



ADAPTATION FUND

# ENVIRONMENTAL AND SOCIAL POLICY AND SUPPORTING GUIDANCE

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**WASHINGTON, D.C.**



**UMMMMMMM, PATTY IS GOING TO TALK ABOUT  
CHOCOLATE CAKE!**



# TODAY'S ENVIRONMENTAL & SOCIAL TOPICS

- 1. E&S Policy Review**
- 2. Introduction of E&S Policy Guidance Document**
- 3. Categorization Discussion**
- 4. Stakeholder Engagement and Grievance  
Mechanism Overview**

# ENVIRONMENTAL AND SOCIAL POLICY



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Adaptation Fund Board

ENVIRONMENTAL AND SOCIAL POLICY

(APPROVED IN NOVEMBER 2013)

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



# ESP GUIDANCE DOCUMENT ISSUED



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## Adaptation Fund's Environmental and Social Policy

Guidance document for Implementing Entities on compliance with the Adaptation Fund Environmental and Social Policy



# ESP GUIDANCE DOCUMENT CONTENT



**1. Background on ESP Guidance Document – For use post-accreditation**



**2. Process of Self-Screening and Self-Assessment of Compliance with the ESP**



**3. ESP Principles – Principle; Explanation of Intent or Background; Possible Elements to Consider during Assessment; Suggested Actions/How to Demonstrate Compliance**



**4. Demonstrating Compliance with the ESP in the project/program proposal document – Categorization; Assessment; ESMP; Consultation; Grievance Mechanism; Monitoring, Reporting and Evaluation**

# ESP PRINCIPLES

**Technical Requirements**  
– focused on 15 greatest risks; 3 core\*/12 specialty



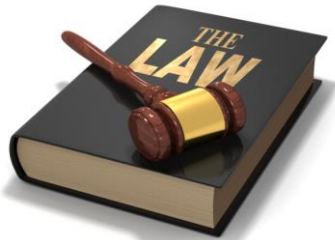
**Outcomes based risk management framework**



**Includes cross-cutting issues**  
– i.e. gender & water



# ADAPTATION FUND 15 ESP PRINCIPLES



**1. Compliance with the Law\***



**2. Access and Equity**



**3. Marginalized and Vulnerable Groups**



**4. Human Rights\***



**5. Gender Equity and Women's Empowerment**



**6. Core Labour Rights\***



**7. Indigenous Peoples**



**8. Involuntary Resettlement**

\* Denotes the core Principles that always apply

# ADAPTATION FUND ESP PRINCIPLES



**9. Protection of Natural Habitats**



**10. Conservation of Biological Diversity**



**11. Climate Change**



**12. Pollution Prevention & Resource Efficiency**



**13. Public Health**



**14. Physical and Cultural Heritage**



**15. Lands and Soil Conservation**

# ESP GUIDANCE DOCUMENT – PRINCIPLE 5

## GENDER EQUITY AND WOMEN'S EMPOWERMENT

Principle 5: Gender Equity and Women's Empowerment. Projects/programmes supported by the Fund shall be designed and implemented in such a way that both women and men 1) are able to participate fully and equitably; 2) receive comparable social and economic benefits; and 3) do not suffer disproportionate adverse effects during the development process.

In many societies, different roles are allocated to men and women based on cultural, traditional, religious, or other grounds. Gender equity refers to the process of being fair to women and men. To ensure equity, measures often need to be taken to compensate for or reduce disadvantages that prevent women and men from otherwise operating on an equitable basis. Gender equity and women's empowerment must be applied in the project/programme design and its implementation regardless of the legal and regulatory framework in which the project/programme is set.

Principle 5 is guided by the United Nations Framework Convention on Climate Change (UNFCCC), which refers to anthropogenic interaction — therefore interaction of women and men — with the climate system. UNFCCC has adopted a number of resolutions on gender since 2001. Principle 5 is intended to be consistent with other international conventions, in particular with the United Nations Human Rights Declaration, the Convention on the Elimination of All Forms of Discrimination against Women, the Millennium Development Goals and follow-up Sustainable Development Goals, and the International Labour Organization core conventions.

