

**Environmental and Social Management Plan (ESMP) and Gender and Social Inclusion Action Plan (GAP) for the Enhancing Direct Access pilot project in the Eastern Caribbean**



**GREEN  
CLIMATE  
FUND**



Project Title:

*Integrated physical adaptation and community resilience through an enhanced direct access pilot in the public, private, and civil society sectors of three Eastern Caribbean small island developing states*

With support from the Green Climate Fund

**Environmental and Social Management Plan (ESMP)  
and  
Gender and Social Inclusion Action Plan (GAP)**

Prepared by the Project Management Unit (PMU) of the Department of Environment  
Ministry of Health and the Environment

July 2017

## Table of Contents

<b>I. SUMMARY</b> .....	<b>4</b>
<b>Project Scope</b> .....	<b>4</b>
Further development of the ESMP .....	8
Complementing baseline projects and programmes.....	8
Assumptions.....	9
<b>II. ENVIRONMENTAL AND SOCIAL ANALYSIS</b> .....	<b>11</b>
<b>Introduction</b> .....	<b>11</b>
Antigua and Barbuda .....	11
Dominica .....	12
Grenada.....	13
<b>Policy, legal and administrative framework</b> .....	<b>15</b>
<b>Environmental and Social Analysis</b> .....	<b>15</b>
<b>Risk Categorization</b> .....	<b>21</b>
<b>III. GENDER ANALYSIS</b> .....	<b>23</b>
<b>Gender and the GCF</b> .....	<b>23</b>
Gender considerations in the EDA Request for Proposals .....	23
<b>Gender Analysis</b> .....	<b>24</b>
Comparative Summary of Key Gender Equality Indicators .....	25
Gender issues relevant to the proposed project .....	26
<b>Recommendations for gender responsive Enhanced Direct Access</b> .....	<b>31</b>
<b>IV. ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN</b> .....	<b>32</b>
<b>Implementation Arrangements</b> .....	<b>32</b>
<b>Physical planning process for the Environmental Impact Assessment (EIA)</b> .....	<b>35</b>
<b>Project Risk Management</b> .....	<b>36</b>
<b>Environmental, Social and Gender Activity Risk Screening</b> .....	<b>44</b>
Ineligible activities.....	45
<b>Public Consultation Strategy</b> .....	<b>45</b>
Information disclosure requirements .....	46
<b>Grievance Mechanism</b> .....	<b>46</b>
<b>IV. GENDER AND SOCIAL INCLUSION ACTION PLAN</b> .....	<b>49</b>
<b>VI. MONITORING, REPORTING AND EVALUATION ARRANGEMENTS</b> .....	<b>55</b>
<b>Roles and responsibilities</b> .....	<b>55</b>
1. Completion and update of Risk Registry .....	57
2. Risk screening & categorization of sub-activities .....	58
3. Risk appraisal by the TAC, the Audit Committee and the Internal Auditor .....	58
4. Recommend risk mitigation & management interventions .....	58
5. Integrate mitigation measures into project design and activities .....	60
Annual external independent audit.....	60
<b>Annex 1. Bibliography</b> .....	<b>61</b>
<b>Annex 2. Checklist for Compliance with Performance Standards</b> .....	<b>65</b>
<b>Annex 3. Tool to facilitate consultations and gender responsive EDA sub-project design</b> .....	<b>66</b>



## I. SUMMARY

The project titled, *Demonstrating Enhanced Direct Access in the public, private, and civil society sectors of Antigua and Barbuda, Dominica, and Grenada in the Eastern Caribbean*, was prepared in response to a request for proposals (RfP) issued by the Green Climate Fund (GCF) and is designed to meet the objectives of the RFP – to promote country ownership through the enhanced direct access modality. Enhanced direct access (EDA) is a modality being piloted by the GCF for devolving decision making at the country and stakeholder level, thereby allowing greater involvement and input from impacted stakeholders.

The EDA project is designed to provide an opportunity for the Direct Access entity in Antigua and Barbuda to work with executing entities in Dominica and Grenada and the Commission of the Organization of Eastern Caribbean States (OECS) to move beyond the financing of individual projects towards a more comprehensive and transformational stakeholder driven approach, which is based on transparent criteria that are aligned with the GCF's investment criteria and results management framework.

### Project Scope

The overall project goal is to assist pilot countries in the Eastern Caribbean to enhance financing channels that will implement climate change policies and programs to support transformational change. The EDA project is designed to do this while respecting the GCF policies on ESMS, Gender and Indigenous Peoples.

The project outcome will be enhanced country ownership of climate adaptation through devolving decision-making in the Government, private and NGO sectors to allow for greater involvement of those affected by climate change and greater impact and scale of adaptation actions in the pilot countries.

The objectives of this project are:

1. To promote country ownership of climate adaptation actions through devolved decision-making in the Government, private and NGO sectors
2. To operationalize enhanced direct access modalities in the Eastern Caribbean pilot countries
3. To increase resilience to climate variability and enhance livelihoods of vulnerable people and communities

The project will meet these objectives through four components, with a total project budget of USD 20 million over five (5) years of project implementation. The Department of Environment in Antigua and Barbuda will serve as accredited entity to the GCF for this project.

**Component 1. Building openness, transparency and stakeholder participation for enhanced direct access.** Pre-feasibility studies in the pilot countries identified existing Committees and

executing entities that would benefit from targeted capacity-building and some structural changes, namely appointment of non-governmental observers, for the EDA project. This component will build capacity in each country and at the sub-regional level for transparent decision-making bodies for the EDA. The outcome of the EDA will enable the Executing Entities to become accredited to the GCF. This component will also design a Sustainable Procurement system for EDA implementation, to reduce the impact of adaptation inputs (construction material, sand, wood, etc.) and to support bulk procurement to lower the cost of individual island procurements.

The OECS Commission will operationalize the project’s M&E framework, to support ongoing M&E throughout implementation. The GCF Independent Evaluation Unit will provide technical assistance to the EDA as a pilot for improving knowledge management and learning opportunities, given the critical role of M&E in the Request for Proposals issued by the GCF.

**Component 2. Enhancing direct access for the public sector – concrete community-based adaptation flood prevention in waterways.** This component will solicit priority adaptation interventions in the public sector in each of the pilot countries, and national committees will evaluate the proposals using pre-determined criteria. The pilot countries were all involved in the sub-regional OECS Global Climate Change Alliance (GCCA), which hired consultants to identify adaptation projects in each of the countries. There were insufficient funds under the GCCA to implement the actions identified. Complementing the GCCA, the EDA will identify GCCA concepts and pilots that could be scaled up with funding from the GCCA. The GCCF physical adaptation pilot concepts are provided below as indicative activities to be scaled-up under the EDA. These activities are used as an indication of the environmental and social risks in the assessment.

*Table 1. Antigua and Barbuda’s GCCA Physical Adaptation Pilot Concepts*

<b>Antigua Barbuda</b>	<b>CONCEPT 1</b>	<b>CONCEPT 2</b>	<b>CONCEPT 3</b>	<b>CONCEPT 4</b>
<b>Thematic Area</b>	Watershed/Forest Rehabilitation	Environmental Health	Flood Mitigation/Management	Watershed/Forest Rehabilitation
<b>Project Initiative</b>	Restore hydrological functioning and drainage of Christian Valley watershed to mitigate flooding in Bolans/West Palm Beach <ul style="list-style-type: none"> <li>• Slope stabilization</li> <li>• Flood mitigation</li> <li>• Improved drainage</li> </ul>	Restoration of functionality and remediation of water-related health issues in Cashew Hill community. <ul style="list-style-type: none"> <li>• Waterway and drainage reconstruction</li> <li>• Flood mitigation</li> <li>• Wetland restoration</li> </ul>	“Climate-proofing” infrastructure by increasing the flood protection capacity of waterways in the Friars Hill Road flood prone area in the suburbs of St. Johns to accommodate rainfall of up to ten (10) inches within 24hrs. <ul style="list-style-type: none"> <li>• Flood mitigation</li> <li>• Disaster risk reduction</li> </ul>	Improve watershed function in the Body Ponds Watershed area (St. John’s Antigua) <ul style="list-style-type: none"> <li>• Soil conservation</li> <li>• Re-forestation</li> <li>• Slope stabilization</li> </ul>

Table 2. Dominica's GCCA Physical Adaptation Pilot Concepts

Dominica	CONCEPT 1
<b>Thematic Area</b>	Ecosystem Restoration/Rehabilitation
<b>Project Initiative</b>	<ul style="list-style-type: none"> <li>• Reforestation of degraded dry scrub forest affected using agro forestry methods to help build resilience to climate change</li> <li>• GIS Mapping/Data Collection &amp; Storage: zones are mapped &amp; reforested as permanent plots but with scope for ecosystem rehabilitation and development of socio-economic benefits</li> <li>• Large scale nursery production of forest plants for reforestation, and to also encourage local germoplasm plantations</li> <li>• Re-establish natural habitats and forest of national endemic flower: the Bwa Kwaib (<i>Sabinea carinalis</i>)</li> <li>• Sensitize farmers and private landowners (village councils, community/environment groups, NGOs using livelihood consultations, educational institutions and national media.</li> </ul>
<b>Estimated budget</b>	EC \$283,500

Table 3. Grenada's GCCA Physical Adaptation Pilot Concepts

Grenada	CONCEPT 1	CONCEPT 2
<b>Thematic Area</b>	Integrated Watershed and Coastal Management	Water Security
<b>Project Initiative</b>	<ul style="list-style-type: none"> <li>• Grenada Integrated Watershed Rehabilitation and Coastal Area Management for Climate Change Adaptation and Environmental Conservation.</li> </ul>	<ul style="list-style-type: none"> <li>• Rainwater Harvesting to Build Community Resilience to Water Shortages during droughts and Post-Hurricane Periods in Grenada</li> </ul>

**Component 3. Enhancing direct access for NGOs – small grants for adaptation in community buildings for resilience to droughts, flooding and hurricanes.** This component will benefit from the GEF Small Grants Programme, which has been operational in the Eastern Caribbean for over ten years, and has built capacity at the community level to develop and implement projects. The EDA project will issue a call for proposals for community adaptation projects (<\$75,000), which will be evaluated using pre-determined criteria. Successful applicants will receive a small (<\$5,000) preparation grant to develop the proposal, and communities will implement adaptation projects with tangible benefits.

#### Indicative NGO EDA adaptation activities

##### Climate Vulnerability Assessment

- ✓ Conducting a Climate Vulnerability Environmental Management System (EMS) Plan for community buildings

##### Heat and drought

- ✓ Air conditioning units; indoor air quality

- ✓ Rainwater harvesting, storage tanks and cisterns
  - ✓ Wastewater treatment and recycling
  - ✓ Water efficient appliances

Hurricane preparedness/extreme rainfall

- ✓ Disaster preparedness; improving shelters
- ✓ Improving ghut and waterway drainage systems
  - ✓ Installing pervious surfaces
- ✓ Green infrastructure (using natural vegetation)

Climate Smart Agriculture

- ✓ Aquaponics
- ✓ Greenhouse community farming

**Component 4. Enhancing direct access in the private sector – revolving loans for resilience in buildings (homes and businesses).** The private sector Revolving Fund loan programme for adaptation in buildings is currently being launch in Antigua and Barbuda.

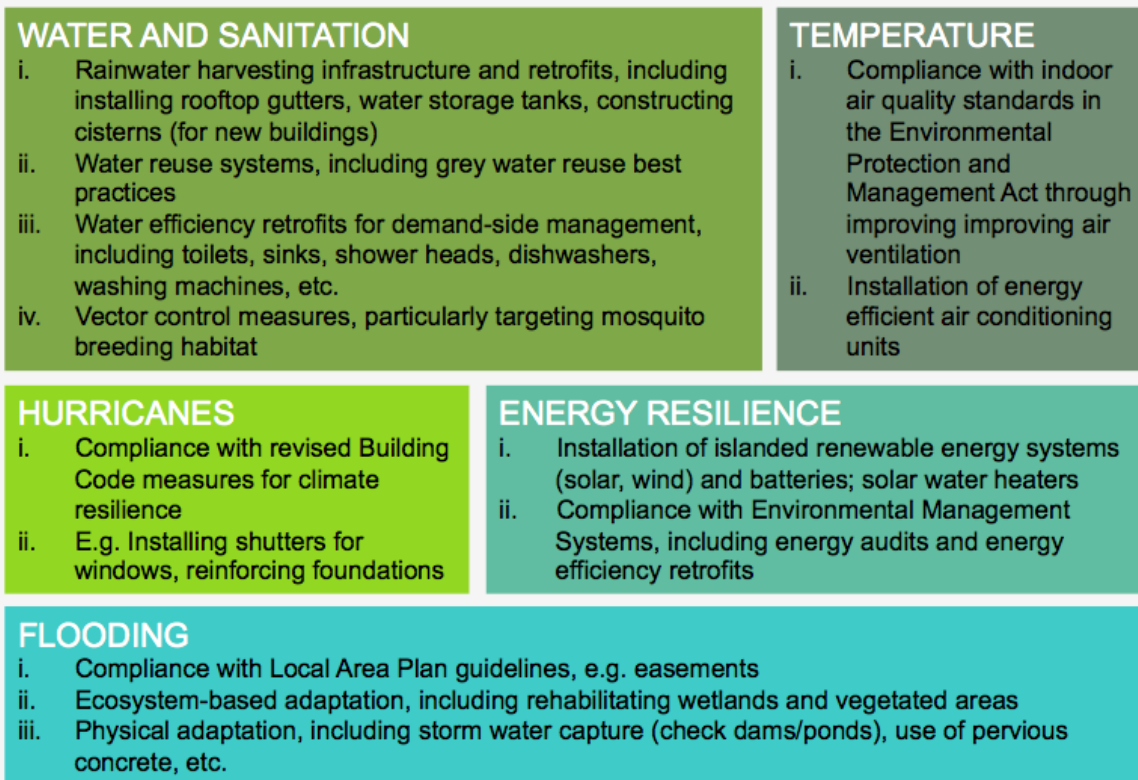


Figure 1. Indicative adaptation activities in buildings to be funded through the revolving loans program

This component of the EDA project will scale up the initiative via launch calls for applications in all three pilot countries. Several institutions have been identified to manage the Revolving Fund in the pilot countries. These institutions will be validated at EDA inception, using capacity assessment checklists covering fiduciary standards, environmental and social safeguards, and gender criteria. Once evaluated, the project will finance adaptation in buildings and manage reflows into the Revolving Fund.

Based on risk assessment findings, the following management parameters underpin the EDA project:

- The scope is limited to demonstrating devolved decision-making for funding proposals to Governments, NGOs and the private sector in three of the six OECS member states
- The project will use existing institutions and decision-making processes in each of the pilot countries to demonstrate enhanced direct access and, based on results of assessments, will provide targeted support to strengthen these systems to meet the GCF standards
- The project will limit the types (sectors) of adaptation interventions and programs during this pilot phase. The selection of the types of adaptation interventions will be based on climate change impacts and vulnerabilities, as well as those types of adaptation interventions that are mature enough to be used in the pilot within the timeframe necessary to demonstrate results to the GCF
- The project will build on existing stakeholder systems and where necessary strengthen accountability and transparency within the systems by including support for these within their readiness proposal in the pilot countries (as per the RFP)

#### Further development of the ESMP

After project approval, the project will undergo the necessary internalization process to further incorporate the project actions into the project work plan and risk management processes into that of the project executers and partners. This is also the time in which project risks are further identified and sufficiently detailed to inform necessary policies and regulations (where appropriate). Finally, baseline data will be collected to support project Monitoring and Evaluation and the generation of targeted reports to meet IFC Performance Standards.

During this time, project risks will be further appraised and potential future or latent risks (those not envisaged but which may occur from project activities) will be flagged and a contingency plan developed. This is consistent with a comprehensive risk management approach used by the accredited entity. In addition to project monitoring, this step will be important to ensure that due diligence is taken to mitigate against pre-existing social issues that the project cannot solve but may however have an impact on project success.

#### Complementing baseline projects and programmes

Antigua and Barbuda has applied for GCF Readiness National Adaptation Plan (NAP) support to adaptation planning processes and supporting implementation by developing national climate



assessments with climate resilient sector plans for 6 sectors, synthesizing priority actions into a National Adaptation Plan, and conducting technical studies in preparation for implementation of new climate regulations. The project will also build capacity to develop future plans and track implementation along with baseline data collection underpin the adaptation planning activities. Dominica is also in the process of applying for GCF NAP Readiness support.

The **Adaptation Fund project**, titled ‘An integrated approach to physical adaptation and community resilience in Antigua and Barbuda’s north-west McKinnon’s watershed’, will implement concrete adaptation interventions within the building sector in Antigua. The project goal is to reduce the vulnerability of the community, by increasing the ability of the watershed to handle extreme rainfall, while increasing the resilience of the built environment simultaneously to cope with the multiple stressors of climate change. This will be achieved through a US\$10 million grant by: i) restoring three kilometres of waterways; ii) providing concessional loans to households and small businesses for adaptation; and iii) engaging community groups through grants and contracts to continue project interventions. This integrated approach will ensure that the community in the vulnerable north-west watershed will be able to withstand projected climate change impacts such as increased rainfall.

