that are categorized as Category C of the environmental and social safeguard policy of the EIF and in line with the GCF accreditation conditions. The objective of these safeguards and associated policies and procedures is to prevent and mitigate undue harm to people and their environment and strive to develop benefits in the development process. More specifically, safeguard policies and procedures are designed to avoid, mitigate, or minimize adverse environmental and social impacts of projects and strategies, and to implement projects and strategies that produce positive outcomes for people and the environment. The Project Cycle Management Approach describes a project cycle of design, implementation and evaluation. The EIF addresses environmental and social issues within this cycle as follows:

Design

- Inquire on, and assess, environmental, and social guidelines
- Discuss with project designers and study any reports as requested
- Prepare comments and requests for additional information
- Advise on any specific requirements for compliance
- Review and assess for approval and/or any special measures required

Implementation

- Continue to inquire and review environmental and social safeguard issues
- Prepare any comments and requests for new information
- Review and advise on implementation of any special measures required

Evaluation

- Ensure inclusion and review environmental and social safeguard issues in final project reporting as well as any lessons learned

Sharing of lessons

- Provide platform for grant recipients and partners to share lessons

Table 8: Checklist of environmental and social principles

Access and Equity	Potential impacts and risks – further assessment and management required for compliance	Remarks
Compliance with the Law		
Access and Equity		
Marginalised and Vulnerable Groups		
Human Rights		
Gender Equity and Women’s Empowerment		
Core Labour Rights		
Indigenous Peoples		
Involuntary Resettlement		
Protection of Natural Habitats		
Conservation of Biological Diversity		
Climate Change		
Pollution Prevention and Resource Efficiency		
Public Health		
Physical and Cultural Heritage		
Lands and Soil Conservation		

130. Following the EIF ESS Policy, the EDA Grant Facility will only finance projects classified as an environmental Category C requiring screening of activities and not an ESMP. The proposed scope of activities will largely result in positive environmental and social impacts, and the minor social effects will be largely micro site-specific impacts from small-scale farming practices. They include small infrastructure such as craft market to facilitate sale of products, 500-1000 kg granaries that prolong long storage of yields (already tested and to be upscale), household rooftop water harvesting activities, greenhouses for cash crops, etc. From this example of activities to be funded, it is evident that they present much lesser or no environmental risk and damage while other indicative soft activities includes value addition on indigenous natural products, introduction of drought tolerate breeds and crops, co-management approaches to natural resources, rehabilitation of degraded lands and wetlands, etc. Any environmental risk will be mitigated with integration of appropriate measures and implementation of common sense good practice measures. In line with the EIF ESIA, a screening is conducted for all Category C type of projects. Implementation monitoring and reporting processes will be designed to have explicit focus on the monitoring of the identified minor risks, as well as any unintended environmental and social risks. These will apply to the individual grant projects via the six-monthly reports that are compiled by the EDA Project Unit and the Environmental and Social Safeguard Expert, for submission to the PSC and NIE. Mid-term and Final Evaluations will also have a specific focus on compliance with the GCF.

131. **Gender:** Gender considerations remain ever present in the project approach. Indeed, this social category is the primary and most active and responsive workforce, while it remains strongly marginalized in the access to production means and responsibilities. The project gender approach therefore is mainly twofold: (a) equitable access of women and men to production means, including land, training, financing, etc., and to collective and community decision-making centers; and (b) the distribution of roles and responsibilities in production between men and women. It is understood that the project has no intention of challenging frontally and immediately the age-old social rules governing the life of local communities for fear of rejection and tensions because such a gender process should run over time. Still the project will contribute to reducing this barrier by applying participation criteria and procedures marked with positive discrimination.

F.4. Financial Management and Procurement

132. The Environmental Investment Fund of Namibia has expertise in working with donor funds and has a good track record in implementing 36 programs and projects using sound financial management practices. The Directorate of Administration and Finance adheres to policies and procedures that meet donor agencies’ requirements. For this project, it will be responsible for fiduciary aspects and will be accountable for all financial and investment activities. International accounting financial reporting standards will be applied to the project. The standard accounting

procedures for auditing of Project expenditure is followed by the EIF on an annual basis. The EIF assumes overall responsibility for financial management of the projects, and ensure that funds are used efficiently to support the intended activities. A certified external auditor will submit all accounts to the GCF on an annual basis. The audits are documented by a signed audit report. The public maintain the right to inspect the account on request as well as study reports, accounts, inventories and other relevant materials. The EIF Procurement Policy is closely aligned to the GCF and national laws in order to facilitate services within standardized framework.