# ESP GUIDANCE DOCUMENT – PRINCIPLE 5

## GENDER EQUITY AND WOMEN'S EMPOWERMENT

The design and implementation of the project/programme should ensure that it:

- 1) Does not include elements that are known to exclude or hamper a gender group based on legal, regulatory, or customary grounds
- 2) Does not maintain or exacerbate gender inequality or the consequences of gender inequality. For example, unequal access to education based on gender may result in lower literacy rates among the disadvantaged group. This lack of literacy may, as a secondary effect of gender inequality, limit access to benefits or increase adverse effects of the project for that particular group.



# ESP GUIDANCE DOCUMENT – PRINCIPLE 5

## GENDER EQUITY AND WOMEN'S EMPOWERMENT

### *Possible elements that may be considered*

Information that may be considered by the IE when assessing the potential risks with regard to this principle:

- An analysis of the legal and regulatory context with respect to gender equity and women's empowerment in which the project/programme will take place will identify any obstacles to compliance. In addition, analysis of the cultural, traditional, religious, or any other grounds that might result in differential allocation of benefits between men and women, or of the disproportionate adverse impacts from the project/programme may be appropriate.

# ESP GUIDANCE DOCUMENT – PRINCIPLE 5

## GENDER EQUITY AND WOMEN'S EMPOWERMENT

Actively pursue equal participation in project/programme activities and stakeholder consultation. Ensure that all positions in the project/programme are effectively equally accessible to men and women, and that women are encouraged to apply and take up positions.

The project/programme design and implementation arrangements will ensure equal access to benefits and that there are no disproportionate adverse effects. This may be achieved by any appropriate means, including, e.g.:

- Conducting a gender analysis of the sector the project/programme will support;
- Describing the current situation of the allocation of roles and responsibilities in the project/programme sector or area;
- Showing how the project/programme will pro-actively take measures to promote gender equality e.g. by organising separate working groups or conducting separate stakeholder consultations at times and locations conducive to soliciting opinions of all.



**Discussion break**

# RISK & IMPACT SIGNALING

**Category A – likely to have significant adverse E&S impacts that are diverse, widespread, or irreversible**

**Category B – potential adverse impacts that are fewer in number, smaller in scale, less widespread, reversible or easily mitigated**

**Category C – no adverse E&S impacts**



# CATEGORIZATION - DIVERSE

Category A – likely to have significant adverse E&S impacts that are diverse, widespread, or irreversible

“Diverse” definition:

- ❖ Substantial risks or impacts to be managed by more than one of the specialty E&S Principles

“Diverse” Examples:

- ❖ Indigenous People, some who are vulnerable, are clearing a natural habitat that has biodiversity

# CATEGORIZATION DEFINITION - WIDESPREAD

Category A – likely to have significant adverse E&S impacts that are diverse, widespread, or irreversible

## “Widespread” Definition:

- ❖ Major/significant impact(s) that has to be managed through one or more of the specialty Principles where the risk/impact goes beyond the immediate project site or occurs multiple times

## “Widespread” Example:

- ❖ Multiple projects impacting a natural habitat in a geographic area
- ❖ Communities will be impacted multiple times by 1 project

# CATEGORIZATION DEFINITION - IRREVERSIBLE

Category A – likely to have significant adverse E&S impacts that are diverse, widespread, or irreversible

## “Irreversible” Definition:

- ❖ Permanent significant adverse change(s) to environment
- ❖ Permanent significant adverse impacts to people

## “Irreversible” Examples:

- ❖ Significant degradation of productive lands
- ❖ Significant loss of natural or critical habitat and or/ biodiversity
- ❖ Aspects of harmful child labor
- ❖ Aspects of forced labor
- ❖ Physical impacts to critical cultural heritage

# CATEGORIZATION CASE #1

## Repeated coastal flooding of homes and agro-lands

Project Components	Mitigation Measures
Study alternative crops that are more saline resistant	N/A
Provide technical assistance to farmers	N/A
Construct 1,500 m seawall along the shore	- No construction during turtle nesting
Construct 500m jetty perpendicular to shore	- Use silt curtains to minimize sedimentation



# PRINCIPLE 9 & 10

- **Coral reef would be impacted by jetty**





# PRINCIPLE 6

- Large number of migrant workers would be brought in for 6 months



# CATEGORIZATION CASE #2

## Issue:

**Increased flooding and lack of food security because forest/wetland near communities has been degraded due to traditional practices**

