



ADAPTATION FUND

**Introduction to the
Environmental and Social
Policy and the Gender
Policy**

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CLIMATE FINANCE READINESS WORKSHOP FOR LEAST DEVELOPED COUNTRIES

THE ENVIRONMENTAL AND SOCIAL POLICY AND GENDER POLICY

- ▶ Operational Policy and Guidelines (OPG) determining the modalities for financing by the Fund
- ▶ AF Board adopted ESP in November 2013 and GP in March 2016
- ▶ New OPGs, operationalisation with tiered introduction

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- ▶ Adoption of OPGs has implications for all actors involved:
 - AF Board
 - AFB Secretariat
 - AFB panels (accreditation, projects)
 - Designated Authorities
 - Implementing Entities
 - Executing Entities
 - Co-financers
 - Ultimately: beneficiaries

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- ESP and GP: similarities but also different
 - Main difference:
 - ESP focuses on ***preventing unwanted negative environmental and social impacts*** from AF activities
 - GP focuses on ***promoting desired positive impacts*** from AF activities
 - Reflected in the approach to project/programme formulation, implementation, monitoring and evaluation

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Some history (1/4)

- Applicable to funding applications since October 2013
- Applicable to Implementing Entities (IEs) accredited since October 2013
- Application form has been adapted to include the requirements of the ESP
- Accreditation process has been updated

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Some history ^(3/4)

- 3 May 2016
- John H. Knox
- *United Nations Special Rapporteur on the issue of human rights obligations relating to the enjoyment of a safe, clean, healthy and sustainable environment*
- *Letter to SBSTA UNFCCC on Human Rights and Safeguards in the New Climate Mechanism established in Article 6, paragraph 4 of the Paris Agreement*

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Some history (4/4)

"The new mechanism established in article 6, paragraph 4 of the Paris Agreement should follow (and where possible, improve upon) the examples set by other climate mechanisms that have adopted strong safeguards, such as the Adaptation Fund."

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Main characteristics of the ESP

- Goal: avoid unnecessary environmental and social harms as a result of AF-funded projects/programmes
- Compared to other, similar policies – e.g. World Bank, Development Banks, GCF – similarities and differences:
- Innovative and more objective and more accountable

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- ▶ **Underlying principles and concepts:**
 - Not prescriptive on how compliance is achieved or demonstrated
 - Evidence-based
 - Risk-based
 - Comprehensive
 - Safeguarding efforts commensurate with the risks
 - Categorisation
 - Risks to be identified against 15 principles

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► Integrated in Direct Access modality

- Key role for IEs (and EEs)
- Identification of risks → risk/impact assessment → Environmental and Social Management Plan → monitoring and reporting
- Link with the Environmental and Social Management System (ESMS) of the IE

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The 15 principles of the ESP (1/3)

- ▶ The substance of the ESP is built on 15 principles of environmental and social safeguarding
- ▶ Some principles always apply (*), some may or may not be relevant for a specific project/programme
 1. Compliance with the Law*
 2. Access and Equity
 3. Marginalized and Vulnerable Groups
 4. Human Rights*

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The 15 principles of the ESP (2/3)

5. Gender Equality and Women's Empowerment* (*also see Gender Policy*)
6. Core Labour Rights*
7. Indigenous Peoples
8. Involuntary Resettlement
9. Protection of Natural Habitats
10. Conservation of Biological Diversity

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The 15 principles of the ESP (3/3)

11. Climate Change

12. Pollution Prevention and Resource Efficiency

13. Public Health

14. Physical and Cultural Heritage

15. Lands and Soil Conservation

THE GENDER POLICY

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- ▶ The Gender Policy (GP) builds on the ESP, in particular its **risk** principles on
 - ▶ Access and Equity
 - ▶ Marginalised and vulnerable groups
 - ▶ Human rights
- ▶ The GP expands the ESP principle of Gender equity and women's empowerment' to **promote** gender equality: equal rights, responsibilities and opportunities and access of women and men; equal consideration of their respective interests, needs and priorities

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► Objectives of the GP:

The Fund and its implementing partners shall strive to **uphold women's rights** as universal human rights and to attain the goal of **gender equality** and the **equal treatment of women and men**, including the **equal opportunities** for access to Fund resources and services, in all Fund operations through a **gender mainstreaming approach**.