133. The EIF, working with the governance structure of the project will ensure: (i) the substantive quality of the project implementation, (ii) the effective use of both international and national resources allocated to it, (iii) the availability of time for national contributions to support project implementation, and (iv) the proper coordination among all project stakeholders, in particular national, sub-national and local partners. Government has indicated its wishes to escalate efficient and effective project management and delivery, thus has agreed for the EIF (as an accredited entity of the GCF) within the approval of the EIF Board, to procure certain services by means of signing Memorandum of Agreement (MoA) where, for instance, additional and extra specialised national or global services providers may be required. The MoAs will govern the contract arrangements, thus will clearly spell out the responsibilities and roles regarding the delivery of the project outputs and the judicious use of the project resources allocated to them. To expedite project implementation, the EIF will sub-contract civil society as deemed appropriate and feasible within this project.

G.1. Risk Assessment Summary

134. Risk factors associated with the project implementation include mainly technical, operational, and institutional aspects, as equipment installation does not causes major social and environmental impacts from the project (please refer to Section G2).

G.2. Risk Factors and Mitigation Measures

Selected Risk Factor 1:			
Description	Risk category	Level of risk	Probability of risk occurring
Climate change does not remain a policy priority for the Government of Namibia and the MET	Other	Low (<5% of project value)	Low
Mitigation Measure			
<ul style="list-style-type: none"> The Project Support Team from the EIF comprising of the CEO, the Communications Officer, Director of Operation and Director of Finance must maintain communication with the NDA and continue engagement with government by providing project updates in order to keep climate change a policy priority. 			
Selected Risk Factor 2:			
Description	Risk category	Level of risk	Probability of risk occurring
Climate change awareness raising and training events do not have appropriate stakeholders attending	Technical and operational	Low (<5% of project value)	Medium
Mitigation Measures			
<ul style="list-style-type: none"> ToRs documents for Component 1 to be prioritised so that they guide the EEs in developing processes that ensure targeted participants are invited and their attendance facilitated Similarly, drawing up the TORs for support organizations in such a way that they are responsible for ensuring that appropriate participants are targeted and their attendance facilitated to participate in training and technical support events. 			
Selected Risk Factor 3:			
Description	Risk category	Level of risk	Probability of risk occurring
Limited buy-in from targeted CBOs	Social and environmental	Low (<5% of project value)	Low
Mitigation Measures			
<ul style="list-style-type: none"> Two activities have been included in the project framework to address this risk – the sharing of climate change awareness materials to all CBOs and the regional meetings to share information about grant opportunities. Local NGOs and MET with experience of local operational environments will support CBO understanding and capacity to identify and utilize opportunities. 			
Selected Risk Factor 4:			
Description	Risk category	Level of risk	Probability of risk occurring
Proposals developed and submitted by CBOs are unrealistic with regard to expected outcomes and benefits to be generated	Technical and operational	Medium (5.1-20% of project value)	High
Mitigation Measures			
<ul style="list-style-type: none"> Develop clear guidelines for grant options and grant parameters. Several opportunities have been created for information sharing about grants. Included in the project framework are regional meetings planned in order to share grant opportunities and parameters. It should be ensured that the information presented to possible applicants is realistic and complete. Provision has been made in the EDA Project Implementation Unit for technical support to be provided to CBOs for proposal development. This support will be essential in mitigating this risk. This should be a conditional to a grant proposal being accepted and awarded. 			
Selected Risk Factor 5:			
Description	Risk category	Level of risk	Probability of risk occurring
Internal social or political conflict within CBOs impacts successful access to direct funding	Social and environmental	Medium (5.1-20% of project value)	Medium
Mitigation Measures			

