

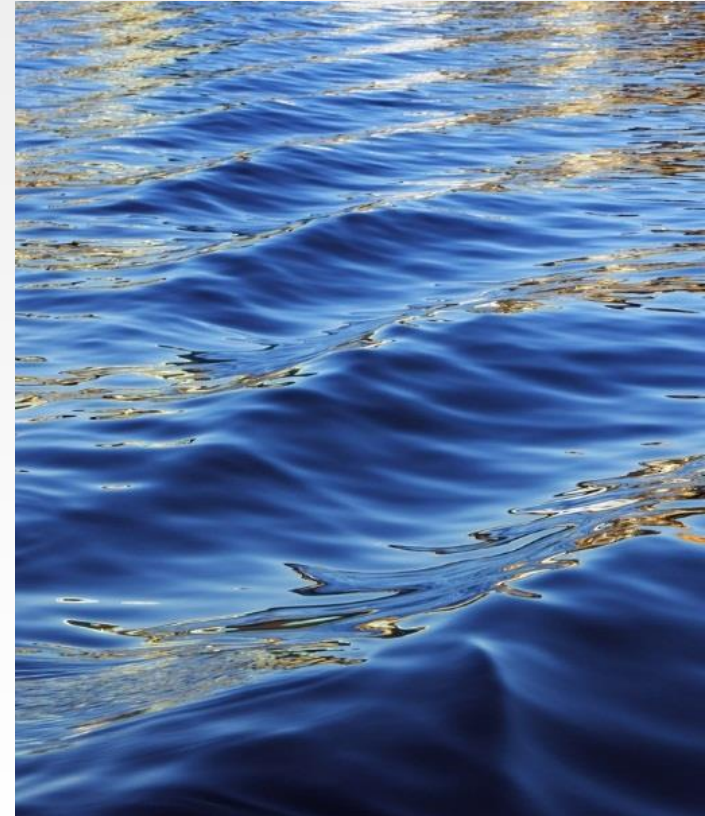


**ADAPTATION FUND**

**Readiness Webinar #6**

**Completing Part II, Section K and  
Part III, Section C of the Request for  
Funding project template**

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# Introduction

- The topic has been inspired by feedback received from the survey:

“1. The real question is how to complete parts K and C. especially since sometimes the ESIAs are not yet done during the development of the concept note”

“2. What is the standard for completing sections K (Part II) and C (Part III)? After reviewing some approved projects, the requirements are different.”

“3. I am interested in how the aspects included in the topic are measured and reported on”