## Project:

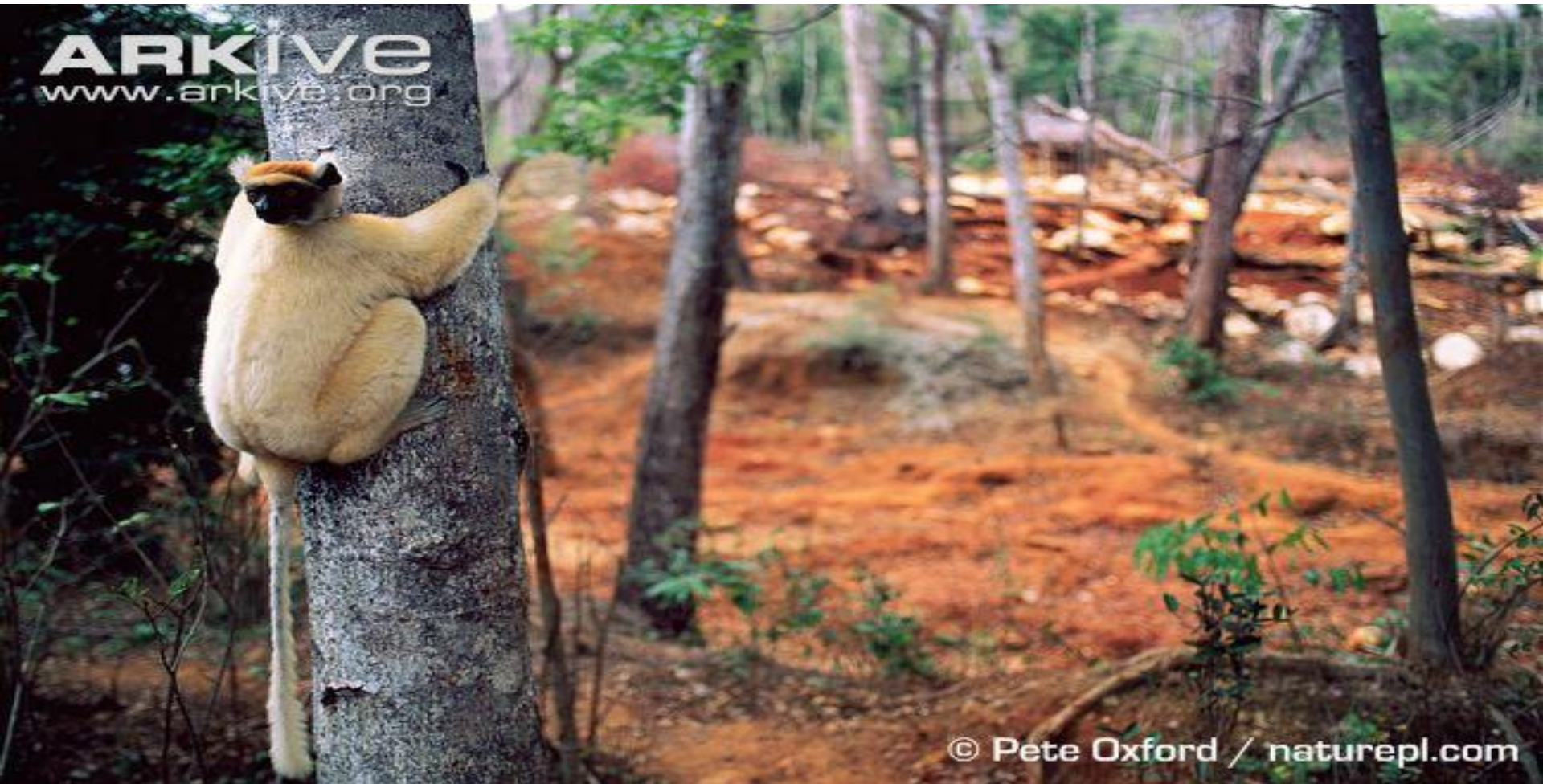
- **Clear non-native species of plants and trees**
- **Community will replant forest with native trees**

**What is the Category?**



# PRINCIPLE 10

- An endangered species is living in the degraded habitat





# PRINCIPLE 7

- **Community is comprised of indigenous people**





**Any Questions?**





# THANK YOU!

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