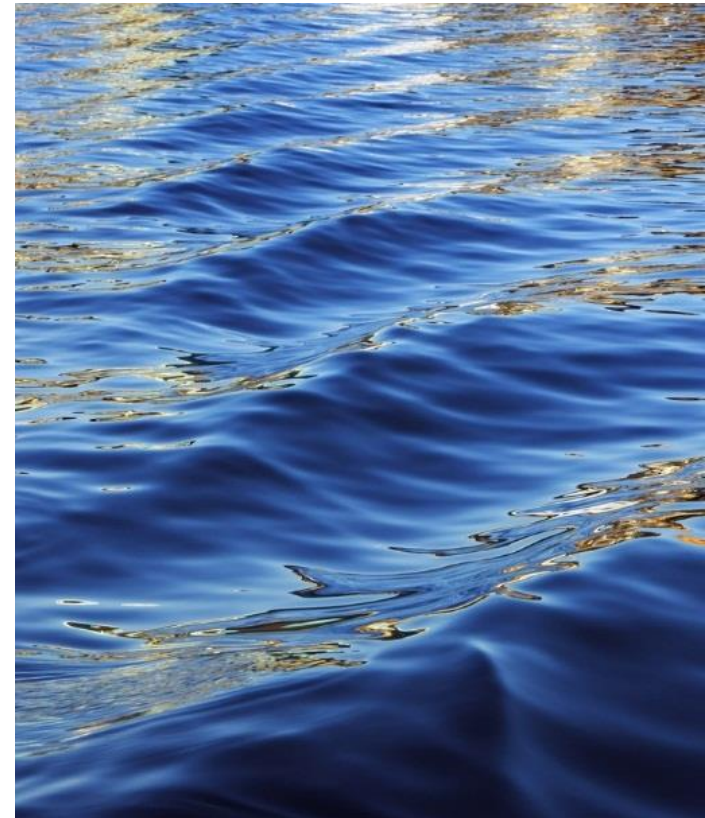




ADAPTATION FUND

AF perspectives: Gender considerations in E&S risk identification, screening and implementation of the Environmental and Social Policy and Gender Policy

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5 August 2019



THE ENVIRONMENTAL AND SOCIAL POLICY AND THE 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
- 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

THE ENVIRONMENTAL AND SOCIAL POLICY

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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 there are similarities and differences: innovative and more objective (less opinion) and more accountable

Underlying principles and concepts:

- Not prescriptive on how compliance is achieved or demonstrated. **As long as:**
- Evidence-based
- Risk-based
- Comprehensive
- Safeguarding efforts commensurate with the risks
- Categorisation (inconsequential)
- Risks to be identified against 15 principles

K. Provide an overview of the environmental and social impacts and risks identified as being relevant to the project / programme.

| Checklist of environmental and social principles | No further assessment required for compliance (NO RISK) | Potential impacts and risks – further assessment and management required for compliance (YES THERE IS RISK) |
|---|---|---|
| <i>Compliance with the Law</i> | | |
| <i>Access and Equity</i> | | |
| <i>Marginalized and Vulnerable Groups</i> | | |
| <i>Human Rights</i> | | |
| <i>Gender Equity and Women’s Empowerment</i> | | |
| <i>Core Labour Rights</i> | | |
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| <i>Involuntary Resettlement</i> | | |
| <i>Protection of Natural Habitats</i> | | |
| <i>Conservation of Biological Diversity</i> | | |
| <i>Climate Change</i> | | |
| <i>Pollution Prevention and Resource Efficiency</i> | | |
| <i>Public Health</i> | | |
| <i>Physical and Cultural Heritage</i> | | |
| <i>Lands and Soil Conservation</i> | | |

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
 - equal responsibilities
 - equal opportunities
 - equal access of women and men;
 - equal consideration of their respective interests, needs and priorities

THE GENDER POLICY

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Gender Policy in project/programme proposals