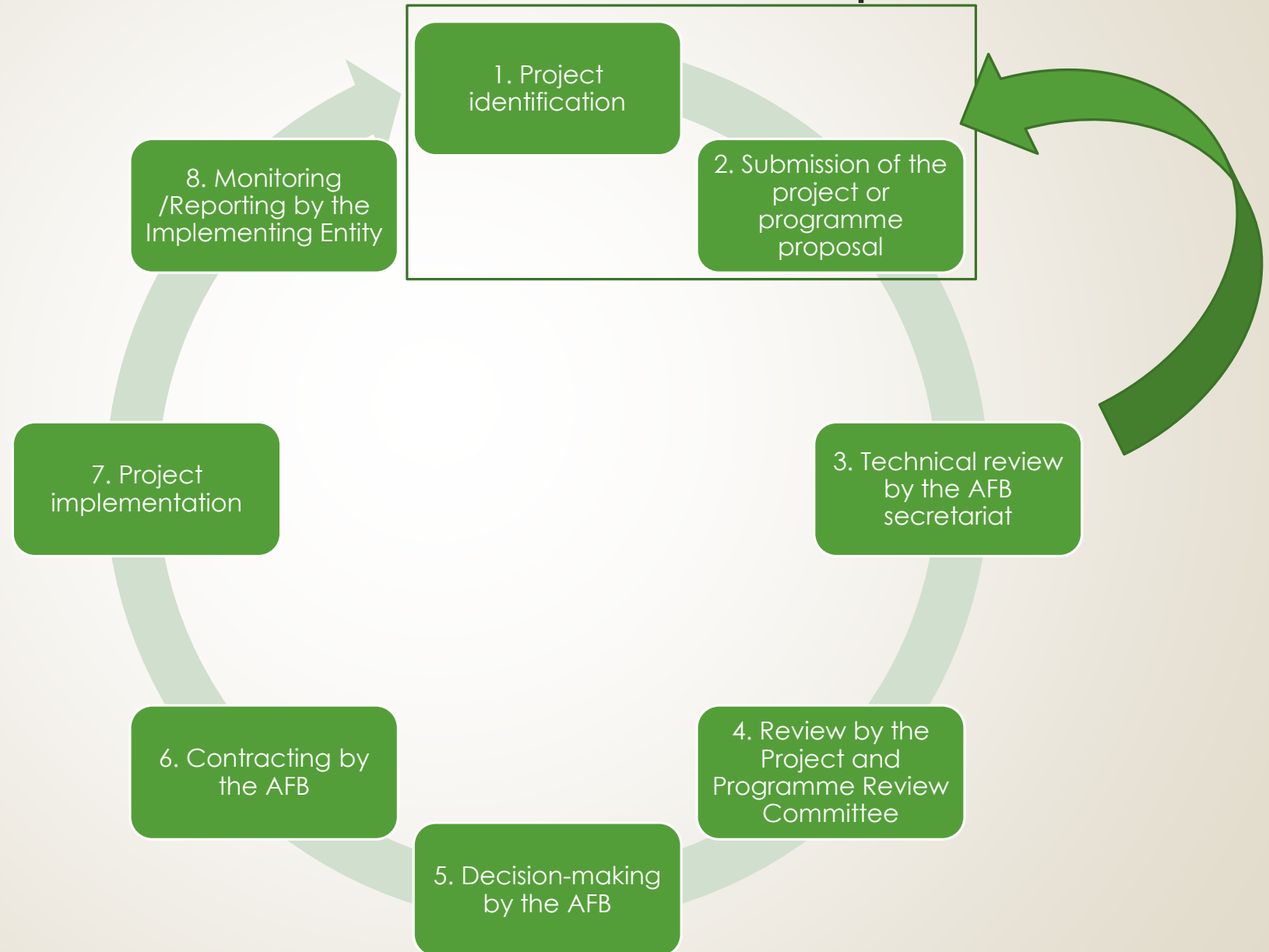
- Reviews also find a too high number of ESP compliance issues



# Presentation overview

- Accreditation to implementation
- Importance of ESP and GP
- ESP compliance process
- ESP risks identification
- Table II.K
- Impact assessments
- What to report where?

# Steps from accreditation to implementation







# Importance of ESP and GP in the programming of adaptation finance


- ▶ They are annexes to the AF Operational Policies and Guidelines that describe the mission and priorities of the Fund and the joint **processes of** earning accreditation and **securing funding for projects and programmes.**
- ▶ ESP: <https://www.adaptation-fund.org/wp-content/uploads/2013/11/Amended-March-2016-OPG-ANNEX-3-Environmental-social-policy-March-2016.pdf>
- ▶ GP: <https://www.adaptation-fund.org/document/opg-annex4-gender-policy/>
- ▶ Guidance ESP: <https://www.adaptation-fund.org/document/guidance-document-implementing-entities-compliance-adaptation-fund-environmental-social-policy/>
- ▶ Guidance GP: <https://www.adaptation-fund.org/document/guidance-document-implementing-entities-compliance-adaptation-fund-gender-policy-2/>