The **Special Climate Change Fund (SCCF) project**, titled ‘Building climate resilience through innovative financing mechanisms for climate change adaptation’ has received US\$5 million from GEF with UN Environment serving as the Implementing Entity and the DoE as the Executing Entity. The SCCF project is estimated to be completed in 2019, and focuses on developing a local area development plan for McKinnon’s Pond, building on previous work conducted as well as participatory processes. Through the SCCF project, physical interventions will be implemented in the upper area of the McKinnon watershed. In addition, the SCCF project will establish the SIRF Revolving Fund for Adaptation and capitalise the SIRF Fund with an initial US\$1.6 million.

The **Global Climate Change Alliance + (GCCA)** initiative established by the European Union (EU) in 2007 to strengthen the dialogue and level of cooperation between developing countries, in particular least developed countries (LDCs) and small island developing states (SIDS). Through the GCCA, the ‘Climate change adaptation and sustainable land management in the Eastern Caribbean’ project is being implemented with the OECS Commission serving as the implementing entity, which aims to improve the resilience of the region’s natural resource base to the impacts of climate change. The project will result in effective and sustainable land management frameworks and practices designed and developed based on adaptation pilot projects that focus on physical infrastructure and ecosystems. In addition, base maps will be produced through the project to determine land capability – including geotechnical, hazard maps – support land use planning and revise the National Building Codes and Ordinances. Pilot adaptation activities are being implemented inter alia in Antigua and Barbuda, Dominica and Grenada.

## Assumptions

The major underlying assumptions for the development of the ESMS are:

- Not all Environmental, Social and Gender Principles are equally relevant to the project; therefore, risk mitigation actions will be tailored to the scale (impact and probability) of the risk;
- The project is designed to address environmental and social issues related to the impacts of climate change;
- The Risk Register is designed to ensure that the actions and outputs of the project do not further exacerbated existing social and environmental problems; there are pre-existing social and environmental factors that may not be solved by the project design and its implementation;
- The Accredited Entity is a Government Agency that, along with project partners, has access to the best nationally available technical expertise in all fields required by the project, including environmental and social safeguards, gender, community development, and the project can access these HR resources through partnerships with relevant agencies and individuals; and
- Risks related to the Revolving Fund may need to be transferred to another entity, for example through a Government guarantee. This will allow for the component to be financially feasible and sustainable. If this is the case, the risk will be assumed by the respective Ministry of Finance in the pilot country pending the relevant approvals and permissions are secured.

The Management Plan measures are therefore based on the above-mentioned assumptions along with the historical, cultural and environmental knowledge of the project area that has been collected by consultants, national focal points, the implementing entity and executing entities.

## II. ENVIRONMENTAL AND SOCIAL ANALYSIS

### Introduction

The inextricable links between climate change and sustainable development have been increasingly recognized over the past decade. In 2007, the Intergovernmental Panel on Climate Change (IPCC) in their Fourth Assessment Report (AR4) concluded, with very high confidence, that climate change would impede the ability of many nations to achieve sustainable development by mid-century and become a security risk that would steadily intensify, particularly under greater warming scenarios. Article 4.8 of the United Nations Framework Convention on Climate Change (UNFCCC) lists several groups of countries that merit particular consideration for assistance to adapt to climate change “...especially: (a) small island countries, (b) countries with low-lying coastal areas, d) countries with areas prone to natural disasters.” Small Island Developing States (SIDS) have characteristics which make them particularly vulnerable to the effects of climate change, sea level rise and extreme events, including: relative isolation, small land masses, concentrations of population and infrastructure in coastal areas, a limited economic base and dependency on natural resources, combined with limited financial, technical and institutional capacity for adaptation.

The Caribbean Community exemplify many of these characteristics, and even though they contribute less than 1% to global greenhouse gas (GHG) emissions, these countries are expected to be among the earliest and most impacted by climate change in the coming decades. Caribbean coastal communities in particular will be severely threatened by the direct and indirect impacts of climate change (e.g., increased sea-surface temperature, sea level rise (SLR), coastal erosion, extreme events and the loss of aesthetics), which are projected to accelerate in the coming decades and compound the existing threats to natural systems and society.

### Antigua and Barbuda

Antigua and Barbuda is an island state located in the eastern region of the Caribbean Sea. Most of the country’s land area consists of two large islands, namely Antigua and Barbuda, along with a number of smaller inhabited and uninhabited islands. Antigua and Barbuda’s population was estimated at ~91,295 in 2014 and it is anticipated that the population will reach ~115,000 by 2050. In 2009, Antigua’s economy was severely affected by the global economic crisis. From 2009–2011, there was a steep decline in tourism which provides the largest number of employment opportunities within the country’s private sector. Antigua and Barbuda’s GDP in 2013 was ~US\$1.1 billion with a growth rate of 1.7%.

Climate change is expected to result in an increase in the frequency and intensity of extreme weather events, especially hurricanes and droughts. This is likely to result in: i) damage to infrastructure; ii) reduced water availability for agriculture; iii) reduced income from tourism owing to destruction of tourism facilities and attractions; and iv) threats to human health and

well-being including loss of life. Apart from direct negative effects relating to the health, agricultural and tourism sectors, the country's economy is strained by costs related to repairing infrastructure and compensating local communities after extreme weather events.

## Dominica

The Commonwealth of Dominica is a mountainous island in the Eastern Caribbean located between longitude 61° 29' and 61° 14' west and latitude 15°39' and 15°12' north between two French dependent territories; Guadeloupe to the north and Martinique the south. Dominica's location makes it susceptible to hurricanes. It has active volcanoes and high rainfall which contributes to an abundance of biodiversity. The Country Poverty Assessment (2010), the Social Livelihood Assessment (2016), and the National Census (2011) provides information on the socioeconomic status of Dominica. The 2011 census cites the population at 71,293 with most of the population living on the coast. Like other Small Island Developing States (SIDS) it is economically vulnerable. The unemployment rate is 23% (NAN Business Editor 2016), and the population living below the poverty line is 28.8% (Country Poverty Assessment 2010). Based on the Country Poverty Assessment, most houses are constructed with concrete blocks (48.4%) and wood/timber (24.8%). Dominica's economy is heavily dependent on agriculture and more recently tourism.

There is an increased risk of exposure to climate change related events such as level rise and flash flooding because most of the Dominican population lives along the coast or in steep river valleys. Numerous assessments have been conducted in Dominica over the years which has enabled the country to identify vulnerable communities. The most recent is the Rapid Damage and Impact Assessment 2015, conducted by the World Bank post Tropical Storm Erika. Disasters such as floods and landslides have destroyed or damaged critical infrastructure, therefore, recovery and reconstruction have absorbed an increasingly large share of annual budgets.

Following the devastating impacts of Tropical Storm Erika, 90% of Gross Domestic Product (GDP) or \$483 million USD was affected. Most of the damage was sustained in the transport



Figure 2. A map of the villages that were declared disaster areas as a result of Tropical Storm Erika, which dumped 12 inches of rain in 10 hours on the island.

sector (60 percent), followed by the housing sector (11 percent) and agriculture sector (10 percent). A total of 7,229 people was impacted by the event (see Figure 2).

### Grenada

Grenada's landmass is 344 sq km and population is approximately 111,000.<sup>1</sup> Its open economy is heavily dependent on a relatively small number of economic sectors whose activities and outputs are highly climate-dependent and weather-sensitive. The negative impacts of climate change create additional financial strain for the tri-island state and the economic and social development of the country.

Grenada relies on tourism as its main source of foreign exchange especially since the construction of an international airport in 1985. Strong performances in construction and manufacturing, together with the development of tourism and higher education - especially in medicine - contributed to growth in national output; however, economic growth remained stagnant in 2010-14, after a sizable contraction in 2009, because of the global economic slowdown's effects on tourism and remittances. Gross national saving – and wealth – has been declining since 2010.

Hurricanes Ivan (2004) and Emily (2005) severely damaged the agricultural sector - particularly nutmeg and cocoa cultivation - which had been a key driver of economic growth. Grenada has rebounded from the devastating effects of the hurricanes but is now saddled with the debt burden from the rebuilding process. Public debt-to-GDP is about 110%, leaving the administration in 2013 announced a structural adjustment program that includes a plan to increase tax revenue.

Extreme weather and short-term climate variability has already had a tremendous impact on the country. The devastating losses borne to Grenada's economy in 2004 and 2005 from the passage of Hurricanes Ivan and Emily respectively put the country's inherent vulnerability in stark relief, with some of the impacted industries still in recovery 10 years later. The total damage from Hurricane Ivan alone was estimated at EC\$2.4 billion, or twice the value of Grenada's Gross Domestic Product (GDP) (OECS, 2004).

Direct or indirect losses were experienced in virtually every sector and these damages were compounded by the passage of Hurricane Emily just 10 months later. The damage broken down by sector is as follows:

**Housing:** Just under 28,000 houses or 89% of the country's housing stock of 31,122 houses were damaged by Hurricane Ivan. Near 10,000 houses, or 30%, were so damaged that they required complete replacement. Approximately 22,000 or 70% required repairs. The cost of damage to the housing sector was estimated at \$EC1, 380 million dollars.

---

<sup>1</sup> CIA World Factbook, 2017. <https://www.cia.gov/library/publications/the-world-factbook/geos/gj.html> Accessed 9 July 2017.

**Education:** Damage to the education sector was second only to the housing sector in its severity. The estimated cost to the sector is \$EC196 million dollars, however a more correct figure would be approximately \$EC215 million. This figure would accurately reflect the damage to the entire network of schools and skills training institutions in the country.

**Health:** The damage to the major public hospitals, health centres and other health care institutions was estimated at \$EC 11 million dollars following the aftermath of hurricane Ivan  
**Agriculture, Livestock and Fisheries:** The impact of hurricane Ivan was widespread throughout the island inflicting severe damage to the agriculture sector. The damage was most intense in the parish of St. Andrew accounting for 60 percent of total damage, followed by St. David with 20 percent, St. Johns 10 percent, St. Georges 5 percent with St. Mark, and St. Patrick sharing the remaining 5 percent. As a result of the high velocity winds experienced with hurricane Ivan, extensive losses were recorded in the crop sub sector, livestock, fisheries and in the seventy-two (72) water catchments. The total direct and indirect damages were estimated at EC\$55 and EC\$46 million respectively.

**Tourism and Accommodation:** When valued in monetary terms tourist accommodations reported through their respective assessor's evaluations varying degrees of damages. A quick sample of a subset of tourist accommodations representing 38% of the saleable room capacity indicated that the extent of the damage ranged from EC\$650,000 to EC\$40 million. It was estimated by the Assessment Mission that the direct losses born by tourist establishments to their buildings and infrastructure amounted to EC\$305 million.

**Manufacturing:** The direct damage suffered with the passage of Hurricane Ivan was related to the destruction of assets at the time of the hurricane namely, buildings, equipment and machinery, and inventories. The indirect costs were related mainly to the loss in flows of income and additional cost as a result of the hurricane. The direct damage was much higher than the indirect damage, and this was associated with the high cost of buildings and equipment. The direct damage to the sector was estimated at \$17 million EC\$ and the indirect cost at \$4 million. Among the manufacturing industries, the rum, furniture and garment industries suffered the most significant damage. In the case of the production of rum, buildings were most severely affected while for the furniture and garment industries both buildings and inventories were damaged. The beverage sub-sector, which dominates the industry, was affected by damage to buildings but operations were not halted for a lengthy period. A number of light manufacturing industries lost substantial portions of inventories and suffered from damage to buildings.

**Wholesale and Retail:** The direct damage was related to that of physical assets and stocks. The sector was seriously affected by the loss of inventories due mainly to the looting that occurred immediately after the hurricane. This contributed to indirect damage as entities did not immediately reopen because of the general impact of the devastation; the loss of stocks from the hurricane and the subsequent looting; and the need to secure available stocks. The value of the indirect damage was estimated at EC\$11 million in Grenada.

**Public Utilities:** Total damages, both direct and indirect, to public utilities (Electricity, Water and Sewage, Telecommunication and Broadcasting and Cable) were estimated to be EC\$250.9 million.

Long-term climate change could make what would otherwise be rare, devastating occurrences such as these into a more frequent reality for Grenada and the rest of the Caribbean. Grenada is already experiencing some of the effects of climate variability through damages from severe weather systems and other extreme events, as well as more subtle changes in temperatures and rainfall patterns. Climate change projections for Grenada predict an increase in average annual temperature, reduced average annual rainfall, potential for an increase in the intensity of tropical storms and increased Sea Surface Temperatures (SST) (The CARIBSAVE Partnership, 2012; CCCCC, 2015).

## Policy, legal and administrative framework

OECS Member States have long acknowledged that their development must be predicated on individual efforts pursued within the context of regional unity, solidarity and cooperation in wide ranging areas, including environmental protection and sustainable development. To this end, the Revised treaty of Basseterre requires, under Article 24, that each protocol Member State shall implement the St. George's Declaration of Principles for Environmental Sustainability which seeks to, inter-alia, build the capacity of Member States and regional institutions to guide and support processes of sustainable development, achieve the long-term protection and sustained productivity of the region's natural resource base and the ecosystem services it provides, and ensure that natural resources contribute optimally and equitably to economic, social and cultural development.

Decisions coming out of the 3rd Council of Ministers for Environmental Sustainability (COMES) meeting in Dominica in May 2016 included the following relevant climate change:

- MANDATE the OECS Commission to explore accreditation to Climate funds such as the Adaptation Fund, the GEF and the Green Climate Fund (as mandated sections 4.2 (e) of the Treaty);
- MANDATE the OECS Commission to fulfil its role to support MSs in accessing and negotiating Climate Finance (as outlined in Article 4.2 of the Revised Treaty) and to report on this effort at all future meetings of the Council.

## Environmental and Social Analysis

The risk management scoring methodology assesses the significance of possible risks occurring during the life of project implementation. This assessment is conducted according to the following criteria:

- a. the likelihood (probability) of the event arising; and
- b. the impact (consequences) of the event on the project’s objectives if it occurs.

*Table 4. Levels of risk probability, impact and overall seriousness (Source: DOE’s Risk Management Policy)*

PROBABILITY (P)	IMPACT (I)	SERIOUSNESS (OVERALL RISK) LEVEL)
<p>When assessing likelihood, a combination of the future probability and the frequency of past occurrences is considered.</p> <p><b>Very unlikely (1):</b> The event has never happened or is very unlikely to happen (e.g. more than once in 20 years).</p> <p><b>Unlikely (2):</b> The event has only happened once in the last 5–10 years or is unlikely to happen in the next ten years.</p> <p><b>Likely (3):</b> The event has happened once in the last 2–4 years or is likely to happen in the next 2–4 years.</p>	<p>When assessing the potential impact of a risk, DOE’s ability to deliver, continuity of operations, financial losses, resource losses and credibility are considered.</p> <p><b>Low/nonexistent (1):</b> DOE can still achieve its objectives with limited constraints.</p> <p><b>Minor (2):</b> DOE can still achieve its objectives, but not fully or in timely manner.</p> <p><b>Moderate (3):</b> The event hinders DOE’s or the project’s objectives or systems.</p>	<p>The seriousness rating is calculated by multiplying the impact risk ranking and the likelihood risk ranking:</p> <p><b>Low = 1 – 3</b></p> <p><b>Medium = 4 – 6</b></p> <p><b>High = 7 – 9</b></p>



Table 5. Risk assessment of the enhanced direct access (EDA) project

IFC Performance Standards	EDA Project Risk Assessment	Risk to the project (scope of the ESMP)
<p><b>Performance Standard 1: Assessment and Management of Environmental and Social Risks and Impacts</b></p> <p><i>Importance of (i) integrated assessment to identify the environmental and social impacts, risks, and opportunities of projects; (ii) effective community engagement through disclosure of project information and consultation with local communities on matters that directly affect them; and (iii) management of environmental and social performance throughout the life of the project.</i></p>	<p>At this stage, there are only indicative activities to be funded by the EDA, and so Environmental Impact Assessments and other risk management measures, have not been conducted at this stage.</p> <p>The policies in place by the Accredited Entity to guide Environmental and Social Risks and Impacts include: Policy on ESS, a Gender Policy, the Code of Conduct and Ethics<sup>2</sup>, the Complaints Mechanism<sup>3</sup>, a Stakeholder Consultation Strategy, and the Risk Register. Project partners and all Committees involved in decision-making will be trained on these policies and procedures under Component 1 of the project.</p> <p>Stakeholder mapping has been initiated through the in-country pre-feasibility studies, which has defined an organizational structure in each pilot country. The OECS Commission will also provide monitoring and evaluation services as an independent evaluator. This approach will promote accountability and transparency. There are many different actors involved in the EDA project, and it will be key that all actors are sensitized about environmental and social safeguards at all levels. Effective community engagement from the outset will promote country ownership and enable the EDA project to achieve its objectives.</p> <p>The OECS countries have common legal frameworks for managing environmental and social risks, for example, by requiring that Environmental Impact Assessments (EIAs) be developed as part of the physical planning approval process. This is the process for identifying the environmental and social risks and impacts of the project, and managing risks during implementation.</p>	<p>P = 2 I = 2</p> <p>Overall rank: Medium (4)</p>
<p><b>Performance Standard 2: Labor and Working Conditions</b></p> <p><i>Employment creation and income generation should be accompanied by protection of the fundamental</i></p>	<p>There are four core labour rights per the ILO: 1) the right to collective bargaining, where employers and workers discuss and negotiate their relations (unions, etc); 2) elimination of forced labour; 3) elimination of child labour; and 4) elimination of discrimination in employment.</p> <p>The OECS Member States have very strong national labour laws and standards developed after long colonial rule. These enshrined labour rights are now part of</p>	<p>P = 1 I = 2</p> <p>Overall rank: Low (2)</p>