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

| Project | ESP compliance | Guidance |
|--|---|--|
| Identification  | No specific requirements other than identifying ESP risks and categorising the project | <ul style="list-style-type: none"> • Incomplete information • Preliminary activities • ESP risks identification to be an inherent part of identification activities, including consultation |
| Concept | 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. |
| Formulation  | <ul style="list-style-type: none"> • ESP risks have been identified • Environmental and social impact assessments have been carried out • Management and mitigation measures have been identified • 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 • Complaints mechanism • Categorisation | Complete Sections II.K and III.C of the funding application template |
| Submit funding application | II.K and III.C completed Additional supporting documentation as required | Main information included in the application form |
| Implementation | | |



ESP Principle: Marginalized and Vulnerable Groups

Projects/programmes supported by the Fund shall avoid imposing any disproportionate adverse impacts on marginalized and vulnerable groups including children, women and girls, the elderly, indigenous people, tribal groups, displaced people, refugees, people living with disabilities, and people living with HIV/AIDS. In screening any proposed project/programme, the implementing entities shall assess and consider particular impacts on marginalized and vulnerable groups.



ESP Principle: Gender Equality and Women's Empowerment

Projects/programmes supported by the Fund shall be designed and implemented in such a way that both women and men (a) have equal opportunities to participate as per the Fund gender policy (refer to Annex 4 for details); (b) receive comparable social and economic benefits; (b) receive comparable social and economic benefits; and (c) do not suffer disproportionate adverse effects during the development process.



ESP Principle: Gender Equality 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 Principle: Gender Equality and Women's Empowerment

Guidance:

Information that may be considered by the IE when assessing the potential risks

1. An **analysis of the legal and regulatory context** with respect to gender equality 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.
2. **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. with regard to this principle:



ESP Principle: Gender Equality and Women's Empowerment

3. 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.



ESP Principle: Involuntary Resettlement

Projects/programmes supported by the Fund shall be designed and implemented in a way that avoids or minimizes the need for involuntary resettlement. When limited involuntary resettlement is unavoidable, due process should be observed so that displaced persons shall be informed of their rights, consulted on their options, and offered technically, economically, and socially feasible resettlement alternatives or fair and adequate compensation.

AF Gender Guidance Document (March 2017)

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- Initial Gender analysis & Gender Assessment at the earliest stage of project preparation
 - Selecting gender-responsive indicators
 - Designing gender-responsive implementation and monitoring arrangements
- Specific gender elements in the design of its adaptation activities and expected outputs.
- Gender-responsive stakeholder consultation process
- Estimation and allocation of adequate resources in the project budget for gender-responsive implementation (e.g., inclusion and capacity-building of women stakeholders as important actors in implementation)
- Gender-responsive project performance monitoring and evaluation
- Gender knowledge management, information sharing and reporting

Issues raised by NIEs through the pre-seminar survey, which include:

- ▶ **What are the responsibilities between AF and NIEs towards environmental, social and gender safeguards?**
- ▶ How should ESP and gender-related issues be addressed and when (at accreditation, at project development)?
- ▶ How should NIEs address the ESP and GP where it concerns unidentified sub-projects?
- ▶ (Provide an insight of development of project proposal for Adaptation Funding)
- ▶ NIE's implementation of environmental, social and gender policies and safeguards. Are they working? Lessons learned?

THE ENVIRONMENTAL AND SOCIAL POLICY

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Integrated in Direct Access modality

- Operational Policy and Guidelines (OPG) determining the modalities for financing by the Fund
- Key role for IEs (and EEs)
- Identification of risks → risk/impact assessment → Environmental and Social Management Plan (ESMP) → monitoring and reporting
- Link with the Environmental and Social Management System (ESMS) of the IE

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**ESP and GP
are project design tools.**

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UNIDENTIFIED SUB-PROJECTS (USPs)

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- ESP requires that environmental and social risks associated with all the activities have been identified at the time of submission of the proposal.
- All project/programme activities by then have been formulated to the extent that effective identification of all environmental and social risks is possible.
- Effective environmental and social risks identification takes into account risk factors inherent to an activity as well as the specific environmental and social context in which the activity will take place. The combination of both inherent and environmental factors determines the level and nature of the risk of undesirable negative environmental and social impacts. If not both are known: the activity is a USP.
- Justification of inevitability of USP
- To ensure that all funding requests are treated equally and fairly in terms of ESP and GP compliance: responsibility of IE
- Generally, including USPs in AF projects/programmes significantly compromises the likelihood of achieving the safeguard outcomes that are required by the ESP.

