



ADAPTATION FUND

Environmental and Social Policy requirements during post project approval

Readiness webinar

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ESP during project design phase

Part II section K - Overview of the environmental and social impacts and risks identified as being relevant to the project / programme (concept note)

Part III section C - Describe the measures for environmental and social risk management, in line with the Environmental and Social Policy and Gender Policy of the Fund (fully developed proposal)

Checklist of environmental and social principles	No further assessment required for compliance	Potential impacts and risks – further assessment and management required for compliance
<i>Compliance with the Law</i>		
<i>Access and Equity</i>		
<i>Marginalized and Vulnerable Groups</i>		
<i>Human Rights</i>		
<i>Gender Equality and Women's Empowerment</i>		
<i>Core Labour Rights</i>		
<i>Indigenous Peoples</i>		
<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>		

ESP reporting during project implementation

Section 1: Identified ESP Risk Management 

Section 2: Monitoring for unanticipated impacts / corrective actions required

Section 3: Categorisation

Section 4: Implementation arrangements

Section 5: Projects/programmes with unidentified sub-projects (USPs). This section needs to be completed only if the project/proramme includes USPs.

Section 6: Grievances

Section 7: Comments

AF Checklists and Comments

ESP reporting during project implementation

Identified ESP risk management

* Are environmental or social risks present as per table II.K (II.L for REG) of the proposal? ⓘ

No

* During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L) ⓘ

* List the identified impacts for which safeguard measures are required (as per II.K/II.L)

* List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity. ⓘ

* List the monitoring indicator(s) for each impact identified. ⓘ

* State the baseline condition for each monitoring indicator

* Describe each safeguard measure that has been implemented during the reporting period ⓘ

* Describe the residual impact for each impact identified - if any - using the monitoring indicator(s) ⓘ

- Refer to table in Section II.K and copy the findings of the environmental and social risk assessment not related to USPs
- Safeguard measures and related monitoring indicators are described in the ESMP
- Full information on safeguard measures, residual impacts and remedial actions implemented during the reporting period should be reported in 1st PPR, for subsequent reports this info should be updated

Your Logo or Name Here



ESP reporting during project implementation

Monitoring for unanticipated impacts/corrective actions required

* Has monitoring for unanticipated ESP risks been carried out?

No

* Have unanticipated ESP risks been identified during the reporting period?

No

If unanticipated ESP risks have been identified, describe the safeguard measures that have been taken in response and how an ESMP has been prepared/updated

- This section does not refer to unidentified sub-projects (USPs) but no ESP risks identified during implementation
- If the IE updates the ESMP because of unanticipated risks identified, it should share it with the secretariat

ESP reporting during project implementation

Categorization

* Is the categorisation according to ESP standards still relevant?

Yes

If No, please describe the changes made at activity, output or outcome level, approved by the Board, that resulted in this change of categorization.

- ESP project categorization can change only if there is a revision at activity/output/outcome level which implies a revision in the environmental and social risks
- Any revisions to the project SRF should be promptly communicated to the secretariat (Alignment with [OPG Annex 7](#))

ESP reporting during project implementation

Implementation arrangements

* What arrangements have been put in place by the Implementing Entity during the reporting period to implement the required ESP safeguard measures?

* Have the implementation arrangements been effective during the reporting period?

* What arrangements have been put in place by each Executing Entity during the reporting period to implement the required ESP safeguard measures?

* Have the implementation arrangements at the EEs been effective during the reporting period?

- Ideally implementation arrangements should be put in place and effective since project start.
- The IE has an oversight role and need to ensure that the EE carries out the monitoring in compliance with the ESP and GP, and the EE is responsible for the daily monitoring of ES risks.

ESP reporting during project implementation

Project with unidentified sub-projects (UPS)

* Have the arrangements for the process described in the ESMP for ESP compliance for UPSs been put in place? [8]

Partially

* Is the required capacity for ESMP implementation present and effective with the IE and the EE(s)? Please provide details.

Yes

* Have all roles and responsibilities adequately been assigned and positions filled?

Yes

* Has the overall ESMP been updated with the findings of the UPSs that have been identified in this reporting period? [9]

No

* Identified UPSs in the reporting period	* Application of ESMP to the USP	* ESP risks identified for the USP	* Has an impact assessment been carried out?	* Consultations held for risks and impacts identification for USP	* Gender disaggregation to identify risks and impacts	* Safeguard measures identified for the USP	* Monitoring indicator(s) for each impact
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- If yes to first question, then IEs should include details on the planned timing to have all the USP implementation arrangements in place.
- Meet the same requirements as for non UPSs
- If the ESMP has been updated, it needs to be sent to the secretariat along with the PPR.

ESP reporting during project implementation

Grievances

* Was a grievance mechanism established capable and known to stakeholders to accept grievances and complaints related to environmental and social risks and impacts?

Yes

* Were grievances received during the reporting period?

No

List all grievances received during the reporting period regarding environmental and social impacts; gender related matters; or any other matter of project/programme activities [11]

For each grievance, provide information on the grievance redress process

Provide the status/outcome

- Clarify if the grievance mechanism has been made widely known to identified and potentially affected parties.
- If any grievances were received that must not be made public, please inform the AF Secretariat of such grievances, detailing the reasons for them to remain confidential. Confidential information may be redacted in the report.

Your Logo or Name Here



GP reporting during project implementation

Quality at entry

* Was an initial gender assessment conducted during the preparation of the project/programme's first submission as a full proposal?

No

▼

* Does the results framework include gender-responsive indicators broken down at the different levels (objective, outcome, output)?

Yes

▼

List the gender-responsive elements that were incorporated in the project/programme results framework

* Gender-responsive element [1]	* Level [2]	* Indicator	* Baseline	* Target	* Rated result for the reporting period
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- This section should be filled in the 1st PPR, while rating for reporting period should be updated each year.
- All approved projects are screened to include gender responsive indicators.
- IEs need to see the results framework included in the approved project and copy all the gender related elements in this section.

Your Logo or Name Here



GP reporting during project implementation

Quality during implementation and at exit

List gender equality and women's empowerment issues encountered during implementation of the project/programme. For each gender equality and women's empowerment issue describe the progress that was made as well as the results. [3]

Gender equality and women's empowerment issues [4]	Rated result for the reporting period	Provide justification of the rating provided
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- Risks related to gender equality and women's empowerment should be reported in the ESP compliance tab.

Thank You



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