

San Pedro, Belize
May 2025

Adaptation Fund Training Workshop on Developing Practical Skills to Build Bankable Climate Change Adaptation Projects in the Caribbean



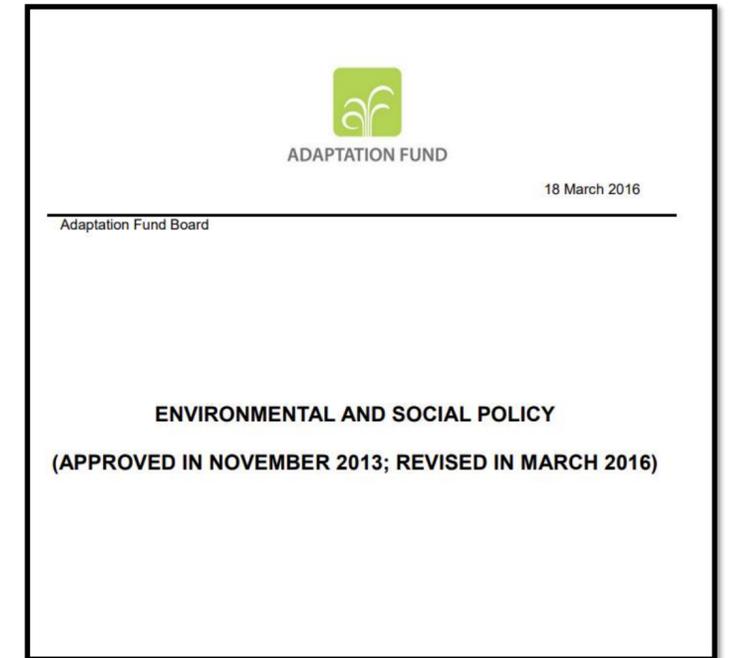
ADAPTATION FUND

Compliance with the Environmental and Social Policy



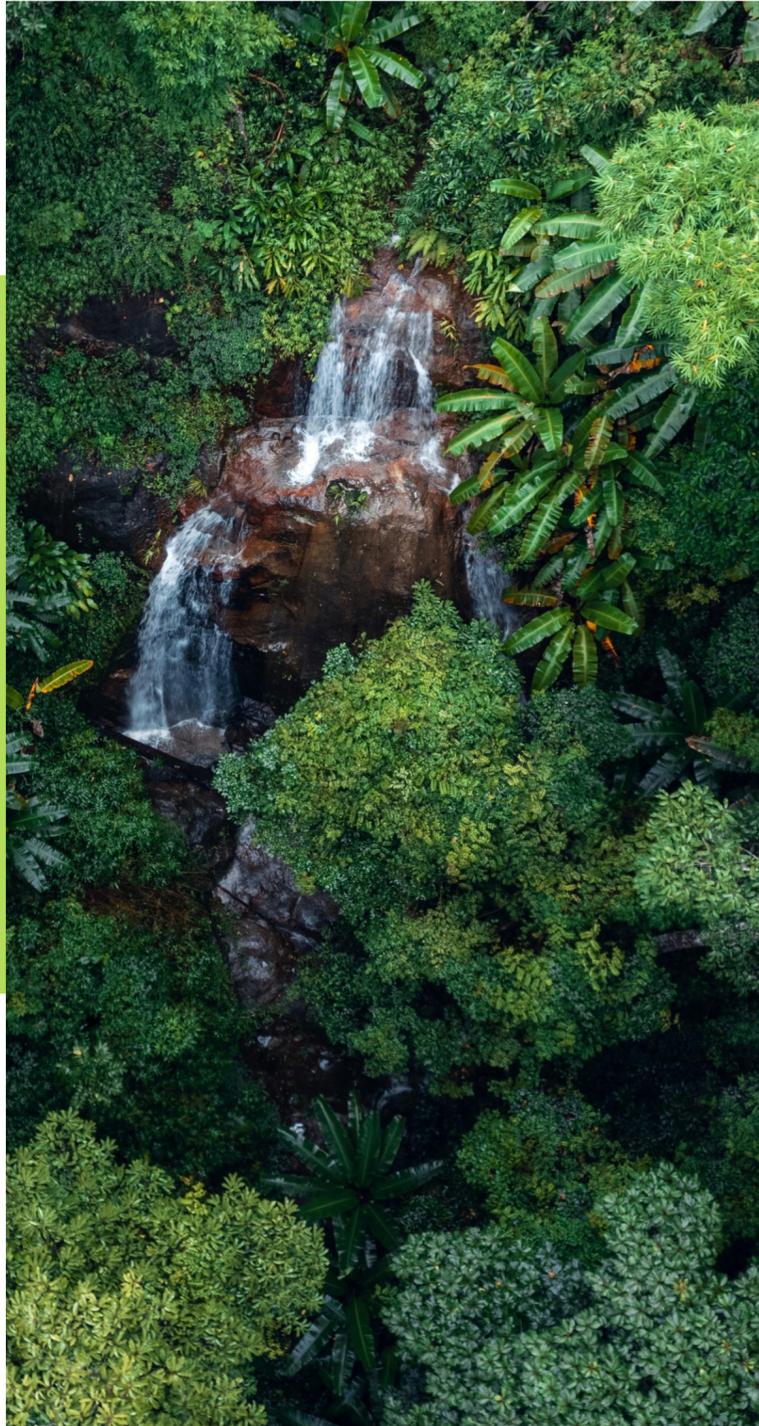
Environmental and Social Policy (ESP)