<ul style="list-style-type: none"> In the inception phase of implementation, a CBO diagnostic will be undertaken and this process should be designed to identify such risks. If a high risk of conflict is identified during the CBO diagnostic, evidence must be presented that it has been resolved before that CBO can be included in a grant proposal. One of the roles that support organizations should fulfil is the identification of such potential conflicts and facilitates appropriate conflict resolution interventions before they impact on the implementation of the Programme. Since it is likely that several CBOS will jointly apply for a grant, this risk will be diluted (in comparison to the risk if only 1 CBO is applying). 			
Selected Risk Factor 6:			
Description	Risk category	Level of risk	Probability of risk occurring
Extreme environmental conditions such as drought or flooding	Social and environmental	High (>20% of project value)	Medium
Mitigation Measures			
<ul style="list-style-type: none"> Several potential activity options could be impacted by extreme drought or flood conditions. This will mitigate to an extent by the duration of the planned interventions. Since it is likely that most activities will be implemented over a 3-year period, extreme drought conditions are less likely to occur in 3 consecutive years. 			
Selected Risk Factor 7:			
Description	Risk category	Level of risk	Probability of risk occurring
Insufficient co-ordination and/or co-operation between implementing partners (including responsible government ministries) at regional level results in lack of support for climate-resilient development interventions	Technical and operational	Medium (5.1-20% of project value)	Medium
Mitigation Measures			
<ul style="list-style-type: none"> The role of the EDA Project Implementation Unit is essential for mitigation of this risk. Several opportunities have been created for information sharing about grants. Included in the project framework are regional meetings planned in order to share grant opportunities and parameters. Provision has been made in the EDA Project Implementation Unit for technical support to be provided to stakeholders. 			
Selected Risk Factor 8:			
Description	Risk category	Level of risk	Probability of risk occurring
CBOs lack capacity to successfully implement CC grant activities and meet grant management, reporting and monitoring requirements	Technical and operational	High (>20% of project value)	High
Mitigation Measures			
<ul style="list-style-type: none"> The CBO diagnostic will determine the capacity of each CBO and this data will inform the proposal evaluation process. CBOs lacking the needed capacity should not be allowed to submit a proposal unless jointly with other CBOs or a service provider. In addition to the diagnostic, a measure of capacity could be proven track record – with a previous grant, audit reports, successful AGMs etc. The EDA Project Unit will provide support to proposal development and will be able to encourage CBOs to propose realistic projects. A group of CBOs can jointly develop a proposal and stronger CBOs will be able to support those with less capacity. Provision is made for the inclusion of support organizations as a partner with a group of CBOs in a mentoring and technical support role. This could provide the needed technical and grant management capacity and also provide an opportunity for capacity building. 			
Selected Risk Factor 9:			
Description	Risk category	Level of risk	Probability of risk occurring
Conservancies and community forests are not receptive to monitoring climate change indicators that are relevant to their livelihoods.	Technical and operational	Low (<5% of project value)	Low
Mitigation Measures			
<ul style="list-style-type: none"> CBOs have already demonstrated commitment to monitoring through the EBS. The EE responsible for the development and introduction of the climate monitoring should dedicate time and resources to ensuring that CBOs understand the value of this monitoring. The EE developing the climate monitoring system must ensure that this process is participatory and responds to the identified needs of the CBOs. The EDA Project Implementation Unit will monitor the development process to ensure compliance to these aspects. 			
Selected Risk Factor 10:			

Description	Risk category	Level of risk	Probability of risk occurring
Market development for products (e.g. INPs) impacted by economic downturn	Technical and operational	Medium (5.1-20% of project value)	Low
Mitigation Measures			
<ul style="list-style-type: none"> The cost of mitigation measures could be impacted by international financial changes such as exchange rate. The EDA Project Implementation Unit should support grant applicants in making financial provision for such impacts in their proposals. Diversification of livelihoods is an intended buffer against such impacts however in the process of developing new diversification measures, international economic downturns could impact their successful development. The diagnostic must include some evaluation of market potential, which will mitigate these possible impacts. Examples of climate change adaptation measures identified during the stakeholder consultation process did not indicate interest in a high level of activities that would be subject to this risk factor. 			
Selected Risk Factor 11:			
Description	Risk category	Level of risk	Probability of risk occurring
Remoteness of implementation sites	Financial	Medium (5.1-20% of project value)	High
Mitigation Measures			
<ul style="list-style-type: none"> The EDA Project Implementation Unit and service providers need to support applicants in realistic estimates of service costs, logistical constraints and time frames of planned activities. The EDA Project Implementation Unit will need to allocate sufficient budget for support activities and mechanisms that will accommodate regular communication and logistical needs in working with hard-to-reach CBOs. 			