Project/programme proposal

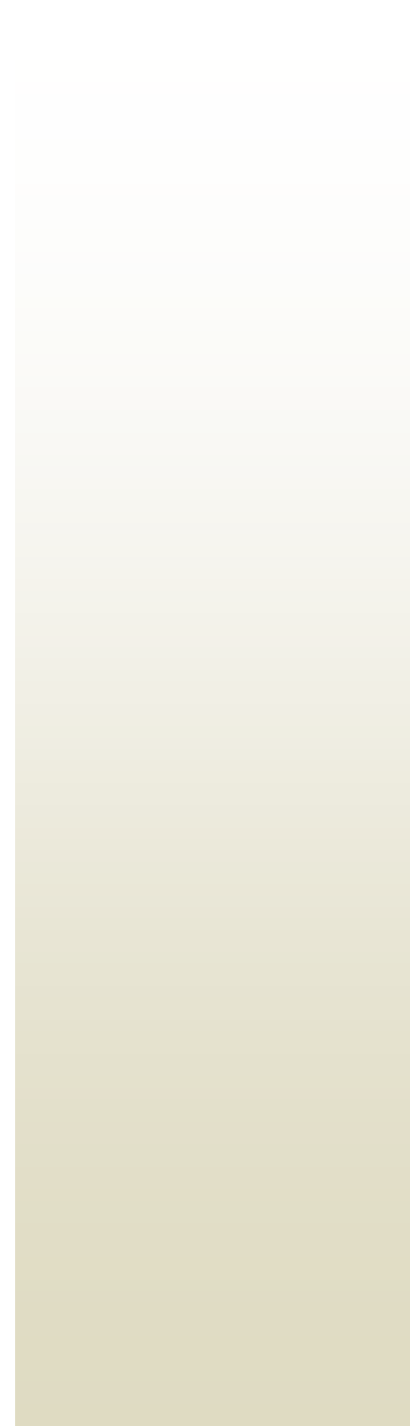
ESP categorisation *

ESP risks identification *



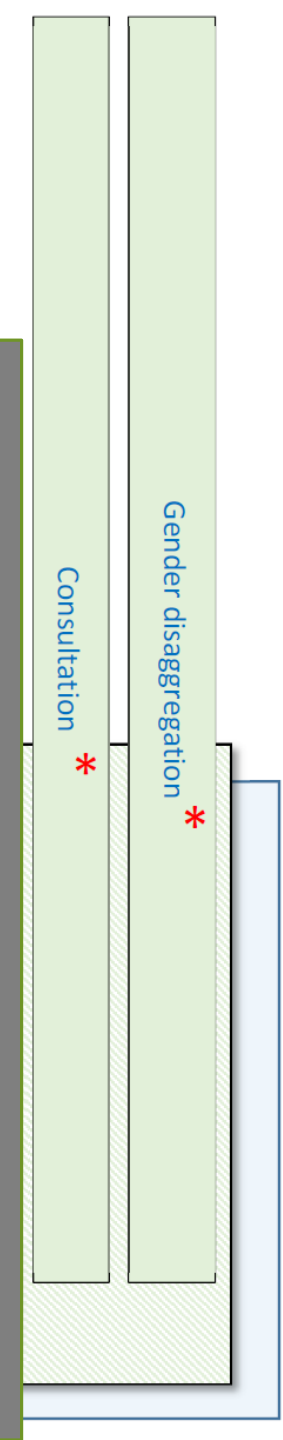
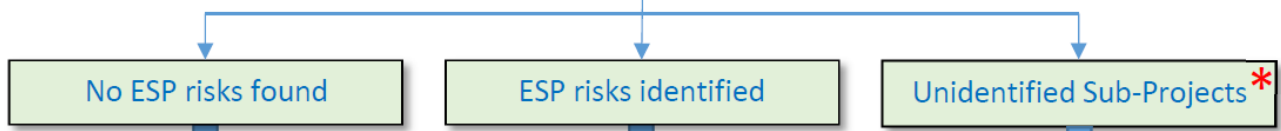
Consultation *