- Ensures projects and programmes **promote positive environmental and social benefits**, and **mitigate or avoid adverse environmental and social risks and impacts**
- ESP is operationalized during two key processes:
 1. Accreditation
 2. Project and programme review





Key Considerations



■ Equitable Benefits & Inclusion

Clearly identifies **vulnerable beneficiaries** (e.g., rural communities, coastal households)

Ensures **equitable distribution** of benefits, including **targeted actions** for Indigenous or marginalized groups

Covers **economic, social, and environmental gains** with some quantification

■ Avoiding Harm & Maladaptation

Project design **avoids negative development trade-offs**

Does **not increase vulnerability** of any group (beneficiaries or otherwise)

Aligned with the AF's mandate to reduce risks and build resilience

■ Unidentified Sub-Projects (USPs)

- USPs are **justified clearly** and included **only where relevant** (e.g., under LLA or Innovation funding windows)

- Safeguards and risk screening mechanisms for USPs are in place

- Compliance with ESP during implementation is addressed



Key Considerations



■ Core Principles of the ESP

Applies to **all projects and all activities**—no exceptions.

Is **evidence-based**: claims must be backed by verifiable facts.

Is **risk-based**: the nature and scale of risk determine the level of assessment.

Risks are identified against **15 ESP principles** (e.g., human rights, biodiversity, gender equity)

■ Proportionality and Process

Commensurate approach: Big risks → thorough assessment; small risks → proportionate effort.

Impact assessments are required for identified risks (if relevant).

Environmental and Social Management Plan (ESMP) must outline measures to avoid, minimize, or mitigate risks.

■ Flexibility in Compliance

ESP is **non-prescriptive**: any method may be used if principles are met. **IE safeguard systems are not pre-cleared** for equivalency—each project must show direct compliance.



Key Considerations



■ Stakeholder Engagement

Consultation is mandatory throughout the project cycle.

All projects must have a **grievance mechanism** for addressing complaints.

■ Risk Identification & Compliance

Potential **environmental and social risks** are identified and described

ESP checklist completed, with risks justified and **assessments and mitigation** measures integrated

Fulfills ESP requirements on risk categorization and management.

■ Risk Categorization

Projects are categorized based on the **severity of potential negative environmental and social impacts: Category A** – High risk, **Category B** – Moderate risk, **Category C** – Low/no risk

The **ESP process requirements remain the same**, regardless of category—only the **depth of assessment** varies.