<sup>2</sup> Code of Conduct and Ethics, Department of Environment, Antigua and Barbuda: [http://www.environmentdivision.info/UserFiles/File/NIE - Code of Conduct - Working draft NN-1.pdf](http://www.environmentdivision.info/UserFiles/File/NIE_-_Code_of_Conduct_-_Working_draft_NN-1.pdf)

<sup>3</sup> Complaints Mechanism, Department of Environment, Antigua and Barbuda: [http://www.environmentdivision.info/submit\\_a\\_complaint\\_en\\_365cms.htm](http://www.environmentdivision.info/submit_a_complaint_en_365cms.htm)

<p><i>rights of workers (as guided by the ILO Conventions)</i></p>	<p>the cultural and political dynamics and there would be severe political consequences to the respective Governments if these were to be violated. The risk of violation of labour rights is therefore extremely low.</p> <p>The project will be implemented in compliance with legislation including the national Labour Code in each pilot country. No child labour or forced labour is expected to result from this project. There is very little history of child labour in Antigua and Barbuda, Dominica and Grenada.</p> <p>Given the limited scale of physical works under the project, occupation health and safety concerns are not expected to be a risk, however this will be further evaluated in particular for Component 2 (public sector adaptation) during the EIA process.</p> <p>The project will seek to leverage its works and services contracts to actively promote non-discrimination and equal opportunity hiring practices.</p>	
<p><b>Performance Standard 3: Resource Efficiency and Pollution Prevention</b></p> <p><i>With any potential impacts of pollution to air, water, and land, the project and its activities should identify resource efficiency and pollution prevention and control measures.</i></p>	<p>The project targets resource efficiency and pollution prevention through a monitoring programme and habitat restoration, as well as incentivizing implementation of the ISO standard for Environmental Management Systems (EMS) in buildings.</p> <p>At project outset, a Sustainable Procurement system for EDA implementation will be designed under Component 1, to reduce the impact of adaptation inputs (construction material, sand, wood, etc.) and to support bulk procurement to lower the cost of individual island procurements.</p> <p>Adaptation in the public sector under Component 2 could temporarily cause pollutants to reach previously unaffected areas of the community if for example the activity is adaptation in waterways. In addition, the purchase of energy efficient appliances under the Revolving Fund programme may result in pollution if discarded appliances are not adequately disposed of. While both risks have a low potential impact, the DOE can further mitigate this risk through the community grants window and by partnering with local E-waste businesses and initiatives.</p> <p>Sustainable use of resources, including energy and water and the reduction of GHG emissions are overarching EDA project objectives, and this will be monitored during implementation.</p>	<p>P = I =</p> <p>Overall rank: Low/Med/High (#)</p>

<p><b>Performance Standard 4: Community Health, Safety, and Security</b></p> <p><i>Project-level actions to avoid or minimize the risks and impacts to community health, safety, and security that may arise from project related-activities, with particular attention to vulnerable groups</i></p>	<p>The project will be working in climate vulnerable communities. Communities that are already subjected to impacts from climate change may also experience an acceleration and/or intensification of impacts due to project activities. Therefore, the Revolving Fund and the community grants have been designed to empower communities to improve climate resilience.</p> <p>The public-sector adaptation actions will include social impact analysis for affected communities once the Government agency has submitted a Concept Note. Public sector interventions are designed to promote ecosystem-based adaptation, which has positive externalities.</p>	<p>P = I =</p> <p>Overall rank: Low/Med/High (#)</p>
<p><b>Performance Standard 5: Land Acquisition and Involuntary Resettlement</b></p> <p><i>Project-related land acquisition and restrictions on land use can have adverse impacts on communities and persons that use this land</i></p>	<p>There will be no involuntary resettlement under this project, and mechanisms are in place to ensure unidentified sub-projects do not result in involuntary resettlement. The Accredited Entity's Risk Management Policy is that the Department of Environment does not fund "The resettlement of people or the removal or alteration of any physical cultural property under any circumstances".</p> <p>The risk is that there may be squatters in hazard zones where adaptation actions are proposed. The project will document these situations, grandfathering in existing or illegal structures, and make recommendations for solutions that do not result in involuntary resettlement.</p>	<p>P = 1 I = 3</p> <p>Overall rank: Low (3)</p>
<p><b>Performance Standard 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources</b></p> <p><i>Protecting and conserving biodiversity, maintaining ecosystem services, and sustainably managing living natural resources are fundamental to sustainable development</i></p>	<p>The pilot OECS countries all have in place National Biodiversity Strategy and Action Plans (NBSAP) and are members of the Convention on Biological Diversity. Biodiversity is also addressed in the St. George's Declaration for OECS Member States.</p> <p>There are no major land use change or new development activities under the EDA project. The project will include habitat and species protection, restoration, and monitoring of activities consistent with the NBSAP in each respective country.</p> <p>The project will not import biological material, however there are local invasive species that could be spread through project activities. The project will work identify and work with local and regional experts experienced in handling this and invasive species will be identified to control their spread are addressed in the design of the activities.</p>	<p>P = I =</p> <p>Overall rank: Low/Med/High (#)</p>
<p><b>Performance Standard 7: Indigenous Peoples</b></p>	<p>Dominica is the only pilot country with an Indigenous Peoples population. The Carib Territory, also known as the Carib Reserve or Kalinago Territory, is a 3,700-acre (15 km<sup>2</sup>) district with an estimated population of around 3,000, which makes it the largest settlement of indigenous people in the Caribbean.</p>	<p>P = I =</p>

<p><i>Indigenous Peoples may be more vulnerable to the adverse impacts associated with project development than nonindigenous communities</i></p>	<p>Residents of the Carib Territory are among the poorest in Dominica. Territory residents are less educated, and have fewer work opportunities than other segments of the island's population.</p>	<p>Overall rank: Low/Med/High (#)</p>
<p><b>Performance Standard 8: Cultural Heritage</b></p> <p><i>Ensures the protection of cultural heritage in the course of project activities</i></p>	<p>EDA project activities will be primarily on privately owned land or community facilities. This means there is not likely to be a risk to cultural heritage under Components 1, 3 and 4.</p> <p>For Component 2, the EIA process will address potential impacts to cultural heritage once activities are defined. Impacts will be assessed at the design phase so that these can be minimized according to the requirements of the Convention of Biological Diversity.</p>	<p>P = I =</p> <p>Overall rank: Low/Med/High (#)</p>

## Risk Categorization

Each component of the project is assessed for its risk categorization.

### Index of Risk Categorization

- Category A Likely to have significant adverse environmental & social impacts that are diverse, widespread, or irreversible
- Category B Potential adverse impacts that are fewer in number, smaller in scale, less widespread, reversible or easily mitigated
- Category C No adverse Environmental, Social and Gender impacts

*Table 6. Risk management during implementation will be in conjunction with the risk categorization for each component*

EDA Project Component	Assessment of Risk by Component	Risk Categorization
<b>Component 1.</b> Building openness, transparency and stakeholder participation for enhanced direct access	No adverse Environmental, Social and Gender impacts are expected to result from this components' activities.	Category C
<b>Component 2.</b> Enhancing direct access for the public sector - concrete community-based adaptation flood prevention in waterways	Potential adverse impacts resulting from this component include works that could result in adverse impacts, however these will be few in number, small scale and less widespread.  Through the Environmental Impact Assessment physical planning requirements, these impacts are reversible or easily mitigated.	Category B
<b>Component 3.</b> Enhancing direct access for NGOs – small grants from for adaptation in community buildings – building resilience to droughts, flooding and hurricanes	These activities will be small scale adaptation actions based in community facilities and with no adverse Environmental, Social and Gender impacts expected.	Category C
<b>Component 4.</b> Enhancing direct access in the private sector - revolving loans for resilience in buildings (homes and businesses)	These activities will be small scale adaptation actions based in buildings and with no adverse Environmental, Social and Gender impacts expected.	Category C

Based on the above screening, three out of four project activities will be Component C, whereas Component 2 (adaptation in the public sector) has Category B risks. Risks identified for Component 2 have potential adverse impacts that are fewer in number, smaller in scale, less widespread, reversible or easily mitigated. The project is overall therefore a Category B risk level.

The project will continue to assess all of the Performance Standards. The project design and budget allocations have been designed to focus on those areas that are moderated or potentially high risks.

### III. GENDER ANALYSIS



Project Title: *Enhancing direct access in the public, private, and civil society sectors of Antigua and Barbuda, Dominica, and Grenada*  
**Gender Analysis**

#### Gender and the GCF

The Green Climate Fund governing body adopted its Gender Policy and Action Plan<sup>4</sup> in 2015. Through this plan, the GCF commits to:

- Gender equality and equity;
- Inclusiveness in all activities;
- Accountability for gender and climate change results and impacts;
- Country ownership—through alignment with national policies and priorities, and broad stakeholder engagement, including women’s organizations;
- Gender-sensitive competencies throughout GCF’s institutional framework—skills, knowledge and behaviours acquired from training and experience that enable implementers to apply a gender-lens throughout their work; and
- Equitable resource allocation—so that women and men benefit equitably from GCF’s adaptation and mitigation activities.

**A Gender analysis/assessment** refers to methods used to understand relationships between men and women, their access to resources, their activities, and the constraints they face relative to each other. *A comprehensive gender analysis/assessment entails the examination of the different roles, rights, needs, and opportunities of women and men, boys and girls in a given project/program context.* It is a tool that helps to promote gender – relevant entry points, policies and identify opportunities for enhancing gender equality in a particular project/program. In the case of climate change projects/programs, a well-done gender analysis/assessment helps to identify multiple causes of vulnerability, including gender inequality. It also helps to identify and build on the diverse knowledge and capacities within communities/households that can be used to make them more resilient to climate related shocks and risks<sup>5</sup>.

#### Gender considerations in the EDA Request for Proposals

---

<sup>4</sup> GCF Gender Policy, adopted in 2015 [http://www.greenclimate.fund/documents/20182/818273/1.8\\_-\\_Gender\\_Policy\\_and\\_Action\\_Plan.pdf/f47842bd-b044-4500-b7ef-099bcf9a6bbe](http://www.greenclimate.fund/documents/20182/818273/1.8_-_Gender_Policy_and_Action_Plan.pdf/f47842bd-b044-4500-b7ef-099bcf9a6bbe)

<sup>5</sup> Green Climate Fund Gender and Social Inclusion Action Plan Template, available via [http://www.greenclimate.fund/documents/20182/574712/Form\\_09\\_-\\_Gender\\_Assessment\\_and\\_Action\\_Plan\\_Template.pdf/3f4b8173-fbb2-4bc7-9bff-92f82dadd5c0](http://www.greenclimate.fund/documents/20182/574712/Form_09_-_Gender_Assessment_and_Action_Plan_Template.pdf/3f4b8173-fbb2-4bc7-9bff-92f82dadd5c0)

In addition to the overall GCF gender policy guidance, the EDA Request for Proposals underscores the importance of a gender-sensitive approach in developing the activities of the EDA pilots, in particular in oversight functions and decision-making bodies:

*The decision-making body should include civil society, the private sector and other relevant stakeholders, and should be sensitive to gender considerations.*

*The oversight function should include the NDA or focal point and representatives of relevant stakeholders, such as government, the private sector, academia, civil society organizations, and women's organizations.*

## Gender Analysis

**Gender** plays an important role in determining the adaptive capacities of individuals and as such, if gender is tracked by M&E systems it can support greater learning on how we are learning to adapt in the context of gender. For instance, women can be more vulnerable than men to climate related hazards, and women have an important role to play in supporting climate change adaptation and mitigation given their high levels of awareness of risks, knowledge of the community and the fact that they have a pertinent role in the management of natural resources (UNFCCC, 2014). Therefore, gender considerations need to be taken on board from two dimensions – what characteristics, attributable to gender, increases an individual's vulnerability (their weaknesses) and what roles and responsibilities individuals undertake in the household and community, as a result of their gender, makes them useful in adapting to climate related risks (their strengths).

The objective of the proposed EDA project in the Eastern Caribbean is to increase the resilience of at least 5% of the population in the Eastern Caribbean pilot countries to climate variability and change, of which 50% are women, through adaptation in infrastructure, strengthened buildings, and enhanced ecosystem services.

To achieve this goal, the gender analysis seeks to understand the situation of women, men, boys and girls from communities in the participating countries of Antigua and Barbuda, Dominica and Grenada.

### Case Study: Post-hurricane delivery of "dignity kits" to women and girls of childbearing age

After Hurricane Irma struck Antigua & Barbuda in September 2017, the population of Barbuda was evacuated to Antigua and the Directorate of Gender Affairs and the UN distributed "dignity kits", containing basic health and hygiene products such as soap, sanitary napkins and underwear – critical items for women and girls that can be easily overlooked in a disaster response. There were 650 pregnant women at the time of the hurricane.



Source: <https://www.unfpa.org/news/unfpa-responds-entire-population-barbuda-evacuated-following-hurricane-irma>



## Comparative Summary of Key Gender Equality Indicators

Table 7. Key Gender Equality Indicators for EDA pilot countries (Source: adapted from Rawwida Baksh and Associates, 2016. Country Gender Assessment (CGA) Synthesis Report)

Country	Total pop.	Population 0-14 years old	Population 15-24 years old	Population 64 years and over	Life Expectancy at Birth	%/Number of male or female-headed households	Maternal Mortality Rate	Labour Force Participation	Unemployment Rate	Enrolment in Primary Schools	Enrolment in Secondary Schools	Enrolment in Tertiary Education	No. of males/ females in Parliament	Gender-based Violence (GBV)
<b>Antigua &amp; Barbuda</b>	M-40,007 (48%) F-43,271 (52%) T-83,278 (100%) (GOAB, Census, 20011)	M-11,333 (51%) F-10,979 (49%) T-22,312 or 24% of total population (CIA, 2013)	M-7,465 (49.5%) F-7,622 (50.5%) T-15,087 or 16.7% of total population (CIA, 2013)	M-2,771 (43%) F-3,659 (57%) T-6,430 or 7.1% of total population (CIA, 2013)	M-73.9 years F-78.1 years T-75.9 years	M-56.5% (2001) F-43.5% (2001) (GOAB Census, 2001)	0.81 (CARICOM, 2010)	M-18,602 (47%) F-21,341 (53%) T-39,943 (Kairi, CPA 2005/2006)	T-12% (estimate) GOAB, 2012	M-100% F-88.1% T-94.0% (GOAB, Ministry of Education, 2009-2010)	M-78.9% (34.8%) F-82.1% T-80.5% (CEPAL, 2011)	M-689 (34.8%) F-1291 (65.2%) T-1980 (100%) (OECS, 2010-2011)	H.O.R/ Lower House M-16 (89.9%) F-2 (11.1%) T-18 (100%)  Senate/Upper House M-10 (58.8%) F-7 (41.2%) T-17 (100%) (IPU 2014)	T-216 victims (DOGA, 2011)
<b>Dominica</b>	M-34,973 (51%) (2011) F-33,940 (49%) (2011) T-68,913 (100%) (2011) (GOCD, 2014)	M-8,787 (51%) (2011) F-8,511 (49%) (2011) T-17,298 or 25.1% of total population (2011) (GOCD, 2014)	M-5,928 (51%) (2011) F-5,627 (49%) (2011) T-11,555 or 16.8% of total population (2011) (GOCD, 2014)	M-4,755 (2011) F-5,444 (2011) T-10,199 or 14.8% of total population (2011) (GOCD, 2014)	M-73.4 years F-79.5 years T-76.4 years (CIA, 2013)	M-60.8% (2011) F-39.2% (2011) T-25,073 or 100% (2011); (GOCD, 2014)	0.32 (222.3 in 2010) (CIA, 2010; CARICOM 2010)	M-17,646 (58.4%) F-12,558 (41.6%) T-2011: 30,204; (GOCD, 2014)	M-2,164 (12.3%) (2011); F-1,238 (9.9%) (2011) T-3,402 (11.3%) (2011) (GOCD, 2014)	M-4,186 (51.4%) F-3,958 (48.6) T-8,144 (Edu. Planning Unit, GOCD, 2013)	M-50.7% F-49.3% T-100% (MoE, Gov't of Dominica, 2011/12)	M-868 (37.5%) F-1,449 (62.5%) T-2,317 (100%) (MoE, Gov't of Dominica 2011/12)	M-25 (78.1%) F-7 (21.9%) T-32 (100%) (IPU, 2014)	T- Reported cases- 391 (National GBV Registry, BGA, 2011-2013)
<b>Grenada</b>	M-53,008 (50.23%) (2011) F-52,531 (49.77%) (2011) T-105,539 (100%) (2011) (GOGR, 2011 Census)	M-13,962 (52%) F-13,101 (48%) T-27,063 or 24.7% of total population (CIA, 2013)	M-9,310 (49.5%) F-9,474 (50.5%) T-18,784 17.1% of total population (CIA, 2013)	M-4,601 (45%) F-5,520 (55%) T-10,121 or 9.2% of total population (CIA, 2013)	M-71.0 years F-76.35 years T-73.68 years (Health Sector Situational Analysis (2013), Ministry of Health, GOGR)	-	0.4 (Health Sector Situational Analysis (2013), Ministry of Health, GOGR)	M- 67.4% (2011) F-53.5%; (2011) T-60.5%; (2011) (GOGR, 2011 Census)	M-17.9% of labour force F-31.8% of labour force T-24.9% of labour force (CDB (2008c))	-	T- 10,375 (MoE, 2012)	-	H.O.R/ Lower House M- 10 (66.7%) F-5 (33.3%) T-15 (100%)  Senate/ Upper House M-11 (84.6%) F-2 (15.4%) T-13 (100%) (IPU 2013)	M- 4 Reported Cases (89.2%) F- 33 Reported Cases (89.2%) (Community Relations, Grenada Police Force, 25 Feb – 30 Jun 2013)