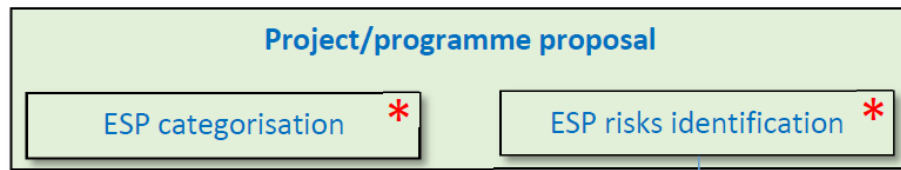
Gender disaggregation *



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| <i>Compliance with the Law</i> | X | |
| <i>Access and Equity</i> | | X |
| <i>Marginalized and Vulnerable Groups</i> | | X |
| <i>Human Rights</i> | X | |
| <i>Gender Equity and Women's Empowerment</i> | X | |
| <i>Core Labour Rights</i> | | X |
| <i>Indigenous Peoples</i> | | X |
| <i>Involuntary Resettlement</i> | X | |
| <i>Protection of Natural Habitats</i> | | X |
| <i>Conservation of Biological Diversity</i> | | X |
| <i>Climate Change</i> | X | |
| <i>Pollution Prevention and Resource Efficiency</i> | X | |
| <i>Public Health</i> | | X |
| <i>Physical and Cultural Heritage</i> | | X |
| <i>Lands and Soil Conservation</i> | | X |