15 ESP Principles



1. Compliance with the Law
2. Access and Equity
3. Marginalized and Vulnerable Groups
4. Human Rights
5. Gender Equality and Women's Empowerment
6. Core Labour Rights
7. Indigenous Peoples
8. Involuntary Resettlement
9. Protection of Natural Habitats
10. Conservation of Biological Diversity
11. Climate Change
12. Pollution Prevention and Resource Efficiency
13. Public Health
14. Physical and Cultural Heritage
15. Lands and Soil Conservation



Environmental and Social Policy (ESP)

Checklist

Have environmental and social risks been identified? And presented against each of the 15 ESP principles?

Have national standards been identified and does the proposal explain how these will be met?

Does the project include activities with considerable inherent risks?

Is there an environmental and social setting with considerable risks?

Project with USPs? (Concept note needs a justification)

Is the project a resubmission of a previous concept or full proposal application with ESP issues?

Does the project include a summary of the findings of impact assessments that were carried out for the principles for which risks have been identified? (if relevant)

Have management measures been identified for the impacts that were assessed?

Has meaningful consultation taken place of stakeholders on the findings of the risks identifications, and of the impact assessments?

Have consultation outcomes been integrated in the project design?



Environmental and Social Policy (ESP)

Checklist	Concept Note	Full Proposal
Have environmental and social risks been identified? And presented against each of the 15 ESP principles?	✓	✓
Has the project been categorised?	✓	✓
Have the identified safeguard measures been integrated into an Environment and Social Mitigation Programme (ESMP)?		✓
Does the ESMP contain clearly allocated roles and responsibilities for its implementation?		✓
Does the ESMP include opportunities for adaptive management?		✓
Does the ESMP include opportunities for consultation?		✓
Are there credible budget provisions, as needed, for the implementation of the ESMP?		✓
Are there clear arrangements for the IE to supervise executing entities for implementation of ESMP?		✓
Are there clear monitoring and evaluation arrangements for ESP compliance?		✓
Are the required USP arrangements in place?		✓
Are there arrangements to monitor during implementation for unanticipated environmental and social risks?		✓
Is grievance mechanism present and is it easily accessible and without undue access restrictions or conditions?		✓



Case study : Enhancing the resilience of vulnerable small Island Communities to climate change Hazards (ENRICH) - Grenada

■ Key Principles Applied in the Grenada Proposal

Neutral framing

The proposal avoids attributing positive outcomes within the risk screening section. For instance, instead of stating “the project will empower women,” it objectively identifies risks such as potential risks of gender disparities and proposes practical mitigation measures (e.g., capacity building, prioritization criteria for women and women's representation).

No positive attribution

While the project aims to promote innovative agricultural technologies and women's empowerment, these are not used to negate or justify potential risks. For example, biodiversity-related risks are acknowledged (e.g., potential loss of biodiversity due to construction or rehabilitation works)..

Evidence-driven

Risk assessments are grounded in:

- Consultations with communities
- National and international data
- Grenada's legal framework



Case study – Grenada (continued)

■ What the Proposal Includes

Clear identification of activities that may trigger risks:

- Infrastructure construction (soil erosion or land degradation risk)
- Water infrastructure rehabilitation (temporary disruption of livelihoods risk)
- Accidents can occur during the construction (core labour rights risk)

Justification of risk levels:

- Most are rated “low risk” and the proposal was classified as Category B.