H.1. Logic Framework.

H.1.1. Paradigm Shift Objectives and Impacts at the Fund level¹⁴

Paradigm shift objectives						
<i>Increased climate-resilient sustainable development</i>	Overall Project Objective: Empower Rural Communities of the Namibian CBNRM Network to Respond to Climate Change in Terms of Awareness, Adaptive Capacity and Low-Carbon Development.					
	<p>Through Component I, the project will build and strengthen the institutional foundation for effective and sustainable community-led local climate action in the CBNRM network.</p> <p>Through Component II, the project will empower rural CBNRM communities by providing them direct access to climate finance for increased CBNRM livelihoods resilience and low-carbon rural development.</p>					
Expected Result	Indicator	Means of Verification (MoV)	Baseline	Target		Assumptions
				Mid-term (if applicable)	Final	
Fund-level impacts						
<i>A1.0 Increased resilience and enhanced livelihoods of the most vulnerable people, communities and regions</i>	Number of males and females benefiting from the adoption of diversified, climate-resilient livelihood options (including fisheries, agriculture, tourism, etc.)	Livelihood grant reports; EIF EDA Project M&E	0	150 direct 250 indirect (50% female, 50% male)	15,500 direct 61,000 indirect (50% female, 50% male)	Project uptake comparable to similar grant projects concluded in the past. Mid-term (end of year 3) numbers relatively low since most grant projects will only be concluded after mid-term
<i>A2.0 Increased resilience of health and well-being, and food and water security</i>	Number of additional food-secure households (in areas/periods at risk of climate change impacts)	Livelihood grant reports; EIF EDA Project M&E	0	0	2,400	No extreme climatic event such as drought or large-scale flood that undoes project benefits in more than one project year
<i>A4.0 Improved resilience of ecosystems and ecosystem services</i>	Coverage/scale of ecosystems protected and strengthened in response to climate variability and change	EIF EDA Project M&E - Reports from implementing organizations	0	0	7,200,000 hectares (mainly tree and shrub savanna)	Legal situation with regards to rights and responsibilities of local communities over natural resources in their area is maintained.

H.1.2. Outcomes, Outputs, Activities and Inputs at Project/Programme level

¹⁴ Information on the Fund's expected results and indicators can be found in its Performance Measurement Frameworks available at the following link (Please note that some indicators are under refinement): http://www.gcfund.org/fileadmin/00_customer/documents/Operations/5.3_Initial_PMF.pdf

Expected Result	Indicator	Means of Verification (MoV)	Baseline	Target		Assumptions
				Mid-term (if applicable)	Final	
Project/programme outcomes	Outcomes that contribute to Fund-level impacts					
A5.0 Strengthened institutional and regulatory systems for climate-responsive planning and development	<p>Institutional and regulatory systems that improve incentives for climate resilience and their effective implementation:</p> <p><i>Number of additional CBNRM entities who demonstrate compliance with MET's SOPs as result of project</i></p>	MET reports/EIF EDA Project M&E	0	10	30	No drastic changes in MET Standard Operating Procedures (SOPs)
A7.0 Strengthened adaptive capacity and reduced exposure to climate risks	<p>Use by vulnerable households, communities, businesses and public-sector services of Fund-supported tools, instruments, strategies and activities to respond to climate change and variability</p> <p><i>Number of households implementing climate resilient agriculture actions</i></p>	Livelihood grant reports; EIF EDA Program M&E	0	0	2,400	<p>Project uptake comparable to similar grant projects concluded in the past.</p> <p>No extreme climatic event such as drought or large-scale flood that undoes project benefits in more than one project year</p>
	<p><i>Number of settlements whose vulnerability to CC has decreased</i></p>		0	24	90	
	<p><i>Number of males and females benefitting directly from the adoption of diversified, climate-resilient livelihood options</i></p>		0	150	15,500	
	<p><i>Number of sustainable climate-resilient jobs generated, disaggregated by gender</i></p>		0	0	186 (50% female, 50% male)	
	<p><i>Number of households with improved water security, improved health and sanitation and at the same time increased resilience to slow onset/sudden climate induced disasters.</i></p>		0	120	450	
	Number of males and females reached by [or total geographic coverage of] climate-related early	Livelihood grant reports; EIF EDA Program	0	150	15,500 (direct) 61,000	Project uptake comparable to similar grant projects