No ESP risks found

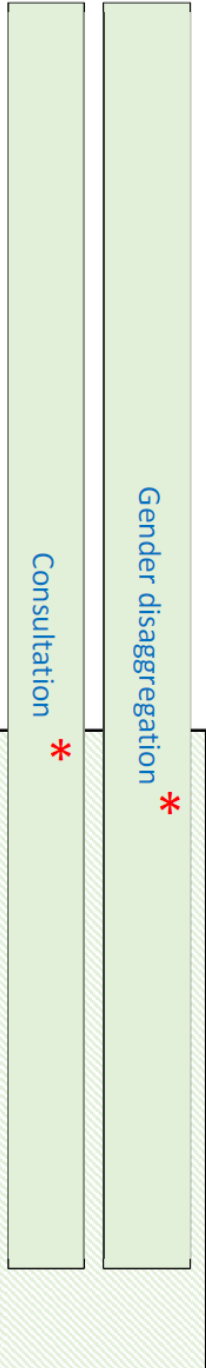
ESP risks identified

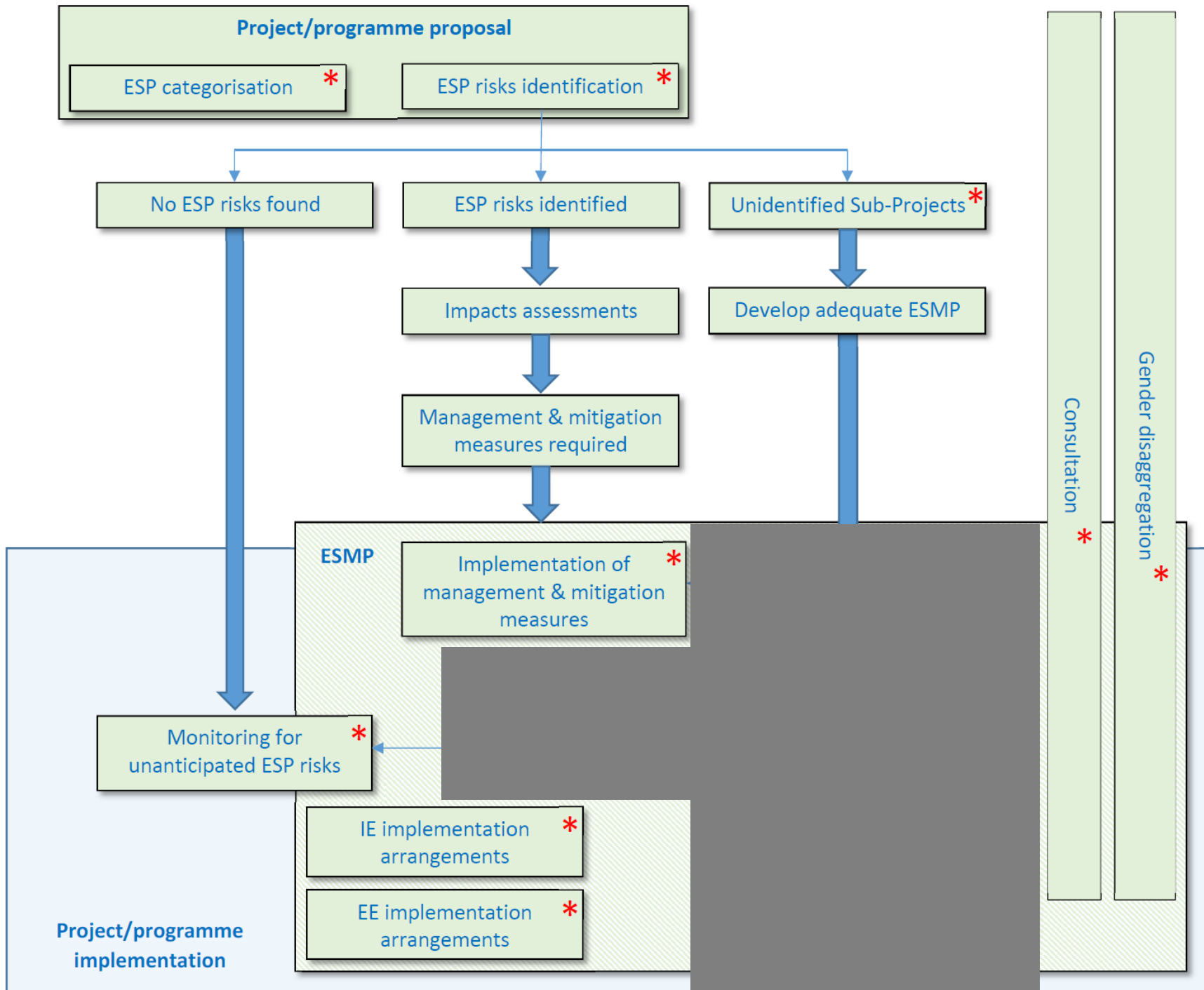
Unidentified Sub-Projects *

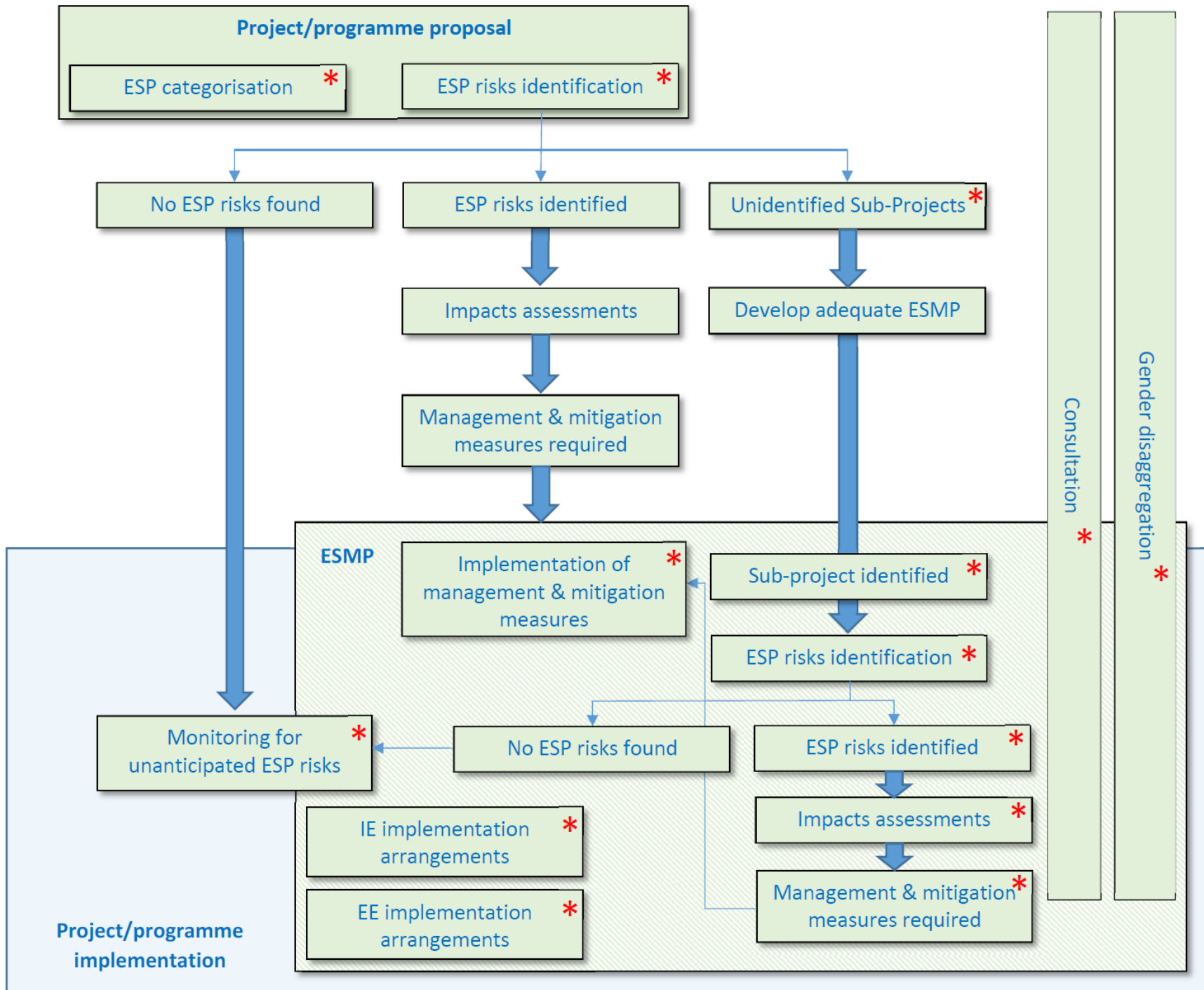
Impacts assessments

Develop adequate ESMP

Management & mitigation measures required







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NIE's implementation of environmental, social and gender policies and safeguards. Are they working? Lessons learned?

- ▶ Large number of projects approved, all ESP and GP compliant
- ▶ ESP and GP reflect a global trend of transition to evidence-based safeguarding rather than opinion-based or formal requirements.
- ▶ No specific evaluation been done of the performance of projects implemented by NIEs in terms of ESP and GP compliance. Project implementation follow-up is limited to issues identified during project preparation and those reported during the regular project monitoring cycle. Evaluations could focus more on substantive matters of safeguarding
- ▶ Certain outcomes:
 - ▶ Awareness of ESP and GP matters in project design
 - ▶ Capacity building at NIEs and executing partners
 - ▶ Safer projects, more effective safeguarding



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