Mitigation measures integrated into the ESMP:

- Vocational training activities
- Protected areas will be excluded from the project target zones
- Business Development Services (BDS) will empower women and youth



Common Mistakes

✓ **Saying:** “There’s a risk that agrochemical waste may impact soil and water if not managed”

✗ **Not saying:** “The project will promote healthy soils and empower local farmers”

✓ **Saying:** “Women’s availability may be limited unless structural constraints are addressed”

✗ **Not saying:** “Women will gain decision-making power through the project” (though that may be an intended benefit, it’s addressed in the design, not in risk screening)

✓ **Saying:** “Marine species disturbance is a risk if eco-tourism and oyster farming are not properly managed”

✗ **Not saying:** “Oyster farming will strengthen biodiversity conservation”



Case study – Grenada (continued)

Checklist of environmental and social principles	No further assessment required for compliance	Potential impacts and risks – further assessment and management required for compliance
Compliance with the Law		<p>Low risk: The project will comply with all relevant laws and regulations. The project will be executed by the government, therefore the risk of non-compliance with the law is highly unlikely.</p> <p>There is however a low risk of non-compliance with environmental regulations by service providers, however mitigation measures will be put in place to ensure compliance by ensuring permits and approvals are obtained whenever required and through the monitoring and supervision of the PCU and IFAD.</p>
Access and Equity		<p>Low risk: There is a risk of a low participation of vulnerable groups (youth and women) in the project activities. However, through a participatory and inclusive approach, the project will enable fair and equitable access to project benefits to all participants, including marginalised and vulnerable groups. The project emphasizes targeted support and outreach, particularly to youth and women, through specialized entrepreneurship and vocational training activities and will offer flexible grants, job placement support, and practical climate-resilient skills training, which will address the barriers these groups face, promoting active participation. This risk will also be mitigated by adhering to the project’s targeting and gender strategies and action plans which are developed to promote access, equity and inclusion.</p>



Environmental and Social Management Plan

■ What is the ESMP?

The Environmental and Social Management Plan (ESMP) outlines how a project will **identify, manage, and monitor** environmental and social risks aligned with the Adaptation Fund's policies. It translates ESP risk findings into **concrete actions, measurable indicators, and oversight mechanisms.**

■ Key Features from the Grenada Project ESMP

Risk-Based and Principle-Driven

Each of the 15 ESP principles is assessed for:

- Potential risk or impact
- Avoidance or mitigation measures
- Indicators and means of verification to track implementation
- Timeline and responsible entity
- Public consultation activities



Case study – Grenada (continued)

ESMP Matrix							
ESP	Environmental, Social and Climate impacts	Mitigation measures	Public consultation activities	Institution responsible for implementation	Monitoring indicators	Means of verification	Verification frequency
ESP 1	Non-compliance with permit requirements	Obtain relevant permits and approvals from the PPU as relevant	Consultations with relevant government agencies	Rural Development Unit (RDU)	Number of permits obtained	Copies of permits and approvals obtained.	Annual
ESP 2 ESP 3	Low participation of vulnerable groups (youth and women)	Conduct targeted outreach through community workshops, information sessions, and partnership with local organisations to engage women and youth.	Stakeholder engagement workshops to gather input from vulnerable groups.	Rural Development Unit (RDU)	Number of women and youth participating in activities.	Attendance records and feedback surveys.	Biannual



ESMP continued

■ ESMP Best Practices

Evidence-driven: Risks validated with local data, stakeholder feedback, and regulatory context.

Integrated into project design: Actions mapped to specific project components.

Actionable: Measures are feasible, community-appropriate, and designed to build local capacity.

Monitored periodically by a responsible agency.

Cost-effective: Risk mitigation is mainstreamed into existing activities—no separate or excessive cost line.



ESMP continued

■ Important Lessons

Not all risks require mitigation. But if a principle is not triggered, justification must be clear (e.g., no Indigenous Peoples in the project area).

“Unidentified Sub-Projects” (USPs) still require early planning for how risk screening and ESMP integration will occur during implementation.

Grievance redress and transparency are integrated into oversight by requiring formal and informal feedback loops, especially for human rights and labor concerns.