## Gender issues relevant to the proposed project

Table 8. Gender analysis for project preparation stage (Source: Green Climate Fund Gender Analysis/Assessment and Gender and Social Inclusion Action Plan Templates<sup>6</sup>)

	Questions	Data/Information Collected
<b>What is the Context?</b> Context of the Eastern Caribbean pilot countries	1. Demographic and socioeconomic data, disaggregated by sex and income	- Socio-demographic groups in the target countries that are vulnerable to poverty and unemployment include: youth, adolescent mothers, working class men, the homeless, the disabled, older men and women.
	2. % of households that are headed by women/men	- Approximately 40% female headed homes across the three SIDS - The differential declaration of head of household status by women and men may be attributed to the country's patriarchal social organization. Men have been and continue to be considered heads of the home, premised on conservative interpretations of religious texts found commonly in Christian societies. - Women's burden of care is greater in these instances, as many women heads are solely responsible for care, with no partner or robust family safety net. Combined with limited and unequal labour market opportunities, women's vulnerability to poverty is significantly advanced by their propensity as single parent heads of households (UN Women, 2014).
	3. What are the main sources of income for households in the vulnerable areas (disaggregated by sex)?	- The largest occupational category continues to be the service and sales sector followed by clerical support work. Elementary occupations are the largest followed by professional and technical and associate professionals. - Men typically dominate the following sectors: Construction, Agriculture, forestry and fishing, Transportation - Women typically dominate the following sectors: Services (accommodation, tourism), Education, Social work, Financial and insurance activities - Young men are more likely to be unemployed than any other group
	4. What are the uses/needs of women and men when it comes to water, farming, energy, or other project-relevant sectors?	- Women usually have primary care responsibilities for household activities (Undifferentiated production of goods and services for household use); therefore women depend heavily on reliable water and

<sup>6</sup> Green Climate Fund Gender and Social Inclusion Action Plan Template, available via [http://www.greenclimate.fund/documents/20182/574712/Form\\_09\\_-\\_Gender\\_Assessment\\_and\\_Action\\_Plan\\_Template.pdf/3f4b8173-fbb2-4bc7-9bff-92f82dadd5c0](http://www.greenclimate.fund/documents/20182/574712/Form_09_-_Gender_Assessment_and_Action_Plan_Template.pdf/3f4b8173-fbb2-4bc7-9bff-92f82dadd5c0)

		<p>energy access at the household level otherwise they spend a lot of time trying to compensate for unreliable services</p> <ul style="list-style-type: none"> <li>- The needs are: They need water for basic way of living to include cooking, cleaning and drinking and overall taking care of their health and their household</li> <li>- Water is also needed to feed their livestock and their farming products</li> <li>- Farming: This is another source of income to provide for their family and it is another means of sustainable living. It is food security.</li> <li>- Cost of electricity is quite high in the target countries and therefore energy plays a part in reducing the costs</li> </ul>
	5. How do the current climate risks affect men and women?	<ul style="list-style-type: none"> <li>- It depends on their role and occupations. Women who work in the tourism/services sector will be out of work if a hurricane damages this sector; women in the supply chain such as cleaning fish will be affected when the hurricane destroys boats. Women heading households will have their problems compounded with additional duties</li> <li>- Drought has affected the supply of water to household which is essential for sustainable living.</li> <li>- Not enough water to feed their livestock and plants which affects their livelihoods (farming etc)</li> <li>- Unavailability of drinking water: some individuals cannot afford to purchase water in the supermarkets and therefore it becomes difficult to have access to water.</li> <li>- The climate is getting hotter which can cause sever health impacts such as heat strokes on men and women</li> <li>- Individuals are susceptible to vector-bourn diseases</li> </ul>
	6. Are there any legal barriers to women in the project-relevant sectors – property ownership, buildings, farming?	<ul style="list-style-type: none"> <li>- No legal barriers have been identified at this stage</li> </ul>
	7. Describe any community beliefs about the specific roles of women and men.	<ul style="list-style-type: none"> <li>- Heavy labor task assigned to men, food preparation, child care and domestic duties assigned to women</li> <li>- Men are the head of the household and are the bread winners. They are involved in farming, fishing, and heavy duty labour. However, the world is now evolving where women are now leaders, farmers, fishers, vendors etc. and still taking care of their family.</li> </ul>
<b>Who has what?</b> Ownership and access	1. Who owns the land and other product assets?	<ul style="list-style-type: none"> <li>- Both men and women</li> <li>- Some communities (e.g. Barbuda, the Kalinago community in Dominica) have a communal land ownership system</li> </ul>
	2. Describe household energy access and sources.	<ul style="list-style-type: none"> <li>- It is an essential service provided through a utility company with a monopoly in the OECS countries</li> </ul>

	3. How much do households spend on water and energy?	- Utilities account for approximately 20% of disposable income
	4. Do men and women have bank accounts and can they access finance to scale up their farming / business activities?	- Men and women, especially lower-income, save through box hand and have accounts at the credit union where there are less rigid eligibility criteria as oppose to other traditional banks. The credit union also provides low interest loans compared to other banking institution. on average women save more than men
	5. Do men and women benefit from construction sector, extension services (or other project-relevant services)?	- Extension services provided by Min of Agriculture which is more teaching and providing technical assistance than services such as ploughing marketing, supportive services for loan funds for water catchments, fencing etc. - Women are underrepresented in construction sector businesses, which is traditionally a male dominated industry
	6. How do men and women access information? Do they have access to different technologies?	- People can see and observe what is happening on other farms, in the homes; they share at meetings and word of mouth goes along way. - Different groups regularly host community consultations, media sensitization etc. - In some communities, they do not have access to computers and the web so the most effective means of access to communication is word of mouth, door to door and community consultations
	7. What are the levels of training / education?	- Practical knowledge and skills built up over many years of working
<b>Who does what?</b> Roles and responsibilities	1. How are men and women connected to markets / how do they participate in the economy?	- As producers, they sell and market their products but it is the women who are at the market and roadsides selling their products
	2. What would be the implications of the proposed intervention, given primary tasks and responsibilities by gender?	- Families innovate and juggle work and activities to get things done
	3. Who is responsible for child/elderly care and household tasks?	- Family members take on this responsibility
	4. What would be the best times to hold trainings for women and men on the new systems/technologies or skills to be delivered through the project?	- For community members, after normal working hours, and on Sundays after church - When hosting consultations, we also take into consideration the time it is being held. The most appropriate time is around 5PM and lasts no later than 7PM. The consultations are regularly held in well-lit and central areas to ensure women/men feel safe traveling to and from the consultations.
<b>Who decides?</b>	1. Who are the community leaders? Are there any women leaders?	- Many women are in our communities, bringing people together to find solutions to problems. We do not have designated community leaders

Participation in decision-making		but various individuals within the community takes on the responsibility in an effort to ensure the other community members are involved
	2. Are there women's organizations that are active in the targeted area targeted project can partner with?	- The solutions are multi-dimensional so the outreach, networking and building partnerships has to be done
	3. Do women and men participate (equally) in associations, management relevant to the project sector, and any other producer/user groups? Which ones?	- Women and men participate in community meetings where they know each other well
	4. Who manages / makes decisions in the household, notably around how money and time are spent?	- The women are the better spender-get more value for their
	Will both women and men be able to equally participate in using and learning about the new interventions in the proposed project?	- Yes, both men and woman will be able to equally participate - Women attend the meetings while men "lounge, play street games". At the community level, the project will need to provide targeted outreach to all groups
<b>Who benefits? Impacts</b>	1. Will the services from the project interventions be freely available to men and women? Are there any risks/restrictions on movement (security or cultural)? Are there any discriminations/risks to certain community members in terms of accessing the project benefits?	- Meetings held late at night are a risk; there must be adequate lighting for women and men to attend meetings - The services will be freely available to both men and women. As stated above, it is mandated by law that NGOs, Civil society organizations, governments, private sector whether women/men must be involved in decision making as it relates to environmental projects. It is mandated by Law and is also stated within the Department of Environment environmental and social safe guards that the Department of Environment is mandated to ensure that all environmental projects being executed within the OECS must conform and adhere to ESS and reduce the impacts of risks. Thus, we do not foresee any significant risks/restrictions as it relates to gender involvement.
	2. How will men and women benefit from the project interventions?	- Women in particular will benefit from the interventions at the household level - Men could benefit more from the construction sector jobs - Both men and women will have access to funding to develop their projects that will sustain their livelihoods - Flooding will be reduced in low line areas once the waterways are cleared - Since the community members are the ones being affected, then various consultations will be made to ensure we capture their thoughts, recommendations and identify risks to mitigate. - Awareness will be strengthened

	3. What will be the impact of the project interventions on women's workload and income?	- It is likely that women will take on more work, taking on more responsibilities
	4. Are there specific project impacts or benefits for women?	- Leadership opportunities; financial empowerment; skills building
	5. Will the project help create a better balance between women's productive and household tasks (e.g. childcare, domestic work)?	- More time will be spent out of the home but once women are committed, child care and other household tasks and activities will fit in. Women should be able to bring their children to meetings
	6. Will the project contribute to strengthening women's participation in decision-making? How?	- Allow them to start by sharing their interest and their experiences and overtime, courage and strength will be built up

## Recommendations for gender responsive Enhanced Direct Access

Recommendations from key literature on promoting gender in the Caribbean context, which the project can draw, will provide safeguards to ensure the different needs and priorities for gender are met<sup>7</sup>. Socio-demographic groups in the target countries that are vulnerable to poverty, unemployment and as such are exceptionally vulnerable to climate impacts include: youth, adolescent mothers, working class men, the homeless, the disabled, older men and women.

Specific interventions will promote equal participation and benefits by both women, men, boys, girls, and vulnerable groups:

- Identify opportunities to involve women in the construction sector: greater recruitment, training, certification and employment of women in all areas of infrastructural development
- Encourage workshops and trainings to be children-friendly, such as with on-site nursery or day care to enable mothers with young children to fully participate
- Provide gender sensitization/training to policy-makers, planners and analysts in the economic and social development sectors, in order to strengthen the linkages between economic growth, poverty reduction, and climate change impacts, to better respond to the specific needs of poor women, men, youth, the elderly and the disabled
- Ensure that adaptation sub-projects supported by the EDA are evidence-based in order to promote gender equity, and respond to the specific needs of poor women, youth, the elderly and disabled
- Poverty reduction strategies should target female-headed households, given the high prevalence of poverty among them. To enable them to engage in income-earning activities, women and teenage mothers need access to facilities or support for the care of their dependents as well as flexible working arrangements.
- Ensure that equitable provisions for elderly men and women are determined not only by their contribution to the formal wage sector, but an understanding of their contribution to the care economy (reproductive work in the home and community), contribution to subsistence agriculture, and participation in the informal economy
- Establish/strengthen systems/protocols/guidelines for collecting, collating and analysing sex-disaggregated data in ministries, departments, statutory bodies and other agencies
- Create an enabling environment for gender-responsive private sector development so as to facilitate women's full participation in growth, expansion and regional cooperation and trade

A Gender Action Plan for the Enhancing Direct Access project is in *Section IV*.

---

<sup>7</sup> Baksh, Rawwida and Associates, 2016. Country Gender Assessment (CGA) Synthesis. Prepared for the Caribbean Development Bank.

## IV. ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN

The EDA project will have a pre-inception phase for the project during which time activities under Component 1 will be initiated – namely, capacity building, training, and ensuring transparency in the decision-making Committees for each country. During this time, most of the training, policy, legal and other steps will be taken in preparation for the formal project launch. The ESMP has been designed to facilitate the following activities prior to project implementation:

- Designate the National Climate Change Committees in Dominica and Grenada
  - Evaluate and update procedures of the Committees to serve the EDA project
  - Appoint NGO and Private Sector Representation
  - All members sign the Code of Conduct and Ethics and understand the Conflict of Interest procedures
- Improve online visibility by adding project pages to existing websites (local Departments, national Governments and/or the OECS Commission website) for transparency
- Conduct capacity assessments (fiduciary, AML CTF, etc.) of potential Executing Entities in Dominica and Grenada, and develop a training plan
- Update the project Risk Register with any additional risks that have been identified or mitigation measures proposed
- The OECS M&E Unit will consultatively develop a monitoring and independent evaluation plan for the project
- Develop the Project Implementation Plan, which is a common document that all project partners can refer to, with clearly outlined roles and responsibilities

The ESMP will undergo more detailed assessment during the pre-inception phase to produce a Plan for the inclusion within the overall M&E strategy.

### Implementation Arrangements

#### **Accredited Entity**

The Department of Environment (DOE) is being accredited to the Green Climate Fund and will serve as the Accredited Entity for this project. The DOE will support project implementation by managing the project's funds, and assisting in monitoring project activities and compliance with the GCF's policies and procedures. The DOE will be responsible for recruitment and contracting of project personnel and consultants, including subcontracting. The DOE will monitor project implementation and the achievement of the project outcomes and outputs, and ensure that the funds provided are used efficiently. The DOE reports to the SIRF Fund Board and to the Cabinet of Antigua and Barbuda through the Ministry of Health and the Environment.



## General Project Execution Arrangements

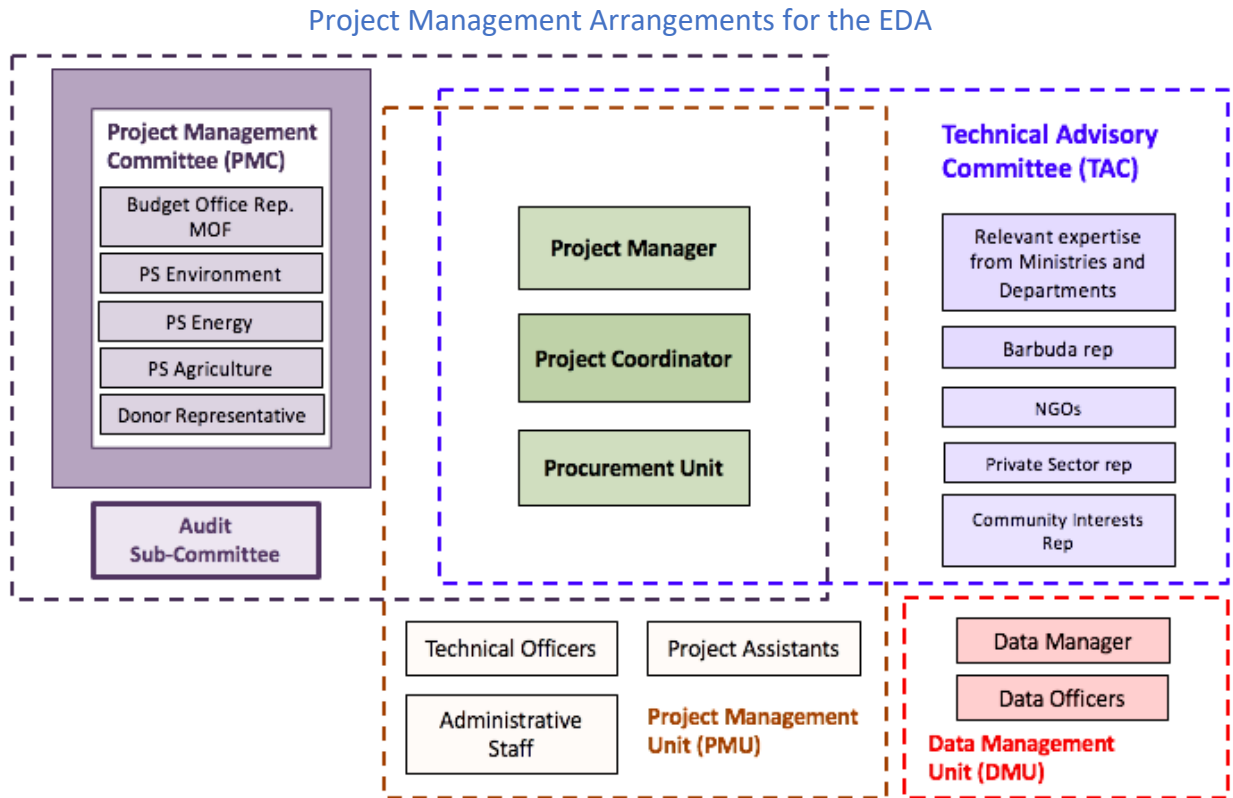


Figure 3. Project Management arrangements of the Accredited/Executing entity, the Department of Environment in Antigua and Barbuda

## Decision-making Arrangements

The respective National Climate Change Committees in each country will be empowered to make funding decisions, once transparency and NGO/Private Sector representation are met.