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- The **Gender Action plan** was approved
 - Purpose: a framework and accountability tool for the full operationalization of the GP
 - Deals with:
 - Governance and institutional structure
 - Operational guidelines
 - Capacity development
 - Results-based management
 - Resource allocation and budgeting
 - Collaboration and communication

THE GENDER POLICY

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Gender Policy in project/programme proposals (1/2)

- Comprehensive
- Specific gender elements in the design of its adaptation activities and expected outputs.
- Initial gender assessment
 - Selecting gender-responsive indicators
 - Designing gender-responsive implementation and monitoring arrangements

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Gender Policy in project/programme proposals (2/2)

- Screening of proposals for gender responsiveness by AFBS and partners
- Consultation of stakeholders in a gender-equal way
- Guidance document (March 2017)



ADAPTATION FUND

AF/B.29/Inf.6
3 March 2017

Adaptation Fund Board
Twenty-ninth meeting
Bonn, Germany, 16-17 March 2017

Agenda Item 6

**GUIDANCE DOCUMENT FOR IMPLEMENTING ENTITIES
ON COMPLIANCE WITH THE ADAPTATION FUND
GENDER POLICY**

THE ENVIRONMENTAL AND SOCIAL POLICY AND GENDER POLICY

► Implications for NIEs

- Capacity
- Commitment
- Credibility
- Environmental and Social Management System (**ESMS**) required at NIE
- Gender Policy capacity at NIE

THE ENVIRONMENTAL AND SOCIAL POLICY AND GENDER POLICY

- ▶ What are the **benefits** of the OPGs ESP and GP? (1/2)
 - **Immediate objectives** of the policies: environmental and social risks managed and promotion of gender equality and women's empowerment
 - They need to **be(come) an integral part** of project/programme development (beneficiary identification, consultation findings,...)

THE ENVIRONMENTAL AND SOCIAL POLICY AND GENDER POLICY

- ▶ What are the **benefits** of the OPGs ESP and GP? (2/2)
 - Broad **capacity (building)**, at all levels involved, trickle down
 - Capacity effects not limited to safeguards but also include broader aspects of **good governance**: grievance mechanism, transparency, accountability, minorities, gender

IMPLEMENTING THE ESP

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Common issues and problems *with ESP compliance* in project/programme applications (1/3)

- Unsubstantiated (lack of) risk assessment
- Risk management must be comprehensive
- Unknown/unidentified activities, programme/Unidentified Sub-Projects (USP) approach → need for a mechanism to identify risks during implementation as an element of the ESMP
- ESMP: structure, roles and responsibilities

Common issues and problems *with ESP compliance* in project/programme applications (2/3)

- ▶ Link between project/programme-level environmental and social safeguarding measures and the IE's ESMS, how will IE's capability (→ accreditation process) be applied to this project/programme?
- ▶ Difficulties in risk assessment and ensuing categorisation (often reverse)
- ▶ Inconsistencies in application documents

IMPLEMENTING THE ESP

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Common issues and problems with *ESP compliance* in project/programme applications (3/3)

- Too much/irrelevant information in the application documents
- Structure and contents of an ESMP

But:

- Steep learning curves with NIEs
- Direct guidance sessions with NIEs are very effective

IMPLEMENTING THE ESP AND GP: HELP!

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To assist you: (1/2)

- ▶ Guidance Documents for IEs
- ▶ Manual of basic Environmental and Social Management System procedures and functions at National Implementing Entities
- ▶ Compendium of Reference Materials for Environmental and Social Safeguarding in Adaptation Fund Projects and Programmes
- ▶ Gender Policy action plan

IMPLEMENTING THE ESP AND GP

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To assist you *(2/2)*:

- Readiness Programme workshops
- Dialogue with the AF Secretariat during the evaluation of funding applications.
- Project/programme formulation grants
- NIEs experience exchange
- Capacity building technical assistance grants

IMPLEMENTING THE ESP AND GP: INTERACTIVE EXERCISE

(PLEASE BE PATIENT – TOMORROW)

IMPLEMENTING THE ESP

Checklist of environmental and social principles	No further assessment required for compliance	Potential impacts and risks – further assessment and management required for compliance
<i>1. Compliance with the Law</i>		
<i>2. Access and Equity</i>		
<i>3. Marginalized and Vulnerable Groups</i>		
<i>4. Human Rights</i>		
<i>5. Gender Equity and Women’s Empowerment</i>		
<i>6. Core Labour Rights</i>		
<i>7. Indigenous Peoples</i>		
<i>8. Involuntary Resettlement</i>		
<i>9. Protection of Natural Habitats</i>		
<i>10. Conservation of Biological Diversity</i>		
<i>11. Climate Change</i>		
<i>12. Pollution Prevention and Resource Efficiency</i>		
<i>13. Public Health</i>		
<i>14. Physical and Cultural Heritage</i>		
<i>15. Lands and Soil Conservation</i>		

AFB Secretariat  NIEs



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