Summary of Screening and Risk Management for USPs – Grenada proposal

Stage	Action	Requirements	Responsible entity
Initial Screening	Categorization	Assess risk category (A, B, C) based on ESP principles.	RDU/ Safeguards Specialist
E&S risk assessment	Development of ESMPs for category B sub-projects	Detailed ESMP development with specific mitigation measures.	RDU/Safeguards Specialist
Consultation	Stakeholder Engagement	Multi-stage consultations, feedback integration, and information sharing.	RDU, Stakeholders and Beneficiaries
Gender Action Plan	Gender Analysis	Inclusion of gender considerations in screening and management plans.	RDU/Gender Specialist
Implementation	ESMP Execution	Ensure mitigation measures are applied effectively.	RDU/Contractors
Monitoring	Compliance Checks	Regular reviews and adaptive management based on findings.	RDU



Resources



- Adaptation Fund Environmental and Social Policy: [Available](#)
- Guidance document for Implementing Entities on compliance with the Adaptation Fund Environmental and Social Policy: [Available](#)

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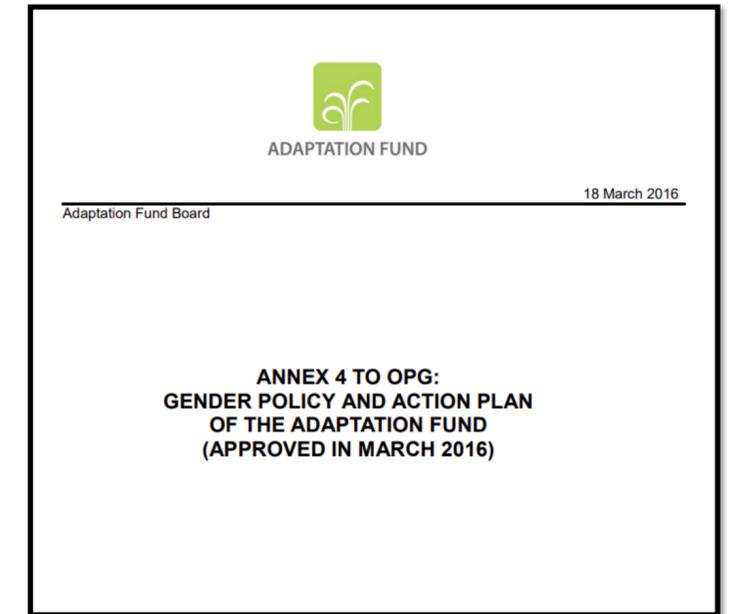
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Compliance with Gender Policy



Gender Policy (ESP)

- Aims to **mainstream gender** and ensure projects and programmes provide women and men with an **equal opportunity** to build resilience, address their **differentiated vulnerabilities** and increase their capability to adapt to climate change impacts
- GP is operationalised during two key processes:
 1. Accreditation
 2. Project and programme review





Key Considerations



■ Gender Policy Compliance – Checklist Overview

■ Gender Risk Screening (under ESP)

- Identify risks that may reinforce gender inequality or reverse women's empowerment.
- Screen for risks, not benefits (e.g., avoid saying "project empowers women" in risk section).

■ Gender Assessment

- Conducted *early* in the design stage (not retroactively).
- Includes both *quantitative* data (e.g., gender-disaggregated stats) and *qualitative* insights (e.g., social roles, norms).
- Helps shape project objectives, design, and implementation strategies.

■ Comprehensive Integration

- Gender considerations must be mainstreamed into all project components, sectors, and locations throughout the project life cycle.



Key Considerations



Inclusive Consultations

- Women and marginalized groups must be consulted meaningfully and safely.
- Proposal should explain *how* consultation outcomes shaped project design.

Gender-Responsive Monitoring & Evaluation

- Ensure M&E tracks gender outcomes using sex-disaggregated indicators.
- Assess whether the project contributes to gender equality and women's empowerment over time.

Grievance Redress Mechanism

- Must be accessible, confidential, and responsive to gender-based concerns.
- Both *form* (e.g., access points, anonymity) and *substance* (e.g., sensitivity to complaints) matter.



Gender-Responsive Consultations – Key Requirements

✓ **Design responsiveness:**

Proposal must reflect how consultation outcomes influenced the project design.

✓ **Implementation arrangements:**

Include frameworks to ensure that stakeholder voices continue to be heard during execution.