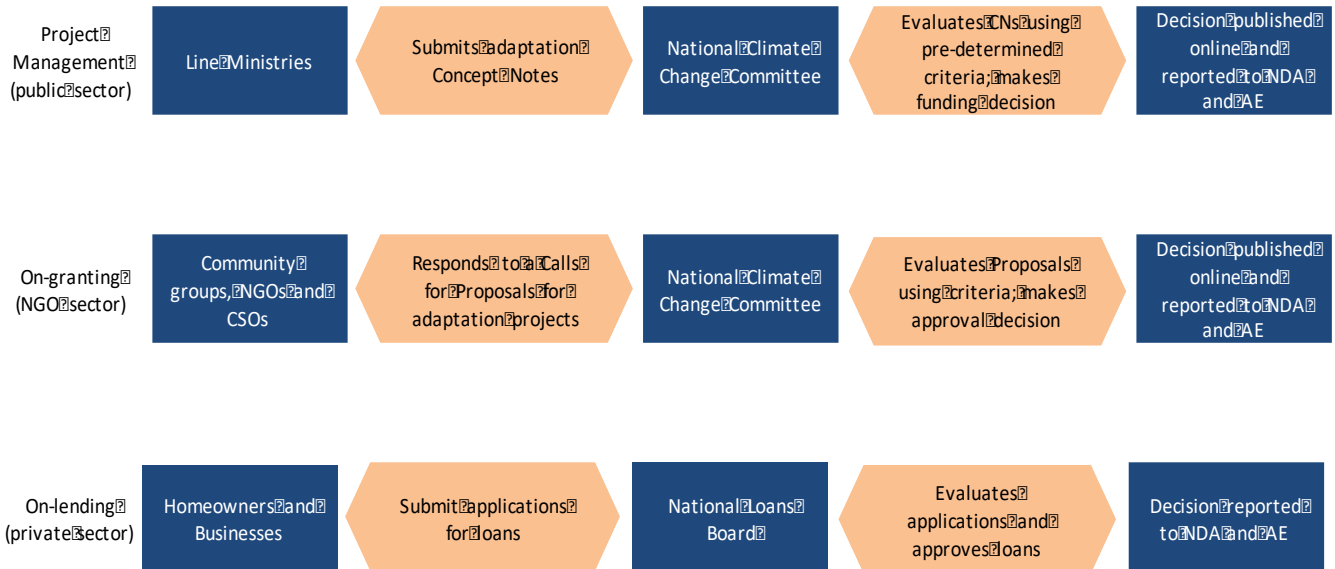


Figure 4. Decision-making approval process for the EDA project in the public, NGO and private sectors

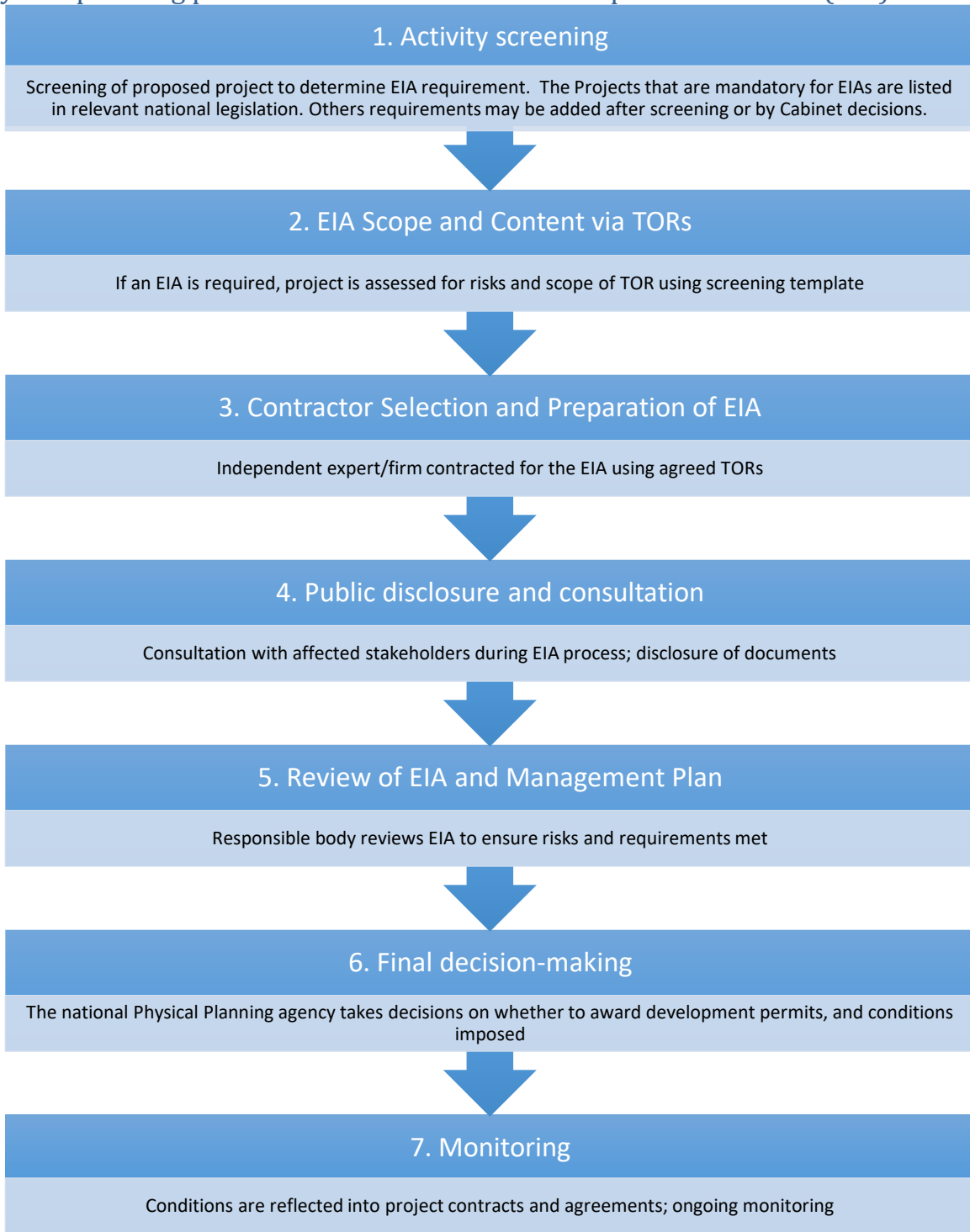
### Monitoring and Independent Evaluation

The OECS Commission recently went through structural reorganisation with part of the vision being to centralise its monitoring and evaluation functions. Prior to October 2016, each project being managed by the Commission would have an M&E Officer directly assigned to the Project Coordinator/Director. Though this was quite beneficial as the projects could conduct all M&E activities and initiatives through the M&E Officer, a significant disadvantage was the fact that at the end of the project, the officer and along with the institutional knowledge would be lost. Also, with a single M&E resource person, there was the inherent risk of delays due to unforeseen personal circumstances such as illness and/or exit of the officer from the organisation. This is a common challenge faced by all Small Island Developing States.

Projects being implemented by the OECS Commission have a regional and national component, and M&E is conducted at both levels. With the new organisational arrangement, it means that the capacity for M&E is being built at the Commission’s core administrative management level rather than at the level of the individual projects. This rearrangement is also designed to build capacity for M&E at the country level to facilitate the OECS’ aggregation role. Now, regardless of how their M&E is structured, projects are and will continue to be well supported.

At the OECS Commission, the Programme Management Unit (PMU) is responsible for Projects, Procurement and M&E. Its core functions include the coordination of operational procedures for development of Annual Work Plans, reporting processes, monitoring and evaluation. The work of the PMU is complimented by that of the Commission’s Statistical Services Unit (SSU) which would provide general statistical data, where available, to help feed M&E. The OECS Commission Programme Management/M&E Unit will provide independent evaluation services for the EDA project.

## Physical planning process for the Environmental Impact Assessment (EIA)



*Figure 5. Summary of the Environmental Impact Assessment process for all proponents*

## Project Risk Management

Of the four components, only indicative activities under Component 2 have the potential for negative impact on a scale that will require risk mitigation. Risks under Component 2 will be primarily addressed during the Environmental Impact Assessment and physical planning legal requirements. For Components 1, 3 and 4, recommendations are made to maximize the positive benefits and opportunities and ensure these are distributed in an equitable manner.

The tables presented below are excerpts from the EDA project Risk Register. The EDA Risk Register will be updated on a quarterly basis using Project Coordinator reports, technical studies, stakeholder inputs, and other sources, as described in the monitoring section. The Risk Register will inform annual audits and Compliance reports.

### Component 1. Building openness, transparency and stakeholder participation for enhanced direct access

Performance Standard	Risk	Description	Triggers	Mitigation measures <sup>8</sup>	Committee or Audit Recommendation (date)	Probability & impact (1–3)
<b>PS 1: Environmental and Social Risks and Impacts</b>	Transparency of national decision-making processes	All of the pilot countries have established oversight and decision-making functions, however these arrangements have different levels of transparency and accountability. The EDA project will strengthen these functions to promote a stakeholder-driven programmatic approach based on transparent criteria. This will promote	<ul style="list-style-type: none"> <li>Loss of confidence in the objectivity of the EDA decision-making processes</li> </ul>	<ul style="list-style-type: none"> <li>Establish a Grievance Mechanism at the sub-regional level and in Grenada and Dominica</li> <li>Improve the transparency of the national decision-making processes in each country by including NGO and Private Sector representation (currently not all Committees have participatory involvement)</li> <li>Identify national websites for regularly posting project information, as well as the OECS</li> </ul>		<p>P = 2 I = 3</p> <p>Overall rank: High (6)</p>

<sup>8</sup> The DOE responds to risks in four ways: Acceptance, Control, Avoidance and Transfer.

Performance Standard	Risk	Description	Triggers	Mitigation measures <sup>8</sup>	Committee or Audit Recommendation (date)	Probability & impact (1–3)
		good governance beyond the EDA project and have lasting benefits.		<p>Commission website (add a M&amp;E project page)</p> <ul style="list-style-type: none"> <li>• Outcomes of the funding decisions of National Committees shall be available online</li> <li>• Strengthen oversight functions with Readiness support</li> <li>• Track the gender representation on project Committees and decision-making bodies</li> </ul>		
<b>PS 2: Labor and Working Conditions</b>	Discriminatory hiring practices	<p>Biased procurement would undermine the goals of the EDA project to promote sustainable and equitable resilience to climate change.</p> <p>The project will seek to leverage its works and services contracts to actively promote non-discrimination and equal opportunity hiring practices.</p>	<ul style="list-style-type: none"> <li>• Biased procurement processes</li> <li>• Most competitive candidates are not selected due to other (unfair) factors</li> </ul>	<ul style="list-style-type: none"> <li>• Balanced representation of women and men on all Tender evaluation committees</li> <li>• All Request for Proposals and Tender documents issued under the EDA shall include a clause that states that: the tender process uses non-discrimination and equal opportunity hiring practices, and that persons with different abilities are encouraged to apply.</li> </ul>		<p>P = 2 I = 1</p> <p>Overall rank: Low (2)</p>
<b>PS 3: Resource Efficiency and Pollution Prevention</b>	Construction inputs for adaptation	Concrete adaptation activities can require inputs such as sand, wood, and stone, which can have a negative impact on	<ul style="list-style-type: none"> <li>• Ad hoc and rushed procurement does not adequately follow</li> </ul>	<ul style="list-style-type: none"> <li>• Design and implement a Sustainable Procurement strategy</li> <li>• The Sustainable Procurement strategy should also lower the</li> </ul>		<p>P = 2 I = 2</p> <p>Overall rank: Medium (4)</p>

Performance Standard	Risk	Description	Triggers	Mitigation measures <sup>8</sup>	Committee or Audit Recommendation (date)	Probability & impact (1–3)
		natural resources if not sustainably sourced.	sustainability criteria <ul style="list-style-type: none"> <li>• Negative impacts to natural resources</li> </ul>	cost through bulk sourcing of inputs from sustainable sources <ul style="list-style-type: none"> <li>• Training on sustainable procurement</li> </ul>		
<b>PS 7: Indigenous Peoples</b>	Opportunity for representation of Kalinago in decision-making or oversight bodies	Residents of the Territory are among the poorest in Dominica; the risk is that the project is not able to overcome barriers and engage in project decision-making.	<ul style="list-style-type: none"> <li>• Lack of representation of Kalinago interests</li> </ul>	<ul style="list-style-type: none"> <li>• Targeted outreach via local Territory governance<sup>9</sup></li> <li>• Procedures for Free, Prior, and Informed Consent (FPIC) of Affected Communities of Indigenous Peoples</li> </ul>		<p>P = 2 I = 2</p> <p>Overall rank: Medium (4)</p>

<sup>9</sup> Kalinago Territory website: <http://kalinagoterritory.com/contact-us/>

Component 2. Enhancing direct access for the public sector – concrete community-based adaptation flood prevention in waterways

Performance Standard	Risk	Description	Triggers	Mitigation measures <sup>10</sup>	Committee or Audit Recommendation (date)	Probability & impact (1–3)
<b>PS 1: Environmental and Social Risks and Impacts</b>	Minimizing ESS risks	National physical planning approval requires EIAs but may not adequately address climate-related risks	<ul style="list-style-type: none"> <li>Negative impacts to the Affected Communities</li> </ul>	<ul style="list-style-type: none"> <li>Environmental Impact Assessments (EIAs) for public sector interventions will be developed covering all 8 Performance Standards</li> <li>All activities under this Component are to receive physical planning approvals</li> </ul>		<p>P = 2 I = 2</p> <p>Overall rank: Medium (2)</p>
<b>PS 4: Community Health, Safety, and Security</b>	Ecosystem-based adaptation	Land use changes or loss of natural buffer areas could result in increased vulnerability and community safety-related risks and impacts	<ul style="list-style-type: none"> <li>Interventions do not adequately protect communities</li> </ul>	<ul style="list-style-type: none"> <li>Designs use ecosystem-based adaptation strategies where possible</li> </ul>		<p>P = 1 I = 2</p> <p>Overall rank: Low (2)</p>
<b>PS 4: Community Health, Safety, and Security</b>	Emergency preparedness and response	Project activities should have plans in place for, e.g. a Category 5 hurricane	<ul style="list-style-type: none"> <li>Preparations are not adequate for e.g. a Category 5 hurricane</li> </ul>	<ul style="list-style-type: none"> <li>Compliance with national emergency preparedness policies</li> </ul>		<p>P = 1 I = 2</p> <p>Overall rank: Low (2)</p>

<sup>10</sup> The DOE responds to risks in four ways: Acceptance, Control, Avoidance and Transfer.

Performance Standard	Risk	Description	Triggers	Mitigation measures <sup>10</sup>	Committee or Audit Recommendation (date)	Probability & impact (1–3)
<b>PS 5: Land Acquisition and Involuntary Resettlement</b>	Physical or economic involuntary resettlement	Physical or economic involuntary resettlement can negatively and disproportionately impact affected communities	<ul style="list-style-type: none"> <li>Economic (livelihoods) and physical involuntary displacement leaves communities disenfranchised</li> </ul>	<ul style="list-style-type: none"> <li>Activities that result in involuntary resettlement (whether economic or physical displacement) are ineligible for funding</li> <li>Training and sensitization on identifying involuntary resettlement risks</li> </ul>		<p>P = 1 I = 3</p> <p>Overall rank: Low (3)</p>
<b>PS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources</b>	Introduction or spread of invasive species	New invasive species could be introduced or project activities could lead to a spread in local invasives	<ul style="list-style-type: none"> <li>Border protection failure</li> <li>Locally invasive species undermine project benefits</li> </ul>	<ul style="list-style-type: none"> <li>Sustainable Procurement strategy includes biodiversity protection</li> <li>Local invasives are identified and their spread is contained</li> </ul>		<p>P = 1 I = 2</p> <p>Overall rank: Low (2)</p>
<b>PS 7: Indigenous Peoples</b>	Involvement of indigenous people in the Kalinago Territory of Dominica	Residents of the Territory are among the poorest in Dominica; the risk is that the	<ul style="list-style-type: none"> <li>Negative impacts to Kalinago</li> </ul>	<ul style="list-style-type: none"> <li>Targeted outreach via local Territory governance<sup>11</sup></li> <li>EIAs for activities in proximity to Kalinago Territory</li> </ul>		<p>P = 2 I = 2</p> <p>Overall rank: Medium (4)</p>

<sup>11</sup> Kalinago Territory website: <http://kalinagoterritory.com/contact-us/>



Performance Standard	Risk	Description	Triggers	Mitigation measures <sup>10</sup>	Committee or Audit Recommendation (date)	Probability & impact (1–3)
		project is not able to overcome barriers and benefit form opportunities.		address potential impacts <ul style="list-style-type: none"> <li>• Free, Prior, and Informed Consent (FPIC) of Affected Communities of Indigenous Peoples</li> </ul>		
<b>PS 8: Cultural Heritage</b>	Risks to cultural heritage	Environmental Impact Assessments do not adequately consider risks to cultural heritage	<ul style="list-style-type: none"> <li>• Loss of cultural heritage</li> <li>• Complaints from communities of impacts to cultural heritage</li> </ul>	<ul style="list-style-type: none"> <li>• EIA process includes potential impacts to cultural heritage</li> <li>• Follow good international standards under the Convention of Biological Diversity.</li> </ul>		<p>P = 1 I = 2</p> <p>Overall rank: Low (2)</p>

Component 3. Enhancing direct access for NGOs – small grants from for adaptation in community buildings – building resilience to droughts, flooding and hurricanes

Performance Standard	Risk	Description	Triggers	Mitigation measures <sup>12</sup>	Committee or Audit Recommendation (date)	Probability & impact (1–3)
<b>PS 4: Community Health, Safety, and Security</b>	Ecosystem-based adaptation	Land use changes or loss of natural buffer areas could result in increased vulnerability and community safety-related risks and impacts	<ul style="list-style-type: none"> <li>Interventions do not adequately protect communities</li> </ul>	<ul style="list-style-type: none"> <li>Designs use ecosystem-based adaptation strategies where possible</li> </ul>		<p>P = 1 I = 2</p> <p>Overall rank: Low (1)</p>
<b>PS 7: Indigenous Peoples</b>	Involvement of indigenous people in the Kalinago Territory of Dominica	Residents of the Territory are among the poorest in Dominica; the risk is that the project is not able to overcome barriers and provide opportunities.	<ul style="list-style-type: none"> <li>Lack of proposals from the Kalinago community</li> </ul>	<ul style="list-style-type: none"> <li>Translations into local languages for Community RFPs</li> <li>Targeted outreach via local Territory governance<sup>13</sup></li> </ul>		<p>P = 2 I = 2</p> <p>Overall rank: Medium (4)</p>

<sup>12</sup> The DOE responds to risks in four ways: Acceptance, Control, Avoidance and Transfer.