# ESP compliance process

1. Project  
identification

2. Submission of the  
project or  
programme  
proposal

Project	ESP compliance	Guidance
<b>Identification</b> 	No specific requirements other than identifying ESP risks and categorising the project	<ul style="list-style-type: none"> <li>• Incomplete information</li> <li>• Preliminary activities</li> <li>• ESP risks identification to be an inherent part of identification activities, including consultation</li> </ul>
<b>Concept</b>	Table II.K (III not required at this stage)	Show that the concept is sound, that risks have been identified to the extent possible, acknowledging potential risks, provide justification of risks findings and describe how during project formulation these will be further examined and addressed.
<b>Formulation</b> 	<ul style="list-style-type: none"> <li>• ESP risks have been identified</li> <li>• Environmental and social impact assessments have been carried out</li> <li>• Management and mitigation measures have been identified</li> <li>• Environmental and Social Management Plan (ESMP) has been developed to describe the process of implementing the management measures, monitoring for unanticipated risks, and reporting on the outcomes</li> <li>• Complaints mechanism</li> <li>• Categorisation</li> </ul>	Complete Sections II.K and III.C of the funding application template
<b>Submit funding application</b>	II.K and III.C completed Additional supporting documentation as required	Main information included in the application form
<b>Implementation</b>		




# ESP risks identification: “Is there a risk of negative environmental or social impact?”

- According to the 15 principles of the ESP
- Comprehensive: covering **all** project activities
- Evidence-based: risk findings should be substantiated
- The ESP is not prescriptive, there may be different ways to reach the same outcomes




Table II.K

Checklist of environmental and social principles	No further <b>NO RISK</b> found compliance	Potential impacts and risks – further assessment and mitigation <b>RISK</b> <b>PRESENT</b> required for compliance
Compliance with the Law	✓	
Access and Equity		✓
Marginalized and Vulnerable Groups		✓
Human Rights	✓	
Gender Equality 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	✓	



# Impact assessments for ESP risks identified:

- Commensurate, proportional to the risk identified
- Specify the risk (severity of impact, probability of impact)
- Specify the impact if risk not addressed
- Impact assessment, taking into account
  - Inherent risks and the specific environment
  - Identify uncertainties and knowledge gaps
  - Provide elements that support the findings



# Impact assessments for ESP risks identified: examples


- Impact on protected areas: usually distance-dependent. Include map of protected areas and project location
- 'Easy' principles: presence or absence (e.g. cultural heritage, biodiversity)
- 'Difficult' principles: differential impacts on certain groups, human rights
- See Guidance document for suggestions.

# What to report where?

ESP risks identification	Tick boxes in II.K table.
Justification of risk identification findings	Add in section II.K as narrative, for each ESP principle: <ul style="list-style-type: none"><li>• evidence-based: include essential information needed to appreciate the finding</li><li>• comprehensive: for all project activities</li></ul>
For risks identified, carry out impact assessment <ul style="list-style-type: none"><li>• commensurate to risk</li></ul>	II.K narrative + refer to annexes as required
Identify management and mitigation measures	II.K narrative
Assign ESP category	II.K
Identify implementation arrangements for management and mitigation measures, for monitoring, for reporting, possibly as an Environmental and Social Management Plan (ESMP)	III.C, clearly describing roles and responsibilities, processes, timing and monitoring and reporting
Permanent monitoring for unanticipated risks or changing conditions	III.C



# Different projects, different standards?

- The standard is always the same: ESP.
  - Not all the information provided with an application is always made available online, e.g. because of the size of the documents
  - The ESP is not prescriptive, there are different ways to reach the same outcomes
- 



# Unidentified Sub-Projects (USPs) (1/2)

- ESP requires that risks are identified prior to submission of the proposal
- If an activity is not yet fully identified at the time of submission, risks identification may not be possible, and the activity is thereby considered USP:
  - Inherent risks
  - Risk elements related to the specific environmental and social setting in which the activity will take place



# Unidentified Sub-Projects (USPs) (2/2)

- Justify the inclusion of USPs: obstacles to identification prior to submission
- Same ESP requirements apply to USPs
- However:
  - Direct access: IE is accountable
  - No benefit from AFB review and guidance
  - Additional operational and management challenges
- ESMP has to deliver ESP compliance



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Thanks for listening!