	warning systems and other risk reduction measures established/strengthened	M&E	0	250	(indirect) (50% female, 50% male)	concluded in the past.
A8.0 Strengthened awareness of climate threats and risk-reduction processes	Number of males and females made aware of climate threats and related appropriate responses	EIF EDA Project M&E - Reports from grant implementing organizations	0 0	420 250	510 (direct; 40% female, 60% male) 61,000 (indirect; 50% female, 50% male)	Since training workshops will be held at regional level, it will be difficult to ensure equal participation of women and men as it is more difficult for women to get away from household responsibilities
	<i>Number of CBOs whose awareness on CC issues is enhanced</i>	EIF EDA Project M&E - Reports from grant implementing organizations	0	60	80	
Project/programme outputs	Outputs that contribute to outcomes					
1. Climate change awareness raised	<i>Number of CBOs whose awareness on CC issues is enhanced</i>	EIF EDA Project M&E - Reports from grant implementing organizations	0	60	80	
2. Local climate monitoring established	<i>Number of CBOs who have adopted the climate monitoring system</i>	Reports by implementing agency; EIF EDA Project M&E	0	10	30	
	<i>Number of CBOs who deliver annual climate and biodiversity monitoring reports to EIF and MET</i>	Reports by CBOs	0	10	30	
3. CBNRM governance strengthened	<i>Number of additional CBNRM entities who demonstrate compliance with MET's SOPs as result of project</i>	MET reports/EIF EDA Project M&E	0	10	30	No drastic changes in MET Standard Operating Procedures (SOPs)
4. Capacity of CBNRM CBOs for community-led initiatives increased	<i>Number of proposal applications submitted to EDA grant facilities from CBOs directly (i.e. without external support by implementing partner) that are approved for funding</i>	Proposals from CBNRM entities; EIF EDA Project M&E	0	5	10	
5. Grant facility for Resilient CBNRM Livelihoods implemented	Number of grants awarded for community-led climate action	EIF EDA Project M&E	0	27	33	

	Number of grants fully implemented and reported on		0	4	33	
Activities	Description	Inputs (USD)	Description			
1.1. Develop and disseminate CC training and awareness materials	Development and printing of materials. Dissemination through media campaign (radio, TV) for CC awareness and at CBO meetings	55,000				
1.2. Regional training workshops on climate change awareness, monitoring, adaptation and mitigation	17 training workshops in 14 regions to train a minimum of 40 CBOs with at least 10 reps from each (30-40 people per workshop). Only for CBOs which were identified as qualified candidates under activity 4.1.	137,000				
2.1. Development and verification of a climate monitoring system with supporting training materials	Development of approach, field verification and training materials development and production	34,500				
3.1. Development or revision of governance and SOP training materials	Materials development and production costs	27,500				
3.2. Targeted training and technical support provided to CBOs by service providers	Regional service providers (EEs) contracted to provide training and technical support to CBOs with regards to governance, management and monitoring processes	411,000				
4.1. Information sharing meetings grant facility	15 information sharing meetings in all regions and major centres - some regions will need more than one meeting to access most CBOs	23,000				
4.2. CBO diagnostic designed and carried out in all 13 regions to identify CBOs support needs	At start of project, diagnostic carried out for 13 regions (all 14 Namibian regions except for Khomas region - no CBNRM CBOs there). Updated annually for regions where implementation activities are taking place.	68,500				
4.3. Training workshops for CBOs accessing grants	10 workshops and associated technical support for implementation	68,500				
4.4. Targeted support to potential grantees for proposal development and submission	An independent service provider to be contracted to provide information, training and proposal development support	68,500				
5.1. Awarding and implementation of grants under investment window 1: Climate-resilient agriculture	Minimum of 6 grants	2,040,000				
5.2. Awarding and implementation of grants under investment window 2: Climate-proof infrastructure	Minimum of 15 grants	1,200,000				
5.3. Awarding and implementation of grants	Minimum of 12 grants	4,740,000				

under investment window 3: Ecosystem-based adaptation			
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H.2. Arrangements for Monitoring, Reporting and Evaluation

135. The EIF monitoring, reporting and verification (MRV) procedures for the grant will serve as basis for M&E. However, for the purposes of project, the MRV will be adjusted to suit the project environment.