<sup>13</sup> Kalinago Territory website: <http://kalinagoterritory.com/contact-us/>

Component 4. Enhancing direct access in the private sector – revolving loans for resilience in buildings (homes and businesses)

Performance Standard	Risk	Description	Triggers	Mitigation measures <sup>14</sup>	Committee or Audit Recommendation (date)	Probability & impact (1–3)
<b>PS 3: Resource Efficiency and Pollution Prevention</b>	Discarded appliances and efficiency of new appliances	The purchase of energy efficient appliances under the Revolving Fund programme may result in pollution if discarded appliances are not adequately disposed of.	<ul style="list-style-type: none"> <li>• Increase in solid waste disposal of appliances</li> <li>• Pollution in the environment</li> </ul>	<ul style="list-style-type: none"> <li>• ISO standard for Environmental Management Systems (EMS) in buildings</li> <li>• Revolving Fund purchases shall use Energy Star and other efficiency ratings</li> <li>• Partner with local E-waste businesses to properly dispose of appliances</li> </ul>		<p>P = 2 I = 1</p> <p>Overall rank: Low (2)</p>
<b>PS 7: Indigenous Peoples</b>	Involvement of indigenous people in the Kalinago Territory of Dominica	Residents of the Territory are among the poorest in Dominica; the risk is that the project is not able to overcome barriers and provide opportunities.	<ul style="list-style-type: none"> <li>• Lack of applications for concessional loans from the Kalinago community</li> </ul>	<ul style="list-style-type: none"> <li>• Translations into local languages for Revolving Loans opportunities</li> <li>• Targeted outreach via local Territory governance<sup>15</sup></li> </ul>		<p>P = 2 I = 2</p> <p>Overall rank: Medium (4)</p>

<sup>14</sup> The DOE responds to risks in four ways: Acceptance, Control, Avoidance and Transfer.

<sup>15</sup> Kalinago Territory website: <http://kalinagoterritory.com/contact-us/>

## Environmental, Social and Gender Activity Risk Screening

The following ESG screening template has been developed to assist the applicants to consider environmental and social factors as they develop activities to be submitted under Components 2, 3 and 4 of the EDA project.

Table 9. ESP Screening Checklist for compliance with the Environmental and Social Principles

Checklist of Environmental and Social Principles (ESP)	Activity for which screening is being conducted:			
	Existing Risk	Impact: Activity will have <u>positive</u> impact	Impact: Activity will have <u>negative</u> impact	Justify selection/Change of risk levels and justification for this.
<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>				
<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>				
------------------------------------	--	--	--	--

### Ineligible activities

EDA project funds shall not be directly or indirectly used for:

1. Operation or administrative costs of ministries, departments or agencies of the Government of any country;
2. Salaries for executive officers and core staff of non-governmental organizations, except for such salaries related to services performed by such persons specifically for the purposes of achieving the objectives of the funds received from the project. In this case the amount of funding may be limited by the SIRF Fund General Board;
3. Activities relating to the extraction or depletion of non-renewable natural resources (including inter alia forests, trees, beach sand, ghut sand and oil/gas);
4. The involuntary resettlement of people or the removal or alteration of any physical cultural property under any circumstances; or
5. Any other use that is deemed to be inconsistent with the general objective of national environmental legislation.

This list of exclusionary activities may be amended upon the recommendation of the Technical Advisory Committee (TAC), and approval of the Project Management Committee (PMC) and the SIRF Fund General Board, to ensure that SIRF Funds are only used for the purposes of the effective implementation of the project and the EPMA, as provided for in the DOE Manual on Grants and the Revolving Fund.

### Public Consultation Strategy

Community resistance to redevelopment projects can slow them down or prematurely kill them. On the other side of the coin, fear of opposition can push development efforts away before they even get started. Winning over skeptical residents can appear a daunting task, but it is one worth making, and early and consistent stakeholder engagement is a critical component of project success.

The project’s stakeholder and community consultations should follow the Department of Environment’s Stakeholder and Community Consultation Strategy (July 2016), including the step-by-step guidance and for capture, analysis and reporting of feedback.

*Table 10. Project Timeline for Community Consultations*

<b>Frequency</b>	<b>Responsibility</b>	<b>Purpose</b>	<b>Suggested Outputs</b>
------------------	-----------------------	----------------	--------------------------

Three-month pre-inception phase	Accredited Entity and project partners	Training programme tailored to the needs of the community members and project implementers	Network of validated project partners
Project inception	OECS M&E Unit	To gather baseline socio-information	Baseline data
As needed and at least every three (3) months – rotating communities	Accredited Entity	Distill any impacts of interventions such as clearing of the waterway, construction waste, challenges with the loans; review the 15 ESP principles; and notify the public about the Grievance Mechanism	Assessment of impacts of project activities and plans for mitigation measures

### Information disclosure requirements

This initial Environmental and Social Management Plan will be disclosed by the Accredited Entity via electronic links in the AE’s website and convenient locations for affected peoples, and the GCF shall disclose such reports on its website, in accordance with the GCF Information Disclosure Policy. For the EDA as a Category B/1-2 project, this is required to be posted 30 days before the GCF’s Board date.

Subsequent EIAs and other environmental reports will be posted online 30 days prior to Committee meetings where funding decisions will be taken for Component 2 (public sector adaptation interventions).

Monitoring and Evaluation reports prepared by the OECS Commission M&E Unit will be posted on the OECS and Department of Environment website, in accordance with the GCF Information Disclosure Policy.<sup>16</sup>

### Grievance Mechanism

The Department of Environment has an established Complaints Procedure, which will be used as the project’s Grievance Mechanism. This is covered in the DOE’s Code of Conduct and Ethics<sup>17</sup>, which all staff, contractors and consultants are required to sign and adhere. Complaints pertaining to project activities will be direct to designated personnel in the Project Management Unit (PMU).

<sup>16</sup> Summary of Information Disclosure Requirements for key GCF documents: [http://www.greenclimate.fund/documents/20182/401322/Summary\\_of\\_disclosure\\_standards\\_for\\_key\\_GCF\\_documents.pdf/7ab36636-654e-4d0a-912d-6df445c031c4](http://www.greenclimate.fund/documents/20182/401322/Summary_of_disclosure_standards_for_key_GCF_documents.pdf/7ab36636-654e-4d0a-912d-6df445c031c4)

<sup>17</sup> Code of Conduct and Ethics, Department of Environment: [http://www.environmentdivision.info/UserFiles/File/NIE\\_-\\_Code\\_of\\_Conduct\\_-\\_Working\\_draft\\_NN-1.pdf](http://www.environmentdivision.info/UserFiles/File/NIE_-_Code_of_Conduct_-_Working_draft_NN-1.pdf)

The public can submit complaints related to the mandate of the Department of Environment via the following channels:

- On the DoE's website:  
[http://www.environmentdivision.info/submit\\_a\\_complaint\\_en\\_365cms.htm](http://www.environmentdivision.info/submit_a_complaint_en_365cms.htm)
- Filling out the form and emailing it to [antiguaenvironmentdivision@gmail.com](mailto:antiguaenvironmentdivision@gmail.com)
- In writing to: Director, Department of Environment, Ministry of Health and the Environment, #1 Victoria Park Botanical Garden, P.O. Box W693, St. John's Antigua
- By email: [antiguaenvironmentdivision@gmail.com](mailto:antiguaenvironmentdivision@gmail.com)
- By Phone: Monday to Thursday: 8am to 2pm, Fridays: 8 am to 12 pm, by calling: (268) 462 4625; (268) 562-2568; (268) 460-7278
- Depending on the nature of the complaint, or if for any reason the complainant is unwilling to make a report to the Department of Environment, they can submit a complaint to their parliamentary representative.

When a complaint is communicated, the following information is recorded:

- The nature of the problem
- The location of the problem
- When the problem occurred (date and time)
- Who or what is the perceived source of the problem
- Any information or evidence you may have—particularly eyewitness information, documents or photographs, a videotape, or a water or soil sample (the information or evidence must be credible and relate directly to the incident being reported).
- The contact information of the complainant

Complaints will be handled by staff at the Department of Environment, who will investigate the complaint. This process usually includes an on-site investigation. The Department may invite other relevant agencies to participate in the investigation. During the investigation, the individuals or agencies responsible for action to correct the issue will be identified. The Department will produce a report of its findings and recommendations and action if necessary. Complainants may request for a copy of the reports related to the complaint, as per the Freedom of Information Act.

Once the Department has completed its investigations, the Department will notify the complainant, either verbally or in writing, about the results.

There are several steps that ensure that the complainant has every opportunity for their views to be heard and an equitable solution to be found. The steps are as follows:

- ✓ **The Department of Environment** – Complaints are brought to the Department and a process is set in motion to address the concerns.
- ✓ **The Ministry of Health and the Environment** – If the complainant is not happy with the response of the Department, they can contact the office of the Permanent Secretary of the Ministry of Health and the Environment and make a complaint to the higher level.

- ✓ **The Office of the Minister** – If steps 1 and 2 do not result in a satisfactory outcome then the complainant can contact the office of the Minister of Environment.
- ✓ **The Ombudsman** - The office of the Ombudsman is an independent authority set up to uphold information rights in the public interest, promoting openness by public bodies and data privacy for individuals. This is done by promoting good practice, ruling on complaints, providing information to individuals and organisations and taking appropriate action when the law is broken.
- ✓ **The Legal System** – If the complaint has not been resolved satisfactorily by taking the steps 1 to 4, then the aggrieved complainant may proceed with legal action.



## IV. GENDER AND SOCIAL INCLUSION ACTION PLAN



Project Title: *Enhancing direct access in the public, private, and civil society sectors of Antigua and Barbuda, Dominica, and Grenada*  
**Gender Action Plan**

A project/program-specific Gender and Social Inclusion Action Plan (GAP) is a tool used to ensure gender mainstreaming is clearly visible in project/program design and implementation<sup>18</sup>. This Gender Action Plan will serve as a key guiding tool throughout the delivery of the project, *Enhancing direct access in the public, private, and civil society sectors of Antigua and Barbuda, Dominica, and Grenada*. This project has been developed in response to the Request for Proposals issued by the Green Climate Fund (GCF) in 2016, with the objective of piloting the EDA modality for stronger local multi-stakeholder engagement. At the time of application, indicative activities have been identified; however, consistent with the EDA Request for Proposals, the project will build the capacity of and empower decision-making committees to enhance country ownership of projects and programmes by devolving decision making at country level, thereby allowing greater involvement and input from impacted stakeholders.

The Gender Action Plan presented below identifies key project activities and indicative outputs through which gender specific strategies, actions and outcomes will be progressed and monitored. The Plan will be reviewed and refined during the inception phase, which will also ensure that all project stakeholders have the opportunity to identify issues and are aware of responsibilities for delivering and monitoring the Gender Action Plan. Implementation arrangements of the project include an ESS and gender expert as part of the technical evaluation committee that will provide technical advice in the decision-making process of the project's sub-activities.

---

<sup>18</sup> GCF Gender Analysis/Assessment and Gender and Social Inclusion Action Plan Templates [http://www.greenclimate.fund/documents/20182/574712/Form\\_09\\_-\\_Gender\\_Assessment\\_and\\_Action\\_Plan\\_Template.pdf/3f4b8173-fbb2-4bc7-9bff-92f82dadd5c0](http://www.greenclimate.fund/documents/20182/574712/Form_09_-_Gender_Assessment_and_Action_Plan_Template.pdf/3f4b8173-fbb2-4bc7-9bff-92f82dadd5c0)

Table 11. GCF EDA project Gender and Social Inclusion Action Plan (GAP)

Project Activity	Indicators and Targets	Timeline (launch)	Responsibilities	Costs
<b>Impact:</b> Increase the resilience of at least 5% of the population in the Eastern Caribbean pilot countries to climate variability and change, of which 50% are women, through adaptation in infrastructure, strengthened buildings, and enhanced ecosystem services.				
<b>Outcome:</b> Decision-making on climate adaptation in the Government, private and NGO sectors is devolved to the national/sectoral level for greater involvement of those affected by climate change, particularly low-income women, youth, persons with disabilities, older men and women, supporting greater impact and scale of adaptation actions in the pilot countries.				
<b>Output:</b> Strengthened capacity and operations of six transparent sustainable financing mechanisms for supporting adaptation in the OECS sub-region, including sustainable financing targeting the most vulnerable people and communities				
<b>Train women and vulnerable groups to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures</b>	<p>% female of people trained</p> <p>Effective participation in pilot climate change scenarios</p> <p>Participants complete questionnaires before and after training to evaluate learning</p> <p>Participants required to create a social media intervention and hashtag to share information learned with the wider community</p>	Year 1 (Q2)	<p>Executing entities in each of the pilot countries</p> <p>OECS Commission (M&amp;E)</p>	USD 30,000 / country
<b>Inform and train women, PWDs, indigenous people, other vulnerable groups how to access and utilize the complaints mechanism and empower them as “allies” within their communities to share this knowledge with others who are likely to benefit</b>	<p>Number of “ally interventions” or awareness sessions – either one-on-one/group based conducted by women</p> <p>Social media campaign made by women for women</p> <p>Number of complaints received through the complaints mechanism</p>	Year 1 (Q2)	Accredited Entity; Executing entities in each of the pilot countries	USD 20,000 / country

Project Activity	Indicators and Targets	Timeline (launch)	Responsibilities	Costs
<b>Nominate 1 woman and 1 PWD/vulnerable group from an NGO/CSO to the Steering Committee (oversight function)</b>	At least one member of the Steering Committee represents the interests of vulnerable groups  Steering Committee is gender balanced	Year 1 (Q1)	NDA; Accredited Entity  OECS Commission (M&E)	N/A
<b>Output:</b> Six (6) grants are awarded to Government departments in the pilot SIDS for resilience of public infrastructure assets value at USD 25 million to climate variability and change, considering human benefits, particularly benefits for vulnerable groups.				
<b>All Environmental Impact Assessments (“EIAs”) to include gender and social inclusion assessments and action plans</b>	% EIAs that include gender and social inclusion assessments and action plans (target: 100%)	Year 1 (Q3)	Executing entities  OECS Commission (M&E)	USD 300,000  (mainstreamed in EIA budgets)
<b>Provide entrepreneurship training for women, PWDs, and other vulnerable groups in services related to delivery of climate change information, adaptation and resilience services, e.g. EIAs, construction, project management, procurement, M&amp;E, etc.</b>	Number of women, PWDs, other vulnerable groups enrolled in continuous training in entrepreneurship as it relates to climate change adaptation and resilience services  Partnership with entrepreneurship agency and/or universities to facilitate training  Development and submission of business plans and assignment of mentors	Year 1 (Q2)	Executing entities	USD 50,000 / country
<b>Sustainable procurement of goods and services to include a fixed percentage of women and PWDs in tenders to ensure that they benefit from economic opportunities created through the construction and agricultural sectors</b>	Clear percentage of women and PWDs indicated in procurement process  Number of contracts awarded to women/ PWDs	Year 1 (Q2)	Accredited Entity; OECS Commission; Executing entities  OECS Commission (M&E)	USD 30,000 (via Readiness support that the OECS Commission is applying for)