✓ **Documentation of the process:** Includes:

- a) List of consulted stakeholders (with details on roles and dates).
- b) Tailored consultation methods per stakeholder group.
- c) Summary of findings, including concerns and suggestions raised.





Gender-Responsive Consultations – Key Requirements



Gender-Responsive Consultations – Key Requirements

✓ **Initial gender analysis or assessment** conducted early in project preparation to:

Understand gender-specific needs, roles, and capacities.

Identify how changing gender dynamics may support lasting impact.

✓ **Inclusive consultative process:**

Engages both direct and indirect stakeholders, including vulnerable and marginalized groups.

Specifically considers gender-related concerns.

✓ **Stakeholder identification:**

All stakeholders involved in consultations are named in the proposal.

Attention is given to women, minorities, and Indigenous Peoples (where relevant).

✓ **Consultation scope:**

Covers not only project design but also safeguards processes and anticipated outcomes.



Gender Action Plan



✓ **Gender Action Plan:**

- While not required as a **separate document**, a **project-specific Gender Action Plan** must be **articulated in the proposal**.
- The GAP indicators should be **integrated in the overall project's results framework**.
- It must include **clear actions, responsibilities, timelines, and indicators** to ensure gender-responsive implementation.
- This is essential for operationalizing the Gender Policy.



Gender Policy (GP)

Checklist	Concept Note	Full Proposal
Was a gender assessment conducted?	✓ Initial Gender Assessment	✓ Complete Gender Assessment and Gender Action Plan (GAP)
Does the initial gender assessment provide qualitative and quantitative data for gender roles, activities, needs, and available opportunities and challenges or risks for men and women relevant to the project?	✓	✓
Have the findings of the initial gender assessment been integrated as gender-responsive implementation and monitoring arrangements, including gender-responsive indicators?		✓
Are gender equality and women's empowerment issues listed that may affect the project or its GP compliance?		✓
Does the results framework include gender-responsive indicators broken down at the different levels (objective, outcome, output)?		✓
Will arrangements be put in place by the Implementing Entity to comply with the GP?		✓
Will arrangements be put in place by each Executing Entity to comply with the GP?		✓
Have any capacity gaps affecting GP compliance been identified? If so, what remediation is included in the project?		✓
Does the project include a grievance mechanism capable and known to stakeholders to accept grievances and complaints related to gender equality and women's empowerment?		✓
For projects with USPs, does the proposal include adequate provisions to ensure that the USPs will also be GP compliant?		✓



GAP Example (Grenada proposal)



Objective: to reduce exposure and vulnerability to extreme climatic events and strengthen the adaptive capacity of vulnerable rural small island communities					
Component 1. Drought and hurricane resilient infrastructure for vulnerable rural communities					
	Indicators	Goal	Calendar	Responsible	Budget (USD)
Outcome 1.1. Vulnerable communities have improved access to a sustainable use of water and to drought and hurricane-resistant infrastructure	Number of people with access to improved water services for agriculture (of which women)	600 (200)		PCU/RDU	791,998
	Farmers targeted by the project that have access to hurricane resistant infrastructure (of which women)	1250 (400)		PCU/RDU	
Output 1.1.1 Capacities of communities enhanced to maintain water collection systems	Number of farmers trained on water harvesting techniques and irrigation (of which women)	625 (250)		PCU/RDU in collaboration with the Grenada Bureau of Standards and NAWASA	41,430
Activity 1.1.1.1 Design of gender-sensitive and women-involved training programmes	Gender-sensitive training programme on water collection systems	1	Y1	PCU/RDU in collaboration with the Grenada Bureau of Standards	-
	% of women trained	40	Y1		41,430



Resources



- Adaptation Fund Gender Policy and Action Plan: [Available online](#)
- Guidance document for Implementing Entities on compliance with the Adaptation Fund Gender Policy: [Available online](#)



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LEADING ADAPTATION FINANCE,
DELIVERING TANGIBLE IMPACT

THANK YOU

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