Project Start-up

- A Project Inception Workshop will be held within the first three months of project start with those with assigned roles in the project organisation structure. The main purpose of the inception workshop will be to inform relevant stakeholders about the project so that they:
- Fully understand and take ownership of the project. This will include detailing the roles, support services and complementary responsibilities of NIE staff vis-à-vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, requirements and conflict resolution mechanisms.
- Based on the project results framework finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- Provide a detailed overview of reporting and M&E requirements. The M&E work plan and budget will be agreed and scheduled.
- Discuss financial reporting procedures and obligations, and arrangements for the annual audit.
- Agree on the ToR for the PSC and plan and schedule the PSC meetings. Roles and responsibilities of all project organisation structures will be clarified and meetings planned. The first PSC meeting will be held within the first 3 months.
- An Inception Workshop report will be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

136. **Grant Project Monitoring and Reporting:** Each approved Grant Recipient will define a set of measurable indicators against which they will report progress, and will establish baselines for these indicators. In addition to quantitative reporting, it is envisaged that qualitative reporting will form an important component of the project reporting processes. Particular attention will be given to the GCF result areas and the detection, reporting on and management of any minor and/or unanticipated environmental and social risks that arise during implementation. These processes will be supported by the EIF and used to capture learning and insights that will inform overall project learning.

137. **Quarterly and Six-monthly –Grant Recipients:** The PSC, EDA Project Unit and the EIF (occasionally and leading to audits) will undertake site visits to each of the projects once every quarter. These site visits will support project implementation and management as well as financial and performance reporting processes. Particular attention will be given to the GCF results framework and the detection, reporting on and management of any minor and/or unanticipated environmental and social risks that arise during implementation. During these visits, the Facilitating Agencies will support all grant recipients to submit their quarterly financial reports and 6 monthly progress reports. All reports will be reviewed by the EIF, who will compile summary reports in a format prescribed by the GCF. The EE will receive all information, review it and include relevant components for reporting to the NIE and PSC.

138. **Quarterly and Six-monthly – Overall project:** Progress will be monitored quarterly via quarterly financial reports and six-monthly performance reports that are submitted to and collated by the executing entity and submitted to the NIE. These will include six monthly screening and risk assessments undertaken by an Environmental and Social Safeguards Expert. These performance reports will align with the agreed annual project work plan and will include qualitative, quantitative and financial information. Grant Recipients will also report on financial progress quarterly, and this information will be compiled by the Facilitating Agencies for inclusion in the executing entity reports.

139. **Annually:** Annual Project Implementation Reports will be prepared by the executing entity and submitted to the

NIE through the EDA Project Unit in order to monitor progress made since project start and in particular for the previous reporting period.

The Annual Project Implementation Reports shall include, but not limited to, reporting on the following:

- Progress made toward project objective and project outcomes – each with indicators, baseline data and end-of-project targets (cumulative).
- Project outputs delivered per project outcome (annual).
- Lessons learned/good practice.
- Expenditure reports.
- Risks and adaptive management, including a summary of GCF compliance.

140. A report template for the Annual Project Implementation Report will be prepared by the NIE in consultation with the GCF Secretariat within one month from the approval of this project. This will constitute the basis for the submission of the GCF Annual Performance Report (APR) as per GCF Monitoring and Accountability framework and Accreditation Master Agreement terms. The executing entity will also be responsible for conducting annual audits of the project. This is budgeted for as part of the executing entity fee.

141. **Periodic learning throughout the project:** The project has been designed to support learning platforms at various levels throughout the project implementation period. These will be used to track project progress and to adapt interactively as required. They will also form an important platform for formulating policy recommendations for sustaining, replicating and scaling up positive project outcomes.