Project Activity	Indicators and Targets	Timeline (launch)	Responsibilities	Costs
<b>Nominate 1 woman and 1 PWD from a CSO/NGO to represent these key issues on the decision-making body for the public sector</b>	Ensures that rights, needs and challenges faced by women and PWDs are adequately represented and that gender is prioritized within the decision-making body	Year 1 (Q1)	NDA; Steering Committee  OECS Commission (M&E)	N/A
<b>Output:</b> Sixty (60) small grants awarded to civil society organizations/NGOs including women, PWDs and other vulnerable groups, to strengthen community shelters and other communal facilities, including community shelters, against climate variability and extreme events				
<b>Train women, persons with disabilities and other vulnerable groups to ensure that community assets are more resilient to climate variability and change</b>	<p>Number of women, PWDs, CSOs and NGOs trained (%) in protecting public infrastructure assets, including community shelters</p> <p>Participation in resilience scenarios to protect public infrastructure assets</p> <p>Phased pitch competition for women and PWD- led CSOs/ NGOs to bolster community shelters against climate change</p> <p>Award of grants in three phases, with relevant monitoring and evaluation, for the top sixty (60) proposals</p> <p>Time from receipt of proposal to approval to first grant disbursement</p> <p>A media team films the process of bolstering public infrastructure assets</p>	Year 2 (Q1)	Executing entities  OECS Commission (M&E)	USD 30,000 / country

Project Activity	Indicators and Targets	Timeline (launch)	Responsibilities	Costs
	and includes interviews with women and PWDs. This is shared via media channels to increase public awareness on protecting public infrastructure assets			
<b>Nominate 1 woman and 1 PWD/vulnerable group from a CSO/NGO to represent these issues on the decision-making body for the public sector</b>	Ensures that rights, needs and challenges faced by women, PWDs and other vulnerable groups are adequately represented and that gender is balanced within the Steering Committee	Year 1 (Q3)	NDA; Steering Committee  OECS Commission (M&E)	N/A
<b>Output:</b> 300 vulnerable households and 100 businesses use Fund-supported microfinancing to respond to climate variability and projected climate change, of which approximately 40% are female-headed				
<b>Design an integrated health and wellbeing outreach programme for women, PWDs, and vulnerable groups directly related to climate change risk management and resilience</b>	Number of women and PWDs enrolled in continuous training in entrepreneurship and workshops for health/wellbeing as it relates to climate change risk management and resilience  Partnership with entrepreneurship agency and/or universities to facilitate training  Development and submission of applications/business plans and assignment of mentors	Year 2 (Q1)	Executing entities	USD 70,000 / country
<b>Launch media campaign to advertise this training and EDA Revolving Fund opportunities available</b>	Media outreach (print, social media and television)  Number of applications received  400 micro-finance loans awarded with relevant monitoring, evaluation and learning systems in place	Year 2 (Q3)	Executing entities  OECS Commission (M&E)	USD 30,000 / country

Project Activity	Indicators and Targets	Timeline (launch)	Responsibilities	Costs
	<p>Time from receipt of application to approval to first loan disbursement</p> <p>Approval of loans in four phases, with relevant monitoring and evaluation, for the four hundred (400) proposals</p>			
<p><b>Nominate a CSO/women’s organization representative to the Loans Board decision-making body</b></p>	<p>Ensures that rights, needs and challenges faced by women and PWDs are adequately represented and that gender is prioritized within the Steering Committee</p>	<p>Year 1 (2)</p>	<p>NDAs; Steering Committee</p>	<p>N/A</p>

## VI. MONITORING, REPORTING AND EVALUATION ARRANGEMENTS

The Accredited Entity is responsible for monitoring project implementation and the achievement of the project outcomes and outputs, and ensuring that the funds provided are used efficiently.

While all staff members have a role in ensuring risk management, the Director of the Department, as NIE, is ultimately responsible for implementation of the risk mitigation measures. The Director oversees the reporting to the SIRF Fund Board and to the Cabinet of Antigua and Barbuda through the Ministry of Health and the Environment, which promotes accountability and transparency.

The iterative monitoring, reporting and evaluation process is illustrated in the figure below and is the mechanism through which the project and its unidentified sub-projects will promote compliance with the IFC Performance Standards<sup>19</sup> throughout implementation and in a comprehensive way. The mechanism is a five-step process that aligns M&E across the components of the project, and involves the institutional actors in the Figure below.

### Roles and responsibilities

#### **The Director of the DOE/NIE:**

6. promotes the development of a culture that supports effective risk management and innovation, and that encourages effective risk taking in line with DOE's risk appetite;
7. integrates risk management into Programs, Projects and functions so that it is a fundamental part of how the DOE works;
8. ensures that risks are managed effectively, which includes identifying, analysing, responding to, reviewing and reporting on risks;
9. assigns accountability to staff for managing risks within their areas of responsibility, levels of authority and competence; and
10. allows for the systematic review of risk management to ensure its effectiveness and adherence to DOE's risk appetite and project risk categorization.

**Audit Committee:** The Audit Committee advises the Director and Management Team on the effectiveness of DOE's internal control systems, including risk management. Its terms of reference require it to ensure that the policy is working effectively and that risk is being properly managed. It also reviews internal and external audit reports, and provides advice on the independence, effectiveness and quality of DOE's internal audit functions.

**Internal Auditor:** The Internal Auditor provides assurance to management regarding the effectiveness of DOE's internal control systems, governance, risk management processes and on how well the DOE is meeting its objectives. It also contributes to the assessment of risk

---

<sup>19</sup> IFC Performance Standards on Environment and Social Sustainability:  
[https://www.ifc.org/wps/wcm/connect/c8f524004a73daeca09afdf998895a12/IFC\\_Performance\\_Standards.pdf?MOD=AJPERES](https://www.ifc.org/wps/wcm/connect/c8f524004a73daeca09afdf998895a12/IFC_Performance_Standards.pdf?MOD=AJPERES)

management processes, the effectiveness of risk responses and the completeness and accuracy of risk reporting.

**Director of Operations:** The Director of Operations (DOO) is responsible for ensuring that the DOE manages risk effectively, especially risks that affect DOE as a whole. It establishes Department targets for all risk levels, monitors progress and keeps apprised of the high-level risks facing DOE. The DOO is responsible for reporting escalating high-level risks to the Director and for ensuring that the Department's managers understand and are assigned risk for which they are responsible are managed effectively.

**Staff:** All staff are required to familiarize themselves with DOE's directives on Department risk management, comply with internal control measures, and escalate (report) them to their managers when appropriate.

**Project Management Unit (PMU):** The PMU is the internal custodian of Department's risk management with respect to projects and programs. It informs the DOO on risk and performance management, develops and updates Project and program risk management tools, coordinates risk management activities, facilitates the identification and evaluation of risks, and maintains the Department's risk management framework, ensuring that it is relevant and that it supports DOE's mandate. Performance and risk management champions in this Unit support risk monitoring and mitigation actions and ensure that performance and risk management tools are used in the offices.

**Senior Management:** Senior managers are responsible for ensuring that risks are managed effectively and reported. They are to ensure that responsibility is allocated for keeping risk registers up to date and for taking appropriate mitigation actions. They are responsible for ensuring that risks related to their office's objectives are identified, analysed and appropriately addressed.

**Director of Audit:** External audits independently assess the effectiveness of risk management and risk identification and control processes, including mitigation actions. Evaluations inform all stakeholders about the quality and effectiveness of policies, strategies and operations, and the efficiency of their implementation.



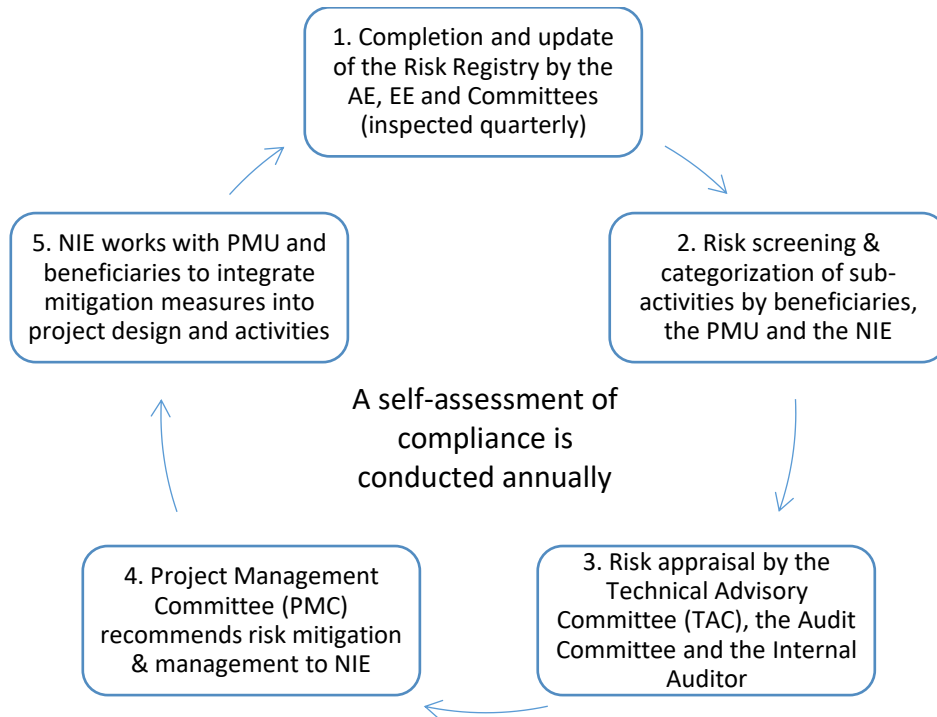


Figure 6. Quarterly risk screening, monitoring and risk management process

However a risk may be handled, the actions must be documented and kept on file.

### 1. Completion and update of Risk Registry

The Risk Registry lists all identified risks that may undermine the project’s ability to achieve its objective, and risks related to the ESP principles that may result from implementation of project activities. The risks should be as comprehensive as possible to include all identifiable risks and generally includes estimated **probability** of the risk event to occur, and **severity** or possible impact of the risk.

The Risk Registry requires that the following be included and tracked:

1. Description of the risk identified
2. Potential consequence
3. Mitigation measures
4. PMC recommendation
5. Risk category
6. Probability & impact: the likelihood (probability) of the event arising, and the impact (consequences) of the event on the project if it occurs

The PMU and the NIE have established the project’s Risk Registry, which is included in Appendix 12 to the project document. The Risk Registry will be appraised and updated on a quarterly basis.

## 2. Risk screening & categorization of sub-activities

Risk screening will be conducted by the PMU and the NIE for the three components of the project using the ESP Screening Checklist for compliance with the Environmental and Social Principles (see ESP Screening Checklist below) and Gender (project analysis tools in Annex 3).

Under Component 1, the ESP risk screening will be conducted as part of the ESMP, before and throughout implementation of the waterway adaptation activities. For Component 2, the ESP risk screening will be conducted by the applicant and the Loan Officer when the application is initially made. For Component 3, the screening takes place during Phase 1 of the Call for Proposals, and subsequently during implementation, monitoring and reporting by the beneficiaries.

The inputs listed above will provide ESP risk screening data on activities being implemented in the relevant quarter. The PMU and the NIE will compile the information for each component and categorize the sub-activities, using the following criteria:<sup>20</sup>

Category A	Likely to have significant adverse Environmental & Social impacts that are diverse, widespread, or irreversible
Category B	Potential adverse impacts that are fewer in number, smaller in scale, less widespread, reversible or easily mitigated
Category C	No adverse Environmental & Social impacts

The PMU with assistance from the NIE will report the findings of the ESP screening and categorization process to the TAC, the Audit Committee and the Internal Auditor.

## 3. Risk appraisal by the TAC, the Audit Committee and the Internal Auditor

The PMU and the NIE will present the ESP risk report electronically and through a verbal presentation to the TAC, the Audit Committee and the Internal Auditor on a quarterly basis. The appraising entities will use the baseline assessment in the Table below to evaluate the risks and identify mitigation measures where USPs are not consistent with the baseline.

After appraising the risks and identifying mitigation actions, the original PMU report and the outputs of the appraisal process will be submitted to the PMC.

## 4. Recommend risk mitigation & management interventions

The Project Management Committee (PMC) is responsible for assessing the risks and recommending risk mitigation & management actions to be implemented. The PMC may seek to bring in experts in ESS and Gender, or other disciplines as appropriate, and will draw on the expertise across the Government and civil society in Antigua and Barbuda, including the

---

<sup>20</sup> No individual sub-activities will be approved or implemented that are categorized as a Category A.

Directorate of Gender Affairs, the Community Development Division in the Ministry of Social Works and Transformation, among others.

The PMC's recommendations will be documented and transmitted to the NIE to oversee their implementation. The PMC and the DOE/NIE will respond to risks in four ways:

7. **Acceptance** – Risk is accepted without the need for any mitigating measures; DOE's existing internal controls suffice.

Case Study:

*Risk:* Failure of the "Movies in the Park" as the event depends on staff working outside of their usual hours without payment.

*Action:* None

*Result:* Event remains successful

*Risk Score:* Low

8. **Control** – Mitigation measures are implemented to reduce the risk to an acceptable level.

Case Study:

*Risk:* Failure of the Prisoner Rehabilitation Program (Men Against Negative Attitudes – MANA Programme).

*Action:*

1. Designation of prison officers to the program
2. Proper security procedures
3. Provision of kitchen & bathroom facilities at the work site
4. Assignment of a Program Director and driver for PRP
5. The prisoners are transported directly to the work site without being in transit through the DOE.

*Result:* The mitigation measures led to the risk being brought down to acceptable levels

*Risk Score:* High (before mitigation) to low (after mitigation)

9. **Avoidance** – An activity may be terminated if it is deemed too risky.

Case Study:

*Risk:* Failure to provide a safe working environment for the employees of DOE

*Action:* Termination of an employee who was deemed to pose a risk to the safety of other employees at the DOE. The employee in question was displaying poor behavior. There were several altercations between him and the staff which had the potential to turn violent. This employee was terminated.

*Results:* The continued employment of this member of staff was too risky to the safety of the other DOE employees. Termination led to the avoidance of this risk.

*Score:* High (before mitigation) to low (after mitigation)

10. **Transfer** – The risk is transferred to a third party. (For example, insurance is taken out or work is sub-contracted to a third party that can operate at less risk.)

Case Study:

*Risk:* Risks associated with Renewable Energy (RE) are:

1. Loss of life – faulty construction can cause serious injury or death.
2. Reputational risk where if the R.E. (wind) doesn't meet expectations can cause public perception to be critical of future ventures.
3. Financial risk to the future of further investments or grants to further develop this brand of R.E. or may also affect further ventures of the DOE adversely.

*Action:* To transfer the risk to an independent contractor

*Result:* No risk to the department

*Score:* High (before mitigation) to low (after mitigation)

Whether a risk is accepted, controlled, avoided or transferred, the actions required to implement the risk response need to be documented and the responsibility assigned to the appropriate personnel for implementation.

#### 5. Integrate mitigation measures into project design and activities

Upon receiving the recommended actions from the PMU, the Accredited Entity will work with Executing Entities, project partners and beneficiaries to integrate mitigation measures into project design and activities. The NIE/DOE will oversee that the PMU updates the Risk Registry and tracks mitigation actions. The Risk Registry will be inspected by the PMC on a regular basis, and briefings provided to the Audit Committee.

#### Annual external independent audit

External audits will be conducted by an independent evaluator on an annual basis for this project. A suitably qualified person or firm will be hired through a competitive procurement process to examine and report on the DOE's governance arrangements, including arrangements in place for compliance with the IFC Performance Standards.

## Annex 1. Bibliography

- Agritrade: Special report: The Caribbean Community Agricultural Policy: Challenges ahead: 2012
- Ahmad, N. (1984) "Land capability of Antigua and Barbuda", Government of Antigua and Barbuda and Organization of American States
- Baksh, Rawwida and Associates, 2016. Country Gender Assessment (CGA) Synthesis Report. Prepared for the Caribbean Development Bank (CDB). <http://www.caribank.org/wp-content/uploads/2016/05/SynthesisReportCountryGenderAssessment.pdf>
- Baksh, Rawwida, 2014. Country Gender Assessment (CGA) for Grenada. Prepared for the Caribbean Development Bank (CDB) and the Ministry of Social Development and Housing, Government of Grenada. [http://www.caribank.org/uploads/2014/12/CGA-Grenada\\_JANUARY2014\\_FINAL.pdf](http://www.caribank.org/uploads/2014/12/CGA-Grenada_JANUARY2014_FINAL.pdf)
- Baptiste 2014. Land Degradation Assessment in Grenada. [Presentation]. Land-Use Division, Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment.
- Baptiste 2014. Land Use and Land Degradation in Grenada. [Presentation]. Land-Use Division, Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment.
- BirdLife International. 2012. *Charadrius melodus*. The IUCN Red List of Threatened Species 2012: e.T22693811A38760515. <http://dx.doi.org/10.2305/IUCN.UK.2012-1.RLTS.T22693811A38760515.en>. Downloaded on 10 July 2016.
- BirdLife International. 2012. *Charadrius melodus*. The IUCN Red List of Threatened Species 2012: e.T22693811A38760515. <http://dx.doi.org/10.2305/IUCN.UK.2012-1.RLTS.T22693811A38760515.en>. Downloaded on 10 July 2016.
- Blue Grenada Concept Note: 2014
- Caribbean Catastrophe Risk Insurance Facility (2010) Enhancing the climate risk and adaptation fact base for the Caribbean; Cayman Islands: Caribbean Catastrophe Risk Insurance Facility
- Caribbean Community (CARICOM) Secretariat: AGRICULTURAL POLICY: Revised Treaty of Chaguaramas establishing the Caribbean Community including the CARICOM Single Market and Economy)
- Caribbean Conservation Association (1991) Antigua and Barbuda Country Environmental Profile.
- CEDAW Committee. General Recommendations. Accessed at: <http://www.un.org/womenwatch/daw/cedaw/recommendations/recomm.htm>
- Country Poverty Assessment Grenada, Carriacou and Petit Martinique: 2008
- Destin, Dale, 2016. Antigua Met Service: Weather, climate & related info for smart decisions. <https://anumetservice.wordpress.com/2016/03/25/the-worst-drought-on-record-for-antigua/> Accessed April 6, 2016.

Dominica Baseline Assessment 2016

Dominica Climate Change and Health Vulnerability & Adaptation Assessment 2016

Dominica CLIMATE CHANGE, Environment and development bill final (2016)

Dominica Disaster Vulnerability Reduction Project Operations Manual (2014)

Dominica GDP (2014 - in Current US\$) \$537.8 million. World Development Indicators, The World Bank, 2015

Dominica Low Carbon Climate Resilient Development Strategy 2012- 2020

Dominica National Land Use Policy 2015

Dominica Strategic Program for Climate Resilience (SPCR) 2012

Dr. Patrick Antoine: Growth and Poverty Reduction Strategy 2015 – 2019: 2015

FAO: Grenada Food and Nutrition Security Policy and Action Plan: 2013

Food and Agriculture Organisation of the United Nations, 2008. Good Agricultural Practices for Climate risk management in Grenada. [pdf] Grenada: Food and Agriculture Organisation of the United Nations. Available at: [http://www.fao.org/fileadmin/templates/tc/tce/pdf/Grenada\\_draft\\_final\\_report\\_May\\_2008.pdf](http://www.fao.org/fileadmin/templates/tc/tce/pdf/Grenada_draft_final_report_May_2008.pdf)> 2015].

Forest Policy Drafting Committee ((A. Joseph, D. Antoine, S. Ferguson, R. Frederick and Y. Renard) Forest Policy for Grenada, Carriacou and Petit Martinique: 1999

GENIVAR. (2011). Sustainable Island Resource Management Zoning Plan for Antigua and Barbuda (including Redonda). St. John, Antigua and Barbuda: The Government of Antigua and Barbuda.

Global Water Partnership Caribbean. (2013). The Post 2015 Water Thematic Consultation: Antigua and Barbuda.

Government of Antigua and Barbuda (2003) Laws of Antigua and Barbuda: physical planning act 2003; St. John, Antigua and Barbuda: Government of Antigua and Barbuda

Government of Antigua and Barbuda (2004) Laws of Antigua and Barbuda: freedom of information act 2004; St. John, Antigua and Barbuda: Government of Antigua and Barbuda

Government of Antigua and Barbuda (2015) Antigua & Barbuda’s 2015-2020 national action plan: combatting desertification, land degradation & drought; St. John, Antigua and Barbuda: The Government of Antigua and Barbuda

Government of Antigua and Barbuda (2015) Laws of Antigua and Barbuda: environmental protection and management act 2015; St. John, Antigua and Barbuda: Government of Antigua and Barbuda

- Government of Antigua and Barbuda. (2009). Antigua and Barbuda's Second National Communication on Climate Change. St. John, Antigua and Barbuda: Government of Antigua and Barbuda.
- Government of Antigua and Barbuda. (2013). National Biodiversity Strategy and Action Plan. St. John, Antigua and Barbuda: Government of Antigua and Barbuda (GOAB).
- Government of Antigua and Barbuda. (2014). Antigua and Barbuda 2011 population and housing Census book of statistical tables 1, St. John, Antigua and Barbuda: The Government of Antigua and Barbuda.
- Government of Grenada (Agency for Reconstruction and Development (ARD) Modernising Agriculture in Grenada - A National Policy and Strategy - (Draft Cabinet Submission): 2006
- Government of Grenada (Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment - : Corporate Plan 2015-2017, February 5, 2015;
- Government of Grenada (Ministry of Finance) Grenada Biodiversity Strategy and Action Plan: 2011
- Horwith, B and Lindsay, K. (1997) "A biodiversity profile: Antigua, Barbuda and Redonda"; Eastern Caribbean biodiversity Programme: Biodiversity publication #3". Island Resources Foundation
- Huggins, T. 2014. Country Gender Assessment for Antigua and Barbuda. Prepared for the Caribbean Development Bank (CBDB). [http://www.caribank.org/uploads/2014/12/CGA-AB-Vol-I-\\_JUNE-2014\\_FINAL.pdf](http://www.caribank.org/uploads/2014/12/CGA-AB-Vol-I-_JUNE-2014_FINAL.pdf) Accessed June 25th , 2016.
- International Union for Conservation of Nature (IUCN), The Environment and Gender Index (EGI). 2013 Pilot (Washington, D.C., IUCN). Available at <<https://portals.iucn.org/library/sites/library/files/documents/Rep-2013-008.pdf>>.
- IUCN Red List of Threatened Species. Version 2016-1. <[www.iucnredlist.org](http://www.iucnredlist.org)>. Downloaded on 10 July 2016),
- Ivor Jackson and Associates. (2002). Northwest Coast Local Area Plan Antigua. St. John, Antigua and Barbuda: Ivor Jackson and Associates.
- KAIRI consultants Ltd (2007) Living conditions in Antigua and Barbuda: poverty in a services economy in transition;
- OECS Secretariat, 2013. Gender Equality Mainstreaming Policy for the Organisation Of Eastern Caribbean States (OECS) Secretariat. Prepared with support from the Canadian International Development Agency (CIDA) <http://www.oecs.org/sdu-resources?task=document.viewdoc&id=519>
- OECS Secretariat, Revised OECS Regional Plan of Action for Agriculture, 2012 – 2022
- OECS Secretariat, 2004. Grenada: *Macro – Socio Economic Assessment of the Damages Caused by Hurricane Ivan*, September 07.

- Organisation of American States (1992) "Natural resources assessment: application, and projects for the agricultural sector of Antigua and Barbuda"; Washington D.C.: OAS, Department Regional Development
- Osoba, Ermina. "Women in Management and Decision-Making Processes in Antigua and Barbuda: A Statistical Analysis. 2005
- Secretariat of the Convention on Biological Diversity (2005). Handbook of the Convention on Biological Diversity Including its Cartagena Protocol on Biosafety, 3rd edition, (Montreal, Canada) accessed
- Statistics Department, Ministry of Finance - 2013 Labour Force Survey: 2013  
Statistics, p. 170. Accessed at:  
[http://unstats.un.org/unsd/demographic/products/Worldswomen/WW\\_full%20report\\_color.pdf](http://unstats.un.org/unsd/demographic/products/Worldswomen/WW_full%20report_color.pdf)
- The CARIBSAVE Climate Change Risk Atlas: Climate Change Risk Profile for Dominica 2012
- UN Department of Economic and Social Affairs (2011). The World's Women 2010: Trends and UN Women Advocacy Brief: Strengthening Women's Economic Security and Rights. Accessed from:
- UN-HABITAT, 2011 in CARIBSAVE, 2012. Local Area Vulnerability Analysis for Antigua and Barbuda.  
[http://www.environmentdivision.info/UserFiles/File/LVIA\\_Antigua\\_and\\_Barbuda\\_FINAL\\_8DEC15.pdf](http://www.environmentdivision.info/UserFiles/File/LVIA_Antigua_and_Barbuda_FINAL_8DEC15.pdf)
- UNIFEM (2010). Who Answers to Women? Gender & Accountability: Progress of the World's Women
- United Nations (1999), Protocol concerning pollution from land-based sources and activities to the convention for the protection and development of the marine environment of the wider Caribbean region.
- United Nations (2007) Concluding observations of the committee on the elimination of racial discrimination, Antigua and Barbuda; International Convention On the Elimination Of all Forms of Racial Discrimination
- Water Resources Management Unit and Action Plan for Implementation of the Grenada National Water Policy: 2012
- Wege, David and Anadon, Veronica ed. (2011). Important bird areas in the Caribbean: key conservation sites; Cambridge, Birdlife International
- World Bank (2011) Antigua and Barbuda social protection assessment
- World Bank; CIAT. 2014. Climate-Smart Agriculture in Grenada. CSA Country Profiles for Latin America Series. Washington, D.C.: The World Bank Group.



## Annex 2. Checklist for Compliance with Performance Standards

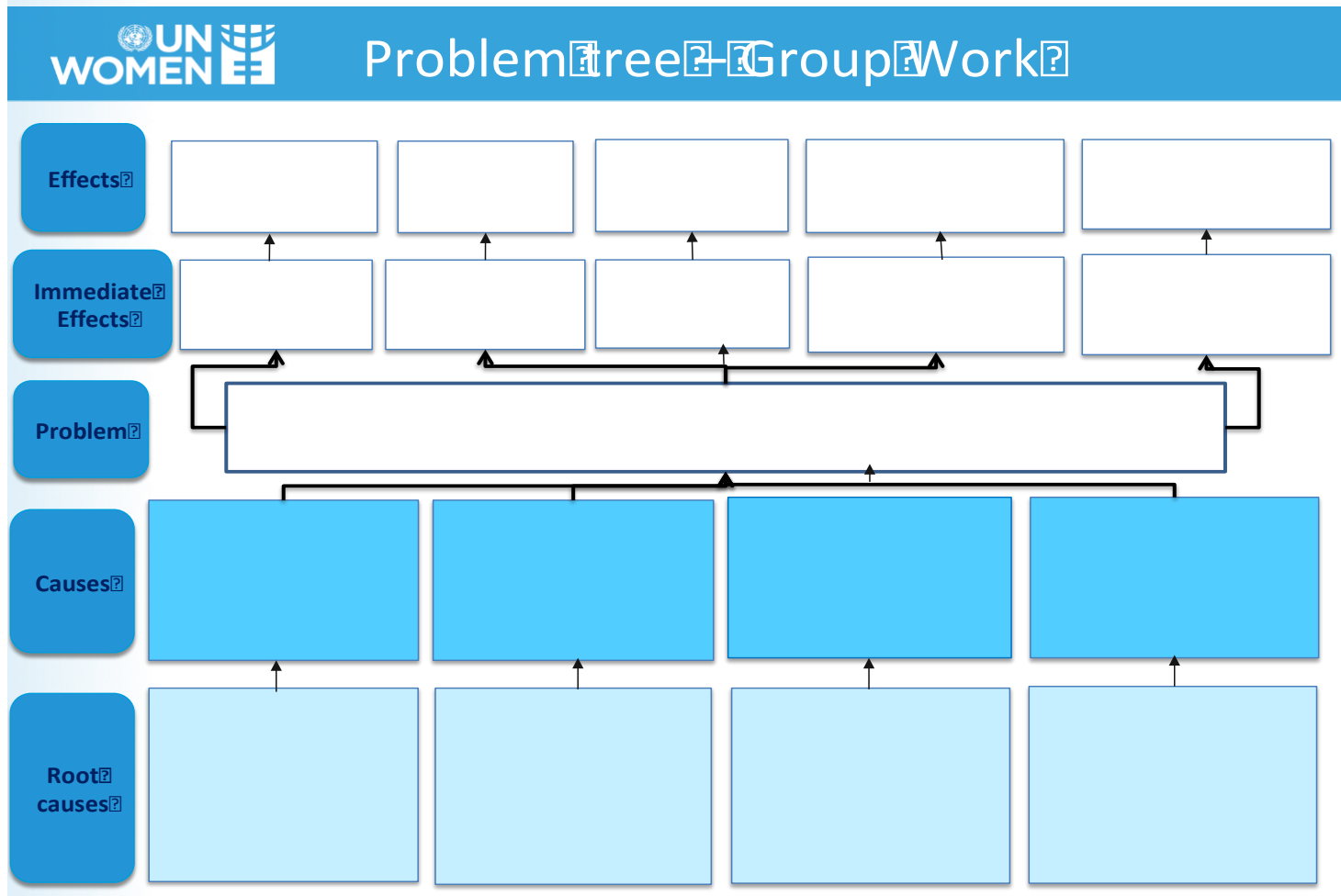
The information below is provided to help people applying for funding through the project to comply with the areas covering the Environmental and Social Principles. This is not an exhaustive list and new ideas or thoughts are encouraged and can be added to the guidance information.

Table 12. Explanation of the Performance Standards, to be used in training and sensitization and for decision-making on funding decisions

Performance Standard	Checklist for Environmental and Social Risk Mitigation
<b>PS 1: Assessment and Management of Environmental and Social Risks and Impacts</b>	<input type="checkbox"/> NGO and Private Sector representation on decision-making and oversight committees <input type="checkbox"/> Funding decisions are published online <input type="checkbox"/> Grievance mechanisms operational at the national and sub-regional levels
<b>PS 2: Labor and Working Conditions</b>	<input type="checkbox"/> Balanced gender representation on all Tender evaluation committees <input type="checkbox"/> All Tender documents and EDA RFPs include a clause on non-discrimination and equal opportunity hiring practices
<b>PS 3: Resource Efficiency and Pollution Prevention</b>	<input type="checkbox"/> All purchases are consistent with the Sustainable Procurement strategy
<b>PS 4: Community Health, Safety, and Security</b>	<input type="checkbox"/> Decision-making evaluation criteria includes ecosystem-based solutions <input type="checkbox"/> Emergency preparedness and response plans are in place
<b>PS 5: Land Acquisition and Involuntary Resettlement</b>	<input type="checkbox"/> Proposed activities do not result in physical or economic involuntary resettlement
<b>PS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources</b>	<input type="checkbox"/> Sustainable Procurement strategy minimizes the need for imported living resources where possible (to minimize the threat of invasive alien species) <input type="checkbox"/> Any biological imports are screened for potentially invasive species <input type="checkbox"/> Locally invasive species are identified and their spread is contained <input type="checkbox"/> Project activities do not negatively impact Protected Areas or areas designated as critical habitat
<b>PS 7: Indigenous Peoples</b>	<input type="checkbox"/> Translation of communications materials into Kalinago where appropriate <input type="checkbox"/> Monitoring representation of Kalinago as Revolving Fund beneficiaries <input type="checkbox"/> Monitoring representation of Kalinago as Small Grant beneficiaries <input type="checkbox"/> Free, Prior, and Informed Consent (FPIC) of Affected Communities of Indigenous Peoples (Component 2)
<b>PS 8: Cultural Heritage</b>	<input type="checkbox"/> Cultural heritage sites are identified in the EIA process
<b>Gender (GCF requirement)</b>	<input type="checkbox"/> Balanced gender representation on decision-making and oversight committees <input type="checkbox"/> Access to project benefits by different gender groups

### Annex 3. Tool to facilitate consultations and gender responsive EDA sub-project design

The following template tools have been developed by UN Women as best practice guidelines, and these tools will be adapted to country-specific circumstances and utilized by the Executing Entities to assist stakeholders to design and implement gender-responsive projects.



**Gender analysis template tool to guide responsive EDA sub-project development** (Source: adapted from UN Women)

	<b>Questions</b>	<b>Data/Information Collected</b>
<b>What is the Context?</b> Context of the target community/ beneficiary group	1. Demographic and socioeconomic data, disaggregated by sex and income	1.
	2. % of households that are headed by women/men; average income	2.
	3. What are the main sources of income for households in the vulnerable areas (disaggregated by sex)?	3.
	4. What are the uses/needs of women and men when it comes to water, farming and energy (or other project-relevant sectors)?	4.
	5. How do the current climate risks affect men and women?	5.
	6. Are there any legal barriers to women in (the project-relevant sectors)?	6.
	7. Describe any community beliefs about the specific roles of women and men.	7.
<b>Who has what?</b> Ownership and access	1. Who owns the land and other product assets?	1.
	2. Describe household energy access and sources.	2.
	3. How much do households spend on water and energy?	3.
	4. Do men and women have bank accounts and can they access finance to scale up their farming / business activities?	4.
	5. Do men and women benefit from extension services (or other project-relevant services)?	5.
	6. How do men and women access information? Do they have access to different technologies?	6.
	7. What are the levels of training / education?	7.
<b>Who does what?</b> Roles and responsibilities	1. How are men and women connected to markets / how do they participate in the economy?	1.

	2. What would be the implications of the proposed intervention, given primary tasks and responsibilities by gender?	2.
	3. Who is responsible for child/elderly care and household tasks?	3.
	4. What would be the best times to hold trainings for women and men on the new systems/technologies or skills to be delivered through the project?	4.
<b>Who decides?</b> Participation in decision-making	1. Who are the community leaders? Are there any women leaders?	1.
	2. Are there women's organizations that are active in the targeted area targeted project can partner with?	2.
	3. Do women and men participate (equally) in associations, management relevant to the project sector, and any other producer/user groups? Which ones?	3.
	4. Who manages / makes decisions in the household, notably around how money and time are spent?	4.
	Will both women and men be able to equally participate in using and learning about the new interventions in the proposed project?	5.
<b>Who benefits?</b> Impacts	1. Will the services from the project interventions be freely available to men and women? Are there any risks/restrictions on movement (security or cultural)? Are there any discriminations/risks to certain community members in terms of accessing the project benefits?	1.
	2. How will men and women benefit from the project interventions?	2.
	3. What will be the impact of the project interventions on women's workload and income?	3.
	4. Are there specific project impacts or benefits for women?	4.

	5. Will the project help create a better balance between women's productive and household tasks (e.g. childcare, domestic work)?	5.
	6. Will the project contribute to strengthening women's participation in decision-making? How?	6.