142. **Periodic Monitoring through site visits:** The NIE will conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress.

143. **Mid-term of project cycle:** The EDA Grant Project will undergo an independent Mid-Term Evaluation at the mid-point of project implementation. The Mid-Term Evaluation will be commissioned by the NIE and will determine progress being made toward the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation, will highlight issues requiring decisions and actions and will present initial lessons learned about project design, implementation and management. Particular attention will be given to the GCF investment and result framework and the reporting on and management of any minor and/or unanticipated environmental and social risks that may have occurred. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, ToR and timing of the Mid-Term Evaluation will be decided after consultation between the parties to the project. The ToR for this Mid-term Evaluation will be prepared by the NIE based on guidance from the GCF.

144. **End of Project:** An independent Terminal Evaluation that is commissioned by the NIE will take place three months prior to project closure and will be undertaken in accordance with NIE guidance. The Terminal Evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the Mid-term Evaluation, if any such correction took place). The Terminal Evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. Particular attention will be given to the GCF investment and result framework and the reporting on and management of any minor and/or unanticipated environmental and social risks that may have occurred. The ToR for this evaluation will be prepared by the NIE based on guidance from the GCF. The Terminal Evaluation will also provide recommendations for follow-up activities and requires a management response.

I. Supporting Documents for Funding Proposal

- NDA No-objection Letter
- Feasibility Study
- Integrated Financial Model that provides sensitivity analysis of critical elements (xls format, if applicable)
- Confirmation letter or letter of commitment for co-financing commitment (If applicable)
- Project/Programme Confirmation/Term Sheet (including cost/budget breakdown, disbursement schedule, etc.) – see *the Accreditation Master Agreement, Annex I*
- Environmental and Social Impact Assessment (ESIA) or Environmental and Social Management Plan (If applicable)
- Appraisal Report or Due Diligence Report with recommendations (If applicable)
- Evaluation Report of the baseline project (If applicable)
- Map indicating the location of the project/programme
- Timetable of project/programme implementation

** Please note that a funding proposal will be considered complete only upon receipt of all the applicable supporting documents.*



REPUBLIC OF NAMIBIA

MINISTRY OF ENVIRONMENT AND TOURISM

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Namibia

23 August 2016

**The Secretariat
Green Climate Fund**

RE: Funding proposal for the GCF by the Environmental Investment Fund of Namibia (EIF) to the Green Climate Fund regarding “Empower to Adapt: Creating Climate-Change Resilient Livelihoods through Community-Based Natural Resource Management (CBNRM)” in Namibia

Dear Madam, Sir

We refer to the project “Empower to Adapt: Creating Climate-Change Resilient Livelihoods through Community-Based Natural Resource Management (CBNRM)” in Namibia as included in the funding proposal submitted by the Environmental Investment Fund of Namibia to us on 19 August 2016.

The undersigned is the duly authorized representative of Environmental Affairs Department, the National Designated Authority of Namibia. Pursuant to GCF decision B.08/10, the content of which we acknowledge to have reviewed, we hereby communicate our no-objection to the project as included in the funding proposal.

By communicating our no-objection, it is implied that:

- (a) The government of Namibia has no-objection to the project as included in the funding;
- (b) The project as included in the funding proposal is in conformity with Namibia’s national priorities, strategies and plans;
- (c) In accordance with GCF’s environmental and social safeguards, the project as included in the funding proposal is in conformity with relevant national laws and regulations.

We also confirm that our national process for ascertaining no-objection to the project as included in the funding proposal has been duly followed. We acknowledge that this letter will be made publicly available on the GCF website.

Kind regards,

Malan Lindeque

Title: Permanent Secretary and National Designated Authority for the GCF



“Stop the poaching of our rhinos”



Environmental and social report(s) disclosure

Basic project/programme information	
Project/programme title	Empower to Adapt: Creating Climate-Change Resilient Livelihoods through Community-Based Natural Resource Management in Namibia
Accredited entity	Environmental Investment Fund of Namibia
Environmental and social safeguards (ESS) category	Category C
Environmental and social report disclosure information	
Date of disclosure on accredited entity's website	N/a
Language(s) of disclosure	N/a
Link to disclosure	N/a
Other link(s)	N/a